Section 1   Overview

The main purpose of this document is to provide a useful, quick-reference means of accessing the information necessary to request any of the certification services offered by UL. It has been approved in accordance with current rules and regulations.

UL de México S.A. de C.V. is an organisation engaged in, and focused on, conformity assessment activities in Mexico.

Our services range from product assessments to relevant safety standards through to production surveillance and various forms of verification services. Certificates and/or dicta are issued under the following certification modules or schemes:

I. Surveillance on Periodical Product Samples.
II. Surveillance on Quality Management System of Product Lines.
III. Product Dictum for National or Foreign Manufacturers.
IV. Simplified NOM Compliance Certificate for Border Strips and Border Regions.
V. Rebuilt Products.
VI. Used, Second-Hand, Second-Line, or Discontinued Articles.
VII. Non-Compliant Articles.

This document contains the most important issues to be considered upon requesting a service and/or applying for the certification of a product during the surveillance process (follow-up). It also includes flowcharts describing the processes and delivery times, etc.

If you have questions about any of our services, are interested in acquiring any of our services or wish to file a complaint or make a suggestion, do not hesitate to contact us in either of the following ways:

Personally:    Blas Pascal No. 205, Piso 2
               Col. Los Morales
               11510 México, D. F.

By phone:     +52 (55) 3000-5400
By fax at:    +52 (55) 3000-5491
By e-mail:    info.mx@mx.ul.com

or visit our web site: www.ul.com

We will be glad to assist you. We thank you in advance for giving us the opportunity to provide you with our services. We assure you that we will make every effort to provide you with the best solution to meet your needs in the shortest time possible.

1 The Conformity Assessment refers to the extent of compliance with the Official Mexican Standards (NOM), the Mexican standards (NMX), international standards or any other specifications, provisions or features and it includes sampling, testing, certification and surveillance (follow-up) applicable to the product.

2 Set forth in the current Policies and procedures for conformity assessment (Published in the Diario Oficial de la Federación (Federal Official Gazette) on October 24, 1997, which were updated and/or modified by those published on December 10, 2001, July 5, 2002 and July 27, 2004).
Section 2    Scope of Application

NOM-003-SCFI-2000

The safety specifications referred to in this Official Mexican Standard apply to electrical devices and products powered by alternate current and/or direct current, which scope is set forth in each one of the sections described in Item 7 – specifications – of this standard.

Therefore, the electrical devices and products covered by this Official Mexican Standard must comply with the Mexican standard mentioned in each section as long as there is no specific safety standard applicable to the product; however, when there is a specific standard applicable to the product, this standard should be applied instead.

The scope or field of application of the standards applicable to each section and specified in Item 7 of the NOM-003-SCFI are mentioned below:

Section One: Wiring Devices: The electrical devices covered by this section must meet the requirements under the Mexican Standard NMX-J-508-ANCE-2010, except for empty ducts and their fittings whose scope is set forth in Chapter 2 thereof. This standard deals with the safety requirements and testing procedure methods applicable to electrical devices for home, commercial and industrial use powered by both electricity from the public and/or private networks as well as any other power supply sources such as batteries and accumulators whose rated current is not in excess of 600 V.

The requirements and testing methods described in this Mexican standard apply to the following electrical devices:

- Switches for general use.
- Instant contact switches or push buttons, such as doorbells, bells or buzzers.
- General commutators or selectors, except for those used in panels and switchboards.
- Receptacles and connectors; single/multiple connectors, re-locatable power taps and similar components
- Appliances with ground fault circuit breaker and appliances with a residual current breaker except for automatic switches.
- Integrated appliances with transient voltage surge suppressors, attachment plugs, receptacles, re-locatable power taps and similar components.
- Plugs.
- Cord sets or products that are sold or being intended as cord sets.
- Power-supply cords sold separately.
- Edison-type lampholders.
- Lampholders for tubular fluorescent lamps.
- Starters for tubular fluorescent lamps.
- Components for light dimmers and/or fan speed.
- Tank/reservoir float switch.
- Presence and/or occupation sensor components and/or systems.
- Micro-switches.
- Timer switches.
- Appliances which operation demands domestic transformers.
- Doorbells, bells or buzzers
- Domestic transformers.
- Gas and smoke detectors.
- Raceways with or without components and their fittings.
• Single or multiple adapters.
• Luminaries.
• Class H renewable fuses and plug fuses.
• Products that are considered to be wiring devices due to their features and operation.

The following are excluded from the scope of this standard:
• Electrical components to be used under special conditions prevail, such as corrosive or explosive atmospheres (dust, gas and/or vapors);
• Electrical components used in boats or planes which must meet additional requirements; and
• Electrical components with a rated voltage of 24 V or less.
• All fuses other than Class H and plug-type.

