DATA ACCEPTANCE PROGRAM

Data Recording, Reporting And Related Requirements for DAP Clients

Revision 10.0 - Revised this document to include the requirement for the datasheet cover pages to identify the Standard's date of publication, or latest revision date if one exists, to which the sample was evaluated.

Revision 11.0 – Updated UL internal document approvers only. No other changes.

For DAP Client Use

Purpose	• This document states UL's requirements for data recording and reporting for the Data Acceptance Program (DAP).
	• This information applies to the following DAP clients (CTDP, TPTDP, PPP, and TCP) and all data submission to UL under the above DAP programs.
	• If there is a question about any information listed in this document, you should contact your Industry DAP Coordinator, or local UL Staff members for assistance.
Why these requirements are important	• All data that is submitted to UL under the identified DAP must adhere to these requirements in support of standards and accreditation requirements.
	• To assure that information recorded in the data sheet package is precise, technically correct and adequately describes the test work performed.
	• Recorded performance and construction (if required) data provides documented evidence of meeting requirements.
Applicable Documents	• Standards
	• UL Bulletins (as applicable)
	• CRD (CERTIFICATION REQUIREMENT DECISION) (as applicable)
	• Technical Information Letters (as applicable)
	• IECEE Operational Documents (as applicable)
	• CIG (Common Interest Group) Decisions (as applicable) – European interpretations of EN Standards
	• CTL (Committee of Testing Laboratories) Decisions (as applicable)
	• National Differences (as applicable)
	• CTL Operational Procedures (as applicable)
	• Program Requirements (as applicable)
Responsibilities	
DAP Clients	• Adhere to the requirements for data recording and reporting contained in this document as well as specific program requirements as

applicable.

- Ensure that the information recorded in the data sheet package contains sufficient information to facilitate, if possible, identification of factors affecting the uncertainty, and to enable the test to be repeated under conditions as close as possible to the original.

- Follow all applicable methods as documented in the applicable data sheets, identified Standards, CTL Decisions and Operational Procedures, and other applicable documents.

    o When Standards are referenced in the instructions to testing staff, have current copies of the applicable sections of the Standards readily available for use in the performance of tests. The term "readily available" can mean a printed local copy or access to an on-demand electronic provider or repository.

Requirements

Data sheet requirements	- It is recommended that only UL data sheets, or UL approved data sheets are used to record tests results.
	
	- For client generated data sheets the following are required:
	
	  o Must be in English. If the data sheets are not provided in English, an English translation must be provided with the original un-translated data sheets.
	  o If submitted electronically, must be in a UL compatible program (MS Word suggested)
	  o Embedded objects shall not be used
	
	  o Should have an issue or revision date to identify the current version of the document and be a controlled document in the laboratory document control system
	  o Units shall be provided for each preprinted numerical value. The units shall match the units of the requirement in the standard.
	
	- Each page of the data sheet (including cover pages) must include the following:
	
	  o Applicant File Number (Optional)
	  o Project Number - Or a "unique identifier" that associates the datasheets to a specific investigation.
	
	It is the responsibility of the client when using their own unique identifier to correlate the data sheets to a UL Project number, to ensure traceability in case of any nonconformances.
	
	  o Page Number – sequentially numbered pages (page X of Y format suggested). If the pages are not numbered sequentially,

any inserted pages must use the following numbering scheme:

To Insert Between Pages	Use Page Numbers	Example of Order
1 and 2	1A, 1B, … 1Z, 1AA, etc.	1, 1A, 2
1A and 1B	1A1, 1A2, etc.	1A, 1A1, 1B
1A1 and 1A2	1A1A, 1A1B, etc.	1A1, 1A1A, 1A2
1 and 1A	1-1, 1-2, etc.	1, 1-1, 1A
1-1 and 1-2	1-1A, 1-1B,etc.	1-1, 1-1A, 1-2
1-1A and 1-1B	1-1A1, 1-1A2, etc.	1-1A, 1A1, 1-1B

In this case the total number of pages must indicate the total and then be followed by the text: "including additional pages (identify the pages inserted)"

Exception:

Electronic Datasheets - Automated numbering of pages via features in a software can be used. Numbering pages throughout the datasheet package is optional, *unless somewhere in the process a paper copy becomes the official record.*

- Dates entered into the datasheet shall be in the format of "YYYY-MM-DD" where YYYY is the year, MM is the month of the year between 01 (January) and 12 (December) and DD is the day of the month between 01 and 31."

- Exception: The issue date and the latest revision date of a test Standard or for test equipment calibration records provided the date format is not ambiguous.

