

UL Qualified Firestop Contractor Program and Requirements

MARK INTEGRITY PROGRAM

Introduction

This document outlines the requirements for participation in the UL Qualified Firestop Contractor Program for the U.S., Canada and internationally where recognized.

The Firestop Systems Contractor industry is a subset of the building industry that serves residential, institutional, commercial and industrial structures. The industry addresses the common need to limit the hazardous spread and damaging effects of fire. Firestopping involves returning the wall and/or floor to its original fire and smoke rating before a joint, gap or penetration was made during construction. Firestop Contractors must choose and install classified firestop systems carefully and effectively to establish a protective system for a joint, gap or penetration within a structure to comply with construction documents.

In order for a firestop systems installer/contractor organization to qualify for UL's Qualified Firestop Contractor Program, the contractor organization shall employ a knowledgeable individual who successfully demonstrates their competency to UL and establishes, effectively implements and maintains a management system focused on the selection and installation of firestop systems.

The Management System approach requires the Contractor to analyze customer requirements and establish, utilize and maintain controlled processes in the selection and installation of firestop systems with the intention of meeting customer requirements.

The Contractor organization's customers require products, systems and services with characteristics that satisfy their needs, expectations, and construction documents. Customer requirements may be specified contractually or

may be determined by the construction documents with final approval by the AHJ. In either case, the AHJ ultimately determines the acceptability of the installation.

Because the firestop contractor firm's selection and installation of firestop systems to requirements relies on staff knowledge, the UL Qualified Firestop Contractor requires at least one individual employed by the Contractor organization to be designated as a Designated Responsible Individual (DRI) who has demonstrated his/her knowledge via examination and meets other related requirements defined in this document.

DEFINITIONS:

Authority Having Jurisdiction (AHJ) - The organization, office or individual responsible for approving or accepting Firestop materials, installations, procedures, designs. This is typically the building code official or inspector who may also be the final authority signing the "Certificate of Occupancy Permit".

Certificate - The Qualified Firestop Contractor Certificate. This is a document issued after an audit has been completed, and conformance to all Program Requirements has been determined. The Certificate is valid until December 31st of the following year from which the Certificate was issued.

Continuing Education Unit (CEU) - For purposes of awarding CEU credit, the International Association of Continuing Education and Training (IACET) definition will be used as follows: One (1) CEU is equal to ten (10) contact hours of participation in an organized continuing education experience under responsible sponsorship, capable direction, and qualified instruction. In determining eligibility of award of CEUs, UL Knowledge Services staff will assess total number of contact hours, sponsoring organization, applicability of training content to industry, and previous



CEUs awarded. CEUs are awarded at the discretion of UL Knowledge Services.

Contingency Plan - A documented plan developed by the Contractor that details the actions to be taken by the Contractor for continued compliance with Program Requirements in the event the Designated Responsible Individual (DRI) ceases employment with the contractor, or is unable to perform his or her duties.

Contractor - A firm or organization eligible for and applying to the UL Qualified Firestop Contractor Program.

Corrective Action - Action to eliminate the cause of a detected nonconformity or other undesirable situation.

Designated Responsible Individual (DRI) - An individual employed by the UL Qualified Firestop Contractor who is designated as a DRI by the contractor and who is determined by UL to meet the Program Requirements defined in this document.

FCIA - Firestop Contractors International Association.

Firestop System - A combination of classified materials and products used to prevent the spread of heat, fire, gasses or smoke through an opening in a wall or floor for a prescribed period. The Firestop system refers to all the necessary components in the approved Firestop design, which can include, but is not limited to the penetrants size, annular space, sealant depth, etc.

Listed - Equipment, materials or products included in a “list” published by an organization, concerned with evaluation of products and acceptable to the building official, that maintains periodic inspection and/or evaluation of production of listed equipment, materials or products and whose listing states either that the equipment, material or product meets identified standards (ASTM, UL, etc.) or has been tested and found suitable for a specified purpose.

Manufacturer - The manufacturer of the Listed Firestop material being stored, handled, or applied by the Contractor.

Nonconformity - Non-fulfillment of a requirement, including any issue identified and documented by the UL Auditor during the audit process that reflects deviation from the Program Requirements.

Preventative Action - Action to eliminate the cause of a potential nonconformity or other undesirable potential situation.

Program - UL Qualified Firestop Contractor Program.

Program Requirements - Refers to the requirements described in this document, the Qualified Firestop Contractor Program Requirements.

Management System (MS) - Management systems to direct and control an organization with regard to quality (includes organizational structure, responsibilities, procedures, processes, and resources).

Management System Manual - Document specifying the Management System of the Contractor.

Master Audit Certificate of Compliance (MACC) - An audit certificate issued for compliant job site projects done by a UL Qualified Firestop Contractor holding a valid Qualified Firestop Contractor Certificate.

Specifier Firm - The party responsible for development, issuance and control of the Firestop system specification for the structure or building.

UL Auditor - An individual designated by UL to conduct the Contractor audit in accordance with the Program Requirements.