In addition, the normative documents referred to in the standard NMX-J-508-ANCE-2010 are the following:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NMX-J-005-ANCE</td>
<td>&quot;General Purpose Switches for Fixed Electrical Installations – General Specifications and Testing Methods&quot;. This standard applies to general purpose switches up to 32 A, and up to 300 V, manually operated to be used in fixed installations.</td>
</tr>
<tr>
<td>NMX-J-009/248/1-ANCE</td>
<td>&quot;Low-Voltage Fuses - Part 1: General Requirements&quot;. This standard applies to low-voltage fuses with rated voltages of 1000 V or less of alternate and/or direct current, with breakage capacities of up to 200 kA.</td>
</tr>
<tr>
<td>NMX-J-009/248/7-ANCE</td>
<td>&quot;Low-Voltage Fuses - Part 7: Renewable Class H fuses&quot;. This standard applies to renewable Class H fuses with a rated voltage of 250 V or 600 V with rated voltages of 600 A or less. Direct current ratings are optional.</td>
</tr>
<tr>
<td>NMX-J-009/248/11-ANCE</td>
<td>&quot;Low-Voltage Fuses - Part 11: Plug-Type Fuses&quot;. This standard applies to plug-type fuses with a rated voltage of 125 V~ (127 V ~ in Mexico) with rated voltages of 30 A or less. Direct current ratings are optional.</td>
</tr>
<tr>
<td>NMX-J-024-ANCE</td>
<td>&quot;Lighting - Edison Screw Lampholder – Specifications and Testing Methods&quot;. This standard applies to low-voltage lampholders for general lighting with a rated voltage of up to 600 V of alternate current and 250 V of direct current, and high pressure sodium vapor lampholders with start voltage peaks that are multiples of 1 kV. This standard does not apply to lampholders for Christmas light sets, heat radiation, projection and other types not specified in this standard.</td>
</tr>
<tr>
<td>NMX-J-195-ANCE</td>
<td>&quot;Power supply cords and extension cord sets for electrical appliances- Specifications and test methods&quot;. This Mexican standard applies at power supply cords and extension cord sets that are used to provide electrical energy to household appliances, of office and similars, of which voltage assigned is 127 V or 220 V. Any component of a power supply cord or extension cord set shall fulfill with its particular standard, unless the opposite in this standard indicates itself.</td>
</tr>
<tr>
<td>NMX-J-307-ANCE</td>
<td>&quot;Indoors and outdoors luminaries for general use&quot;. This Mexican standard applies to all indoors and outdoors luminaries for general use, signaling and emergency, whose light source is the incandescence, fluorescence or through some semiconductor or element of solid state. It does not apply to luminaries indicated in the standard NOM-064-SCFI, luminaries to be installed on board boats, airplanes and vehicles in general, luminaries subaqueous, luminaries to settle in hazardous locations or of special application like inspection lights, lights for airports, photography and lights integrated in household appliances.</td>
</tr>
<tr>
<td>NMX-J-325-ANCE</td>
<td>&quot;Lighting – Lampholders for Fluorescent Lamps – Specifications and Testing Methods&quot;. This Mexican standard applies to lampholders with power from 75 W up to 660 W intended for use in fluorescent lamps with 2500 V or less voltage during start or normal operation.</td>
</tr>
</tbody>
</table>
“Lighting – Edison screw shell- Specifications”. This Mexican standard applies to Edison screw shells intended to equip incandescent metallic filament lamps for general lighting and mercury steam lamps high pressure, as well as screw Shell bases E12, E14 and E17.

“Plugs and Socket-Outlets for household and similar purposes. Part 1: General requirements”. This Mexican standard applies to plugs and fixed or portable receptacles for AC voltage, with or without contact of grounding, with a rating voltage superior to 50 V but not exceed 440 V and an rating current that does not exceed 32 A, intended for either indoors or outdoors, domestic use and similar purposes.

The assigned current is limited to 16 maximum for fixed receptacles provides with terminals without screws. It also applies to plug incorporated to a power supply cord or extension cord set and plugs and portable receptacles (connectors) incorporated to power supply cord or extension cord set, and household appliances. It does not apply to fixed receptacles and couplers for industrial purposes, combined with fuse, circuit breakers, etc.; neither to plugs, fixed and portable receptacles for ELV (extra low voltage).

“Ground-Fault Circuit-Interrupter (GFCI) – Specifications and test methods”. This Mexican standard covers GFCI class A, intended for use only in alternating-current circuits wherein one of the wires is grounded, as well as GFCI class A which are integrated in other wiring devices, molded case circuit breakers or combinations of those. These requirements do not cover devices operated by residual currents (RCCB) more than 6 mA, or GFCI intended for use in circuits served by a transformer having windings wholly insulated from each other.

