RULES FOR THE CERTIFICATION OF THE PRODUCT

Table for approvals and reviews:

Review 5.1	
Why: Clarification of activities to be carried out according to the schedules, execution times of activities, responsible for the activities and additional charges for reprogramming.	
Impact for users: None.	
Detail of the change: **Rev.5.1** 1. The times for approval of the 3-day audit plan are adjusted(P.10) 2. The Audit Plan will be made and sent to the client and the Auditor by the certification engineer (P.10) 3. It is defined that once the service has been paid the account executive will request and send the invoice to the customer. (P.9) 4. Suspension for non-payment, maintenance and activities established in (46-IC-C0001). (P14.6) 5. It indicates how much is the suspension time and what should be taken into account for its reactivation (P14.7).	
Program Owner (Propietario del documento) Héctor Garzón– 09/20/2017	Local Quality Manager (Originador y Aprobador) Martha Cecilia Rodriguez Herrera 09/20/2017

INDEX

1.0 PURPOSE

Establish the requirements under which UL de Colombia S.A.S. performs product certification activities that are included in its scope of accreditation.

2.0 SCOPE

The rules of the certification service cover the activities for the selection, evaluation and certification decision with schemes 1b, 4 and 5 of ISO/IEC 17067 for those products covered by the Technical Regulations mentioned below:

a. Technical Regulation of Electrical Installations (RETIE)
b. Technical Regulation of Lighting and Public Lighting (RETILAP)
c. Technical Regulation of Labeling (RETIQ)
d. Technical Regulation applicable to appliances such as Refrigerators, Freezers, Combination of Refrigerators-Freezers for domestic use
e. Technical Regulation for some gas appliances

2.1 Credited Certification Organism

UL de Colombia S.A.S., a legal entity of the UL family of companies, is an accredited body to operate the certification schemes under ONAC accreditation. Only agencies accredited by ONAC can carry out product conformity certifications under the technical regulations issued by the Ministries and issue a certification of conformity if the product complies with the requirements of the technical regulations and/or referenced normative documents. In addition, UL de Colombia S.A.S. uses personnel employed or for rendering of services under contract according to the current Colombian regulation.

2.2 Products covered by ONAC's Crediting

The technical regulations to which UL de Colombia S.A.S. requests accreditation, specify the products in which it will be authorized to certify. The detail appears in each of the General Schemes for Evaluation and Decision of Certification and in the Certificate of Accreditation issued by ONAC.

2.3 Products excluded from ONAC's Crediting

There are exclusions of products that are mentioned in the technical regulations, which UL de Colombia S.A.S. will be careful to verify to inform the client for the lack of a need for certification of conformity. However, it will always be the obligation of the client to be informed of the applicability of a technical regulation for his product, without prejudice to his understanding for UL de Colombia S.A.S.

3.0 APPLICABLE DOCUMENTS

UL de Colombia S.A.S. shall keep all internal and external documents related to the development of conformity assessment activities up to date.

4.0 TERMS AND DEFINITIONS

The relevant definitions in ISO/IEC 17000, ISO/IEC 17020, ISO/IEC 17021, ISO/IEC 17025, ISO/IEC 17065, ISO/IEC 17067, those contained in the corresponding Technical Regulations and other normative documents are established and shall be taken into account together with the following, for the correct application of this procedure:

- **Certification Agreement:** UL has defined the following documents as the legally enforceable agreement to provide certification activities to its customers: The Certification Services Quotation (46-IC-F0016) and the Product Certification Rules (46-IC-C0001); and once the product is certified the Trademark Use Manual (46-IC-C0002) and the Certification Services Contract (46-IC-F0001). In this way it is considered legally responsible for all its certification activities.
- **Service Scope:** The Customer requests UL to provide the product certification service. UL will analyze, evaluate and investigate the Products presented and reserve the right to refuse any request for Service if UL's conditions and requirements are not met or its internal policies and procedures are violated.
- **Customer**: Organization or person responsible before UL de Colombia S.A.S. to ensure that certification requirements are met, including product requirements
- **Non-Compliance**: Breach of a requirement.
- **Major Non-Compliance**: Non-compliance that could eventually and potentially affect the safety of the product or performance requirements applicable to the product, for example, that the manufacturer makes modifications or changes to the product already evaluated without having made the corresponding notification to UL de Colombia S.A.S. for its re-evaluation, misuse of conformity marks or certificates, etc.
- **Critical Non-Compliance**: Non-compliance of features that directly affect the safety of the product, or the performance requirements applicable to the product or its user, whether for its operation, application or use. For example, noncompliance with a legal requirement of the product.
- **Minor Non-Compliance:** Documental failure to comply that is timely or unsystematic, non-severe nor recurrent that does not affect the safety of the product or its user and/or compliance with performance or user requirements, such as symbolic labeling errors. They may also be referred to as observations.
- **Observation**: Finding that, although not a non-fulfillment or deviation of requirements, it is detected as weak, redundant, or too complex and it's considered suitable for the improvement or optimization of processes and/or the system, or to prevent materialisation of the nonconformity.
- **Strength**: Positive aspect of the quality system or the manufacturer's process that can be highlighted by the inspector during the inspection.
- **Auditing**: Systematic, independent and documented process to obtain audit evidence and to evaluate them objectively in order to determine the extent to which the audit criteria are met.
- **Inspection:** Examination of the design of a product, the product, service, or plant and determining its conformity with specific requirements or general requirements, based on a professional judgment.
- **Inspection/Initial Audit:** It corresponds to the inspection/audit prior to the issuance of the certificate. The activities of the Inspection/audit can be carried out jointly or in a staggered and independent way according to the scope and objective thereof.

Monitoring inspection/audit: Once the certificate is issued, a follow-up inspection/audit should be carried out to verify that the certified products continue to meet the requirements of the program or certification scheme, and therefore, the certification manufacturer or customer continues to demonstrate his ability to manufacture the products previously certified on a consistent basis. The frequency of inspections/audits will be determined by the respective certification program. The activities of the Inspection/audit can be carried out jointly or in a staggered and independent way according to the scope and objective thereof.

