UL QUALIFIED FIRESTOP CONTRACTOR PROGRAM -

CONTRACTOR MANAGEMENT SYSTEM (MS) CHECKLIST

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INTRODUCTION

The Contractor Management System (MS) Checklist is intended to help organize and streamline your effort in determining compliance with UL's Qualified Firestop Contractor Program Requirements defined in the Program Requirements document.

You can gain a better understanding of the Program as it applies to your company by reviewing these questions. You may wish to discuss them with others at your firm to enhance everyone's understanding of the Program Requirements and inspection process.

You should be aware that although the following questions include all MS requirements of the Program, they do not necessarily cover all aspects of the inspection. However, the proper use of this checklist will give you a good sample of your organization's compliance to the Program Requirements.

1.0 SCOPE

The use of this checklist applies to UL's Qualified FIRESTOP Contractor Program.

2.0 DEFINITIONS

Refer to the Qualified Firestop Contractor Program Requirements

3.0 APPLICABLE DOCUMENTS

Doc. #	Title
00-BL-S0404	**UL Qualified Firestop / SFRM Contractor Program Operations Procedure**
00-BL-S0405	Qualified FIRESTOP Contractor Program Requirements

4.0 QUALIFIED CONTRACTOR PROGRAM

This checklist is based on the requirements found in UL's Qualified Firestop Contractor Program Requirements. This checklist provides a tool for determining your organization's overall ability to comply with the Program Requirements.

UL's Qualified Contractor Program offers this industry independent, third party inspection services for the following:

    A.   Acknowledgement of a Designated Responsible Individual (DRI) who has met, applicable Program Requirements, and passed a written exam that tests knowledge.

    B.   Examination of Contractor's established Management System and an on-site assessment to determine conformance with program requirements.

5.0 EXPECTATIONS

The Contractor organization shall implement a MS that addresses all requirements found in the Qualified Firestop Contractor Program Requirements for which they are seeking approval, including the following:

5.1 Demonstrated Knowledge

As evidenced by at least one Designated Responsible Individual (DRI) meeting the minimum examination requirements as stated in the applicable Program Requirements.

5.2   Management System

Includes a MS Manual, processes and procedures for

      A.   Construction Documents Requirements and Review

      B.   Procurement of Materials

      C.   Storage, Handling, Preservation and Delivery

      D.   Installation, Application and Field Quality Assurance Procedures

      E.   Inspection, Testing and Calibration

      F.   Control of Nonconforming Product

      G.   Training and Qualification of Staff

      H.   Corrective/Preventive Action

      I.   Management System Monitoring and Improvement

      J.   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.

6.0   INSPECTION METHODOLOGY

6.1   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 – Provides an overview of the process to be inspected.
Inspection Instructions – Provides basic instructions for inspecting the process.
Questions – Provides questions to be answered during the inspection and includes questions that are directly related to the Program Requirements.
Records Review – Provides for the recording of evidence reviewed during the inspection.
Summary – Provides for the recording of the Contractor's overall level of compliance with regard to the requirements of the section.

To conduct the inspection effectively, it is recommended to 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 as follows:

Facility Tour >> Review of MS Manual (if not done previously) >> Construction Documents Requirements and Review >> Procurement >> 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/Preventive Action >> Quality System Monitoring and Improvement >> Documentation and Record Keeping.

6.2   Nonconformance

A nonconformance may be either, (a) a non-fulfillment of specified requirements, as defined in either the contract, Program Requirements, 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, or

- reduce its ability to assure controlled processes, or

- result in the probable shipment or installation of nonconforming product or system.

Major – is:

- The absence or total breakdown of a MS or element thereof required to meet the applicable requirements. A number of minor nonconformities against one requirement which 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.

7.0   CHECKLIST QUESTIONS

7.1   Management System Manual

Overview – Your organization shall have a Management System Manual that includes or makes reference to the procedures established for the Management System and description of the interaction between the processes of the Management System.

The manual shall describe the scope of the management system to comply with the UL Contractor Program Requirements. No exclusions from the UL Contractor Program Requirements are allowed.

Questions:
1. Management System Manual - Does your organization have a documented manual?
2. Scope – Is the scope of the Management System described in the manual and is the intent to comply with the UL Contractor Program Requirements?
3. Exclusion – Are there any exclusions from the UL Contractor Program Requirements?