UL Fire Resistance Rated Design - A UL Classified Firestop system, as defined in UL’s Fire Resistance Directory.

ULC Fire Resistance Rated Design - A ULC Firestop system as defined in ULC’s List of Equipment and Materials – Firestop Systems.

APPLICABLE DOCUMENTS:

ISO/IEC DIS 17021; International Standard, Conformity Assessment – Requirements for bodies providing audit and certification of management systems.

UL Qualified Contractor Management System Checklist

FCIA Firestop Manual of Practice (MOP)



Best Practice Guide on Fire Stops and Fire Blocks and Their Impact on Sound Transmission published by the National Research Council of Canada (NRC).

REQUIREMENTS:

The UL Qualified Firestop Contractor Program offers independent, third party audit services for the following:

- Acknowledgment of a Designated Responsible Individual (DRI) who has met Program Requirements, and passed a written exam that tests knowledge of the FCIA Firestop Manual of Practice for Firestop Contractors and the UL Fire Resistance Directory.
 - For the U.S. – the FCIA Firestop Manual of Practice for Firestop Contractors and the UL Fire Resistance Directory and Program Requirements
 - For Canada – the FCIA Firestop Manual of Practice for Firestop Contractors, the ULC List of Equipment and Materials – Firestop Systems, Program Requirements and Best Practice Guide on Fire Stops and Fire Blocks and Their Impact on Sound Transmission published by the National Research Council of Canada.
- Examination of Contractor’s established Management System and an on-site audit to determine conformance in accordance with Program Requirements.
- UL Qualified Firestop Contractor Program Requirements are based on the requirements of ISO/IEC DIS 17021:2011; Conformity Assessment Requirements for bodies providing audit and certification of management systems.
- The contractor firm systems audited under this Program provide an integrated approach (demonstrated knowledge and Management System) to controlling the process in addressing customer and other applicable requirements.
- The Management System (MS) Checklist Form, available on UL’s website www.ul.com/contractors, is intended to help organize and streamline Contractor’s effort in determining compliance of Contractor’s management system with UL Qualified Firestop Contractor Program Requirements defined in the MS Requirements section of this document.
- Upon completion of the UL Firestop Contractor Examination, the Contractor is issued a Letter of Completion stating an explanation that all program requirements including the successful completion of the initial qualification audit must be met before the Contractor will be issued a certificate.
- Upon completion of the audit of the Contractor’s Management System, UL will provide the Contractor with an Audit Report within a mutually agreed time that includes audit findings and conclusions, any identified non-conformities still remaining and eligibility for a Certificate.
- Upon a determination that the Contractor has met the Program Requirements, the Contractor will be issued a Certificate. Certificates expire on December 31st of the following year, from which the certificate was issued and may be canceled or withdrawn by UL at any time. To remain current, the Contractor will be subject to an annual full and complete re-audit. The re-audit will include a comprehensive audit of the Contractor’s Management System. The purpose of the re-audit is to determine if the Contractor, their DRI and their Management System complies with all aspects of the Program Requirements.
- For the U.S. and internationally upon a determination that the Contractor has met requirements:
 - Contractor organization’s name and contact information will be published on UL’s Internet directory as a UL Qualified Firestop Contractor.
 - Contractor organization will be issued a UL Qualified Firestop Contractor Program Certificate to be used in accordance with the limitations specified in this document and in guidelines provided at www.ul.com/contractor
 - Contractor organization may use the UL Qualified Firestop Contractor Program marking and the words “UL Qualified Firestop Contractor”, in accordance with the limitations specified in this document and at www.ul.com/contractor on promotional material.
- For Canada, upon determination that the Contractor has met Requirements for Canada,
 - The contractor organization’s name and contact information will be published on the ULC internet directory as a ULC Qualified Firestop Contractor.
 - The Contractor organization will be issued a ULC Qualified Firestop Contractor Program Certificate to be used in accordance with the limitations specified in this document and in guidelines provided at www.ulc.ca/contractor.



- The Contractor may use the ULC Qualified Firestop Contractor Program marking and the words “ULC Qualified Firestop Contractor” in accordance with the limitations specified in this document and at www.ulc.ca/contractor, on promotional material.
- The general public, firestop manufacturers, architects, building owners, insurance agencies, and any other interested parties can view UL/ULC Qualified Firestop Contractors on the UL Internet directory at www.ul.com/contractor.

ELIGIBILITY AND ENROLLMENT:

1. The Contractor must employ a Designated Responsible Individual (DRI) in accordance with the Program Requirements.
2. The Contractor must have an established Management System in accordance with the Program Requirements.

APPLICATION PROCESS:

Applications for the Qualified Firestop Contractor Program are obtained online at www.ul.com/contractors. Once a completed application is received and reviewed agreement forms follow.

Agreement forms reference and require compliance with this “UL Qualified Firestop Contractor Program Requirements” document. Agreement forms are signed by the Contractor’s authorized representative. Once the application and agreement has been received, reviewed, and deemed acceptable, an acknowledgment letter and quotation is sent to the Contractor.