- **Extraordinary evaluation activities**: If major or critical non-conformities are recorded during an inspection/audit, additional conformity assessment activities should be undertaken in order to evaluate the effectiveness of corrective actions taken to eliminate such nonconformities. This type of visits will be scheduled according to the present document. Extraordinary visits are also due to changes that affect compliance with the criteria under which certification was granted, for example: editing of normative documents, product changes, changes in technology or production process (when applicable), etc..

  The extraordinary visit is carried out based on the same guidelines established for a follow-up inspection/audit and filling out the corresponding formats, as established in this procedure and/or the Field Activities Procedure (46-IC-S0013).

- **Appeal:** Request from the certification client to reconsider the decision taken by the product certification body in relation to that product.

- **Complaint:** Expression of dissatisfaction, different from the appeal, submitted by a person, to the product certification body, related to the activities of that body for which a response is expected.

- **Changes that can affect certification**: Modifications or changes such as, but not limited to, the following, which may affect the ability of the customer of the certification to meet the requirements of the certification, such as those established in the schemes, regulations, contractual documents signed with UL de Colombia S.A.S. among others. Such changes must be reported under the conditions defined in this document.

  Examples of said changes:

  - Change of legal or commercial status of the customer (such as change in business name, merger, liquidation, etc.).
  - Organization and management (such as key executives, decision makers or technical staff).
  - Changes in the product or method of production (changes in product design, raw materials, etc.)
  - Contact addresses and production sites, or
  - Cambios importantes en el sistema de gestión de calidad y/o proceso de producción

- **List**: Companies authorized by the applicant for the use of the certificate for import purposes

5.1 ACTIVITIES INCLUDED IN CERTIFICATION SCHEMES

Table 1 shows Shows the activities according to the certification scheme (see ISO/IEC 17067 for their definitions).

Table 1 Elements of the Certification Scheme

Elements of the Certification Scheme	Scheme		
	1b	4	5
1. Review of the certification application	X	X	X
2. Selection (sampling)			
a. Sample taken by the Factory's Certification Organism or the market's, or the importer's if applicable, depending on the product's type.	X	X	X
3. Evaluation			
a. Initial inspection of the production process to evaluate the producer's ability to manufacture the products	NA	X	NA
b. Documentary verification of the Certification of the Quality Management System issued by an Accredited Body, or Audit to the Quality Management System through documentary and face-to-face evaluation in the factory	NA	NA	X
c. Laboratory evaluation if the test method is not accredited, and test witnessing if required	X	X	X
d. Inspection of attributes and tests in accordance with the requirements of the applicable standard	X	X	X
e. Inspection of the warehousing process in Colombia to verify the conformity of the product during its storage in the case of importers	NA	X	X
f. Analysis and evaluation of:			
i. Results of inspection by attributes	X	X	X
ii. Results from lab evaluations and trial	X	X	X
iii. Results from trials/tests	X	X	X
iv. Results from initial process inspection	NA	X	NA
v. Results from auditing the quality management system	NA	NA	X
vi. Results from warehousing process inspection	NA	X	X
4. Review and emission of results of the evaluation process	X	X	X
5. Certification decision	X	X	X
6. Authorization (license) for the use of the certificate for the lot of products	X	NA	NA
7. Authorization (license) for the use of the certificate during the validity	X	X	X
8. Authorization (license) for the correct use of the certification mark during the validity	X	X	X
9. Vigilance			
a. Periodicity of Ordinary Follow-Up	NA	Semester	Year
b. Inspection of the manufacturer's production process	NA	X	NA
c. Sample taken by the Certification Body of the factory or the market, or point of production or both	NA	X	X
d. Testing/trials or inspection of samples taken by the Certification Body, the factory or the market	NA	X	X
e. Laboratory evaluation if the test method is not accredited, and test witnessing if required	NA	X	X
f. Monitoring by documentary verification of the Certification of the Quality Management System issued by an Accredited Body, or Audit to the Quality Management System through documentary and face-to-face evaluation in the factory	NA	NA	X
g. Monitoring by Inspection of the warehousing process in Colombia to verify the conformity of the product during its storage in the case of importers	NA	X	X
10. Validity	NA	1 year	3 year

NA: Requirement Not Applicable

Note: In the applicable cases, the scope of the documentary review applicable to the Audit of the system of quality management of the producer or the validation of the certification thereof mentioned in the present numeral, must comprise at least the development of the following activities:

1. Request a copy of the quality management system certificate in Spanish or English.
2. Verify the following information from the quality management system certificate:
   a. That it has been issued by a certification body accredited by a creditor belonging to the international forum and is a signatory of the IAF mutual recognition agreements or accredited by the Colombian national accreditation body ONAC.
   b. That the product to be certified is covered by the scope of the certified quality management system.
   c. That it's in force at the date of verification.
   d. That the manufacturing plant from where the product comes to certify is included in the certificate of the quality management system.

If the Management System is implemented but not certified, an audit will be carried out through document review and in-plant evaluation.

6.0 REQUIREMENTS UNDER WHICH THE PRODUCTS WILL BE EVALUATED

The requirements under which the products will be evaluated technically correspond to those mentioned in the technical regulations, as well as those corresponding to normative documents referenced by each type of product to allow the evaluation of conformity of product.

i. Technical Regulation of Electrical Installations (RETIE)
ii. Technical Regulation of Lighting and Public Lighting (RETILAP)
iii. Technical Regulation of Labeling (RETIQ)
iv. Technical Regulation applicable to appliances like Refrigerators, Freezers, Combination of Refrigerators-Freezers for domestic use
v. Technical Regulation for some gas appliances

7.0 REQUEST

UL de Colombia S.A.S. receives and processes requests for product certification without any discrimination for which the applicant (client) must send a request for quotation to the commercial executive via email from the Sales Executive or to Sales.Colombia@ul.com, by telephone or personally. The Sales Executive will send via e-mail the Product Certification Rules (46-IC-C0001) together with the Request for Services form (46-IC-F0014), which shows the detail of the information and documentation required. In case of doubts the Sales Executive will be attentive to solve them.

