



UL Solutions Qualified Firestop Contractor Program checklist

June 2023



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CHECKLIST

This checklist is based on the requirements found in UL Solutions Qualified Firestop Contractor Program (QFCP), providing a tool for determining your organization's overall ability to comply with the program requirements.

UL Solutions Qualified Firestop Contractor Program (QFCP) offers independent, third-party inspection services for the following:

- Acknowledgment of a designated responsible individual (DRI) who has met applicable program requirements and passed a written exam that tests knowledge of the program
- Examination of the management system of the firestop contractor and an on-site assessment to determine conformance with program requirements

1. Expectations

The contractor shall implement a management system that addresses all requirements found in the QFCP for which they are seeking approval, including the following:

Demonstrated knowledge

This knowledge shall be evidenced by at least one DRI and must meet the minimum examination requirements as stated in the applicable program requirements.

Management system

Includes a management system (MS) manual, processes and procedures for:

- Construction documents requirements and review
- Procurement of materials
- Storage, handling, preservation and delivery
- Installation, application and field quality assurance procedures
- Inspection, testing and calibration
- Control of nonconforming product
- Training and qualification of staff
- Corrective and preventive action
- Management system monitoring and improvement
- Documentation and record-keeping

The proper use of this checklist can show if your organization has gaps in their MS that may impede their ability to meet the applicable program requirements.

2. Inspection methodology

Planning

This checklist can help you plan and conduct an inspection of your MS in accordance with the program requirements. It provides the means for collecting evidence and for determining the extent to which the MS meets the program requirements.

Within this inspection guide, each MS process/section is described as follows:

- **Overview** — overview of the process to be inspected
- **Inspection instructions** — basic instructions for inspecting the process
- **Questions** — questions to be answered during the inspection, including questions that are directly related to the program requirements
- **Records review** — recording of evidence reviewed during the inspection
- **Summary** — recording of the contractor's overall level of compliance with regard to the requirements of the section

To conduct the inspection effectively, the contractor should first review the management system manual or other documentation that provides an overview of the system in place. This will provide the means to plan and organize your inspection to ensure that it is carried out efficiently and effectively.

If a complete inspection is to be conducted, it is recommended to organize the inspection in the following order:

1. A tour of the facility to be inspected
2. A review of the MS manual (if not done previously)
3. A thorough review of construction documents and related requirements
4. Procurement
5. Storage, handling, preservation and delivery
6. Installation, application and field quality assurance procedures
7. Inspection, testing and calibration
8. Control of nonconforming product
9. Training and qualification of staff
10. Corrective/preventive action
11. Quality system monitoring and improvement
12. Documentation and record-keeping

CHECKLIST

Nonconformances

A nonconformance may be either:

- a) A nonfulfillment of specified requirements as defined in either the contract, program requirements or construction documents, MS manual, procedures, work instructions; or
- b) A condition adverse to quality.

Nonconformities can be broken down into two categories as follows:

Minor — a nonconformance that judgment and experience indicates is not likely to:

- Result in the failure of the MS
- Reduce its ability to assure controlled processes
- Result in the probable shipment or installation of the nonconforming product or system

Major — a nonconformance that can include or result in:

- The absence or total breakdown of an MS or element thereof required to meet the applicable requirements
 - A number of minor nonconformities against one requirement that, when combined, can represent a total breakdown of the system and thus be considered a major nonconformance.
- Any nonconformance that would result in the probable shipment or installation of a nonconforming product or system
- Any nonconformance that presents a potential safety risk
- A nonconformance that judgment and experience indicate is likely either to result in the failure of the MS or to reduce its ability to assure controlled processes, products and systems

Checklist questions

Management system manual

Overview — your organization shall have a management system manual (MSM) that includes or makes reference to agreed-upon management procedures and a description of the interaction between the processes of the system.

The manual shall describe the scope of the MS and its compliance with UL Solutions QFCP requirements. No exclusions from the UL Solutions QFCP requirements are allowed.

Questions

1. Does your organization have a documented MSM?
2. Is the scope of the MS described in the manual, and is the intent to comply with the program requirements?
3. Are there any exclusions from the program requirements?

CHECKLIST

Pre-initial audit readiness review

Prior to scheduling the initial on-site audit and following the review of the quality manual, an interview of the organization's DRI shall be performed to evaluate the audit readiness of the organization's management system.