Upon acceptance of the quotation, arrangements are made to conduct audit activities as defined in the Program Requirements.

DESIGNATED RESPONSIBLE INDIVIDUAL AND EXAMINATION:

Designated Responsible Individual (DRI) - Each Contractor under this program shall have at least one Designated Responsible Individual (DRI) who is employed by the Contractor and meets the Program Requirements and who has the following responsibilities:

- Defined and documented responsibility for oversight

and maintenance of the Contractor’s Management System in accordance with Program Requirements.

- Defined and documented responsibility for training staff and determining staff has received any required training or qualifications necessary to choose Firestop materials and install Firestop systems in accordance with UL or ULC Fire Resistance Design. The DRI has responsibility to act as a resource to Contractor staff as the Contractor’s “designated expert” to assist with resolving questions.

A DRI for each unique Contractor location may be required as determined by UL.

In the event the DRI is no longer employed by the Contractor or is otherwise unable to fulfill the duties of DRI, the Contractor shall carry out the following to remain in the Program:

- Immediately notify UL.
- Immediately initiate the Contingency Plan for continued compliance with Program Requirements.
- Employ or qualify a replacement DRI within 120 days.

Demonstrated Knowledge - Demonstrated knowledge is determined by at least one Designated Responsible Individual (DRI) meeting the minimum examination requirements:

- For the U.S and International - Demonstrated knowledge of the FCIA Firestop Manual of Practice (MOP) and the UL Fire Resistance Directory and the UL Qualified Firestop Contractor Program Requirements as evidenced by completion of the required UL written examination with a score of 80% or better.
- For Canada – Demonstrated knowledge of the FCIA Firestop Manual of Practice (MOP), Best Practice Guide on Fire Stops and Fire Blocks and Their Impact on Sound Transmission and the ULC List of Equipment and Materials – Firestop Systems, and the UL Qualified Firestop Contractor Program Requirements as evidenced by completion of the required written examination with a score of 80% or better.

Examination Procedures - The UL Firestop Contractor Examination will be administered by Underwriters Laboratories at designated locations and times.

To be eligible for the firestop contractor examination, an individual must be an active employee of a specialty building construction contractor conducting business in the firestopping industry. A Contractor is considered active



in the firestopping business when past, current, or pending contracts include firestopping work or specifications.

Eligible contractor employees must complete a UL Firestop Contractor Examination Application. Completed examination forms may be submitted to the Firestop Contractors International Association (FCIA) for testing during scheduled FCIA conferences or to UL Knowledge Services to request testing outside of FCIA conferences. Examination fees must be included at the time of application submittal.

Upon successful completion of the exam with a score of 80% or better, the contractor employee is issued a letter of completion by UL Knowledge Services.

Certification Period - Individuals who successfully complete the UL Firestop Contractor Examination are certified for a period of 3 years from the date of certification.

To maintain certification, the contractor employee must renew their certification prior to the expiration date of the certification period. Recertification may be accomplished through continuing education unit (CEU) credits submitted to UL Knowledge Services or through reexamination. Failure to obtain the required number of CEUs or complete the reexamination prior to the end of the certification period will result in decertification which may impact the UL Qualified Firestop Contractor status.

Continuing Education - To maintain continued certification as the contractor employee or DRI shall:

- Achieve at least 6 continuing education units (CEUs) for every three years. One (1) CEU credit is equal to 10 contact hours of participation in organized industry related continued education. CEUs may be obtained through continuing education programs, instruction, on-the-job experience, and professional membership.
- Continuing education program CEU credits are obtained by attendance at FCIA seminars, industry related seminars and educational programs offered by accredited colleges, universities and other providers of adult education. All continuing education topics shall be relevant to the industry, such as life safety, loss prevention, building codes and other related topics approved by the DRI's management and accepted at the discretion of UL. The entire 6 CEU requirement may be obtained through continuing education programs.

- CEUs credits may be awarded for conducting presentations or holding instructional sessions at industry-sponsored events. CEUs are awarded only for the first time a body of knowledge is presented. Additional presentations using the same or similar content are not eligible for CEUs. A maximum of two (2) CEUs may be obtained through instruction.
- CEU credits may be awarded for first time on-the-job work experience. The work experience must be industry related and add to the DRI's body of knowledge of the Firestop industry. A maximum of one (CEU) credit may be obtained through first time on-the-job work experience.
- A maximum of one (1) CEU credit may be obtained by maintaining active membership in an industry related professional organization.
- Certification can be maintained by written examination every (3) years as an alternative to obtaining the CEUs noted above. The required examination and score needed to maintain certification is 80% correct responses.

DRI Recertification - A DRI employed by a UL Qualified Firestop Contractor who meets the CEU requirement or successfully completes reexamination during their certification period are issued a new Certificate.

This certificate is valid for a three (3) year period and subject to the rules and conditions of the Program Requirements.