The applicant can request in the Application for Services (46-IC-F0014), that listed companies are included so that they can use the certification in import formalities. The applicant, as the holder of the certificate, shall be responsible for ensuring that the Lists make the correct use of the certificate, the mark of conformity, the correct storage of the products, the handling of complaints and claims, and must present evidence thereof; if necessary UL de Colombia S.A.S. can schedule Conformity Assessment activities at the facilities of the Listed Companies.

The applicant will duly and legibly complete the formats, attach the additional documents required and send them to the Sales Executive by the means he considers.

8.0 REVIEW OF THE REQUEST

UL de Colombia S.A.S. will carry out a review of the application to ensure that it has received the necessary information and that it has the capacity and competence to carry out the certification process. In case of not being able to offer the service, it will inform the applicant. If additional information or clarification is required the client will be informed.

Once the documentation is complete and sufficient for the process, the request will be answered within a maximum period of 15 working days, or the deadline agreed with the client.

9.0 QUOTING

Based on the Request for Quotation (46-IC-F0014) completed, the annexed documentation supplied and any additional information that is required, the Quotation for Certification Services (46-IC-F0016) is prepared. The Sales Executive signs the quotation and sends it to the customer for his knowledge by the means he deems most appropriate, and will keep the evidence of delivery.

The rates charged by UL de Colombia S.A.S. are established taking into account the following:

- The Certification Scheme
- Development of conformity assessment activities (sampling, inspections, audits, contracting of tests, evaluation of laboratories and witnesses, closure of nonconformities, as required)
- Time of staff involved in project development.
- Travel and subsistence costs, if required.

If the customer agrees with the Quotation for Certification Services (46-IC-F0016) sent, the Sales Executive requests approval by the legal representative or someone authorized to sign for the amount of the quote. The client will send the signed document to the Sales Executive, who will deliver copies to the Certification Engineer responsible so that they include them in the corresponding Project Portfolio. Then the Sales Executive generates the Service Invoice and sends it to the customer.

10.0 SCHEDULING OF ACTIVITIES

Once the payment of the invoice has been made and the proof has been sent, the Sales Executive proceeds to carry out the Conformity Assessment activities included in the Quotation for Certification Services (46-IC-F0016) accepted by the client. The Certification Engineer and the conformity assessment team (auditors/inspectors) will prepare the Evaluation Activity Plan (46-IC-F0019); The lead auditor of the conformity assessment team shall submit the Evaluation Activity Plan (46-IC-F0019) to the client, who may accept or request modifications. The assignment of the personnel who will carry out the activities will be safeguarding impartialness. The client has 3 (three) business days to confirm his approval or request for modification of the Evaluation Activities Plan (46-IC-F0019); In case of no response from the customer, UL de Colombia S.A.S. will take the silence of the client as acceptance.

UL de Colombia S.A.S. Will seek to use the least amount of laboratories to contemplate all the tests of the regulations, to optimize the time and costs of the development of the activities

11.0 EVALUATION

Conformity assessment activities will be carried out in accordance with the Quotation for Certification Services (46-IC-F0016) and the Evaluation Activities Plan (46-IC-F0019) approved by the client.

The requirements against which UL de Colombia S.A.S. will assess the conformity for the product are described in normative documents specified in the scope of the certification agreed in the Quotation for Certification Services (46-IC-F0016) and the Business Plan Evaluation (46-IC-F0019). In the case of schemes 4 and 5 the requirements applicable to the evaluation of the production process and/or audit of the management system are available on the website http://www.ulcolombia.com.co/ for consultation.

The personnel designated to conduct the Compliance Assessment activities will communicate with the client to confirm the agreed dates and request clarifications or additional information they may require to carry out the activities within a maximum period of two business days after receiving the payment of the project.

The customer must attend the conformity assessment activities, ensure access to the personnel of UL de Colombia S.A.S. to the sites agreed in the Evaluation Activities Plan (46-IC-F0019) and provide the necessary facilities.

During any of the activities of the conformity selection and determination process, whether sampling, inspection, auditing, witnessing of tests or other, observers coming from or acting in the name of UL de Colombia S.A.S. and/or accreditation bodies with which UL de Colombia S.A.S. has obtained the accreditation or has recognition agreements with these bodies may be present. In such a situation, the client will be informed in a timely manner of the certification in the service planning process through the Evaluation Activities Plan (46-IC-F0019).

If the client requests a postponement of the proposed date due to force majeure, it will be accepted provided this cause is proven and the reprogramming sets the new date within the next three months. In these cases there is no place to apply the expected contractual penalty.

If a visit is notified and can not be made on the agreed date or within the requested period, or the scope of the visit can not be completed due to causes attributable to the client, the postponement will be granted and the new date will be reprogrammed within the next month. In these cases, the planned contractual penalty will be applied and its pre-payment will be required to proceed with the reprogramming.

In all cases, in the case of annual or extraordinary monitoring evaluation, if reprogramming is not complied with, whatever the cause, the certification will be suspended immediately.

In the execution of conformity assessment activities that require it, the Opening and closing Meeting (46-IC-F0045) will be held and evidence will be left.

The control samples to be sent to the client must be kept for a period of 12 months (scheme 5) or 6 months (scheme 4) counted after the delivery of the communication of the Decision Notification Record (46-IC-F0006) . These samples must be properly stored (without damaging tapes or safety signs), checked and made available in the event that UL de Colombia S.A.S requires them.