The following questions should be answered as part of the pre-audit readiness review. Any significant gaps in the state of implementation of the organization's management system should be reviewed with the DRI to determine a future date of effective implementation and subsequent audit scheduling.

Questions	Yes	No
1. Does the DRI possess a current UL Solutions QFCP DRI letter of completion?	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the organization have at least one project that complies with the requirements of the management system for construction document requirements and review?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the organization created and implemented documented procedures for the control of nonconforming firestop materials and systems (9.2.6), corrective action (9.2.8) and documentation and record-keeping (9.2.10)?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the organization have sufficient records of management system activities: <ul style="list-style-type: none">• Contract review• Procurement of firestop materials and systems, including evaluation of subcontractors, purchasing records, verification of purchased product• Records of nonconforming firestop materials and systems• Field test and inspection• Training records• Corrective actions• DRI audits• Management reviews	<input type="checkbox"/>	<input type="checkbox"/>
5. Can the organization demonstrate that it has a corrective action system for customer complaints, process, and product nonconformities and audit findings?	<input type="checkbox"/>	<input type="checkbox"/>
6. Has the organization performed at least one management review, including inputs from management objectives, inspection results, DRI audits, staff competency, customer feedback, project nonconformities, corrective and preventive actions, follow-up actions from previous reviews, changes that could affect the management system and recommendations for improvement?	<input type="checkbox"/>	<input type="checkbox"/>

CHECKLIST

Construction document requirements and review

Your organization should have defined processes for communicating effectively with customers. The process should provide your organization with a complete understanding of the needs and expectations of the customer so that this information can be translated into specific firestop systems and process installation requirements. This process includes:

- A review of applicable construction documents (architectural drawings, structural drawings, mechanical drawings, plumbing drawings, electrical drawings and project specifications as applicable for the project)
- A detailed breakdown of the project scope
- Applicable firestop systems and designs to determine the type of product or products to be used
- The fire-resistive design specified for the project
- Identification of any inconsistencies
- Adequately defined requirements

Appropriate UL Solutions firestop systems shall be chosen to meet construction documents and code authority requirements. This process shall determine that the system meets the specifications and shall include the steps taken when the system does not cover all of the building elements in the specifications.

A record of this review shall be maintained.

Questions	Yes	No
1. Does your organization have a defined process for determining and reviewing the requirements specified by the customer?	<input type="checkbox"/>	<input type="checkbox"/>
2. Through a review of records and actual process observation, is your organization following the defined process?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the review ensure that all requirements are defined, including construction documents, i.e., project specifications and plans?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the review ensure that all differences or inconsistencies, if any, are resolved (in writing) prior to acceptance of the contract?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the review ensure that the appropriate firestop system is chosen to meet the construction documents and clearly identify the steps taken when the system does not address all building elements in the construction documents?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the contractor have a qualification process to assure that the review is conducted by someone with the ability to meet construction documents through selection of the appropriate firestop system design?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are records of the results of the review, including any actions arising from the review, maintained?	<input type="checkbox"/>	<input type="checkbox"/>
8. Where requirements are changed, does the organization ensure that relevant documents are amended and the changes communicated to relevant parties?	<input type="checkbox"/>	<input type="checkbox"/>

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Records review: Consider sampling projects to determine if the above requirements were addressed and defined.
Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.
<input type="checkbox"/> System meets requirements — no nonconformities
<input type="checkbox"/> System meets requirements — minor nonconformities noted below
<input type="checkbox"/> System does not meet requirements — major nonconformities noted below

Procurement of materials

Your organization should have a defined process for verifying that purchased product conforms to specified requirements. In general, the type and extent of control applied to the supplier of purchased product is dependent upon the effect of this product on the organization's final installed UL Solutions firestop systems.

The process should include an evaluation of suppliers based on their ability to supply product in accordance with the requirements. This includes establishing the criteria for selection, evaluation and reevaluation of suppliers. Records of the results of these evaluations and any necessary actions should be maintained.

The process should also include detailed communication between your organization and the supplier with regard to purchased product requirements so that the supplier has every opportunity to deliver product that meets requirements. This communication can take many forms, including electronic linkage to optimize the accuracy and efficiency of the information and communication.

