

UL DQS Inc. Management Systems Solutions Certification Requirements



UL DQS Inc.

Issued: 8/7/89
Revised: 4/30/12

General Business Terms and Conditions

The general terms and conditions defined in this document, the DQS UL Assessment and Certification Regulations and in the contract, Agreement for Assessment Services comprise the overall management system requirements for organizations certified by UL DQS

Impartiality Statement

Independence and Objectivity

The executive management of UL DQS Inc. and all its subsidiaries respects the importance of impartiality in carrying out our assessment and certification activities. Potential conflict of interest is managed in order to assure the objectivity of all certification activities.

1. Terms and Definitions

2.1 Bulk Packaging - a container holding large quantities of individually wrapped packages (see Appendix A, sec. A.2.3).

2.2 Certification - A decision by UL DQS Inc. that an organization's management system meets the requirements of a specific MS standard and UL DQS Inc.'s Management System Requirements.

2.3 Certificate - Document indicating the organization's conformance to the specified standard and UL DQS requirements.

2.4 Organization - The party that is responsible for the product, process or service and is able to ensure that management assurance is exercised. This definition may apply to manufacturers, distributors, importers, assemblers, service customers, etc.

2.5 Management System - The customer's structure, responsibilities, policies, procedures, processes and resources for managing the business within the defined scope of activity in conformance with a published standard.

2.6 Certification Marks - The UL Registered Firm Mark which is used by certified customers in accordance with UL DQS Inc.'s certification agreements and Appendix A of these Requirements. The use of the mark(s) provides an organization the ability to publicize their facility certification.

3. UL-DQS Management System Certification Requirements

3.1 General

The customer agrees that it will comply with all applicable laws, statutes and regulations (e.g. state, region, providence, country, etc.)

3.2 The Customer shall

3.2.1 ensure that any purchased finished product, processes or services covered under the scope of certification are provided in conformance with the applicable MS standard(s). If any finished products, processes or services are produced or provided external to the customer's management system, the external producer or provider may also be evaluated on-site by UL DQS during the certification process. In cases where products described in the scope of certification are not traceable to an accredited management system certification, the customer

shall establish and operate a procedure for notifying the prospective customer that the items in question have not been produced or provided within UL DQS Inc.'s Certification;

3.2.2 not use any Report, Certificate or Plaque issued by UL DQS Inc. to indicate or suggest a product is certified by UL.

3.2.3 not release any information referencing UL DQS Inc.'s Management System Assessment Certification before it is issued by UL DQS Inc.

3.2.4 Assure press releases referencing an accreditation body be reviewed by UL DQS prior to release.

3.3 UL DQS Inc. shall:

3.3.1 notify the customer at its discretion of complaints relating to the conformance of the management system.

3.3.2 direct the audit team to exercise due care in complying with any safety regulations applicable to the customer's facility in relation to the management system.

4. Conformance with UL DQS Inc.'s Management System Certification Requirements

4.1 If a customer is temporarily unable to comply with these Certification Requirements, UL DQS Inc. may require the customer to discontinue use of the Certification Mark, any claim to certification and notify customers until the conditions of certification are again achieved or an appeal reviewed as described under section 5.6

4.2 If the customer fails to comply with these Certification Requirements UL DQS Inc. may, as appropriate:

- (a) revoke the certificate
- (b) refuse to issue or renew the certificate
- (c) change/limit the scope of certification
- (d) notify vendors, authorities, and potential users of improper or unauthorized use of the UL DQS Inc. mark or improper or unauthorized reference to UL DQS Inc.

4.3 UL DQS Inc. may, at its discretion, revoke or refuse to issue or renew a certificate if the customer is convicted of an offense tending to discredit the customer's reputation and good faith as a trader. Such decisions shall be communicated to the customer in writing.

4.4 In the event that UL DQS Inc. makes changes to its Management System Program that affect certified customers, UL DQS Inc. shall:

- (a) specify an effective date for the changes, which shall allow sufficient time for certified customers to amend their management system,
- (b) formally notify all certified customers affected by the new requirements of the change and new action required of them.
- (c) where appropriate, afford the opportunity for UL DQS Inc. certified customers to submit comments on the proposed changes,

4.5 The certified customer is required to take required action by the effective date. If agreed action is not acceptably taken, withdrawal or suspension of Certificate may occur. If special assessment of the system is necessary due to the revised requirements, the Customer shall be responsible for the cost of the evaluation.

