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Page 1 of 12

## PREFERRED PARTNER PROGRAM – DAP REQUIREMENTS

### Approval and Revision History Table:

<b>REVISION 6.0</b>
<b>REVISED CLAUSE 9.1.3 TO PROVIDE ADDITIONAL CLARIFICATION ON WHAT ASPECT OF THE PROGRAM NEEDS TO BE REVIEWED ANNUALLY. ALSO REVISED THE TABLE IN CLAUSE 10.0 TO BETTER IDENTIFY THE APPLICABLE FORMS AND NAMING CONVENTIONS.</b>

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Previous Approval and Revision History Tables are available on the Document Container.

## TABLE OF CONTENTS

<b>1.0</b>	<b>PURPOSE</b> .....	<b>3</b>
<b>2.0</b>	<b>SCOPE</b> .....	<b>3</b>
<b>3.0</b>	<b>DEFINITIONS</b> .....	<b>3</b>
<b>4.0</b>	<b>RESPONSIBILITY</b> .....	<b>3</b>
4.1	UL PPP Contact Engineer(s) .....	3
4.2	PPP Signatory.....	4
4.3	UL Project Handler.....	4
4.4	Director, North American Certification Programs Office (NACPO) .....	4
4.5	Global Channel Program Manager .....	4
4.6	Global Process Owner – Data Acceptance Program .....	4
<b>5.0</b>	<b>APPLICABLE DOCUMENTS</b> .....	<b>4</b>
<b>6.0</b>	<b>GENERAL</b> .....	<b>5</b>
6.1	UL’s Preferred Partner Program (PPP) .....	5
6.2	PPP Participant .....	5
6.3	Elements for PPP participation .....	5
6.4	PPP Restrictions .....	6
<b>7.0</b>	<b>MATERIALS/EQUIPMENT</b> .....	<b>6</b>
<b>8.0</b>	<b>SAFETY</b> .....	<b>6</b>
<b>9.0</b>	<b>REQUIREMENTS/PROCEDURES</b> .....	<b>6</b>
9.1	Preferred Partner Program Eligibility .....	6
9.2	Assessment of Engineering Capability .....	7
9.3	Quarterly Oversight Visits .....	7
9.4	Product Investigations by DAP PPP Participants .....	9
9.5	Test Data Submitted by PPP Participants .....	10
9.6	Construction Evaluations by PPP Participants .....	10
9.7	Review of the Product Submittal Package (PSP) Documentation .....	10
9.8	Program Non-Conformance Issues .....	11
<b>10.0</b>	<b>RECORDS</b> .....	<b>12</b>

## 1.0 PURPOSE

To establish a standard operating procedure that details how participants initially enter into or continue DAP participation in the Preferred Partner Program (PPP) and how ongoing project submittals, test data, construction evaluations and report preparation from DAP Preferred Partner Program participants are to be handled.

## 2.0 SCOPE

This standard operating procedure supplements the UL Mark Data Acceptance Program document and applies to those participants who either want to get into or continue their current DAP participation in the Preferred Partner Program.

## 3.0 DEFINITIONS

**Product Submittal Package (PSP):** The package prepared by the DAP PPP participant that consists of all project documentation including test data sheets, product examination records and descriptive material.

## 4.0 RESPONSIBILITY

### 4.1 UL PPP Contact Engineer(s)

The UL Staff assigned to the client whose responsibilities include:

- Maintain Level 3 (or level 2 with appropriate approval from Regional Lead Reviewer and Global Process Owner) status for the product categories involved.
- Being knowledgeable of all aspects of DAP PPP requirements and explaining details of DAP PPP to the participant and qualified as a DAP auditor for TPTDP..
- Conduct the engineering portions of the initial and ongoing qualification phases.
- Maintain PPP records and PPP information in DMS (through attachment in eProduction).
- Schedule and conduct required initial and ongoing engineering audits.
- Identifying key phases in the product development cycle and the degree of UL intervention required at each phase.
- Process product submittal packages (PSPs) and prepares product certification documentation for review.
- Notify the DAP Global Process Owner, DAP Program Manager (NACPO), Industry/Business Leads and the Channel Programs Manager of situations in which program inactivation should be considered due to failure to comply with DAP PPP requirements.

#### 4.2 **PPP Signatory**

- The staff at the PPP participant's facility that is responsible for review and signoff of all PPP related documentation including project submittal packages.