A record of all materials purchased for each project shall be maintained. These records should include the manufacturer and supplier name, product name, product type, quantity and traceability requirements, i.e., lot number, shelf life and approval agency label as applicable. Finally, the process shall include verification of purchased product (inspection or other activities) to provide evidence that the purchased product meets specified requirements.

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Questions	Yes	No
1. Does your organization have a defined process to ensure purchased product conforms to specified requirements?	<input type="checkbox"/>	<input type="checkbox"/>
2. Through a review of records and interviews, is your organization following its defined process?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has your organization established the criteria for selecting suppliers, and does it include an evaluation or reevaluation of suppliers with supporting documents?	<input type="checkbox"/>	<input type="checkbox"/>
4. Do records exist for all materials purchased for each project? Do these records include pertinent information, such as the manufacturer and supplier name, product name, product type, quantity, traceability requirements, i.e., lot number, shelf-life and approval agency label as applicable?	<input type="checkbox"/>	<input type="checkbox"/>
5. Do records exist for product specifications, product identification/traceability and any requirements for approval of product (source verification), processes or equipment?	<input type="checkbox"/>	<input type="checkbox"/>
6. Do records exist for listed material requirements?	<input type="checkbox"/>	<input type="checkbox"/>
7. Has the organization established and implemented inspection or other activities to ensure that purchased product meets specified requirements?	<input type="checkbox"/>	<input type="checkbox"/>
8. When a product does not meet requirements, is it identified and controlled to prevent its unintended use?	<input type="checkbox"/>	<input type="checkbox"/>
Records review (evaluation of supplier): Consider sampling supplier records to determine if the above requirements were addressed.		
Records review (purchasing documents): Consider sampling purchasing documents to determine if the above requirements were addressed.		
Records review (verification of purchased product): Consider sampling verification records to determine if the above requirements were addressed.		
Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.		
<input type="checkbox"/> System meets requirements — no nonconformities <input type="checkbox"/> System meets requirements — minor nonconformities noted below <input type="checkbox"/> System does not meet requirements — major nonconformities noted below		

CHECKLIST

Storage, handling, preservation and delivery

Your organization should have a defined process for the labeling, storage, handling, preservation and delivery of materials to prevent misuse, contamination, damage and deterioration. Storage conditions and shelf life must be considered to prevent the deterioration of materials. This requirement extends to the job site.

Questions	Yes	No
1. Does your organization have a defined process for labeling, storage, handling, preservation and delivery of materials to prevent misuse, contamination, damage and deterioration?	<input type="checkbox"/>	<input type="checkbox"/>
2. Do the process and requirements extend to the job site?	<input type="checkbox"/>	<input type="checkbox"/>
3. Through a review of records, interviews and actual practice observations, is your organization following a defined process?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the process ensure that all materials are adequately labeled or identified with the manufacturer name and product name?	<input type="checkbox"/>	<input type="checkbox"/>
5. Do handling methods prevent damage and contamination of materials?	<input type="checkbox"/>	<input type="checkbox"/>
6. Are materials stored to prevent damage, contamination and deterioration?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are controls in place to ensure that materials with a shelf life are used within the specified time frame or otherwise removed and/or tested to determine usability?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the system ensure the protection of materials during delivery to and storage at the job site?	<input type="checkbox"/>	<input type="checkbox"/>
Records review (purchasing documents): Consider sampling materials to determine if the above requirements were addressed.		
Summary: Summarize your organization’s overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.		
<input type="checkbox"/> System meets requirements — no nonconformities <input type="checkbox"/> System meets requirements — minor nonconformities noted below <input type="checkbox"/> System does not meet requirements — major nonconformities noted below		

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Installation, application and field quality assurance procedures

Your organization shall plan and carry out installation and application of UL Solutions firestop systems under controlled conditions. These controlled conditions include defined processes for availability of information describing the product characteristics; availability of work instructions, suitable equipment, monitoring and measurement of the process and product; availability and use of monitoring and measuring devices; control of nonconforming product, product identification and traceability; adequate resources (equipment and qualified personnel); and preservation of the product.

Your organization shall use the [FCIA Firestop Manual of Practice](#) (MOP) and any other applicable industry documents as a guide in developing field installation and application procedures.

Records of all field tests shall be maintained showing their results (pass or fail) and any actions taken to resolve nonconformities and comply with UL Solutions firestop systems.