8.1 Pre-Initial Audit Readiness Review

Overview – 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:	Y	N
1. Does the DRI possess a current UL QFC Program DRI Letter of Completion?	☐	☐
2. Does the organization have at least one project that complies with the requirements of the management system for Construction Document Requirements and Review?	☐	☐
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 & Record Keeping (9.2.10)?	☐	☐
4. Does the organization have sufficient records of management system activities: - 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 & Inspection - Training Records - Corrective Actions - DRI Audits - Management Reviews	☐	☐
5. Can the organization demonstrate that it has a corrective action system for customer complaints, process and product nonconformities and audit findings?	☐	☐
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?	☐	☐

9.2.1	Construction Document Requirements and Review

Overview – 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 includes a review of applicable construction documents (architectural drawings, structural drawings, mechanical drawings, plumbing drawings, electrical drawings, project specifications as applicable for the project), project scope, applicable UL firestop systems and designs to determine the type of product or products to be used, the fire resistive design specified for the project, to identify any inconsistencies, and to adequately define and understand all requirements.

Appropriate UL firestop systems shall be chosen to meet the construction documents and requirements of the AHJ. 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. Defined Process - Does your organization have a defined process for determining and reviewing the requirements specified by the customer?	☐	☐
2. Actual Practice - Through a review of records and actual process observation is your organization following the defined process?	☐	☐
3. Contract / Project Review - Does the review ensure that all requirements are defined including:		
Construction documents (i.e., project specifications, plans)	☐	☐
4. Differences / Conflicting Requirements- Does the review ensure that all differences or inconsistencies, if any, are resolved (in writing) prior to acceptance of the contract?	☐	☐
5. UL Firestop Systems - Does the review ensure that the appropriate UL 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 ?	☐	☐
6. Reviewer - 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 UL firestop system design?	☐	☐
7. Records - Are records of the results of the review including any actions arising from the review maintained?	☐	☐
8. Changes - Where requirements are changed does the organization ensure that relevant documents are amended and the changes communicated to relevant parties?	☐	☐
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 non-compliances 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

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9.2.2   Procurement of Materials

Overview – 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 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 re-evaluation 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, 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.

Questions:	Yes	No
1. Defined Process - Does your organization have a defined process to ensure purchased product conforms to specified requirements?	☐	☐
2. Actual Practice - Through a review of records and interviews is your organization following their defined process?	☐	☐
3. Evaluation of Suppliers – Has your organization established the criteria for selecting suppliers and does it include an evaluation / re-evaluations of suppliers with supporting documents?	☐	☐
4. Purchasing Information– 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?	☐	☐
a. Product specifications, product identification / traceability and any requirements for approval of product (source verification), processes or equipment?	☐	☐
b. Listed material requirements?	☐	☐
5. Verification of Purchased Product – Has the organization established and implemented inspection or other activities to ensure that purchased product meets specified requirements.		
6. When product does not meet requirements, is it identified and controlled to prevent its unintended use?	☐	☐
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 non-compliances 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

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9.2.3 Storage, Handling, Preservation and Delivery

Overview – 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 deterioration of materials. This requirement extends to the job-site.

Questions:	Ye	No
1. Defined Process - Does your organization have a defined process for labeling, storage, handling, preservation and delivery of materials to prevent misuse, contamination, damage and deterioration?	☐	☐
2. Job-Site – Does the process and requirements extend to the job-site?	☐	☐
3. Actual Practice - Through a review of records, interviews and actual practice observations is your organization following defined process?	☐	☐
4. Identification - Does the process ensure that all materials are adequately labeled or identified with manufacturer name, product name, etc.?	☐	☐
5. Handling - Do handling methods prevent damage and contamination of materials?	☐	☐
6. Storage - Are materials stored to prevent damage, contamination and deterioration?		
7. Shelf Life - Are controls in place to ensure that material with a shelf life are used within the specified prior or otherwise removed and / or tested to determine usability?	☐	☐
8. Delivery - Does the system ensure the protection of materials during delivery to and storage at the job-site?	☐	☐

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 non-compliances 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

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9.2.4 Installation, Application and Field Quality Assurance Procedures

Overview – Your organization shall plan and carry out installation and application of UL 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 firestop systems.

Instruction – 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 transforms inputs into outputs. To ensure consistency, these activities should be conducted under controlled conditions (operational parameters, inspection, monitoring and measuring). This principal, known as the "process approach", is widely used in the installation and application of products.