#### 4.3 **UL Project Handler**

- Accept PSP Packages, and if not the PPP Contact Engineer, works under the direction of the PPP Contact Engineer, or the Engineering Manager, or Engineering Leader could assign the PSP to another staff member as long as the PPP Contact Engineer is made aware of the PSP Package and who is acting as the project handler.

#### 4.4 **Director, North American Certification Programs Office (NACPO)**

- Approves new participants and the suspension or termination of existing participants in the PPP, when DAP participation is required.
- Designates a backup to function in this role.

#### 4.5 **Global Channel Program Manager**

- Responsible for coordinating and maintaining records associated with the authorization of new PPP participants.

#### 4.6 **Global Process Owner – Data Acceptance Program**

- Establishes annual assessment of laboratory operations.
- Reviews records to ensure quarterly audits are maintained.
- Conducts annual oversight review for continued participation.
- Maintains status of DAP PPP participants in the DAP Oracle system.
- Maintains records of suspensions and terminations of PPP participants in accordance with SOP (00-OP-S0055)

### 5.0 **APPLICABLE DOCUMENTS**

<b>Doc. #</b>	<b>Title</b>
00-IC-P0026	UL Mark Data Acceptance Program
00-OP-F0400	PPP Annual Review and Authorization Form
00-OP-S0084	Procedure for Assessing Engineering Evaluation Capabilities
00-OP-F0036	Quarterly and Annual Engineering Evaluation Assessment Form.
00-OP-F0028	DAP Non-Conformity Report Form
00-OP-S0062	DAP Non-Conformity Report Procedure
00-OP-S0055	DAP Suspensions and Withdrawal Procedure
00-OP-C0044	Product Submittal Package Form
00-OP-W0043	Work Instructions for DAP/MTL Oracle Forms
00-OP-S0054	DAP Appeals Procedure
00-OP-C0042	Appeals Process (for DAP Clients)
00-OP-S0083	DAP Documents and Program Records

00-OP-W0400

DAP/MTL Use of the ePro Audit Profile

## **6.0 GENERAL**

### **6.1 UL's Preferred Partner Program (PPP)**

6.1.1 Provides a means for customers to reduce the time of 'product concept to market cycle' by using a test and/or engineering lab that can assist them by integrating the product certification process with the design, development and manufacturing processes under a comprehensive quality control program.

6.1.2 UL expects DAP PPP participants to provide completed test data packages with the engineering evaluation package.

### **6.2 PPP Participant**

6.2.1 The DAP PPP participant shall have a quality program, physical resources, equipment, qualified personnel and procedures needed to conduct tests, examine products and prepare certification documentation.

6.2.2 Test data, examination data and certification documentation developed by the DAP PPP participant are reviewed and audited by UL staff.

6.2.3 The DAP PPP participant is assigned a specific UL PPP Contact Engineer who is responsible for all product submittal activities and ongoing assessment coordination.

6.2.4 Identify a DAP PPP Signatory(ies) with appropriate knowledge to review and attest to completeness of Product Submittal Packages (PSP) including test results.

### **6.3 Elements for PPP participation**

6.3.1 For DAP PPP participants that will conduct testing of product for certification, participation in UL's Third Party Test Data Program (TPTDP) is required.

6.3.2 Assessment (see 9.2.1) and validation (See 9.2.2) of capability to review product design and construction for conformance with certification requirements and the preparation of certification documentation.

6.3.3 Assessment of the DAP PPP participant's quality program for conformance with ISO / IEC 17025 requirements as noted in Section 9.

6.3.4 A close working relationship between UL personnel and DAP PPP participant personnel charged with ensuring conformance with certification requirements.

6.3.5 Oversight and review of test data developed, examination results and documentation preparation leading to certification.

## 6.4 **PPP Restrictions**

- 6.4.1 HAZARDOUS LOCATIONS PRODUCT INVESTIGATIONS – DAP PPP participant generated test data shall ONLY be accepted in the initial investigation for UL Mark certification (Listing, Classification, Recognition) of products to Division/Class hazardous location requirements, if the test methodology is either described in, or explicitly referenced in, the standard that would be used if the product were being certified for ordinary locations.
- 6.4.2 FOLLOW – UP SERVICES TESTING – The acceptance of test data under the DAP Preferred Partner Program is applicable only to data developed for use as part of a new work investigation. The DAP Preferred Partner Program is not available as an alternative to Follow-Up Services sample testing required at UL.