“Residual current operated circuit-breakers without integral overcurrent protection for household and similar uses (RCCBs) – Part 1: General Rules”. This Mexican standard covers residual current operated circuit-breakers functionally independent of or dependent of feed voltage for domestic installations and similar uses, without an integrate overcurrent (ID’s), for assigned voltages that does not exceed 440 V AC and assigned currents that do not exceed 125 A, intended mainly for the protection against risk of electrical shock; as well as devices that simultaneously realize the function of detection of differential residual current, of comparison of the value of this current with the value of differential residual of operation and the opening of the protected circuit when residual differential current exceeds these value.

This standard does not cover ID’s that includes batteries.

Section Two: Household Appliances: The devices covered by this section must comply with the Mexican Standard NMX-J-521/1-ANCE-2005, whose scope is set forth in chapter 1 thereof. This standard specifies the safety features of electrical devices for home use and similar, whose rated voltage does not exceed 250 V for single-phase devices and 480 V for the remaining devices.

Devices not used for normal home purposes but which may be hazardous to the public, such as the devices to be used by non-specialized personnel at commercial stores, light industries and farming facilities are included within the field of application of this standard. These devices may include: engines, heating items, or a combination of both.

Note: The following are examples of such devices: dispensers for beverages and food, cleaning devices for industrial and commercial use, and devices for beauty parlors.

In general, this standard does not take into account:

- The use of devices for children or handicapped persons if not under supervision;
- The use of devices as toys for children.

This standard does not apply to:
The devices used only for industrial purposes, unless such devices are covered by any Part 2; The devices used in places where special conditions prevail, such as a corrosive or explosive atmosphere (dust, vapor or gas); Audio and video devices, as well as similar electronic devices; Devices for medical use; Hand-held, motor-driven electrical tools covered by the NMX-J-524/1-ANCE; Personal computers and similar equipment; Semi-fixed electrical machine tools.

Section Three: Hand-Held, Motor-Driven Electrical Tools: Hand-held, motor-driven electrical tools for general purposes must comply with the Mexican Standard NMX-J-524/1-ANCE-2005. This standard specifies the safety features of motor-driven or magnetically-powered tools whose rated voltage is not in excess of 250 V for single-phase tools with alternate current or direct current and 440 V for three-phase tools with alternate current.

Tools with internal heating items that are within the scope of application of this standard must also meet the applicable parts of the standard NMX-J-521-ANCE.

The tools that may be assembled on a support to be used as fixed tools without the tool itself sustaining any alteration are within the field of application of this standard.

This standard does not apply to:

- Motor-driven, hand-held tools whose required voltage is 24 V or less.
- Hand-held tools to be used in an explosive atmosphere (due to dust, vapor or gas);
- Hand-held tools used for food preparation and processing;
- Hand-held tools for medical use;
- Tools operated by heating.

Section Four: Distribution and Control Equipment: The distribution and control equipment subject to this section must comply with the Mexican Standard NMX-J-515-ANCE-2008. The field of application of this Mexican Standard deals with the safety requirements and the testing methods applicable to equipment for home, commercial and industrial use that are sold within the territory of the United Mexican States and that use or are in contact with equipment powered by electrical energy from public networks as well as by other sources of power supply such as batteries, accumulators or self-generation, with the rated voltage of such equipment not exceeding 1000 V of alternate current or 1500 V of direct current.

The safety requirements and testing methods described in this Mexican Standard apply to the following pieces of equipment:

- Motor starters and motor protection relays;
- Solid state starters
- Power capacitor banks;
- Power capacitors;
- Motor control centers;
- Contactors;
- Speed controllers or VFD (Variable Frequency Drives);
- Switches;
- Circuit control devices and commutation elements for panels;
- Devices for protection against overvoltage;
- Fans, heaters an air conditioner devices for panels;
- Electric ducts;
- Electrical network multiple measurement equipment;
- Protection equipment against changeovers in electrical networks;
- Button stations;
- Automatic switches;
- Transfer equipment;
Circuit breakers;
Molded case circuit breakers;
Circuit breakers with Overcurrent protection;
Industrial limit switches;
Pedal switch (industrial type);
Current operated circuit breakers (RCCB's or GFCI's);
Overload relays;
Time relays (for releasing) and switches (electromechanical);
Load-break switches;
Dimming systems and lighting controls (industrial);
Lighting panels;
Control panels;
Distribution panels;
Power panels;
Transfer panels and associated equipment;
Modular panels for single or multiple measurement (meter bases);
Panel-type boards;
Terminal boards (industrial).