Overall process measures
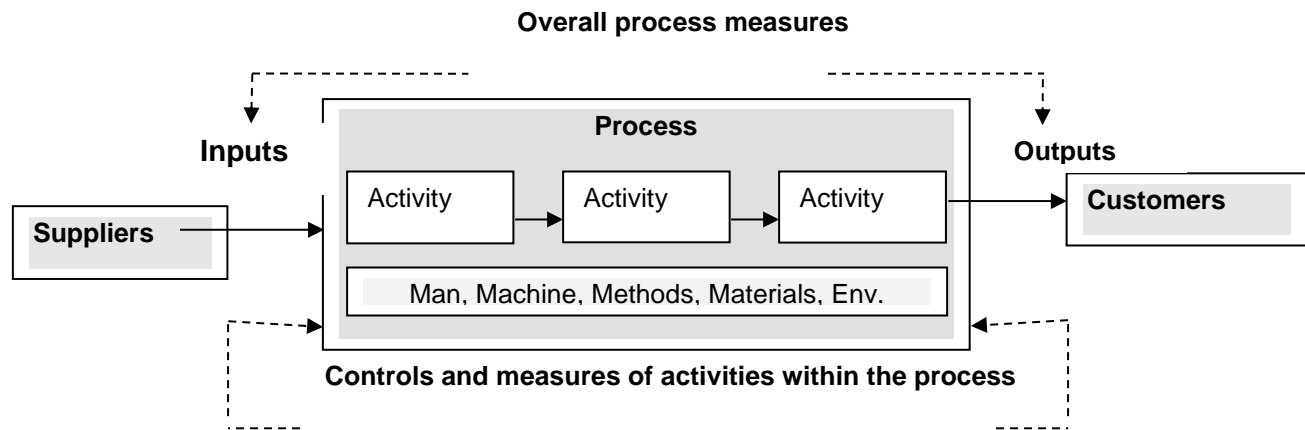
Your organization's installation and application process should be inspected using the process approach. The **Questions** that follow can apply to the organization's overall installation and application processes.

Questions:	Yes	No
1. Defined Processes - Does your organization have defined processes for the installation and application of materials and UL firestop systems?	☐	☐
2. Actual Practice - Through a review of records and actual process observation is your organization following your defined processes?	☐	☐
3. Procedures – Are field application procedures developed based on industry guidelines (FCIA)?		

4. Controlled Conditions – Are installation and application activities of Firestop Systems carried out under controlled conditions, including as applicable:		
a. Availability of information describing product characteristics (drawings, specifications, material list, UL firestop systems) and manufacturer's instructions?	☐	☐
b. Availability and use of work instructions, manufacturer's specification / instructions and other applicable documents, which are up-to date, the most current version available?	☐	☐
c. Use of suitable equipment including equipment recommended by the manufacturers of FIRESTOP materials?	☐	☐
d. Availability and use of monitoring and measuring equipment?	☐	☐
e. Procedures to ensure the application environment is prepared and maintained according to industry guidelines?	☐	☐
f. Procedures to ensure any patching or repair are carried out in such a way to maintain the UL firestop systems requirements?	☐	☐
5. Monitoring and Measurement – Does the organization carryout all required tests and inspections?	☐	☐
6. Monitoring and Measurement Devices – Are inspections or tests conducted with calibrated equipment when applicable?	☐	☐
7. Preservation of Product – Is material and product preserved during delivery, installation and application through controlled conditions related to identification, handling, storage and protection of product?	☐	☐
8. Installation Personnel – Do installation and application personnel understand their responsibilities with regard to following process requirements and ensuring UL firestop systems meets 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?	☐	☐
Records Review (Monitoring and Measurement of Products, UL 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 required to meet requirements. In many cases records are required to be maintained.		
Summary: 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 non-compliances 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

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9.2.5 Inspection, Testing, Calibration/Verification

Overview – Your organization shall determine the appropriate inspection, testing, and calibration/verification to be undertaken at your facility and at the on-site installation of UL 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, the Organization shall select devices that are suitable for the tests and measurements being performed (capability, range and accuracy, etc.) 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 but is not limited to 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. Monitoring and Measuring – Has your organization undertaken monitoring and measuring activities and provided the monitoring and measuring devices which provides evidence that UL firestop systems conform to specified requirements?	☐	☐
2. Field Inspections / Tests – Has your organization ensured that appropriate field inspections and tests are conducted at specified intervals	☐	☐
3. Monitoring and Measuring Devices– 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? Hand 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.	☐	☐
b. Adjusted or re-adjusted as necessary?	☐	☐
c. Identified to enable the calibration status to be determined, as needed?	☐	☐
d. Safeguarded from adjustments that would invalidate the measurement result?	☐	☐
e. Protected from damage and deterioration during handling, maintenance and storage?	☐	☐
4. Monitoring and Measuring Results– 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?	☐	☐
Records Review: *Consider a review to determine if your organization is monitoring installation / application and measuring product characteristics*		
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 non-compliances 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

9.2.6 Control of Nonconforming Materials and Systems

Overview – 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 Management System Manual 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 project / job-site.