## 7.0 **MATERIALS/EQUIPMENT**

N/A

## 8.0 **SAFETY**

N/A

## 9.0 **REQUIREMENTS/PROCEDURES**

### 9.1 **Preferred Partner Program Eligibility**

- 9.1.1 The prospective DAP PPP Participant shall sign an agreement as intent of participation,
- 9.1.2 The Global Process Owner conducts an annual review of the DAP PPP Participant.
- 9.1.2.1 The test laboratory should not receive repeat Non-Conformity Reports for the same issue over a two year period of time.
- 9.1.3 The annual engineering assessment and quarterly assessments will be reviewed by the DAP Global Process Owner, or their designee in the 1<sup>st</sup> quarter of each year to ensure that the program criteria has been met in the previous year. This annual review is documented using the PPP Annual Review and Authorization Form (00-OP-F0400). The record of continued participation is held in DMS under the following naming convention “DAXXXX-AnnualEngineeringAssessment.pdf” for the laboratory.

9.1.4 Following the nomination of the DAP PPP candidate by the Channel Programs Manager and applicable business leads, approval from the DAP Program Manager and Global Process Owner is necessary to establish a new DAP PPP participant. The PPP Annual Review and Authorization Form (00-OP-F0400) is completed by the Global Process Owner of initial request to document compliance with the DAP PPP participation criteria documented above. The record of the approval is held in DMS under the DA file for the laboratory.

## 9.2 Assessment of Engineering Capability

9.2.1 The evaluation of the DAP PPP participant to conduct engineering evaluation of constructions or revision of product constructions shall be evaluated in accordance with the Procedure for Assessing Engineering Evaluation Capabilities (00-OP-S0084). The outcome of the assessment is made in the Quarterly and Annual Engineering Evaluation Assessment form (00-OP-F0036).

9.2.2 After the initial assessment under 9.2.1 above has been satisfactory completed then the participant must submit a minimum of 5 projects to UL for validation of their knowledge to conduct engineering evaluation of constructions or revision of product constructions. These projects shall be used to validate the results of the assessment of Engineering Capabilities and should be shall be evaluated in accordance with the Procedure for Assessing Engineering Evaluation Capabilities (00-OP-S0084). The outcome of the assessment is made in the Quarterly and Annual Engineering Evaluation Assessment form (00-OP-F0036).

9.2.3 The UL PPP Contact Engineer shall conduct the initial, quarterly and annual assessments.

9.2.4 Assessment of the DAP PPP participant's capability to perform tests shall be done in accordance with the requirements of the Third Party Test Data Program (TPTDP).

9.2.5 All clauses of ISO/IEC 17025 are assessed by the DAP Lead Auditor and documented as part of the TPTDP annual assessment.

## 9.3 Quarterly Oversight Visits

9.3.1 Prior to scheduling the PPP Quarterly Oversight Visit, the UL PPP Contact Engineer shall contact DAP Customer Service to request a quote be sent to the client or a direct to order project be established.,Once the quote is returned (if required), DAP Customer Service will open a project in Epro (as identified within 00-OP-W0400) under the PPP Client's DA File Number and will delegate the project to the UL PPP Contact Engineer who initiated the request or their designee.

9.3.2 The UL PPP Contact Engineer shall visit client DAP PPP engineering facilities on a quarterly basis to assess the following:

- Audit / verify test data and evaluation reports submitted since the last oversight visit. The DAP PPP participant shall maintain samples of products submitted since the time of the last assessment as these samples may be subject to verification testing and construction evaluations during the next reassessment.
- Check on the progress of other PPP projects underway and audit activities of those projects (i.e., testing, product examination, documentation) already completed.
- Discuss and plan with client personnel PPP projects soon to be started.
- Review with DAP PPP participant quarterly records of error codes for projects received to identify areas of improvement.

9.3.3 If the PPP Contact Engineer for a quarterly oversight visit is not available an alternate L3 (or L2 per 4.1) may be used with agreement from the GPO and PPP Contact Engineer. Record of approval is to be stored in DA file correspondence.

9.3.4 A record of the quarterly oversight visit shall be made using the Quarterly and Annual Engineering Evaluation Assessment form (00-OP-F0036) and reported to the client.

9.3.5 Any non-conformity to the criteria in 9.3.1 of the DAP PPP participant should be documented in the DAP Non-Conformity Report Form (00-OP-F0028) in accordance with the DAP Non-Conformity Report Procedure (00-OP-S0062).