CONTRACTOR MANAGEMENT SYSTEM AUDIT:

Audit Overview - The Contractor shall work directly with the assigned UL Auditor for scheduling and conduct of audits. An audit will be conducted of the Contractor's management system at the Contractor's facility and at least one job-site. Prior to schedule of the audit, the UL Auditor will contact the Contractor to obtain a copy of the Contractor's Management System (MS) Manual. The UL Auditor will review the MS Manual in advance of the initial audit to become familiar with the Contractor's MS, identify any potential areas of nonconformity with Program Requirements, and determine readiness for the facility audit. The UL Auditor will discuss potential nonconformities, resolve any known differences in understanding and agree on a mutually acceptable schedule for the audit.



On-site contact - The Contractor DRI must be available at the agreed time of audit, and must have a thorough working knowledge of the company's Management System (systems, processes, and procedures) as well as a working knowledge of the Program Requirements. Likewise, the DRI shall have full authorization to act on behalf of the Contractor with regard to issues falling within the scope of the Program.

Safety - System audits are conducted in and about a variety of structures, and workplace conditions may change at each site. It is crucial that the UL Auditor and Contractor representatives know and use safe workplace practices. The Contractor is responsible for coordinating all special safety training (such as emergency evacuation procedures or use of specialized safety equipment) required at the facility.

Audit Participation - The Contractor shall actively participate and assist the UL Auditor as necessary in the review of the Contractor's Management System and documentation relating to compliance with the program requirements.

Job Site Visit - As a component of the overall Management System audit, a visit is required to a site where installation of Firestop systems by the Contractor is in progress or has been completed. The purpose of the job site visit is to audit the Contractor's Management System processes in the field. During the job site visit UL will observe at least one test being carried out on the installed Firestop system by the Contractor or independent third party inspector firms. The visit shall be treated as an extension of the audit activities taking place at the Contractor's facility. Activities by the UL Auditor shall be limited to observation. Observation of any tests in no way implies UL approval of the Firestop system or the installation conducted by the Contractor. UL audit activities including observation of tests during the job site visit are not intended to address, nor do they imply proper installation of Firestop materials or systems at the job site or installation and in no way imply approval by UL of the installation. UL shall not participate in the testing or testing process, but will consider the on-site testing as part of the overall audit of the Management System. The Contractor assumes responsibility of gaining access to the job site and ensuring the safety of the UL Auditor.

Nonconformity – Nonconformities to UL program requirements or the contractors management system requirements discovered during the audit will be documented and provided to the Contractor. The Contractor shall provide a

written Corrective Action plan (addressing the nonconformity issues) to the UL Auditor within 30 days. If a Corrective Action plan is not received within 30 days of the audit conclusion, another complete audit may be deemed necessary. However, the UL Auditor shall make every attempt to contact the Contractor to reach a mutually acceptable timeline for submittal of the Corrective Action plan.

Nonconformities can be broken down into two categories as follows:

Minor: A nonconformance that is not likely to:

- result in the failure of the MS, or
- reduce its ability to assure controlled processes, or
- result in the probable shipment or installation of nonconforming product or system.

Major: Nonconformance(s) that represent:

- The absence or total breakdown of a MS or element thereof required to meet the applicable requirements. A number of minor nonconformities against one requirement which when combined can represent a total breakdown of the system and thus be considered a major nonconformance.
- The probable shipment or installation of a nonconforming product or system.
- Presents a potential safety risk.
- A nonconformance that judgment and experience indicate is likely either to result in the failure of the MS or to reduce its ability to assure controlled processes, products and systems.

Corrective Action - The Contractor shall thoroughly and accurately address all documented nonconformity issues. Corrective Action plans shall be communicated in writing directly to the assigned UL Auditor within a mutually acceptable time period. The Contractor shall assist the UL Auditor to substantiate if Corrective Actions to resolve nonconformity items are acceptable. If major or numerous minor nonconformity items are discovered, as determined by the UL Auditor, a full re-audit will be required. If only a limited number of minor nonconformity items are discovered, a partial re-audit or appropriate evidence will be required. Acceptance into the program cannot be granted until all nonconformity items are resolved and verified by UL.



CONTRACTOR MANAGEMENT SYSTEM REQUIREMENTS:

The Contractor shall establish and effectively implement and maintain a Management System (MS) to be eligible for this program. The MS must meet requirements specified here that focus on the selection and installation of UL Classified Firestop Systems.

The Contractor shall at a minimum:

- Identify the processes needed for the Management System and determine the sequence and interaction of these processes;
- Determine that the identified processes are effective;
- Ensure that sufficient resources are available to support the operation and monitoring of these processes;
- Document the processes in writing by means of a manual, which includes defined responsibilities and authorities including those of the DRI;
- Monitor, measure and analyze to continually improve the processes;
- Maintain control of any outsourced processes that could affect the conformity of selection and installation of firestop systems with requirements through the above activities to the extent needed.