11.1 Lab Trials

The tests required by the regulations and/or applicable normative documents will be carried out in laboratories accredited by ISO/IEC 17025 by ONAC. In the absence of the foregoing, UL de Colombia S.A.S. will be able to withstand its certifications in tests carried out in ISO/IEC 17025 accredited laboratories by ILAC members and/or according to what the technical regulation allows.

In the event that there are no accredited laboratories, the acceptance or recognition of test results shall be carried out with laboratory evaluation and attestation and the provisions of ISO/IEC 17065 and the internal procedures of UL de Colombia SAS shall be applied, ensuring that Evaluation activities are managed in a way that provides confidence in results, and that records are available to justify trust.

In the case of accredited laboratories of first or second part at least one attestation of the most critical test will be programmed by UL de Colombia S.A.S. to give greater confidence in test results as part of ensuring impartiality.

UL de Colombia S.A.S. may decide based on the results of an evaluation completed prior to the certification request as long as it can meet the requirements of ISO/IEC 17065.

11.2 Recogition of Certiciation and subcotracting Activities of evaluation services

In cases where the requirement of the regulation allows the demonstration of conformity with a product certificate, or with a certificate of additional product, UL de Colombia S.A.S. May recognize certificates issued by Conformity Assessment Bodies with which it has valid recognition agreements. In the event that additional activities are required to obtain compliance with the technical regulation, it will be coordinated by the Conformity Assessment Agency that issued the certificate, or directly by UL de Colombia S.A.S. It should be taken into account that the recognition will be made for the Granting activities and that the development of Surveillance and Control, if applicable in the scheme, will be carried out as established in the certification scheme.

For the recognition of certification activities established in the respective conformity assessment requirements developed by Conformity Assessment Bodies with which UL de Colombia S.A.S. has recognition agreements, records will be kept of evidence that the body that performes the activities is competent, such as accreditations or evaluations.

When required, UL de Colombia S.A.S. will subcontract persons or organizations to perform conformity assessment work ensuring that they comply with the applicable requirements of ISO/IEC 17020 General Criteria for the Operation of Various Types of Inspection Bodies, ISO/IEC 17021 Conformity Assessment - Requirements for Bodies performing the audit and certification of management systems or ISO/IEC 17025 General requirements for the competence of testing and calibration laboratories, as required.

12.0 HANDLING OF NON-CONFORMITIES

If nonconformities are detected in the Field Compliance Assessment activities, they will be reported to the customer through Annex A - Inspection/Audit Inspector's Report Finding's Page (46-IC-F0015). If non-conformities are detected in the evaluation of results, they will be reported to the client through the Notification Record. Notification of non-compliance (46-IC-F0008). This same format contains the spaces for the analysis of the cause of non-conformity to be completed and the respective action plan proposed. If the client disagrees with the Non-Conformity, he or she may file his or her appeal or complaint in accordance with the guidelines of the Complaint and Appeals Procedure (46-IC-F0006).

In the handling of Non-Conformities the following times are established:

- At the end of the field activity or 5 business days after receipt of the documentation for the process of Evaluation of Results UL de Colombia S.A.S will send the Report of Non-Conformities to the client.

  The client has 5 working days from the date of delivery of the Notification to submit acceptance or rejection of the Non-Conformity. If no response is received it's assumed that the client gives an acceptance response. When the client does not accept the Non-Conformity, he/she must file an appeal, applying what is defined in this document.

- Once the Non-Conformity is accepted, UL de Colombia S.A.S. will have 5 working days for the presentation of Service Quotes for conformity assessment activities derived from Non-Conformities

- The client has 10 working days from the delivery of the Notification with the payment support of the conformity assessment activities to present the Action Plan.

- UL de Colombia S.A.S. will have 5 working days from the delivery of the Action Plan by the client to respond with a review, approval or rejection of the Action Plan.

- The client has 30 calendar days or what is approved by UL de Colombia S.A.S. in the Action Plan to present evidence of closure of Non-Conformities.

The finding of Nonconformities will imply that additional activities will be performed through inspections or extraordinary Conformity Assessment audits, which will be quoted by the Sales Executive once the customer accepts the Non-Conformities. The client has a period of 5 working days to make the payment once the quotation of the additional or complementary activities to be performed is received; if UL de Colombia S.A.S. has not received confirmation it will be understood that the respective activities will not be carried out and will continue to number 13 of this document. For the approval of the Plan of Action it is necessary that the client has made the payment of the services. This process will be handled according to numbers 9.0, 10.0 and 11.0 of this document.

The client may adjust the action plans for approval by UL de Colombia S.A.S. up to two times. In case of not having the approval of the action plan sent by the client by UL de Colombia S.A.S., numeral 13.0 will be applied.

If the Non-Conformities correspond to Major or Critical and are presented in the follow-ups for Schemes 4 and 5, the Suspensions or Cancellations will be generated according to numerals 13.0 and 14.0.

In the case of a 1b-lot scheme, all non-conformities presented, regardless of their classification as critical, major or minor non-conformities, must be closed in the terms and under the conditions defined in this document, before passing to the Review and Decision process on certification.

13.0 REVIEW

UL de Colombia S.A.S. shall conduct a review to verify the suitability, adequacy and effectiveness of the selection and determination (conformity assessment) activities and the results of those activities to demonstrate that the products comply with the specified certification requirements and will apply the procedures it has for that end. The review of conformity assessment results shall be carried out by independent persons who have not participated in the conformity assessment process and the duration shall be included within the 7 working days of the decision, provided that complementary activities, clarifications, consultations to the technical committee, or other activity that entails additional times are not required.

14.0 CERTIFICATION DECISION

UL de Colombia S.A.S. shall make the certification decision on the basis of all information related to the selection and determination (conformity assessment) and the results of such activities, their review and any other relevant information and shall make the decision known to the client in the Decision Notification Record (46-IC-F0006) in the time set out in Annex A.