5. UL DQS Inc.'s Management System Certification Services

5.1 Prior to the On-site Visit

5.1.1 A customer seeking UL DQS Inc.'s Management System services can obtain information including at a minimum and Information Request Form and Self- Assessment System Checklist.

5.1.2 The customer will need to complete the Information Request Form. Upon receipt of the form, UL DQS Inc. verifies capability to perform the service and forward a quotation and agreements to the customer. The agreements must be completed and returned to UL DQS Inc. prior to scheduling the on-site visits.

5.1.3 The System Checklist may be an effective tool for the customer to determine it's facility's state of readiness for an assessment..

5.2 Nonconformances

5.2.1 Nonconformance's fall under two categories, "major" and "minor". Major non-conformances are those giving evidence of systemic failure that require partial or full reassessment prior to the audit team recommending certification. Major non-conformances must be verified as resolved prior to the issuance of the certificate.

5.2.2 Minor non-conformances are isolated issues of a less significant nature not requiring on-site reassessment and generally can be resolved through correspondence with further verification during subsequent continuous assessments.

5.2.3 Certification is issued only if the facility evaluated fully complies with the requirements of the MS standard and all Action Requests acceptably resolved. If any are not satisfactorily resolved, the lead auditor will explain why the response is unacceptable and request additional resolution.

5.3 Maintenance of Certification

5.3.1 Advanced Assessment Methods may be used only when authorized by UL DQS Inc. in writing. Terms and conditions of the Alternate Assessment method are defined separately in accordance with accreditation and related requirements. This method is not eligible for all programs. Check with your local UL DQS Inc. office for eligibility.

5.3.2 A Special Assessment is an additional assessment to determine continued conformance to requirements where major nonconformances or potentially significant changes were found and immediate corrective action required. The assessment is in addition to the continuous assessments to verify the implementation of corrective actions. Clauses audited during a Special Assessment shall be determined based on the audit findings, field data, complaints, client requests, major customer or system changes, etc.

5.3.3 A Scope Expansion assessment is scheduled when a customer requests to expand their certification to include other standards, operations, etc. This can be scheduled with/or separate from a continuous assessment. A scope expansion normally requires additional assessment time.

5.4 Complaints about UL DQS Inc. Certified Companies

5.4.1 When UL DQS Inc. receives a complaint about a certified company, confidentiality of the customer's files and any other associated information is maintained in accordance with our policies and agreements.

5.4.2 Only complainants who are willing to identify themselves to the UL DQS Inc. certified company will be made aware of their complaint's resolution (i.e. the resolution would be communicated by the certified company). UL DQS Inc. will encourage its customer to work with the complainant through their complaint handling mechanism. UL DQS Inc. can verify the resolution during the subsequent Continuous Assessment(s).

5.4.3 UL DQS Inc. enters all written complaints into our corrective action system for investigation and tracking. We initially request that the certified company perform an investigation and provide a corrective action plan including root cause analysis and action as appropriate.

5.4.4 If UL DQS Inc. management determines after review of the complaint and associated evidence that an on-site visit is required, the following shall be observed:

- a. Depending on the complaint severity certain elements/systems may have to be evaluated at the next Continuous Assessment, or an immediate special assessment at the cost of the certified company may need to be scheduled.
- b. If a major nonconformance is found during the assessment of the complaint, it is to be documented in the audit report and handled in accordance with Certification Suspension and Withdrawal policy.