Management System Elements - This section describes the 10 Management System elements identified by UL and the Firestop Contractors International Association as required to be established by the Contractor for consideration into the program.

1.0 Construction Document Requirements and Review:

The Contractor shall have defined processes for communicating effectively regarding requirements for Firestop systems. The process and DRI competence capability should provide the Contractor with a complete understanding of needs and expectations so that this information can be translated into specific product and process installation requirements.

The Contractor shall review applicable construction documents (architectural drawings, structural drawings, mechanical drawings, plumbing drawings, electrical drawings, project specifications), project scope, applicable

Classified systems and designs to determine the type of product or products to be used, the fire resistive design specified for the project, to identify any inconsistencies, and to adequately define and understand all requirements. The appropriate Classified Firestop system is chosen to meet the applicable construction documents. This process, DRI competence and experience of the contractor shall assure the determination that the Firestop system meets the specifications, and shall include the steps taken when Firestop system does not cover all of the building elements in the specifications or when it is determined that requirements cannot be met.

Any contract, bid or requirement differing from those previously expressed shall be resolved. Where the customer provides no documented statement of requirement the Contractor shall confirm and document the requirements with the customer. When requirements are changed the Contractor shall communicate those changes to relevant personnel and amend any applicable documents. A record of this review shall be maintained.

2.0 Procurement of Firestop Materials:

The Contractor shall have defined processes and capability for verifying that purchased product conforms to specified requirements. In general, the type and extent of control applied to the supplier of purchased product is dependent upon the effect of this product on the contractor's final installed firestop systems.

The process shall include an evaluation of suppliers based on their ability to supply classified firestop systems and products in accordance with requirements. This includes establishing the criteria for selection, evaluation and re-evaluation of suppliers. Records of the results of these evaluations and any necessary actions should be maintained.

The process shall also include detailed and accurate communication between the Contractor and the supplier describing the product requirements so that the supplier has every opportunity to deliver product that meets the Contractor's requirements. This communication can take many forms, including electronic linkage to optimize the accuracy and efficiency of the information and communication.

A record of all materials purchased for each project shall be maintained. These records should include the manufacturer



and supplier name, product name, product type, quantity, traceability requirements, i.e. Lot number, shelf-life, approval agency label, as applicable.

Finally, the process shall include verification of purchased product (inspection or other activities) to provide evidence that the purchased product meets specified requirements.

3.0 Storage, Handling, Preservation and Delivery:

The contractor firm shall establish a process for the labeling, storage, handling, preservation and delivery of Firestop materials to prevent misuse, contamination, damage and deterioration. Storage conditions and shelf life must be considered to prevent deterioration of Firestop materials. This requirement extends to the job-site.

4.0 Installation, Application and Field Quality Assurance Procedures:

The Contractor shall plan and carry out installation of firestop systems under controlled conditions. These controlled conditions include availability of information describing the product characteristics, availability of work instructions, suitable equipment, monitoring and measurement of the process and product, availability and use of monitoring and measuring devices, control of nonconforming product and firestop systems, product identification and traceability, adequate resources (equipment and qualified personnel), and preservation of firestop systems.

The Contractor shall use the FCIA Firestop Manual of Practice (MOP) and any other applicable industry documents as a guide in developing Firestop field installation application procedures.

Records of all field tests shall be maintained showing their results (pass or fail) and any actions taken to resolve nonconformities and compliance with the firestop system requirements.

5.0 Inspection, Testing and Calibration:

The Contractor shall determine the appropriate inspection, testing, calibration/verification to be undertaken at the Contractor site and at the on-site installation of the firestop system to verify all requirements have been fulfilled. This may include but is not limited to in-process inspections performed at the time of installation by the Contractor, installer or third party inspection service. In

addition destructive examination of firestop systems can be performed as well as destructive tests performed on firestop mock-ups or test samples.

Inspection and/or testing reports shall be retained with project records and include corrective actions taken to resolve any nonconformities resulting from inspections or tests with results not in compliance with acceptance criteria. The Contractor shall select and maintain all necessary monitoring and measuring devices required to complete the inspection and/or testing. In order to provide confidence in the data, monitoring and measuring devices shall be:

- Calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards, as applicable;
- Adjusted or re-adjusted as necessary;
- Identified to enable the calibration status to be determined;
- Safeguarded from adjustments that would invalidate the measurement results;
- Protected from damage and deterioration during handling, maintenance and storage;
- Hand measuring devices including steel tape measures and steel rules used for installation and verification of firestop systems shall be validated through observation as fit for use at prescribed intervals.
- In addition, the Contractor shall assess and record the validity of previous measurement results when the devices are found not to conform to requirements.

6.0 Control of Nonconforming Firestop Materials and Systems:

The Contractor shall have a documented procedure for the control of nonconforming Firestop material and systems that do not meet specified requirements and shall be identified and controlled to prevent unintended use or delivery. The controls, related responsibilities and authorities for dealing with nonconforming Firestop materials and systems shall be defined in applicable Management System documentation. Records of the nature of nonconformities and any subsequent actions taken including concessions obtained shall be maintained. Control of nonconforming Firestop materials and systems extends to the installation at the project site.