Questions:	Yes	No
1. Defined Process – 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?	☐	☐
2. Actual Practice - Through a review of records and process observation is your organization following your defined processes?	☐	☐
3. Control - Does your organization deal with non-conforming materials?	☐	☐
By taking action to eliminate the detected nonconformity and ensure the nonconformity is contained and corrected?	☐	☐
4. Records – Are records maintained which indicate the nature of the nonconformity and any subsequent actions taken?	☐	☐
5. Re- Verification – When nonconforming materials and/or systems are corrected are they subject to re-verification to demonstrate its conformity to specified requirements?	☐	☐
6. Control after Delivery – Does your organization have controls in place to carry out the following:		
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)?	☐	☐

Records Review: *Consider sampling current nonconforming product in various areas (receiving, in-process, final inspection, etc.) 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 non-compliances 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

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9.2.7 Training and Qualification of Staff

Overview – Your organization shall determine and provide the resources needed to implement and maintain the Management System and fulfill requirements for the installation of firestop systems in accordance with requirements. Personnel performing firestop system and material selection, material 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; provide education and training to satisfy these needs; evaluate the effectiveness of the training; maintain appropriate records of education, training, skills and experience; periodically re-evaluate 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 firestop systems; established industry guidelines (FCIA Manual of Practice).

Questions:	Yes	No
1. Competence / Training – Has your organization addressed personnel competence, awareness and training with regard to the following:		
a. DRI on staff that has passed the required UL Exam and has maintained required CEUs or reexamination?	☐	☐
b. Determined the necessary competence for personnel performing work (personnel performing installation, application, inspection, testing and repair or rework)?	☐	☐
c. Provided training or other necessary actions to satisfy these needs?	☐	☐
d. Evaluated the effectiveness of the actions taken?	☐	☐
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?	☐	☐
f. Maintaining appropriate records of education, training, skills and experience?	☐	☐
2. Reevaluation - Is the competency of personnel periodically reevaluated including that of the DRI?	☐	☐
3. Contingency Plan – Does your organization have a formal Contingency Plan in the event 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?	☐	☐

Records Review: *Consider sampling record of personnel training, qualification and experience to determine compliance with the above requirements.*

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 non-compliances or areas that are not applicable to the requirements.

☐ - System meets Requirements – No Nonconformities

☐ - System meets Requirements – Minor Nonconformities Noted Below

☐ - System does not meet Requirements – Major Nonconformities Noted Below

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9.2.8   Corrective Action

Overview – 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. Defined Process – 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.)?	☐	☐
b. Determining the cause of the nonconformity?	☐	☐
c. Evaluating the need for action to correct the nonconformity and ensuring that the nonconformity does not reoccur?	☐	☐
d. Determining and implementing the action needed?	☐	☐
e. Maintaining records of the action taken?	☐	☐
f. Reviewing the effectiveness of the action taken?	☐	☐
2. Actual Practice - Through a review of records is your organization following their defined corrective action system?	☐	☐
3. Review of Nonconformities – Does your organization review customer complaints, process / product nonconformities as an input into the corrective action system?	☐	☐
4. Root Cause – Is the cause of the nonconformities determined?	☐	☐
5. Action – Is appropriate action taken to correct the nonconformities and prevent reoccurrences?	☐	☐
6. Review – Are actions taken reviewed for effectiveness, including those related to CB (e.g. audits, inspections of lots, review of inspection and/or test data, etc.)?	☐	☐

Records Review: *Consider sampling record of your corrective action to determine compliance 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 non-compliances 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

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9.2.9 Management System Monitoring and Improvement

Overview – Your organization shall provide evidence of their commitment to the development and implementation of a 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 assure the Management System 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 feedback; status of corrective and preventive actions; follow-up actions from previous management reviews; changes that could affect the Management System 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.