Desired results are more efficiently achieved when activities and related resources are managed as a process. A process is a group of interrelated activities and related resources that transform inputs into outputs. To ensure consistency, these activities should be conducted under controlled conditions, e.g., operational parameters, inspection, monitoring and measuring. This principle, known as the “process approach,” is widely used in the installation and application of products.

Your organization’s installation and application process should be inspected using the process approach. The questions that follow can apply to the organization’s overall installation and application processes.

Questions	Yes	No
1. Does your organization have defined processes for the installation and application of materials and UL Solutions firestop systems?	<input type="checkbox"/>	<input type="checkbox"/>
2. Through a review of records and actual process observation, is your organization following your defined processes?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are field application procedures developed based on industry guidelines (Firestop Contractors International Association)?	<input type="checkbox"/>	<input type="checkbox"/>

4. Are installation and application activities of firestop systems carried out under controlled conditions, including as applicable:		
a. Availability of information describing product characteristics, e.g., drawings, specifications, material list, UL Solutions firestop systems, and manufacturer’s instructions?	<input type="checkbox"/>	<input type="checkbox"/>
b. Availability and use of work instructions, manufacturer’s specification/instructions and other applicable documents that are up to date, and the most current version available?	<input type="checkbox"/>	<input type="checkbox"/>
c. Use of suitable equipment, including equipment recommended by the manufacturers of firestop materials?	<input type="checkbox"/>	<input type="checkbox"/>
d. Availability and use of monitoring and measuring equipment?	<input type="checkbox"/>	<input type="checkbox"/>

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e. Procedures to ensure the application environment is prepared and maintained according to industry guidelines?	<input type="checkbox"/>	<input type="checkbox"/>
f. Procedures to ensure any patching or repair are carried out in such a way to maintain the UL Solutions firestop systems requirements?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the organization carry out all required tests and inspections?	<input type="checkbox"/>	<input type="checkbox"/>
6. Are inspections or tests conducted with calibrated equipment when applicable?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are material and product preserved during delivery, installation and application through controlled conditions related to identification, handling, storage and protection of product?	<input type="checkbox"/>	<input type="checkbox"/>
8. Do installation and application personnel understand their responsibilities with regard to following process requirements and ensuring UL Solutions firestop systems meet specified requirements, including safety, and do they understand what action is to be taken if a nonconformance is detected with the process, product or equipment?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Records review (monitoring and measurement of products, UL Solutions firestop systems/process): Consider a review to determine if the organization is monitoring installation/application and measuring product characteristics as appropriate to verify requirements have been met. This includes visual inspections, routine product verification tests and any monitoring and measurements necessary to meet requirements. In many cases, records are required to be maintained.</p>		
<p>Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as process inputs, process activities, process controls (inspections/tests), process outputs, identification/traceability methods, methods to protect materials/product, details of any areas of noncompliance or areas that are not applicable to the requirements and why.</p>		
<p><input type="checkbox"/> System meets requirements — no nonconformities</p> <p><input type="checkbox"/> System meets requirements — minor nonconformities noted below</p> <p><input type="checkbox"/> System does not meet requirements — major nonconformities noted below</p>		

CHECKLIST

Inspection, testing, calibration and verification

Your organization shall determine the appropriate inspection, testing and calibration/verification to be undertaken at your facility and the on-site installation of UL Solutions firestop systems.

Your organization shall define and implement effective and efficient inspection, test and calibration processes, including methods and devices for verification and validation of products and processes to verify that the installation conforms to construction document requirements. In order to provide confidence in the data, your organization shall select devices that are suitable for the tests and measurements being performed (capability, range and accuracy) and are maintained and calibrated as needed. In addition, your organization shall assess and record the validity of previous measurement results when the devices are found not to conform to requirements.

Inspection reports shall be retained with project records and include corrective actions taken to resolve any nonconformities as a result of inspections or tests. This may include in-process inspections performed at the time of installation by the contractor, installer or third-party inspection service providers. In addition, destructive examination of firestop systems can be performed as well as destructive tests performed on firestop mock-ups or test samples.

