UL Qualified Firestop Contractor Program
Management System Elements

June, 2014
Benefits to becoming a Qualified Firestop Contractor

Independent, 3rd Party Credential that differentiates contractor firm

It is a credential!

- Allows you to bid projects that specify a UL or ULC Qualified Firestop Contractor.
- Allows you to increase efficiencies in operations
- Increase the confidence for your customers and architects, specifiers, manufacturers and general contractors
Requirements for the Program

1. **Firestop Industry Knowledge**
   - Employ at least one Designated Responsible Individual (DRI)
     - Knowledge is demonstrated & assessed through an Exam
     - Must score 80% or better on the UL Firestop Exam

2. **Firestop Contractor Management System**
   - Establish, effectively implement & maintain a management system that meets UL Qualified Firestop Contractor Program Requirements
   - Assessment of the management system is through
     - Initial and Annual Firestop Contractor Office Audit
     - Firestop project site visit audit site
Value of a Management System

Management system principles provide a framework for how companies operate and result in:

- Consistent and effective control of key processes and project management (Consistency)
- Promotion and standardization of good working practices
- Planned training & qualification of employees (Credibility)
- Enhanced communication, leadership, effective remote site management, accountability, contractual control, and control of suppliers. (Professionalism)
Value of a Management System continued

Consistency

Credibility

Professionalism
Development of your Management System

Critical key steps include.....

– Identify processes needed
– Determine process sequence and interaction
– Determine effectiveness of processes
– Provide resources to support process operation and monitoring
– Create a Management System Manual to document processes including responsibilities and authorities of key staff
– Maintain control of any outsourced processes that could affect the conformity of selection and installation of firestop systems with requirements.
– Monitor, measure, and analyze to continually improve the processes.

“Whatever you do make sure it makes Sense”

Identify Key Opportunities and highlight strengths
Document Pyramid

Quality System Manual

- Policy
- Procedures
- Work Instructions
- Records
Ten Elements of a Management System

1. Construction Document Requirements & Review
2. Procurement of Firestop Materials
3. Storage, Handling, Preservation & Delivery of Firestop Materials
4. Installation & Quality Assurance Procedures
5. Inspection & Testing
6. Control of Non-Conforming Materials
7. Training & Qualifying Staff
8. Corrective & Preventive Actions
9. Management System Monitoring & Improvement
10. Documentation & Record Keeping

“Pay special attention to the highlighted Areas”
Ten Elements of a Management System

1. Construction Document Requirements & Review
2. Procurement of Firestop Materials
3. Storage, Handling, Preservation & Delivery of Firestop Materials
4. Installation & Quality Assurance Procedures
5. Inspection & Testing
6. Control of Non-Conforming Materials
7. Training & Qualifying Staff
8. Corrective & Preventive Actions
9. Management System Monitoring & Improvement
10. Documentation & Record Keeping

These elements require documented procedures
Let's talk about audits
What is an Audit?
Independent internal or third party assessment of your quality system process or management system.

A snapshot of your Quality system and control processes. Allow for improvements to your quality system.

Value added to the Contractor and the trade?. Demonstrates a high level of commitment.

What must be implemented?
Established processes for:
• Performing inspections and tests of firestop materials and installations to a plan or procedures that follow established industry guidelines.
• Calibration and verification of measuring devices used for inspections and tests to verify they are fit for use.

What must be demonstrated?
Show evidence of:
• Firestop material and system inspections & testing are carried out for your projects.
• Firestop materials and systems conform to specified requirements.
• Monitoring and measuring devices are calibrated or verified at specified intervals.
• Records are maintained for inspections and testing and measuring device calibration or verification.
What an Audit is not?
A process to identify where the auditee has failed and where to place the blame.

It is not a witch Hunt.......
Guaranteed ways to fail an Audit?

1) Telling the auditor what they want to hear.

2) Preparing for a visit at the last minute.

3) Trying to make up for lost time.

Remember a good quality system changes and evolves over time to meet the needs of the user.
What do I Gain by the Audit?

1) Part of your certification requirements.

2) Good way to showcase your Quality System and commitment.

3) Exercise to grow and identify deficiencies or opportunities.
Short Audit Summary

Interesting Results and Something to think About
Firestop Contractor Employee Distribution?

Interesting Fact:
Generally Comprised of 4-20 active employees.

Histogram of Employees
Audit Findings?

Subsample of 31 Audit Reports?

- **Established processes for:**
  - Performing inspections and tests of firestop materials and installations to a plan or procedures that follow established industry guidelines.
  - Calibration and verification of measuring devices used for inspections and tests to verify they are fit for use.

- **What must be demonstrated?**
  - Show evidence of:
    - Firestop material and system inspections & testing are carried out for your projects.
    - Firestop materials and systems conform to specified requirements.
    - Monitoring and measuring devices are calibrated or verified at specified intervals.
    - Records are maintained for inspections and testing and measuring device calibration or verification.
When an opportunity is discovered during a UL Assessed Firestop Contractor Program inspection, what is the next step?