When nonconforming product is corrected it shall be subject to verification to demonstrate conformity to requirements.

7.0 Training and Qualification of Staff:

The Contractor shall determine and provide the resources needed to implement and maintain the Management System and fulfill requirements for the installation of Firestop systems in accordance with requirements. Personnel performing Firestop System and material selection, material installation, inspection, and/or testing shall be competent on the basis of appropriate education, training, skills and experience.

Personnel shall demonstrate proficiency by means of examination or equivalent. Effectiveness of the proficiency method must be validated.

Records of training, qualification and effectiveness shall be maintained.

The Contractor shall determine the necessary level of competence for staff whose work affects the fulfillment of requirements by installation of Firestop systems; provide education and training to satisfy these needs; evaluate the effectiveness of the training; maintain appropriate records of education, training, skills and experience; periodically re-evaluate staff competence.

The Contractor shall demonstrate that the DRI and responsible personnel have appropriate skills and knowledge with regard to the selection and application of Firestop materials and systems in accordance with: manufacturer application requirements; specific firestop system; established industry guidelines (i.e. FCIA Firestop Manual of Practice).

8.0 Corrective/Preventive Action:

The Contractor shall have a documented procedure for corrective and preventive action and use corrective action as a tool to address nonconformities and as a tool for improvement. Corrective actions should be focused on eliminating causes of nonconformities in order to prevent recurrence. Sources of information for corrective action should include complaints regarding fulfillment of requirements of Firestop systems, process and product nonconformity reports, audit results, test results, measurements and inspections, etc. The Management System documentation shall include a procedure to define requirements for:

- Reviewing Nonconformities (including test failures and complaints);
- Determining the causes of Nonconformities;
- Determining and implementing the actions needed to correct the nonconformity and prevent the nonconformity from recurrence;
- Recording the results of actions taken;
- Reviewing the effectiveness of actions taken.

9.0 Management System Monitoring and Improvement:

Management shall provide evidence of their commitment to the development and implementation of a Management System. This can be effectively achieved if management communicates to the Contractor Organization the importance of meeting requirements; establishes a policy and objectives related thereto; defines and communicates responsibilities and authorities within the organization; conducts management reviews; provides adequate resources.

The Contractor shall continually improve the effectiveness of the Management System through the use of the inspection results, analysis of data, corrective and preventive actions, and management review. The Contractor's DRI shall audit activities and responsibilities that are outside his/her direct control to assure the Management System is effectively implemented. These audits shall be planned and take into consideration the status and importance of the activity to be audited as well as the results of previous audits. The DRI has responsibility for planning, conducting, reporting audit results and maintaining audit records. These responsibilities and requirements shall be documented.

The Contractor's DRI, optionally with top management, shall review the suitability, adequacy and effectiveness of the Management System at planned intervals. The inputs into management review should include management objectives; results of inspections; DRI Audits; staff competency; customer feedback; project nonconformities; UL feedback; status of corrective and preventive actions; follow-up actions from previous management reviews; changes that could affect the Management System and recommendations for improvement. The output from management review should include decisions and actions related to improvement of the effectiveness of the Management System; improvement of processes related to fulfilling requirements; and resources. Records from management reviews shall be maintained.



10.0 Documentation and Record Keeping:

Documents required by the Management System shall be controlled. The Contractor shall establish a documented system that includes a policy on fulfillment of requirements, a manual, procedures, work-instructions, and additional documents and records so that processes and activities are carried out as planned to meet requirements.

The Contractor shall have a documented system in place to define the controls required for:

- Approval of documents for adequacy prior to use;
- Review and update of documents;
- Changes and identification of revision status of documents;
- Availability of relevant documents at points of use;
- Legibility and document identification;
- Documents of external origin (identification and distribution control);
- Prevention of unintended use of obsolete documents.

Records are a special type of document that require specific controls (identification, storage, protection, retrieval, retention, disposition). The contractor shall establish a documented system for the control of records.

Included in the Management System documentation is a manual (or equivalent), which contains documented statements of a policy and objectives for fulfillment of requirements; procedures established for the Management System (or reference to them); documents needed by the Contractor for the effective operation of the Management System; responsibilities, including responsibilities of the DRI.

Records shall be established and maintained to provide evidence of conformity to requirements and of the effective operation of the Management System. Records shall remain legible, readily identifiable and retrievable, and shall be retained for a period of 7 years or as required by code or government regulation.

The following records shall be maintained, at a minimum:

- Construction records, including contracts, systems and amendments;
- Incoming material inspection;
- Installation inspection and test records;

- Equipment records including calibration when applicable;
- Customer complaints records, with Corrective Action (and Preventative Action as appropriate);
- Corrective and Preventive Action records;
- Non-conforming material records;
- Staff education, training, competency evaluations and training effectiveness;
- DRI Audits;
- Management review records.