Questions	Yes	No
1. Has your organization undertaken monitoring and measuring activities and provided the monitoring and measuring devices, which provide evidence that UL Solutions firestop systems conform to specified requirements?	<input type="checkbox"/>	<input type="checkbox"/>
2. Has your organization ensured that appropriate field inspections and tests are conducted at specified intervals?	<input type="checkbox"/>	<input type="checkbox"/>
3. Where necessary to ensure valid results, are monitoring and measuring devices:		
a. Calibrated or verified at specified intervals, as needed, or prior to use against standards traceable to international or national standards and are records of the results of such calibrations maintained? Note: Hand-held measuring devices, including steel tape measures and steel rules used for installation and verification of firestop systems, shall be validated through observation as fit for use at prescribed intervals.	<input type="checkbox"/>	<input type="checkbox"/>
b. Adjusted or re-adjusted as necessary?	<input type="checkbox"/>	<input type="checkbox"/>
c. Identified to enable the calibration status to be determined, as needed?	<input type="checkbox"/>	<input type="checkbox"/>
d. Safeguarded from adjustments that would invalidate the measurement result?	<input type="checkbox"/>	<input type="checkbox"/>
e. Protected from damage and deterioration during handling, maintenance and storage?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does your organization assess and record the validity of previous measurement results when the monitoring and measuring devices are found not to conform to requirements?	<input type="checkbox"/>	<input type="checkbox"/>

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<p>Records review: Consider a review to determine if your organization is monitoring installation/application and measuring product characteristics.</p>
<p>Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.</p>
<p><input type="checkbox"/> System meets requirements — no nonconformities</p> <p><input type="checkbox"/> System meets requirements — minor nonconformities noted below</p> <p><input type="checkbox"/> System does not meet requirements — major nonconformities noted below</p>

Control of nonconforming materials and systems

Your organization shall ensure that firestop materials and system(s) that do not meet specified requirements are identified and controlled to prevent their unintended use or delivery. The controls, related responsibilities and authorities for dealing with nonconforming materials and systems shall be defined in the MSM and applicable documented procedure.

Records of the nature of nonconformities and any subsequent actions taken shall be maintained. Control of nonconforming materials and systems extends to the installation and application at the job site.

Questions	Yes	No
1. Does your organization have a defined process that defines the controls (identification, documentation, evaluation, segregation and disposition), related responsibilities and authorities for dealing with nonconforming materials and product?	<input type="checkbox"/>	<input type="checkbox"/>
2. Through a review of records and process observation, is your organization following your defined processes?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does your organization deal with nonconforming materials?	<input type="checkbox"/>	<input type="checkbox"/>
a. By taking action to eliminate the detected nonconformity and ensure the nonconformity is contained and corrected?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are records maintained that indicate the nature of the nonconformity and any subsequent actions taken?	<input type="checkbox"/>	<input type="checkbox"/>
5. When nonconforming materials and/or systems are corrected, are they subject to reverification to demonstrate its conformity to specified requirements?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does your organization have controls in place to carry out the following:		

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a. When nonconforming materials or systems are detected after installation or application, does the organization take action appropriate to the potential effects of the nonconformity (including recall of material and products)?	<input type="checkbox"/>	<input type="checkbox"/>
Records review: Consider sampling current nonconforming product in various areas (receiving, in-process, final inspection) as well as records of previous nonconforming product to determine if the organization is complying with the above requirements.		
Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.		
<input type="checkbox"/> System meets requirements — no nonconformities <input type="checkbox"/> System meets requirements — minor nonconformities noted below <input type="checkbox"/> System does not meet requirements — major nonconformities noted below		

Training and qualification of staff

Your organization shall determine and provide the resources needed to implement and maintain the MS and fulfill requirements for the installation of firestop systems in accordance with requirements. Personnel performing firestop system and material selection, installation, inspection, and/or testing shall be competent on the basis of appropriate education, training, skills and experience. Personnel shall demonstrate proficiency by means of examination or equivalent. Effectiveness of the proficiency method must be validated. Records of training, qualification and effectiveness shall be maintained.

Your organization shall determine the necessary level of competence for staff whose work affects the fulfillment of requirements by installation of firestop systems, provides education and training to satisfy these needs, evaluates the effectiveness of the training, maintains appropriate records of education, training, skills and experience, and periodically reevaluates staff competence.

Your organization shall demonstrate that the DRI and responsible personnel have appropriate skills and knowledge with regard to the selection and application of firestop systems in accordance with manufacturer application requirements, specific UL Solutions firestop systems and established industry guidelines ([FCIA Manual of Practice](#)).