Questions:	Yes	No
1. Commitment - Does evidence exist (observed or documented) of management's commitment to the development and implementation of a MS?	☐	☐
2. DRI Audit Procedure – Does the DRI in accordance with a documented procedure audit activities that are outside his/her direct control to assure the MS is effectively implemented?	☐	☐
3. DRI Audit – Does the DRI plan, conduct, report audit results and maintain audit records?	☐	☐
4. Management Review – Does management review the suitability, adequacy and effectiveness of the MS at planned intervals?	☐	☐
5. Management Review Inputs- Does the inputs into management review include the following:		
a. Management Objectives?	☐	☐
b. Customer feedback and UL feedback?	☐	☐
c. Results of inspections (process performance and product conformity)?	☐	☐
d. DRI Audits?	☐	☐
e. Status of corrective and preventive actions?		
f. Staff Competency?		
g. Follow-up actions from previous management reviews?		
h. Changes that could affect the MS and recommendations for improvement?	☐	☐
6. Management Review Output- Does the output from management review include decisions and actions related to the following:		
a. Improvement of the effectiveness of the MS?	☐	☐
b. Improvement of installations and applications of product related to customer requirements?	☐	☐
c. Resources?	☐	☐
7. Records - Are records of the results of management review maintained?	☐	☐

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 non-compliances 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

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9.2.10   Documentation and Record Keeping

Overview – 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:

a.   approval of documents for adequacy prior to use;
b.   review and update of documents;
c.   changes and identification of revision status of documents;
d.   availability of relevant documents at points of use;
e.   legibility and document identification;
f.   documents of external origin (identification and distribution control);
g.   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), which 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; 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 7 years or as required by code or government regulation.

Questions:	Yes	No
1. Quality Manual - Does your organization have a documented manual that includes the following:		
a. Documented procedures or reference to them?	☐	☐
b. Description of the interaction between processes or activities within the system?	☐	☐
c. Quality Policy?	☐	☐
2. Control of Documents – Does your organization have a documented procedure for the following:		
a. Approval of documents for adequacy prior to issue	☐	☐
b. Review and up-dates of documents as necessary with re-approvals.	☐	☐
c. Identification of document changes and current revision status?	☐	☐
d. Availability of relevant versions of documents at points of use?	☐	☐
e. Ensuring documents are legible and readily identifiable?	☐	☐
f. Ensuring documents of external origin (Certification Body Procedures, Standards, etc.) are identified and their distribution controlled?	☐	☐
g. Preventing unintended use of obsolete documents and identifying such documents if they are retained?	☐	☐

3. Control of Records (General) – Does your organization have a documented procedure for the following?		
a. Identification of records?	☐	☐
b. Protection of records?	☐	☐
c. Retrieval of records?	☐	☐
d. Retention times of records?	☐	☐
e. Disposition of records?	☐	☐
4. Control of Records (Required) – Are the following records maintained, at a minimum?		
a. Construction records including contracts and amendments	☐	☐
b. Incoming material inspection?	☐	☐
c. Installation inspection and test records?	☐	☐
d. Equipment calibration records?	☐	☐
e. Customer complaints records, with Corrective Action (and Preventative Action as appropriate)?	☐	☐
f. Corrective and Preventive Action records?	☐	☐
g. Non-conforming material records?	☐	☐
h. Staff education, training, competency evaluations and training effectiveness	☐	☐
i. Management review records?	☐	☐
5. Actual Practice (Documents) - Through a review of the document control system and actual documents found in use is your organization following defined process for the control of documents?	☐	☐
6. Actual Practice (Records) - Through a review of records and your organizations actual practice is the organization following their defined process for control of records?	☐	☐
Document Review: *Consider sampling different types of documents (procedures, work-instructions, specifications, documents of external control, etc.) and verify that the controls specified in question #2 have been complied with.*		
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 non-compliances or areas that are not applicable to the requirements.		
☐ - System meets Requirements – No Nonconformities ☐ - System meets Requirements – Minor Nonconformities Noted Below ☐ - System does not meet Requirements – Major Nonconformities Noted Below _____ _____ _____ _____ _____		

10.   Conclusion

Overview – Your organization shall implement and maintain a Management System, and shall continually improve its effectiveness. In summary, your organization shall:

a.   Identify the processes needed for the management system and determine the sequence and interaction   of these processes;
b.   Determine that the identified processes are effective;
c.   Ensure that sufficient resources are available to support the operation and monitoring of these   processes;
d.   Document the processes in writing by means of a manual, which includes defined responsibilities and   authority of the DRI;
e.   Monitor, measure and analyze to continually improve the processes;
f.   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?	☐	☐
2. Was it determined that the organization identified the criteria and methods needed to ensure the effective operation and control of their processes?	☐	☐
3. Was it determined that the organization provided adequate resources and information to support the operation and monitoring of the processes within the system?	☐	☐
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?	☐	☐

Additional Comments:

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