If the client disagrees with the certification decision, he/she may appeal it under the Complaint and Appeals Procedure (46-IC-F0006) within 5 business days after the date of receipt of the notice, providing the necessary evidence that support the requirement. In the event that no response is received, it will be understood that the client accepts the decision.

UL de Colombia S.A.S. will issue the decision notice within a maximum period of 7 business days after having all the necessary and sufficient information required for such a process in compliance with its internal procedures, unless for reasons of the process and its complexity, a different time for the review and certification decision is agreed with the customer.

The Certification Decision will correspond to one of the following:

14.1 Grant

After verifying compliance with all the requirements against which the Conformity Assessment was performed, a Certificate of Conformity is granted according to the scheme agreed in the Quotation for certification services (46-IC-F0016).

14.2 Maintain

After verifying compliance with all the requirements against which the Conformity Assessment was performed, a Certificate of Conformity is maintained according to the scheme agreed in the Quotation for certification services (46-IC-F0016).

14.3 Extend of the Scope

After verifying compliance with all the requirements against which the Conformity Assessment of the additions of references and/or families was performed according to the scheme agreed in the Quotation for certification services (46-IC-F0016) for a Certificate of Conformity previously granted, the Certificate of Conformity is modified with the new references and/or families, and/or branches and/or reference standards for conformity assessment.

14.4 Reduce the Scope

At the request of the client or due to a breach in any of the requirements that could not be resolved with the Action Plans executed against the Non-Conformities raised, the references and/or families as agreed in the Quotation for Certification Services (46-IC-F0016) or those involved in non-compliance are supressed.

14.5 Deny

Due to a non-fulfillment in some of the requirements that could not be solved with the Plans of Action executed against the Non-Conformities raised in the process of initial certification or extension: the Certificate of Conformity is not granted or not extended.

14.6 Suspend

A suspension applies to products previously evaluated and for which UL de Colombia S.A.S. has issued a Certificate of conformity of product, in the following cases:

- Negative results obtained during the monitoring conformity assessment process, if applied according to the scheme agreed in the Quotation for certification services (46-IC-F0016).
- Detection of changes or modifications made to the product without them being notified to UL de Colombia, S.A.S.
- The inspection/follow-up visit can not be carried out for reasons attributable to the client during the monitoring conformity assessment process, if applicable according to the scheme agreed in the Quotation for certification services (46-IC-F0016).
- Does not comply with the characteristics and conditions established in the certificate issued.
- Confirmation of Non-Conformity of the product against the requirements applicable during the investigation for complaints received.
- Failure to comply with the Contract for the Provision of Services signed between both parties and its annexes, which, after analysis, is determined to cause suspension.
- Check that the organization complies during the validity period of the certificate, the criteria established for the granting of certification in its products and examine any changes in the organization, its procedures and the manufacture of the products included in the scope of its certification.
- Non-payment of the evaluation and maintenance costs of the certification process in its different phases and activities and in the terms established in the certification rules (46-IC-C0001).

Upon verification that the obligations resulting from the certification have not been respected, UL de Colombia S.A.S will proceed to the suspension of the certificate for a period of 6 calendar months from the issuance of the notice of suspension, being entitled to a Reactivation Audit.

During the term of the appeals process or during the closing of the Non-Conformities, the client may not use in any way the certificate or the seal of certification or mark of conformity and shall apply the necessary measures to suspend the use thereof in the manufacture, sale, delivery, shipment, shipping, distribution or promotion of any product contemplated in the scope of the suspended certificate, together with the provisions of the Trademark Use Manual (46-IC-C0002) and the Certification Services Contract (46-IC-F0001). Extraordinary Conformity Assessment Activities will be scheduled to verify that the customer took such actions.

14.7 Reactivate

After a Suspension and after verifying the actions taken and their effectiveness for the non-compliances that resulted in the suspension, proceed to Reactivate the Certificate.

Any reactivation resulting from any breach mentioned in point 14.6 above shall proceed before the expiration of the time established in the communication sent to the client with suspension issue.

Once the Sales Executive send the quote for the reactivation audit service, it should be paid before starting the process. Once the conformity assessment has been completed and any breaches corrected, the certificate and all rights inherent to it will be activated.

Once the suspension is firm, the body and / or suspended company will have a term of up to six (6) months to resolve or remedy the causes that gave rise to the suspension. At any time within this term, by communication addressed to UL of Colombia S.A.S the company may request the lifting of the suspension, after demonstrating that it has resolved or remedied the causes that gave rise to it.

The cancellation applies to products previously evaluated and for which UL de Colombia S.A.S. has issued a Certificate of conformity of product, in the following cases:

- The client does not make the necessary corrections requested by UL de Colombia S.A.S. to remedy the breach detected within the time limits set for it.
- UL de Colombia S.A.S. verifies that the certificates granted have been altered and/or falsified.
- When an inspector comes to perform an on-site visit and this can not be carried out due to non-existent domicile or company.
- The use of the Certification Mark in products that are not included in the scope of certification.

  Failure to comply with the deadlines defined in this document or in the Certification Services Contract (46-IC-F0001) for the reactivation of a certificate that is suspended.
- When the product standard that gave rise to the product certificate or quality management system is canceled
- When the competent authority, in accordance with its powers, determines that there has been a misleading practice with respect to the certification mark and/or requests UL de Colombia S.A.S. to directly cancel the documents that grant the use of the seal.

14.7.1 **Cancellation requested by the Client (Termination)**

The certificate may be withdrawn at the express request of the customer or holder of the Certificate of Conformity, by prior notice and in writing via email or to Sales.Colombia@ul.com or by physical documentation. With this evidence the respective Decision Notification Record (46-IC-F0006) will be made.

In case of cancellations, the client or holder of the certification must immediately abstain from the use of the seal, certificates or any other means that indicates that a product is certified.