CHECKLIST

Questions	Yes	No
1. Has your organization addressed personnel competence, awareness and training with regard to the following:		
a. DRI on staff that has passed the required UL Solutions exam and has maintained required continuing education units (CEUs) or reexamination?	<input type="checkbox"/>	<input type="checkbox"/>
b. Determined the necessary competence for personnel performing work (personnel performing installation, application, inspection, testing and repair or rework)?	<input type="checkbox"/>	<input type="checkbox"/>
c. Provided training or other necessary actions to satisfy these needs?	<input type="checkbox"/>	<input type="checkbox"/>
d. Evaluated the effectiveness of the actions taken?	<input type="checkbox"/>	<input type="checkbox"/>
e. Ensure that personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of product quality and/or safety?	<input type="checkbox"/>	<input type="checkbox"/>
f. Maintaining appropriate records of education, training, skills and experience?	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the competency of personnel periodically reevaluated, including that of the DRI?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does your organization have a formal contingency plan in the event that the DRI is no longer employed by the contractor or is otherwise unable to fulfill the duties of DRI so that requirements of the program will continue to be fulfilled?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Records review: Consider sampling record of personnel training, qualification and experience to determine compliance with the above requirements.</p>		
<p>Summary: Summarize the organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements.</p>		
<p><input type="checkbox"/> System meets requirements — no nonconformities</p> <p><input type="checkbox"/> System meets requirements — minor nonconformities noted below</p> <p><input type="checkbox"/> System does not meet requirements — major nonconformities noted below</p>		

CHECKLIST

9.2.8 Corrective action

Your organization shall use corrective action as a tool to address nonconformities and as a tool for improvement. Corrective actions should be focused on eliminating causes of nonconformities in order to prevent recurrence. Sources of information for corrective action should include customer complaints, process and product nonconformity reports, audit results, test results, measurements and inspections, etc. The MS documentation shall include a procedure to define requirements for:

- Reviewing nonconformities (including test failures and customer complaints).
- Determining the causes of nonconformities.
- Determining and implementing the actions needed to correct the nonconformity and prevent recurrence.
- Recording the results of actions taken.
- Reviewing the effectiveness of actions taken.

Questions	Yes	No
1. Does your organization have a defined process for the corrective action system, and does it address the following:		
a. Reviewing nonconformities (customer complaints, material, process/product, audits, trends, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>
b. Determining the cause of the nonconformity?	<input type="checkbox"/>	<input type="checkbox"/>
c. Evaluating the need for action to correct the nonconformity and ensuring that the nonconformity does not reoccur?	<input type="checkbox"/>	<input type="checkbox"/>
d. Determining and implementing the action needed?	<input type="checkbox"/>	<input type="checkbox"/>
e. Maintaining records of the action taken?	<input type="checkbox"/>	<input type="checkbox"/>
f. Reviewing the effectiveness of the action taken?	<input type="checkbox"/>	<input type="checkbox"/>
2. Through a review of records, is your organization following their defined corrective action system?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does your organization review customer complaints and process/product nonconformities as an input into the corrective action system?	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the cause of the nonconformities determined?	<input type="checkbox"/>	<input type="checkbox"/>
5. Is appropriate action taken to correct the nonconformities and prevent reoccurrences?	<input type="checkbox"/>	<input type="checkbox"/>
6. Are actions taken reviewed for effectiveness, including those related to certification body (CB) (e.g., audits, inspections of lots, review of inspection and/or test data, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>
Records review: Consider sampling record of your corrective action to determine compliance with the above requirements.		

CHECKLIST

Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.

- System meets requirements — no nonconformities

- System meets requirements — minor nonconformities noted below

- System does not meet requirements — major nonconformities noted below

9.2.9 Management system monitoring and improvement

Your organization shall provide evidence of its commitment to the development and implementation of an MS. This can be effectively achieved if management communicates to the contractor organization the importance of meeting requirements; establishes a policy and objectives related thereto; defines and communicates responsibilities and authorities within the organization; conducts management reviews; provides adequate resources.