CERTIFICATES & RE-AUDITS:

Certificate Issuance and Control - Upon a determination that the Contractor has met the UL Requirements, the Contractor will be issued a certificate that includes, where appropriate for the U.S. or Canada:

- Contractor firm name and address of location assessed under the Program;
- Effective date (date of compliance decision) and expiration date (one year following effective date);
- Unique serial number and UL File number;
- Underwriters Laboratories or Underwriters Laboratories of Canada and name of the UL Contractor Program to which Contractor firm was assessed;
- Authorized UL Qualified Firestop Contractor Program marking for the U.S. and ULC Qualified Firestop Contractor Program marking for Canada;

Certificates are issued only to those Contractors that comply with UL Requirements and only after the nonconformities identified during UL audits have been resolved.

Qualified Firestop Contractor Certificate Renewal -

Certificates may be renewed annually on/or before the renewal date as indicated on the certificate. Certificates may be canceled or withdrawn by UL at any time. To remain current, the Contractor will be subject to an annual full and complete re-audit. The re-audit will include a comprehensive audit of the Contractor's Management System. The purpose of the re-audit is to determine if the Contractor, their DRI and their Management System remains in compliance to program requirements.



UL CONTRACTOR DIRECTORY:

UL and ULC Qualified Firestop Contractor firm's name and contact information are published on UL's on-line directory. The general public, building owners, architects, designers, insurance agencies, and other interested parties can view UL Qualified Firestop Contractors on UL's Internet directory at www.ulc.ca/contractor.

CONDITIONS FOR USE OF THE CERTIFICATE AND UL DESIGNATION:

Certificate and UL Designation - UL Qualified Firestop Contractors may use the words "UL Qualified Firestop Contractor" and the approved UL designation referred to as the Qualified Firestop Contractor Program marking in their promotional material per the limitations specified here. The designation and guidelines on use of the UL designation are provided at www.ul.com/contractors.

The UL or ULC Qualified Firestop Contractor designation shall not be:

- Used directly on or closely associated with products, product packaging or services in any way that may imply that the products or services themselves are Listed, Recognized, Classified, or in any way certified by UL ;
- Applied to a job-site or firestop installation;
- Applied to laboratory test, calibration, or inspection reports.

The UL or ULC Qualified Firestop Contractor firm:

- Shall discontinue use of the UL designation upon withdrawal from the Program;
- Shall not make or permit any misleading statements regarding its certification;
- Shall not use the UL designation in a manner that would bring UL or the UL Program into disrepute or lose public trust
- Shall discontinue any use of the UL designation and any form of statement with reference to the authority of the Contractor organization to use the UL designation that is unacceptable to UL and which in the opinion of UL might be misleading.

UL is the owner of the UL designation, which incorporates the name, abbreviation or symbol of Underwriters Laboratories and which shall, only under the conditions of this document,

be used by the Contractor Organization to indicate the Contractors acceptance in accordance with the Program Requirements.

In the opinion of UL, the promotional or advertising material shall not be in conflict with the findings of UL and the reference to Underwriters Laboratories Inc. shall in no way create a misleading impression as to the nature of UL's findings and acceptance of the Contractor organization. Except for the UL designation that is prescribed for use in these Program Requirements, no other UL designation may be used in the advertising and promotional material supplied unless otherwise specifically authorized in writing by UL. In those instances where a UL designation is used, any text that is prescribed by this document shall be used.

The UL Certificate and the UL designation shall be used in the manner authorized by UL and subject to the control of UL. Requests for use of UL's Certificate and UL's designation shall be processed through UL. Notwithstanding that the cost of displaying UL's Certificate and UL's designation is not paid by UL, it is agreed that the right to control the display or other use of the Certificate and designation shall be vested in UL. UL's representative shall have the right, on demand, to acquire possession of the UL Certificate and UL designation and any or all advertising and promotional material, or other means of displaying the Certificate and Mark when in the judgment of UL's representative, such action is warranted.

The UL designation may be used only on correspondence, advertising and promotional material and shall be used only in connection with the services described in the Program Requirements. The Contractor organization shall identify the services to which the Certificate applies when using the UL designation in a context where the scope of application is open to interpretation.

Additional guidance on the use and composition of the UL designation is provided at the UL website entitled Qualified Firestop Contractor Program Marking general and specific guidelines via www.ul.com/contractor.

CONTRACTOR COMPLAINTS/RIGHT TO APPEAL:

Complaints - Anyone may lodge a complaint regarding UL's auditors or services. Complainants can without prejudice, present and discuss their views with UL's Management Personnel. Upon receipt of a formal complaint, UL's Management Personnel shall initiate an investigation to



determine the cause of the complaint.

A complaint can be made through any form of communication; such as telephone, facsimile, telex, email or letter. If a complaint is communicated orally, the complainant shall be encouraged to submit a documented complaint.