15.0 CERTIFICATION DOCUMENTATION

- For the new projects, like extension or reduction of certification scope, the draft of the Product Certificate (46-IC-F0025) is issued taking into account the scope of the Certification Services Quotation so that the client provides his/her positive opinion on the presentation, and for the personnel who made the decision to approve it, following the guidelines applicable in the Procedure for Coding, Issuing, Canceling, Controlling and Delivery of Certificates and Related Documents (46-IC-S0011).

  The original Product Certificate (46-IC-F0025) is delivered to the customer along with the Brand Use Manual (46-IC-C0002), the Results Report (46-IC-F0007). The Sales Executive delivers the Certification Services Contract (46-IC-F0001) ensuring the customer signs the original and the copy. The original will be kept in the File folder and the copy will be left to the client.

  Subsequently, the new certificate is registered on the SICERCO website within 5 business days from the date of issue or update.

  Note: In case of extensions or reductions in scope, the client must be required to return the previous contracts and the information of SICERCO will be updated accordingly.

  At that time the certificate issuance process is concluded.
- If it is an initial certification whose decision is to Deny the granting, the Results Report (46-IC-F0007) is delivered and the process ends.
- If it is a follow-up to a current certificate and the decision is to keep the certificate, the Results Report (46-IC-F0007) is delivered to the client and the Monitoring and Follow-up activities continue.

- If it is a valid certificate and it is suspended or canceled as a result of the monitoring process, or canceled by customer request, the Results Report (46-IC-F0007) is delivered to the client and the status of the certificate is updated in SICERCO.

  Note: In case of cancellations, the client must be required to return the certificates and it is the customer's obligation to return the certificates. When modifications are made to the certificate (extensions or reductions), the customer must return the previous version of the certificate in order to be given the new version.

16.0 CERTIFIED PRODUCTS DIRECTORY

All certificates in accordance with Colombian technical regulations must be published and/or be available by UL de Colombia S.A.S. in the directory of certifications in accordance with the following requirements:

a. The certifications must be registered in the database of the Superintendence of Industry and Commerce SICERCO

b. The certificate must be registered mentioning the list of all the products covered by the certification of conformity issued, in the internal database whose information will be available to the interested parties according to the respective application.

c. The certification program of UL Colombia S.A.S. ensures the provision of the data of the certificates issued at the request of the interested party by request given by web page www.ulcolombia.com.co or written communication to the email Info.Colombia@ul.com. This information will be delivered within 2 business days by written communication.

In the event that any regulation requests special availability of copies of the certificates, for example at the point of sale, it is the responsibility of the customer as the holder of the certificate to supply these, always complying with what is established in the Trademark Use Manual (46-IC-C0002).

17.0 BRAND USE

Any improper use of the seal by the certificate holder, indicated in the Trademark Use Manual (46-IC-C0002), which in the opinion of UL de Colombia S.A.S. is considered to be serious, will result in the latter applying the actions it deems to be relevant and convenient, considering in the first instance the following:

- Notification of the suspension.
- Notification of cancellation of the certificate and definitive withdrawal of the right of Use of the Trademark.
- Cancellation of the service provision contract, as the case may be.

In addition, where products subject to compliance with a particular Regulation or applicable normative document and related documents do not meet the specified requirements and are determined to be hazardous or involve an imminent risk, the corresponding dependency and/or competent authority shall be notified, so that it in turn prohibits its immediate commercialization or establishes the immobilization of the products until they are conditioned, reprocessed, repaired or replaced.

18.0 MONITORING

The monitoring activities for certification, as set out in ISO/IEC 17067 and technical regulations, are mandatory for execution of schemes 4 and 5 and their validity is at least conditional on the implementation of the follow-up activities and their positive result. For the case of Scheme 4, monitoring activities will be reported in month 4 following the issuance of the Product Certificate (46-IC-F0025), and for Scheme 5 will be reported in month 10 of the emission of the Product Certificate (46-IC-F0025), through the relevant

Communication (46-IC-F0010). Afterwards the Quote for Certification Services (46-IC-F0016) will be sent and the development of the Conformity Assessment, Review and Decision process activities will continue.

19.0 EXTRAORDINARY EVALUATION ACTIVITIES

Extraordinary conformity assessment activities may be carried out when:

- N Major or critical non-conformities, in order to evaluate the effectiveness of corrective actions taken to eliminate such nonconformities; The activities to be performed will be informed in a timely manner to the client by submitting the quotation for certification services (46-IC-F0016) if it is required. In case the client does not accept the quote to perform the extraordinary evaluation activities, UL de Colombia S.A.S. will proceed according to numeral 13.0.
- Changes in Technical Regulations and/or normative documents. The transition periods established will be taken into account and the customer will be notified in a timely manner by means of a Communication (46-IC-F0010) and the quotation for certification services (46-IC-F0016) will be then presented if required and then the activities will be carried out.
- Complaints received from the Surveillance and Control Organizations or the Public in general, or incidental situations. After the respective analysis, the customer will be notified in a timely manner by means of a Communication (46-IC-F0010) and the quotation for certification services (46-IC-F0016) will be submitted if required.
- Changes in scope (extensions or reductions) requested by the customer. After receiving the application the quote for certification services (46-IC-F0016) will be submitted
- Changes that affect the certification reported by the customer or detected by UL de Colombia S.A.S. related to modifications to products or to production processes, raw materials, among others. If necessary, the client will be notified and the Quotation for certification services (46-IC-F0016) that may be required will be generated.

20.1 RENEWAL OF ISSUED CERTIFICATES

The client interested in renewing the certification must request it in writing (email or physical communication) at least three (3) months before the expiration thereof.

The renewal of certificates or recertification of products applies to the active projects for which the required visit(s) have been carried out and whose validity has not expired.

For the renewal of the certificate, the process must be carried out again from numeral 7.0.