• **A. Contractor shall provide a written Corrective Action plan within 30 days**

• **B. Contractor shall provide a written Corrective Action plan within 60 days**

• **C. Contractor shall document the finding in the Quality Manual**

• **D. Contractor shall review and examine if finding can be implemented immediately.**
When a nonconformity issue is discovered during a UL Assessed Firestop Contractor Program inspection, what is the next step?

- A. Contractor shall provide a written Corrective Action plan within 30 days
- B. Contractor shall provide a written Corrective Action plan within 60 days
- C. Contractor shall document the finding in the Quality Manual
- D. Contractor shall immediately correct the action to avoid a nonconformity finding
Training and Qualification of Staff

What are the requirements?

Provide the necessary personnel to select, install, inspect and test firestop systems & to implement and maintain your management system

What must be implemented?

- Competency requirements for key personnel
- Training process that incorporates education and training to satisfy the level of competency needed for key personnel
- Evaluation process that:
  - Assesses the effectiveness of the education and training that is provided.
  - Assesses and periodically re-evaluates staff competence.
- A means to demonstrate that the DRI and responsible personnel have appropriate skills and knowledge with regard to the selection and installation of firestop materials and systems
- Record keeping of staff’s training, competency and training effectiveness.
- Contingency Plan in the event the DRI is no longer employed by the Contractor
Training and Qualification of Staff

What must be demonstrated?

Show:

- The competency requirements for staff
- Your DRI passed the required UL DRI Exam and continues to maintain their DRI certification
- Your DRI Contingency plan
- Your training and evaluation process
- Evaluations of the effectiveness of your training process
- Records of personnel training, performance evaluations and training effectiveness
Element 8

Corrective & Preventive Action
The Corrective & Preventive Actions don’t necessarily have to be documented.

- TRUE

- FALSE
The Corrective & Preventive Actions for Opportunities don’t necessarily have to be documented.

- TRUE

- FALSE
Corrective & Preventive Action

What are the requirements?
A **documented procedure** for corrective and preventive action

**Question:** Reactive or Proactive?

**What must be implemented?**
A formalized, documented procedure for handling corrective and preventative actions focused on eliminating causes of nonconformities in order to prevent recurrence.

**What must be demonstrated?**
A documented procedure that addresses:
- Reviewing nonconformities (customer complaints, nonconformity reports, audit & test results, inspections)
- Determining the cause of the nonconformities
- Evaluating the need for action to correct the nonconformity and ensuring that the nonconformity does not reoccur
- Determining and implementing the action needed
- Maintaining records of the action taken
- Reviewing the effectiveness of the action taken

Records of corrective and preventive action
Element 9

Management System Monitoring and Improvement
What are the Requirements?

Management must be committed to your organizations’ management system and provide evidence of that commitment by:

- establishing a policy
- communicating the importance of meeting requirements
- defining and communicating responsibilities and authorities of staff
- providing adequate resources
- conducting management reviews to continually improve the effectiveness of the management system

The DRI is responsible for:

- planning & conducting periodic audits of the management system
- reporting audit results
- maintaining audit records

Document these responsibilities and requirements
Management Reviews:

The **inputs** into the management reviews should include:
- management objectives
- results of inspections
- results of DRI audits
- staff competency
- customer and UL feedback
- project nonconformities
- status of corrective and preventive actions
- follow-up actions from previous management reviews
- changes that could affect the Management System
- recommendations for improvement

The **output** from management reviews should include decisions and actions to improve:
- the effectiveness of the Management System
- processes
- resources
Element 10

Documentation & Recordkeeping
The Contractor shall establish a documented system for record keeping which shall remain legible, readily identifiable and retrievable, and shall be retained for a period of how many years?

- A. 2 years
- B. 5 years
- C. 7 years
- D. 10 years
Records required:

• Construction records, including contracts, systems and amendments
• Incoming material inspection
• Installation inspection and test records
• Equipment records including calibration when applicable
• Customer complaint 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
Document and record controls required:

- Having approvals for initial release, review and revision of documents
- Ensuring that only current documents are in use
- Ensuring availability at the appropriate use points
- Ensuring legibility and unique identifiers
- Preventing use of obsolete documents
- Ensuring records are legible, readily identifiable and retrievable
- Shall be maintained for a period of 7 years or as required by the code.

What must be demonstrated?

- Show your documented procedure for controlling your documents and records
- Show that records have been established and maintained
- Demonstrate that documents and records are controlled
Additional Resources

UL’s Qualified Contractor Program e-learning

http://www.ul.com

• FCIA Firestop Manual of Practice
• FCIA Management System Template

FCIA resources can be obtained by going to:

http://www.FCIA.org
Questions???
Pam Blanchette | Program Operations Manager | UL LLC
T: 978.973.1567 | email: pamela.s.blanchette@ul.com

Matthew Schumann | Marketing Coordinator | UL LLC
T: 847-664-1289 | email: matthew.Schumann@ul.com

gar.knef@ul.com

Brian Bray | Field Specialist | UL LLC
T: 514-208-4942 | email: brian.bray@ul.com

Or visit www.ul.com
Thank You......