- Cover pages must additionally contain the following information:
    - The total number of pages
    - Name of Applicant
    - Name and full address of the location where tests were conducted
    - Applicable Standard identification number, edition, *including the date of publication (or latest revision date if one exists)*

to which the sample is evaluated.

- o List of tests performed. (Only the actual tests performed are required to be listed)
- o If the product is investigated to more than one standard, such as Canadian, IEC or multiple UL standards, the standards shall be identified and the list of tests performed shall be correlated to each standard. If the titles of related tests among the standards involved are different, correlation between the titles shall be provided and the applicable clauses from each standard shall be identified. When testing in accordance with the requirements in one standard is considered representative of the applicable requirements in another standard, this representation must be clearly recorded under test method. When a single test is performed to represent the worst-case parameters of two (or more) similar tests in multiple standards, correlation shall be provided identifying the single test performed, and the tests it is intended to represent.
- o A statement "Unless specified otherwise in the individual Methods, the test shall be conducted under the following environmental conditions. Confirmation of these condition shall be recorded at the time the test is conducted." Followed by a list of the applicable conditions if environmental conditions are specified in the standard or they could invalidate the results or adversely affect the quality of the measurement. If no general conditions are specified in the standard, this is indicated in place of the statement and list of conditions.

Example:

Unless specified otherwise in the individual Methods, the tests shall be conducted under the following environmental conditions. Confirmation of these conditions shall be recorded at the time the test is conducted.

Ambient Temperature, C	±	Relative Humidity, %	±	Barometric Pressure, mBar	±

"OR"

No general environmental conditions are specified in the Standard(s)or have been identified that could affect the test results or measurements.

- Data packages must contain the following information:
    - Sample Identification
        - One or more of the following to identify responsibility for the sample: manufacturer, applicant, factory, and/or source of the samples, as appropriate.
        - Samples tested are clearly identified/described. Unique identifier in the case of multiple samples of same model are involved.
        - Samples tested are clearly correlated to the test results.
        Ratings (when required)

    - Test equipment (calibrated and initial calibration only equipment (ICO)) is clearly correlated to the test results and the following information is recorded for each piece of test equipment:
        - Instrument type (voltmeter, pressure gauge, etc.)
        - Unique identifier (instrument number, manufacturer's name, model and serial number, asset number, etc.)
        - Range of function utilized for multi-range/function instrument when the test has a requirement for measurement uncertainty or the instrument has limited use restrictions.
        - Last calibration date or last "Check Date" for ICO equipment.
        - Calibration due date. or next "Check Date" for ICO Equipment
    - Equipment that is not calibrated, including instruments and test support resources such as alcoves, weights, impact balls, etc. must at a minimum be identified under the "type of equipment" and clearly correlated to the tests conducted.

    - The calibrated equipment used to verify compliance prior to each use for the non-calibrated equipment must be recorded as identified above (i.e. instrument type, unique identifier, range, last calibration date and calibration due date), and correlated to the tests conducted.

	If the DAP Client uses rented equipment, then the client must also include the equipments Make/Model/Serial Number and identify the piece of equipment as rented.
	• Describe test methods by reference to the Standard and edition and/or descriptive explanation of conduct of test. Any deviations from, additions to, or exclusions from the test methods shall occur only if it has been documented, technically justified, and authorized by UL.
	• It is the client's responsibility to ensure that all data recording and reporting requirements are met regardless if UL-generated or client-generated data sheets are used.
Requirements for completing data sheets	• Record all actual values directly on the data sheet at the time they are observed for each instance of the test including those that confirm that the test conditions have been established. Statements such as the following are not acceptable: the quantity was less than the maximum permissible value, more than the minimum permissible value, or a summary statement, i.e. no breakdown occurred to cover all the test instances.
	• Record data and other information electronically or by using permanent means black or blue ink.

	• Do not use any of the following procedures when completing the data sheet pages:
	    o Use of other color inks without UL's approval
	    o Use of highlight marking, shading or background coloring.
	    o Write on the reverse side of the data sheet pages.

	• Margin notes are to be minimized to facilitate proper copying or scanning of the information
	• Clearly indicate the date each instance of the test was performed on any page of the data sheet that contains results (data). o If the test is not or cannot be completed on the date recorded, the start and end date shall be recorded for each instance of the test.
	• Changes in the test method (including not performing a test specified in the Standard) must be noted on the data sheet along with a justification for the change.

	• Use of the track changes feature in Microsoft Word is not allowed for DAP Client's.
	    o When change is made on datasheet preparation, draw a single line through non-applicable description and add any change adjacent to the crossed out item.
	    o The DAP client representative recording this information must

initial and date the information.

