



DATA ACCEPTANCE PROGRAM

UL Total Certification Program

UL's Total Certification Program (TCP) provides a means for customers to reduce the time between product concept to market cycle by integrating the product certification process with the design, development and manufacturing processes under a comprehensive quality control program. By following the Total Certification Program process, program participants may receive quicker authorization from UL to use the UL certification Mark on compliant products.

A few more details on the program:

- The Total Certification Program requires both initial and ongoing responsibilities and actions to maintain a participant's standing.
- The Total Certification Program is not available for hazardous locations product categories.
- A UL engineer is assigned to each program participant to manage the relationship. This UL engineer is designated as the UL TCP contact engineer.

Prerequisites

Testing

Those participants interested in the Total Certification Program must also participate in the Client Test Data Program. Please see the Client Test Data Program overview for details.

Follow-Up Services

Customers must be in good standing with UL Follow-Up Services. This is defined as:

- No major variances in the preceding four Follow-Up Services visits over a minimum period of three months when production bearing the UL Mark was inspected. A major variance is defined as any variation item that:
 1. Requires removal of the UL Mark on any product
 2. Requires a product to be placed on hold
 3. Requires acceptance of UL Conformity Assessment Services, even temporarily
 4. Results in items 1, 2 or 3 due to a failure of a required Follow-Up test

5. Indicates records or production testing are not in compliance

- No denial of Follow-Up Services access to a manufacturer's facility where UL Marks are used during the preceding 24 months.
- No unauthorized shipments of products bearing the UL Mark in the preceding 24 months.
- No reported Follow-Up test failures on samples selected for countercheck testing at a UL testing laboratory during the preceding 24 months that resulted in the removal of the UL Mark.
- No Field Reports in the preceding 36 months in which a manufacturer was determined not to have properly applied the UL Mark.
- No customer-initiated recalls due to safety issues on UL certified products.

Quality management system

Total Certification Program participants are to have an ongoing quality control program at their engineering/testing facility. In addition to the ISO/IEC 17025 clauses required to be addressed by all Client Test Data Participants, UL will audit Total Certification Program participants to an additional six clauses of ISO/IEC 17025: These additional clauses include:

- 4.1 Organization
- 4.2 Quality system
- 4.8 Complaints
- 4.12 Preventive action
- 4.14 Internal audits
- 4.15 Management review

An important element of the Total Certification Program is the quarterly technical oversight and assessment visits by the UL TCP contact engineer. These visits include method validation and construction evaluations of products submitted during the previous quarter. Any samples representing models included in the scope of a Total Certification Program project are to be retained at the test facility until after a quarterly visit by the UL TCP contact engineer.

The quality control program is to cover design, development, manufacturing, product testing, product examination, documentation and related processes to ensure and demonstrate product conformance with the applicable certification requirements.

Program Requirements

Testing

A testing facility is to maintain competency as detailed under the Client Test Data Program. Competency will be determined through annual assessments for the test methods and product categories covered by the Total Certification Program.

Follow-Up Services

A Total Certification Program participant is to **immediately** notify the UL TCP contact engineer when a participant becomes aware of any instances in which the Follow-Up Service prerequisite requirements have not been maintained or any other situation that may result in Follow-Up Service actions.

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Responsibilities

The responsibilities for Total Certification Program participants are defined as:

- A participant shall designate a client TCP signatory who is responsible for all aspects of the Total Certification Program at a TCP engineering facility. The client TCP signatory will be approved by the UL TCP contact engineer. The client TCP signatory is to have written responsibility and authority to take the following actions:
 - Initiate and verify correction of deviations from the applicable requirements before application of the UL Mark
 - Initiate and verify changes pertaining to UL requirements in design, drawings, procurement, etc.
 - Initiate and verify the removal of the UL Mark from products that do not comply with the applicable requirements
 - Ensure that the UL Mark is applied only to those products for which prior authorization has been given
 - Ensure that products bearing the UL Mark comply with the applicable requirements before shipment
 - Ensure that Total Certification Program requirements and procedures are implemented and followed
 - Notify the UL TCP contact engineer of any changes to Total Certification Program personnel
 - Act as authorized signatory for test data in accordance with UL Client Test Data Program
- A TCP signatory will demonstrate to the UL TCP contact engineer that they have sufficient training, experience and knowledge of the appropriate UL Standards and certification requirements and procedures to examine, test, document and implement design control measures for products submitted to UL under the Total Certification Program.
- Any changes to the status of Total Certification Program personnel are to be brought to the attention of the UL TCP contact engineer immediately.
- A Total Certification Program participant is to maintain up-to-date copies of standards, directories, and other publications and materials needed to examine, test,

document and implement design control of products to the applicable requirements. The UL TCP contact engineer will review these materials during each quarterly engineering oversight assessment.

- Total Certification Program participants will conduct investigations of products for conformance with applicable requirements and establish conformance prior to using the UL Mark. These investigations are to be done in the same manner as at UL and consist of:
 - Testing samples representative of production
 - Examining samples representative of production
 - Documenting conformance with requirements

Product submittal package

As part of the Total Certification Program process, program participants will prepare a product submittal package utilizing the Product Submittal Package Form (UL document oo-OP-Coo44) available at www.ul.com/dap > Resources > DAP Tools and forward it to the UL TCP contact engineer. At a minimum, the product submittal package will consist of:

- Test data sheet package containing the original record (or copy thereof) of tests performed and results obtained
- Description of testing considerations: program participant to indicate reasons various tests were or were not conducted and basis of decisions made during testing and evaluation of results
- Product examination record documenting the performance of the examination and findings
- Description of construction considerations: program participant to summarize considerations applied during the product evaluation
- Follow-Up Service Procedure description, test record, FUS Procedure/Report and/or other documentation as required and customary for the category covering the product being tested. A program participant will provide these documents in final form in UL format
- Name and signature of client TCP signatory
- Participants must successfully submit five product submittal packages before TCP Certification may be granted

Notice of authorization

Prior to applying the UL certification Mark to a product and shipping it, a program participant will:

- Complete testing, design review, examination and certification documentation for the product
- Determine that the product conforms to the applicable requirements for certification
- Submit the product submittal package to the UL TCP contact engineer for review and audit
- Have received Notice of Authorization to apply the UL Mark from UL

Oversight and audits

Each year, UL will conduct four oversight visits to each TCP engineering facility on a quarterly basis. Annually, the testing laboratory shall be reassessed under the Client Test Data Program. Additionally, continued conformance with the quality management system registration, Follow-Up Service and field report compliance will be regularly assessed.

Agreements

To formalize the relationship with UL, each participant must sign and return the Client Test Data Program Agreement that covers all of a participant's test facilities for the Client Test Data Program and Total Certification Program.

Advertising and promotional activities

Please go to www.ul.com/dap > Downloads for the latest in how you can promote your participation in the Total Certification Program.

How to apply

Customers interested in participating in the Total Certification Program should contact the UL Data Acceptance Program Customer Service team for further assistance.