Your organization shall continually improve the effectiveness of the MS through the use of the inspection results, analysis of data, corrective and preventive actions, and management review. Your organization's DRI shall audit activities and responsibilities that are outside his/her direct control to ensure the MS is effectively implemented. These audits shall be planned and take into consideration the status and importance of the activity to be audited as well as the results of previous audits. The DRI has responsibility for planning, conducting, reporting audit results and maintaining audit records. These responsibilities and requirements should be documented.

Your organization's DRI, optionally with top management, should review the suitability, adequacy and effectiveness of the MS at planned intervals. The inputs into management review should include:

- Management objectives
- Results of inspections
- DRI audits
- Staff competency
- Customer feedback
- Project nonconformities
- UL Solutions feedback
- Status of corrective
- Preventive actions
- Follow-up actions from previous management reviews
- Changes that could affect the MS, and
- Recommendations for improvement.

The output from management review should include decisions and actions related to improvement of the effectiveness of the MS, improvement of processes related to fulfilling requirements, and resources. Records from management reviews should be maintained.

CHECKLIST

Questions	Yes	No
1. Does evidence exist (observed or documented) of management's commitment to the development and implementation of an MS?	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the DRI, in accordance with a documented procedure, audit activities that are outside his/her direct control to ensure the MS is effectively implemented?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the DRI plan, conduct, report audit results and maintain audit records?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does management review the suitability, adequacy and effectiveness of the MS at planned intervals?	<input type="checkbox"/>	<input type="checkbox"/>
5. Do the inputs into management review include the following:		
a. Management objectives?	<input type="checkbox"/>	<input type="checkbox"/>
b. Customer feedback and UL Solutions feedback?	<input type="checkbox"/>	<input type="checkbox"/>
c. Results of inspections (process performance and product conformity)?	<input type="checkbox"/>	<input type="checkbox"/>
d. DRI audits?	<input type="checkbox"/>	<input type="checkbox"/>
e. Status of corrective and preventive actions?	<input type="checkbox"/>	<input type="checkbox"/>
f. Staff competency?	<input type="checkbox"/>	<input type="checkbox"/>
g. Follow-up actions from previous management reviews?	<input type="checkbox"/>	<input type="checkbox"/>
h. Changes that could affect the MS and recommendations for improvement?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the output from management review include decisions and actions related to the following:		
a. Improvement of the effectiveness of the MS?	<input type="checkbox"/>	<input type="checkbox"/>
b. Improvement of installations and applications of product related to customer requirements?	<input type="checkbox"/>	<input type="checkbox"/>
c. Resources?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are records of the results of management review maintained?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements and why.</p>		

CHECKLIST

- System meets requirements — no nonconformities

- System meets requirements — minor nonconformities noted below

- System does not meet requirements — major nonconformities noted below

Documentation and record-keeping

Your organization should establish a documented system that is controlled and includes a policy, a manual, procedures, work instructions and additional documents and records so that processes and activities are carried out as planned to meet requirements.

Your organization should have a documented system in place to define the controls required for:

- Approval of documents for adequacy prior to use.
- Review and update of documents.
- Changes and identification of revision status of documents.
- Availability of relevant documents at points of use.
- Legibility and document identification.
- Documents of external origin (identification and distribution control).
- Prevention of unintended use of obsolete documents.

Records are a special type of document that require specific controls (identification, storage, protection, retrieval, retention and disposition). The contractor shall establish a documented system for the control of records.

Included in the MS documentation is a manual (or equivalent) that contains documented statements of policy and objectives, procedures established for the MS (or reference to them), documents needed by the contractor for the effective operation of the management system and responsibilities (including responsibilities of the DRI).

Records shall be established and maintained to provide evidence of conformity to requirements and of the effective operation of the MS. Records shall remain legible, readily identifiable and retrievable and shall be retained for a period of seven (7) years or as required by code or government regulation.