9.3.6 Following each engineering quarterly oversight visit, the PPP Contact Engineer makes a recommendation regarding the status of the participant and their suitability for continued participation in the DAP PPP based on any identified non-compliance issues. Any recommendation for reduction of the DAP PPP scope or inactivation are to be brought to the attention of the DAP Global Process Owner to institute the DAP Inactivation procedure (00-OP-S0055), with additional communication to the Channels Program Manager.

9.3.7 At each DAP PPP engineering facility, four oversight visits shall be conducted annually -one each quarter. The number of visits may be reduced to as few as two conducted on a semi-annual basis if the volume of submittals and good experience with the DAP PPP participant justify it.

9.3.7.1 Decision on the reduction of the number of visits shall be made by the PPP Contact Engineer and with approval of the DAP Program Manager (NACPO) and the DAP Global Process Owner. The decision on continued status of reduced visits shall be reviewed on an annual basis.

9.3.7.2 Records of review and approval are maintained under the DA file number in e-communications.

9.3.8 Once the Quarterly Oversight Visit is completed and if applicable, any NCR's have been successfully resolved, the project should be submitted to Final Review (Final Review can be conducted by any qualified L3) for the standards assessed during the Quarterly Oversight visit. The project attachments should include 00-OP-F0036 (identified as DAXXXX-QEReport.xls) and if applicable, 00-OP-F0028 (identified as DAXXXX-NCReport). Upon completion of the Final Review, the project should be sent to the "Issue Certificate" queue of 3000XUSO to allow for verification of the quarterly assessment documentation, prior to forwarding it to the RTC. The RTC will upload the documents into DMS.



#### 9.4 **Product Investigations by DAP PPP Participants**

- 9.4.1 The DAP PPP participant and PPP Contact Engineer shall work closely together to plan and implement the investigation and documentation of the product for conformance with the certification requirements.
- 9.4.2 The client shall provide all the necessary information in the Product Submittal Package form (00-OP-C0044), including:
- Test considerations.
  - Construction details – including any changes in the construction that impacted the test and construction requirements. This should also include details of any changes in the test plans (9.6).
  - Construction Review Datasheet for Canada, (where applicable).
  - Test data.
  - Test Report Form (TRF) for IEC EE harmonized categories (where applicable).
- 9.4.3 The UL PPP Contact Engineer shall keep informed of the progress of the investigation process and provide assistance and oversight as needed.
- 9.4.4 Prior to the applicant applying the UL Certification Mark to the product, the following elements shall be completed:
- A. The DAP PPP participant is to complete the testing, examination and certification documentation for the product;
  - B. The DAP PPP participant is to determine that the product conforms to the applicable requirements for certification; and,
  - C. The DAP PPP participant is to submit the completed PSP to the UL PPP Contact Engineer for review and audit.
  - D. The Applicant has received written notification from UL (such as an NOA) that the product meets the applicable requirements and is deemed acceptable for application of the UL Mark.

- 9.4.5 Applicant is to receive the Notice of Authorization from UL, with optional copy to the DAP PPP participant. The DAP PPP participant must keep representative samples for certification projects submitted in the previous quarter, which may or may not be required for verification purposes.

## 9.5 Test Data Submitted by PPP Participants

Test data submitted by the DAP PPP participant shall be developed in accordance with the requirements of the Third Party Test Data Program (TPTDP).

## 9.6 Construction Evaluations by PPP Participants

- 9.6.1 Samples of products shall be examined by the DAP PPP participant to determine conformance to the construction requirements of the applicable standard(s). Samples examined shall be representative of production product. Examination of products shall be recorded in the Product Submittal Package form (00-OP-C0044).

- 9.6.2 The product examination record shall, as a minimum, consist of:

- A statement that the product was examined for conformance with a particular standard and found to conform with the exception of items noted;
- Record of numerical measurements made as part of the examination;
- Record of instruments used to make numerical measurements. Instruments used are required to be under the laboratory's equipment calibration and maintenance program;
- Construction review details of the evaluation; and,
- Review of components, constructions, spacing and applicable marking requirements.

- 9.6.3 Alternatively, the information in 9.6.2 may be included in the CRD, CB TRF or datasheet package and does not need to be reiterated in the Product Submittal Package form (00-OP-C0044) if these documents are included as part of the product submittal package and information is clearly cross referenced to its location.

- 9.6.4 Products that are intended for cUL or cUR Mark designation shall have the appropriate construction review datasheet (CRD) completed.