5.4.5 UL DQS Inc. shall determine, together with the certified company and the complainant whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

6. TL-9000 Additional Terms and Conditions:

- 6.1 Clients participating in the TL 9000 Registration program must comply with the requirements in the current *TL 9000 Quality System Requirements and Quality System Measurements Handbooks*.
- 6.2 Registration may be granted to organizations in hardware, software, service or any combination thereof.
- 6.3 Appropriate measurements must be reported for hardware, software, service or any combination by product category as specified by the most current Product Category Tables, which are contained on the QuEST Forum Website at <http://www.questforum.org/index.htm>.
- 6.4 Clients participating in the TL 9000 Registration program must comply with the Organizational Responsibilities section of the TL 9000 Quality Management Systems Measurements Handbook.
- 6.5 *TL 9000* registration assessments shall include, but not be limited to verification that the organization has completed one complete audit cycle of internal audits and management review.

Appendix A - Conditions for Use of the UL Registered Firm Mark

A.1 General

A.1.1 Upon acceptance of the following conditions, the certified customer is entitled to use the UL Registered Firm Mark illustrated below. Camera-ready artwork of the UL Registered Firm Mark is available for photo reproduction from the office handling the certification. An electronic form of the logo is also available from UL's web site (www.dqs-ul.com).

A.1.2 The UL Registered Firm Mark which incorporates the name, abbreviation or symbol of UL. (referred to as the "Mark") and which may, only under the conditions of this document, be used by the Customer in connection with its certified management system and the goods or services that are produced or provided with the scope of Certification.

A.1.3 In the opinion of UL DQS the promotional or advertising material shall not be in conflict and, in no way create a misleading impression as to the nature of the certification status, except for the Mark that is prescribed for use in Appendix A.

A.1.4 The UL DQS Certificate and UL Registered Firm Mark shall be used in the manner authorized. Requests for use of the UL's Certificate and Mark shall be processed through ULDQS. The UL DQS's auditor shall have the right, on demand, to acquire possession of the UL DQS Certificate and Mark and any or all advertising and promotional material, or other means of displaying the Certificate and Mark when in the judgment of UL DQS Inc.'s auditor, such action is warranted.

A.2 Requirements

A.2.1. The Registered Firm Mark may only be used on correspondence, advertising and promotional material and shall only be used in connection with the products and/or services described in the customer's scope of certification. The certified customer must identify the goods or services to which the certificate applies when using the UL Registered Firm Mark in a context where the scope of application is open to interpretation.

A.2.2. The UL Registered Firm Mark shall not be used on individual product containers or individual product packaging.

A.2.3. The UL Registered Firm Mark may be used on bulk packaging only when authorized in writing by UL DQS Inc, provided that in the opinion of UL DQS Inc, the mark's use in no way tends to create a misleading impression as to the nature of the management system certification.

A.2.4. The UL Registered Firm Mark shall not under any circumstances be used directly on or closely associated with products or services in any way that may imply that the products or services themselves are certified by UL. This includes laboratory test, calibration or inspection records.

A.2.5. Upon the termination of certification, for whatever reason, the customer must discontinue all use of the mark immediately.

A.3 Composition & Elements:

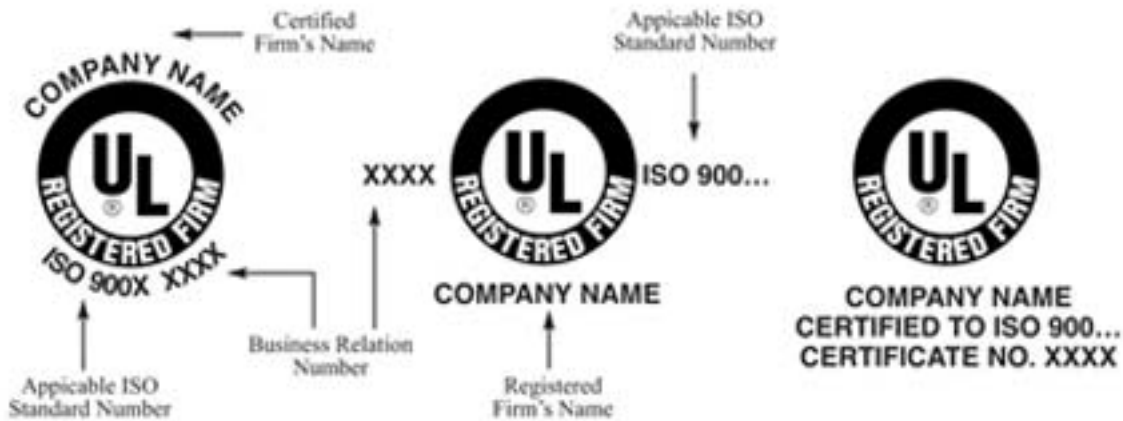
A.3.1. UL in a circle symbol encircled by the words "REGISTERED FIRM" in the bottom half as illustrated below:

A.3.2. Use of the UL Registered Firm Mark, when used, must always be in conjunction with the following elements (as illustrated in the examples below):

- a) Certified Customer's Name
- b) Business Relation Number
- c) Applicable MS Standard to which the customer is certified



Examples of acceptable compositions:



A.4 Application

The following guidelines describe acceptable applications of the UL Registered Firm Mark:

A.4.1. Minimum size is not specified as long as the words "REGISTERED FIRM" are clear and legible.

A.4.2. Black on a white background, or a background in another color which clearly contrasts with black.

A.4.3. White on a black background, or a background in another color which clearly contrasts with white.

A.4.4. Contrasting colors where the foreground and the background allow the details of the UL Registered Firm Mark to be clearly distinguishable and legible (consult UL DQS Inc. for acceptability of color scheme).

A.4.5. Embossed in such a way that the UL Registered Firm Mark is clear and legible

A.5 Preferred Text

Certified customers may use the following pre-approved statements in connection with the mark to describe their certification. The applicable MS standard may be substituted in the statement:

- The facility covered by this Mark has been evaluated to international quality assurance standards by UL DQS Inc..
- "Our facility has been Certified by UL DQS Inc. to the International Organization for Standardization ISO 9001:2008 "Certified by UL DQS Inc. to ISO 9001:2008."
- "The quality systems of this facility have been Certified by UL DQS Inc. to the ISO 9001:2008 Standard."
- "Our facility has been granted ISO 9001:2008 certification by UL DQS Inc."

A.6 UL DQS Logo

The below is the UL DQS corporate logo. It is not a certification mark and is not authorized to be used as a certification mark.



Appendix B - Conditions for Use of an Accreditation Body Mark

B.1 General

- B.1.1. Customers certified under UL DQS Inc's scope of accreditation with certificates bearing the accreditation logo may use the accreditation body's mark in accordance with the conditions outlined below for the specific accreditation body.
- B.1.2. The accreditation body's mark may only be used on correspondence, advertising and promotional material and must be used in conjunction with UL's Registered Firm Mark.
- B.1.3 The use of any accreditation body mark must always be used in conjunction with:
 - a) UL's Registered Firm Mark;
 - b) Registered Firm's Name;
 - c) Business Relation Number; and
 - d) Applicable MS Standard.

B.2 Requirements for Use of the ANAB Accreditation Mark

- B.2.1 Only with the ANAB mark on their certificate are entitled to use the mark illustrated below.
- B.2.2 A UL DQS Inc certified customer shall not use ANAB accreditation in such a manner as to bring ANAB into disrepute and shall not make any statement regarding its certification under the ANAB accreditation that ANAB may consider inaccurate, misleading, or unauthorized.
- B.2.3. The ANAB accreditation mark may only be used in conjunction with the UL mark on the customer's stationery and literature, and in its advertising subject to UL DQS Inc's conditions for use of its mark. A customer shall place the ANAB accreditation mark next to the UL Registered Firm's mark.
- B.2.4 The ANAB accreditation mark shall be reproduced:
 - a. in black or in blue (PMS 2935 or equivalent)
 - b. in a size that makes all features of the mark clearly distinguishable.
 - c. without distortion of its dimensions.
- B.2.5 When using the ANAB accreditation mark, its size must not exceed the size of the UL Registered Firm's mark.
- B.2.6 ANAB's accreditation mark shall not be used on a product or in such a way as to suggest that UL DQS and/or ANAB have certified or approved any product, process or service of a certified customer, or in any other misleading manner.
 - a. If larger boxes, etc., used for transportation includes the mark(s), a statement must be included. This could be a clear statement that "(This product) was manufactured in a plant whose quality/environmental management systems are certified as being in conformity with ISO 9001:2000, AS9100, ISO 14001 (specific standards)".
- B.2.7 Upon withdrawal of certification or ANAB accreditation from a UL DQS Inc certificate the customer shall discontinue its use of all advertising matter that contains any reference thereto including on letterhead; in any medium) and return any certification documents as required by UL DQS Inc. and/or the ANAB.
- B.2.8 The ANAB accreditation mark shall not be used by an accredited registrar on any document unless the document relates in whole or in part to certification activities of