21.0 CHANGES AFFECTING CERTIFICATION OF CONFORMITY

When changes in the requirements that affect the certification arise, it is the responsibility of UL de Colombia S.A.S. to keep clients informed of such changes. The foregoing does not exempt the client or holder of the certification from compliance with the requirements included in the Technical Regulations, norms and/or the requirements for the certification in force.

22.0 COMPLAINTS AND APPEALS

LComplaints or complaints from applicants or interested parties as well as appeals or disputes will be dealt with under the Complaints and Appeals Procedure (46-IC-S0006). Complaints and appeals will be addressed directly with UL de Colombia S.A.S. as set out below:

22.1 Appeals:

The certification client may use the right of appeal against a certification decision taken by UL de Colombia SAS, submitting it together with the information that supports the request in a maximum time of five (5) business days from the notification of the decision to the client. If after this time UL de Colombia S.A.S., does not receive any appeal, it will be understood that the client agrees with the decision taken by UL de Colombia S.A.S., without place to later judicial or extrajudicial claims.

UL de Colombia SAS, will confirm 5 (five) business days after receipt of the appeal to the client or appellant, if applicable, in case it proceeds in a term not greater than twenty (20) days, the appellant will be provided with a formal notification of the outcome and completion of the appeals process.

In accordance with the result of the investigation of the appeals UL de Colombia S.A.S. will determine in coherence with its procedures if it's appropriate to establish corrective or preventive actions.

22.2 Complaints:

If in the opinion of the client and due to dissatisfaction with the service provided by UL de Colombia S.A.S. it considers that a complaint is required, the client can do it by telephone, in person or to the email info.colombia@ulcolombia.com.

UL de Colombia S.A.S. determines internally and according to its procedures if the complaint proceeds, and informs the client about the validity of the complaint within a period of no more than five (5) business days and, if applicable, within a period of no more than twenty (20) the complainant shall be provided with a formal notice of the outcome and completion of the process.

According to the result of the investigation of the complaints, UL de Colombia S.A.S. will determine in coherence with its procedures if it's appropriate to establish corrective or preventive actions.

23.0 RIGHTS AND DUTIES OF THE CLIENT

23.1 Right

Make use of the certification mark or reference to the condition of certified product as stipulated in the Trademark Use Manual (46-IC-C0002)

Receive the product certification service as agreed in the Quotation for certification services (46-IC-F0016).

That all information provided to UL de Colombia S.A.S., except for the exceptions determined in the rules published by UL de Colombia S.A.S., the Colombian regulation and/or judicial requirement, is treated as confidential.

To know the reports of the evaluations that are made to him and the result of the decisions taken by UL de Colombia S.A.S. as a result of product certification processes.

Request UL de Colombia S.A.S. the reduction, extension or cancellation of certification.

Justifiably appeal the decisions taken by UL de Colombia S.A.S., as established in this document.

To present justified complaints and that these be attended as established in this document.

In the event that the client or certificate holder requires any clarification or explanation regarding the notification records issued, the personnel of UL de Colombia that issued it may clarify or resolve their doubts. However, the staff of UL de Colombia S.A.S. is not in a position to negotiate or make decisions

regarding the manufacture, production, design, sale or costs of the products under analysis. To maintain the integrity of the certification service, the guidance or information the staff provides to the customer should be limited to what is agreed upon.

The other rights that have been established in this document, those established in the documents of Quotation for certification services (46-IC-F0016) and once a decision on certification has been made or ratified in the Certification Services Contract (46- IC-F0001) and in the Trademark Use Manual (46-IC-C0002).

23.2 Duties

Customers aspiring to obtain or those who obtain certificates of compliance with UL de Colombia S.A.S. must comply at all times with the resulting obligations contained in this document and the following:

Meet the applicable certification criteria in the activities covered by the scope, the product certification scheme, the requirements defined in the Quotation for Certification Services (46-IC-F0016) the Certification Services Contract (46-IC- F0001), in the Trademark Use Manual (46-IC-C0002).

Signing by the legal representative or the person authorized for the amount of the quote, the acceptance of the Quotation for certification services (46-IC-F0016), and where applicable, the positive decision on the certification, Certification Services Contract (46-IC-F0001) as a sign of acceptance of the certification agreement.

Owning or having a contract for the use of the trade mark(s) of the products for which it seeks/obtains certification and to be legally constituted as a manufacturer, importer or marketer of the product for which it requests or holds the certification. The client can be a company or a national or foreign company.

Make the payments agreed by the certification services upon the presentation of the corresponding collection accounts.

Assign a responsible person for the coordination and development of the activities of the certification process.

Provide timely information and documentation requested by UL de Colombia S.A.S. for the activities required for the quotation, planning and implementation of conformity assessment activities.

Declare that it has product certification only for the scope established in the certification.

Use the certificates and the conformity mark within the parameters established in this regulation and in the Trademark Use Manual (46-IC-C0002).

Do not use product certification in a manner that causes a bad reputation for UL de Colombia S.A.S. and not make any statements related to the product certification that UL de Colombia S.A.S. may consider misleading or unused

Maintain the application of the quality management provisions and procedures that determined the granting of the certification for the schemes that require it.

Communicate to UL de Colombia S.A.S. in a period not exceeding 5 working days from the change, the changes that may affect the conformity of the certified products or the certification, as established in numeral 19.0.

Inform the exact scope of the certification, including, where appropriate, the products for which certification has been suspended.

Inform UL de Colombia S.A.S. when, due to lack of personnel, change of facilities or other reason, it is unable to service its customers or affects its capacity for a period to comply with the certification requirements, in part or in full of its scope.

Allow free access to persons duly authorized by UL de Colombia S.A.S. and cooperate with them for the proper execution of evaluation activities on the agreed dates.

Ensure free access of UL de Colombia S.A.S. and personnel acting on their behalf to all sites, documents and records corresponding to the activities for which they are requesting or holding the certification so that they can carry out all the checks that are determined as necessary. In relation to the above, all product handling and storage sites, test laboratories, manufacturing sites (in the case of manufacturing by third parties) and commercial representation in the country, where the product is marketed are considered as an extension of the sites covered by the certification, being the client the sole responsible for compliance with this document.