CHECKLIST

Questions	Yes	No
1. Does your organization have a documented manual that includes the following:		
a. Documented procedures or references to them?	<input type="checkbox"/>	<input type="checkbox"/>
b. Description of the interaction between processes or activities within the system?	<input type="checkbox"/>	<input type="checkbox"/>
c. Quality policy?	<input type="checkbox"/>	<input type="checkbox"/>
2. Does your organization have a documented procedure for the following:		
a. Approval of documents for adequacy prior to issue?	<input type="checkbox"/>	<input type="checkbox"/>
b. Review and update of documents as necessary with re-approvals?	<input type="checkbox"/>	<input type="checkbox"/>
c. Identification of document changes and current revision status?	<input type="checkbox"/>	<input type="checkbox"/>
d. Availability of relevant versions of documents at points of use?	<input type="checkbox"/>	<input type="checkbox"/>
e. Ensuring documents are legible and readily identifiable?	<input type="checkbox"/>	<input type="checkbox"/>
f. Ensuring documents of external origin are identified and their distribution controlled?	<input type="checkbox"/>	<input type="checkbox"/>
g. Preventing unintended use of obsolete documents and identifying such documents if they are retained?	<input type="checkbox"/>	<input type="checkbox"/>

3. Does your organization have a documented procedure for the following?		
a. Identification of records?	<input type="checkbox"/>	<input type="checkbox"/>
b. Protection of records?	<input type="checkbox"/>	<input type="checkbox"/>
c. Retrieval of records?	<input type="checkbox"/>	<input type="checkbox"/>
d. Retention times of records?	<input type="checkbox"/>	<input type="checkbox"/>
e. Disposition of records?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are the following records maintained, at a minimum?		
a. Construction records, including contracts and amendments?	<input type="checkbox"/>	<input type="checkbox"/>
b. Incoming material inspection?	<input type="checkbox"/>	<input type="checkbox"/>
c. Installation inspection and test records?	<input type="checkbox"/>	<input type="checkbox"/>

CHECKLIST

d. Equipment calibration records?	<input type="checkbox"/>	<input type="checkbox"/>
e. Customer complaints records, with corrective action (and preventative action as appropriate)?	<input type="checkbox"/>	<input type="checkbox"/>
f. Corrective and preventive action records?	<input type="checkbox"/>	<input type="checkbox"/>
g. Nonconforming material records?	<input type="checkbox"/>	<input type="checkbox"/>
h. Staff education, training, competency evaluations and training effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>
i. Management review records?	<input type="checkbox"/>	<input type="checkbox"/>
5. Through a review of the document control system and actual documents found in use, is your organization following a defined process for the control of documents?	<input type="checkbox"/>	<input type="checkbox"/>
6. Through a review of records and your organization's actual practice, is the organization following their defined process for control of records?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Document review: Consider sampling different types of documents (procedures, work-instructions, specifications, documents of external control, etc.) and verify that documents comply with specified controls.</p>		
<p>Summary: Summarize your organization's overall level of compliance with regard to the requirements of this section. Add any additional useful information, such as details of any areas of noncompliance or areas that are not applicable to the requirements.</p>		
<p><input type="checkbox"/> System meets requirements — no nonconformities</p> <p><input type="checkbox"/> System meets requirements — minor nonconformities noted below</p> <p><input type="checkbox"/> System does not meet requirements — major nonconformities noted below</p>		

CHECKLIST

Conclusion

Your organization shall implement and maintain an MS and continually improve its effectiveness. In summary, your organization shall:

- Identify the processes needed for the management system and determine the sequence and interaction of these processes.
- Determine that the identified processes are effective.
- Ensure that sufficient resources are available to support the operation and monitoring of these processes.
- Document the processes in writing by means of a manual, which includes defined responsibilities and authority of the DRI.
- Monitor, measure and analyze to improve the processes continually.
- Maintain control of any outsourced processes that could affect the conformity of selection and installation of firestop systems with requirements.

Summarize the effectiveness of the MS in accordance with the criteria below. The term “effectiveness” is defined as “the extent to which planned arrangements are realized and planned results achieved.”

Summary questions	Yes	No
1. Was the system found to be established, documented, implemented and maintained in accordance with the program requirements and this checklist?	<input type="checkbox"/>	<input type="checkbox"/>
2. Was it determined that the organization identified the criteria and methods needed to ensure the effective operation and control of their processes?	<input type="checkbox"/>	<input type="checkbox"/>
3. Was it determined that the organization provided adequate resources and information to support the operation and monitoring of the processes within the system?	<input type="checkbox"/>	<input type="checkbox"/>
4. Was it determined that the organization identified the required monitoring, measurements and analysis of data to ensure the effectiveness of the processes in achieving requirements?	<input type="checkbox"/>	<input type="checkbox"/>
Additional comments:		



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