- When an error is made on the test results, correction of the error shall be made by neatly lining out the error, recording the correct information, and providing initial, date and reason for the change.

- Text shall not be completely obliterated and data shall not be over written. Correction materials such as tape or "whiteout" shall not be used. If completing data sheets electronically, text may be inserted directly, or by using the "insert a Text Box" feature in Microsoft Word as long as other text is not obscured. The "Insert Comments" feature in Microsoft Word shall not be used for data recording.

- Only qualified staff can conduct the testing. The name of the person who conducted the test must be recorded by test (it must be clear who performed each test).

- The "Authorized Signatory" must sign and date on the cover page. (Each test facility shall have an "Authorized Signatory" The responsibility of the signatory is to ensure that the tests were conducted by qualified technicians, and to review all data prior to submittal to ensure that it meets all the applicable DAP requirements).

- When preprinted results are provided on data sheets, select the applicable response by an indication in a checkbox or striking through non-applicable optional text. This strikethrough does not require initials or a date.

        Example:
        [X] There was no indication of breakdown.
        [ ] Breakdown occurred.
        Or
        Breakdown **[** occurred **][** did not occur **]**.

- Clearly indicate the units of measurement for numerical data.

- Note and record any unusual, unexplainable, or fluctuating conditions observed during the testing that may affect the interpretation of the results recorded.

- Record all calculations at the time they are made, such as change of resistance temperature calculations, unit conversions, etc.

- When the Standard states environmental conditions for the testing or environmental conditions have been identified that could affect the test results or measurements, the environmental conditions at the time of test must be recorded on the data sheet and the instrument used for that measurement must be listed on the data sheet. (Even if the data sheets do not provide a location to record this data, the product testing staff is still required to record the environmental conditions for the test if specified in the Standard.) The test shall not be performed (unless the

client has documented technical justification, and authorization by UL) if the environmental conditions are not in compliance with the requirements in the Standard.

- Results must be in the same units of measure (or differ only by an order of magnitude – for example mV and V) as the requirement in the Standard. If the original observation is not in the same units as the Standard requirement, convert the value to the units of the Standard and record (on the data sheet or referenced attachment) the calculation, including conversion factors used.

- Method and/or Results Sections. It should be clear which Method and which Result options where used to conduct tests on identified product(s). This is accomplished by clearly indicating which Method and Result were followed and documented respectively. This is accomplished by one of the following options:
1.   The section or portion of the non-applicable Method and/or Result is to be lined out by a single line through the unused statements then initialed and dated. For the method section only, Initials and dates are not needed if this is done during datasheet preparation.
2.   The non-applicable paragraph or section shall be noted by a "N/A", initialed and dated; or
3.   For Method descriptions that are provided with checkboxes for selection of the applicable Method, the applicable checkbox(s) shall be checked and the non-applicable checkbox(s) remain unchecked (e.g. unneeded methods/conditions of a test with multiple methods/conditions). Initials and dates are not needed if this is done during datasheet preparation. For pre printed results please see bulleted item above.

- If data is recorded electronically, error correction shall be the electronic equivalent to manual error corrections by use of "strikethrough" and addition of initials and reason for the change if the reason is not obvious, rather than deleting or replacing the erroneous data. (See example)

  o   Use of the track changes feature in Microsoft Word is not sufficient to meet this requirement.

        Example:

RAF 10-26-2005
Used more accurate

Maximum Voltage	5 vdc	Measured Voltage	4.98 vdc (RAF 10-26-2005 used more accurate range)

Insert a text box and enter the information or type it adjacent to the erroneous data.

- Mark all documents with intermediate data (for example, chart recordings or instrument printouts) that are included in the data package with the test title, date or a period the test was performed, the range, the speed or other related information as well as the File number, project number, and page number. Sketches and drawings are considered original observations. If intermediate data is summarized on the data sheet, the original data must be provided to UL.

- Supplemental information - Any notations, sketches, drawings, or statements entered on the data sheets by anyone other than the person actually recording original data shall be clearly identified as supplementary information and not part of the originally recorded data. The person making the entries shall initial and date the additional information.

- If a test is repeated because of unacceptable test results obtained in previous testing, the unacceptable test results are to note the noncompliance and reference the next instance where the test is conducted (For example: "Non-compliant test results, see___ for testing of revised construction."). The sample identification shall identify the revised sample construction used for the repeat test.

- If a test is repeated for any other reasons, all the original data for that test shall be struck out, the changes shall be dated and initialed, and the reason that the data was struck out shall be noted on the data sheet. This is to occur prior to repeating the test.

- Clearly indicate the end of the record.

END

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