the registrar that are accredited under the ANAB. This shall not prevent an accredited registrar from including the accreditation mark on its preprinted letterhead paper.

The ANAB Mark:



B.4 Requirements for Use of the Japanese Accreditation Board (JAB) Accreditation Symbol

- B.4.1. Only customers with the JAB symbol on their certificate are entitled to use the symbol illustrated below.
- B.4.2. The color of the symbol shall be blue (Mancel 2.5PB 3.5/10, Dainippon Ink KK DIC 579, PANTONE 300C or their equivalent colors on printed matter, and on the website, a similar color converted to RGB of the Mancel value for printing and other specified color codes).

As alternative colors, use of black, gray, gold or silver is permitted, provided, a clear contrast is assured against the background color. The logo, program name and accreditation number shall be in black.
- B.4.3. When the accreditation symbol is reduced in scale or enlarged, the dimensional proportion of the symbol and logo shall stay the same as the accreditation symbol shown below. The system classification (in gothic) must be shown and shall stay clearly legible even after the accreditation symbol is reduced in scale.
- B.4.4. Certified customers shall use the accreditation symbol together with the accreditation number (R030) granted by JAB.
- B.4.5. The JAB symbol may be used on explanatory documents and advertising materials in connection with those goods and/or services produced or provided within the scope of certification.. When used on business cards, only those who are conducting activities within the scope shall use the JAB symbol.
- B.4.6. The accreditation symbol shall not be used on products. Nor shall it be used in a way that may be interpreted as certifying the products..
- B.4.7. The accreditation symbol shall be used together with the UL Registered Firm mark and shall be clearly different to enable easy discrimination. The accreditation symbol shall also be used in such a manner as to show to the extent possible the meaning of the accreditation symbol. For example, consideration shall be given for the location and dimensions of the accreditation symbol in comparison with other logos present

- B.4.8 The accreditation symbol may be used only within the effective period. Upon the termination of certification, for whatever reason, the customer must discontinue all use of the JAB symbol immediately.
- B.4.9 The certified customer agrees to discontinue any use of the JAB symbol and any form of statement with reference to the authority of the certified customer to use the JAB symbol that is unacceptable to UL DQS Inc. or which in the opinion of UL DQS Inc. might be misleading.
- B.4.10 When a certified customer is found in violation of the provisions of this document, UL DQS Inc. will take action including Corrective action, suspension of the right to use the accreditation symbol, withdrawal of certification, publication of the transgression or legal action, etc
- B.4.11 If UL DQS Inc's JAB accredited scope is reduced, it shall take steps to require those affected by the reduction to stop using the JAB accreditation symbol.
- B.4.12 When provided a reproduction proof of the JAB mark, the certified customer shall perform proper control for protecting the reproduction proof for its own use and subcontractor use for printing and placing on websites and for preventing its divulgation.
- B.4.13 The accredited certification customer shall have a list of subcontractors to which a duplicate of the reproduction proof of JAB was supplied, and shall produce it when requested by UL DQS Inc..

The JAB Accreditation symbol:



B.5 Requirements for Use of the APMG Accreditation Symbol

- B.5.1 Only customers with the APMG symbol on their certificate are entitled to use the symbol illustrated below.
- B.5.2 This symbol or logo shall not be used on a product, or in a way that may be interpreted as denoting product conformity.
- B.5.3 The logo must not be altered or used in a misleading way, for example to imply certification of something which is not certified



How to contact UL-DQS

If you have additional questions or would like more information, please feel free to contact UL DQS Inc. at: 1-800-285-4476 from North America or access our web site at www.dqs-ul.com.