- 9.6.5 A Test Report Form (TRF) is to be completed for IECEE harmonized categories.

## 9.7 Review of the Product Submittal Package (PSP) Documentation

- 9.7.1 Procedures, reports, listing cards, data packages and other documentation normally associated with new work projects shall be prepared and handled in accordance with currently established procedures for those documents (i.e.: UL Mark Report and FUS Procedure Process, Global Forms Manual) unless otherwise noted in this manual.

The handling of product submittal is to be done by the PPP Contact Engineer. It may also be delegated by the Engineering Manager or Engineering Leader to a different staff member to handle, as long as the PPP Contact Engineer is made aware of the PSP Package and who is acting as the project handler, per 4.3.

- 9.7.2 Review of the PSP shall be done by verification of all materials supplied (i.e., test results, examination results, descriptive materials), as well as review the resolution of quarterly audit issues noted for the product submitted, if any.
- 9.7.3 Normally, verification of materials submitted under DAP PPP is done at the next DAP PPP quarterly engineering visit. However, suspect results or information shall be verified or otherwise resolved immediately.
- 9.7.4 The UL L3 reviewer signs off on the completed project if all requirements have been met for product certification.
- 9.7.5 All project documents are to be associated to the DAP PPP participant facility and/or DAP test lab using the Test Facility Project Association interface within e-Production. See the Guide to the DAP/MTL Oracle Forms (00-OP-W0043) for guidance on the document association process.
- 9.7.6 If the UL PPP Contact Engineer receives a PSP that, in his/her judgment, required more client/UL interaction than occurred, is not complete or is not accurate, the following steps are to be taken:
- Immediately identify any concerns for conformance with requirements;
  - Non-compliances that effect certification decisions - Inform DAP Global Process Owner, write and issue NCR report to participant using the DAP Nonconforming Report form (00-OP-F0028). Examples of major non-compliances are incorrect test plans, incorrect test results and non-compliant construction.
  - Non-Compliances with UL data recording and reporting requirements (DR&R) Notify the participant of the DR&R non-compliance(s). . Review the implementation of corrective action prior to providing the NOA, with follow-up review of the effectiveness of corrective actions at the next assessment at the participant's facility and when the next PSP is submitted.

## 9.8 Program Non-Conformance Issues

- 9.8.1 Continued DAP participation under PPP is dependent upon continued conformance with DAP PPP requirements. It is the responsibility of the UL PPP Contact Engineer to address with the participant any non-conformance with the requirements and implement corrective action.
- 9.8.2 The DAP Global Process Owner shall be contacted to determine the next steps when a major nonconformance is identified. Participation shall either be suspended immediately or the participant shall be allowed a defined period of time to correct the non-conformance while continuing to participate under close supervision by the UL

PPP Contact Engineer. Failure to take corrective action shall result in termination of participation.

- 9.8.3 Documentation of all program non-compliance found during annual assessment or quarterly oversight issues shall be referenced in the DAP Non Conformity Report form (00-OP-F0028) and stored in DMS under the DAP PPP participants DA file number.
- 9.8.4 DAP PPP is intended to provide certification through a cooperative effort. Therefore, problems, which develop during product investigations, demand immediate response by the UL PPP Contact Engineer.
- 9.8.5 Non-conformity issues noted in Product Submittal Packages (PSPs) are to be addressed per 9.7.6 above.
- 9.8.6 DAP PPP Participants may appeal any DAP Non-Conformity in accordance with the DAP Appeals Process (00-OP-C0042). See the Appeals Process for DAP Participants (00-OP-S0054) for UL internal requirements,

## 10.0 RECORDS

All assessment and project submittal information shall be maintained as documented in Table 10.1. See DAP Documents and Program Records (00-OP-S0083), clause 6.2 for the record retention policy.

TABLE 10.1

Documents	DMS File Name	Assessment Form
Annual Review (By DAP GPO)	DAXXXX-AnnualEngineeringAssessment.pdf	00-OP-F0400
Quarterly Oversight (By Contact Engineer)	DAXXXX-QEReport.xls	00-OP-F0036
Product Submittal Forms	E-Comm under appropriate E-File	00-OP-C0044
Annual Engineering Assessment (By Contact Engineer)	DAXXXX-QEReport.xls	00-OP-F0036
Participant Status	DAP Oracle Database	_____
Non Conformity Report	DAXXXX-NCReport.rtf	00-OP-F0028