Should a complainant desire to remain anonymous and does not request a response, the complaint shall nevertheless be evaluated and considered for corrective actions. If a formal complaint has not been resolved sufficiently, it may be escalated to a higher UL management level for resolution.

Short Notice Audits - It may be necessary to conduct audits on short notice to investigate complaints, in response to Contractor changes, or for any reason deemed necessary by UL.

UL will inform the Contractor of the visit with at least one-week notice prior to the visit and an explanation of the purpose or reason for the visit.

Appeals - An appeal can be submitted by a contractor when there is a disagreement with a UL decision and the dispute cannot satisfactorily be addressed. Appeals should be first addressed to the Program Manager of the Qualified Firestop Contractor Program to determine that all objective information was clearly understood and all questions were answered. If the dispute is not resolved by the Program Manager, the appeal will be formerly escalated through UL senior management.

UL QUALIFIED FIRESTOP CONTRACTOR PROGRAM MASTER AUDIT CERTIFICATE OF COMPLIANCE (MACC) OPTION:

Introduction - UL Qualified Firestop Contractors have the option of participating in the Master Audit Certificate of Compliance (MACC) program. The QFCP Master Audit Certificate of Compliance (MACC) program is an extension of the Qualified Firestop Contractors Program (QFCP) in which UL will perform a job site visit to assess elements of the QFCP Program as well as the requirements described below. All requirements of the UL Qualified Firestop Contractor Program shall apply, although not all elements may be assessed during the job site visit, since they may not be applicable for the unique job site project.

During the job site visit UL will observe at least one test being carried out on the installed Firestop system by the Contractor or independent third party inspector firms (such as UL). The visit shall be treated as an extension of the audit activities taking place at the Contractor's facility. Activities by the UL Auditor shall be limited to observation. Observation of any tests in no way implies UL approval of the Firestop system or the installation conducted by the Contractor. UL audit activities including observation of tests during the job site visit are not intended to address, nor do they imply proper installation of Firestop materials or systems at the job site or installation and in no way imply approval by UL of the installation. UL shall not participate in the testing or testing process, but will consider the on-site testing as part of the overall audit of the Management System. The Contractor assumes responsibility of gaining access to the job site and ensuring the safety of the UL Auditor.

Eligibility - QFCP participants with a current audit certificate in place are eligible to participate in the Master Audit Certificate of Compliance Program. Additionally, the participating contractors shall employ a DRI in good standing with the QFCP.

Requesting a Master Audit - Contractors wishing to request a Master Audit Certificate of Compliance are to complete the (MACC) Request Form found at www.ul.com/contractor. Completed forms are to be emailed to FireSafetyquotes@ul.com. Within 2 business days, the assigned UL Auditor will contact the responsible DRI to arrange the site audit. Request forms should be submitted as early in the job as possible to ensure that audit coordination works for all involved parties.

Coordination of the Master Audit - The DRI and the assigned UL Auditor will work to establish a mutually agreeable time to conduct the site audit. The audit shall be completed prior to final completion of the project.

Project Scope - The contractor, upon request of the audit, shall define the project scope. The project scope shall clearly define the work that was completed by the contractor. The description may be a written description of all work completed by the contractor, reference specific drawings that define the specific work completed by the contractor, or a combination of both. During the on-site audit, the UL Auditor will verify that the defined scope matches the description provided. The scope will be provided for reference on the Site Audit Certificate.



Job Audit Procedure - The audit consists of verification of Management System Elements that are applicable to the unique job site project. Since the job site audit (Master Audit Certificate) is an extension of the Qualified Firestop Contractor Certificate, it is expected that certain Management system elements will not apply to the job site visit. The job site audit (Master Audit Certificate) consists of applicable elements such as:

- Construction documents
- Storage conditions
- Inspection
- Testing
- Non-conforming material records
- Incoming material inspection
- Equipment records including calibration when applicable
- Management Documentation reviews*
- Corrective and Preventive Action records*
- Staff education, training, competency evaluations and training effectiveness*
- DRI Audits*
- Management review records*

** Note: These items will only be assessed at the job site if they are applicable at the job site.*

Nonconformance - Nonconformance(s) shall follow the same classification as the requirements guide. Nonconformance(s) will be documented on the Audit report. Nonconformance(s) will require the contractor to provide corrective action(s) to the UL Auditor. Upon verification that proper corrective action(s) was put into place, the UL Auditor will close the deficiency and issue the Master Audit Certificate.

Nonconformance(s) classified as major nonconformance(s) will be documented on the Audit report. Verification of major nonconformance(s) will require the contractor to submit for a new audit using the Master Audit Certificate of Compliance Request Form. The UL Auditor will again audit all criteria as well as review the specific corrective action(s) used to resolve the major nonconformance(s). If the contractor elects to not submit for a new audit, they will be required to provide the corrective action(s) taken to close out the deficiency to maintain compliance to the Qualified Firestop Contractor Program. Any unresolved deficiencies may result in increased auditing or suspension from the Qualified Firestop Contractor Program.

For more information, please contact your local UL Field Engineer



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