To allow access during any of the activities of the certification process of observers coming from or acting on behalf of UL de Colombia SAS and/or accreditation bodies with which UL de Colombia S.A.S. has obtained the accreditation or which have recognition agreements signed with those accreditation bodies.

When the customer requesting the certificate is not the manufacturer of the product, there must be a contract or contractual agreement between the Organization and the manufacturing companies that guarantees that UL de Colombia S.A.S. can perform audits and/or inspections at manufacturing facilities. Such companies, as well as the customer, must ensure compliance with the applicable requirements of this document.

Comply at all times with all legal and regulatory requirements that have been established.

Provide all information about hazards and risks to occupational safety and health to representatives of UL de Colombia S.A.S. prior to their entry into their facilities and to provide the necessary personal protective equipment to control these hazards and risks.

Ensure that there is a record of all known complaints regarding compliance with certification requirements, take appropriate actions regarding such complaints and product deficiencies that affect compliance with applicable requirements, and document actions taken. The customer must ensure that UL de Colombia S.A.S has access to the above information.

If in the surveillance activities, major or critical nonconformities are detected that warrant suspension or cancellation of the certificate, and that UL de Colombia S.A.S. requires the collection of products from the distribution points, the client must take the relevant actions and inform UL de Colombia S.A.S who may carry out the extraordinary activities to ensure such actions.

The other duties established in this document, those established in the documents for Certification Services (46-IC-F0016), and once a certification decision has been made or ratified in the Certification Services Contract (46 -IC-F0001) and in the Trademark Use Manual (46-IC-C0002).

24.0 RIGHTS AND DUTIES OF UL DE COLOMBIA S.A.S.

24.1 Rights

Receive the economic compensation agreed in the deadlines established by the development of certification services

Carry out the agreed and relevant actions against any breach by the client.

Receive feedback from stakeholders on management in the development of certification activities.

The other rights that have been established in this document, those established in the documents Quotation for certification services (46-IC-F0016) and once a decision on certification has been made or ratified in the Certification Services Contract (46- IC-F0001) and in the Trademark Use Manual (46-IC-C0002).

24.2 Duties

To fully develop the certification activities to ensure the conformity of the products in accordance with the guidelines of Technical Regulations, technical standards, regulations and established internal policies.

Encourage the use of certificates with the mark of conformity as a means of increasing the general confidence of conformity of the product, refraining from any activity that generates misuse.

To contract the execution of the tests, inspections and/or audits that may be required in the development of the certification process.

Treat and evaluate all changes affecting certification when required, address complaints and appeals and leave documentary evidence of actions taken.

Perform all certification activities with ethics, impartiality and without discrimination, and comply with all legal requirements established.

Ensure the proper functioning of the Impartiality Committee and the Technical Committee.

Maintain all necessary resources for the development of certification activities.

Keep information available and up-to-date on the issued certificates and, likewise, manage the information that corresponds in SICERCO.

The other rights that have been established in this document, those established in the documents Quotation for certification services (46-IC-F0016) and once a decision on certification has been made or ratified in the Certification Services Contract (46- IC-F0001) and in the Trademark Use Manual (46-IC-C0002).

ANNEX A – TIME SCHEDULE

Activity	Responsible	Time	Numeral
Request review	UL de Colombia S.A.S.	15 business days after receipt of the request	8
Approval of the Activity Plan	Client	3 business days after receipt of plan	10
Permanence of witness samples ordered to the Client after the certification decision	Client Client	6 months (Scheme 4) 12 months (Scheme 5)	11
Impossibility of the laboratory to attend a service	Laboratory	According to the provisions of the respective regulation.	11.1
Non-Compliances Notification	UL de Colombia S.A.S.	At the end of field activities, or, 5 business days after results evaluation	12
Acceptance by the Client of non-conformities or decision taken by UL de Colombia SAS	Client	5 business days after notice, making use of the right to file an appeal	12
Presentation of the quotation for evaluation services for closure of nonconformities	UL de Colombia S.A.S.	5 business days after accepting the non-conformity	12
Payment of non-conformities closure assessment services	Client	5 business days after submission of quotation	12
Presentation of the action plan for nonconformities	Client	10 business days from notification and with payment evidence	12
Approval or rejection of the non-conformities action plan	UL de Colombia S.A.S.	5 business days from notification and with payment evidence	12
Presentation of evidence of closure of nonconformities	Client	30 business days or time approved in the action plan	12
Review	UL de Colombia S.A.S.	7 business days after the Review of results provided no additional activities are required	13
Decision	UL de Colombia S.A.S.	7 business days or the term agreed with the Client	14
Appeal of decision or of Non-Conformities	Client	5 business days after the date of receipt of the notification	14

Activity	Responsible	Time	Numeral
Answer on whether or not the appeal is appropriate	UL de Colombia S.A.S.	5 business days after receipt of appeal	22.1
Notice of Appeal Response	UL de Colombia S.A.S.	20 days after notifying the appeal proceeds	22.1
Registration of the certificate in SICERCO	UL de Colombia S.A.S.	5 business days from the date of issuance of the certificate	15
Answer request for information on issued certificates	Client	2 business days after receipt of the request	16
Notification of monitoring (follow-up)	UL de Colombia S.A.S.	Month 4 after issuance of the certificate (Scheme 4) Months 10 and 22 after issuance of the certificate (Scheme 5)	18
Certificate Renewal Request	Client	3 months before expiration	19
Response to validity of Complaints	UL de Colombia S.A.S.	5 business days after receiving the complaint	22.2
Notification of response to complaints	UL de Colombia S.A.S.	20 business days after notifying that the complaint is valid	22.2
Notification to UL of changes that may affect the conformity of certified products	Client	5 business days after the change	23.2