The products not included in this list but which due to their features and operation principles are considered to be Control and Distribution Equipment fall under the scope of this standard.

In addition, the regulatory documents referred to in the standard NMX-J-515-ANCE are:

- **NMX-J-266-ANCE** "Electrical Products - Switches – Molded-Case Switches- Specifications and Testing Methods". This standard applies to automatic switches (and circuit breakers) in molded cases, Class A switches with ground-fault protection (GFCI), switches (and circuit breakers) with fuses and fittings for protection against high voltage. This standard also covers instantaneous trip circuit breakers (circuit interrupters), specifically designed to be used as a part of a combination motor controller in accordance with NOM-001-SEMP. This standard applies to devices with rated voltage of up to 600 V and up to 6000 A. This standard also applies to circuit breaker enclosures and accessory devices designed for use with the devices described.

- **NMX-J-538/1-ANCE** "Low-voltage switchgear and controlgear – Part 1: General Rules". This standard applies to switchgear and controlgear products (referred to as “equipment”) and intended to be connected to circuits, the rated voltage of which does not exceed 1 000 V a.c. or 1 500 V d.c. It does not apply to low-voltage switchgear and controlgear assemblies which are dealt in IEC 60439. The objective of this standard is to state those general rules and requirements which are common to low-voltage equipment.

- **NMX-J-538/2-ANCE** "Low Voltage Switchgear and controlgear – Part 2: Circuit-Breakers”. This standard applies to circuit-breakers, the main contacts of which are intended to be connected to circuits, the rated voltage of which does not exceed 1 000 V a.c. or 1 500 V d.c, it also contains additional requirements for integrally fused circuit-breakers. The object of this standard is to state: the characteristics of circuit-breakers, the conditions with which circuit-breakers shall comply, test methods and information to be marked on or given with the apparatus.

- **NMX-J-569-ANCE** Electrical accessories – Circuit-breakers for overcurrent protection for household and similar installations – Part 1: Circuit breakers for a.c operation”. This standard applies to a.c air-break circuit-breakers for operation at 60 Hz, having a rated voltage not exceeding 440 V (between phases), a rated current not exceeding 125 A and a rated short-circuit capacity not exceeding 25 000 A. These circuit-breakers are intended for the protection against overcurrents of wiring installations of buildings and similar applications; they are designed for use by uninstructed people and for not being maintained.
**Section Five: Luminaires:** The scope of this section covers the luminaires not included in the Official Mexican Standard NOM-064-SCFI-2000. This section establishes the specifications and testing methods that have to be met by all the luminaires including signs, emergency lighting, displays.

The following luminaires are excluded from the scope of this section:

- Luminaires to be used in maritime and/or air transportation;
- Luminaires to be used in places where special conditions prevail, such as corrosive or explosive atmospheres (dust, vapors or gases); as well as,
- Luminaires whose rated power supply voltage is 24 V or less;
- Luminaires covered by the Official Mexican Standard NOM-064-SCFI-2000 “Luminaires to be used indoors and outdoors which applies to luminaires with fluorescent lamps, high-intensity discharge lamps, tungsten-halogen lamps or low voltage sodium vapor lamps.

The luminaires combined with any type of household appliance must comply with the Mexican Standard NMX-J-521/1-ANCE, as set forth in sub-section 7.2 of the Official Mexican Standard NOM-003-SCFI-2000.

In so far as there are no specific regulations, the devices covered by this section must comply with the Mexican Standard NMX-J-508-ANCE.

Finally, in so far as there is no specific safety Official Mexican Standard applicable to electrical products or devices to be used in any type of activities, including though not limited to, professional, scientific and industrial activities, these must comply, whenever applicable, with the requirements, limits and testing methods described in the Mexican Standard NMX-J-521/1-ANCE.

Besides, the following are excluded from the scope of application of the Official Mexican Standard NOM-003-SCFI-2000:

- Electrical devices and/or their associated components, subject to compliance with a specific safety Official Mexican Standard.
- Devices to be used in maritime and/or air transportation.
- Devices and equipment designed for use in places where special conditions prevail, such as corrosive or explosive atmospheres (dust, vapors or gases).
- Devices and equipment with a power supply unit with rated voltages different from those established in the scope of each section of chapter 7 of this Official Mexican Standard.
- Stand-alone electrical motors.
- Products and devices with rated voltage of 24 V or less.

The product standard can be found in the Secretariat of Economy’s Website [www.economia.gob.mx](http://www.economia.gob.mx)

As regards the certification exemption mentioned in Part XVI, Section 10 of Exhibit 2.4.1 to the NOM Agreement, applicable to products operating at rated voltages equal to or lower than 24 V, at the express request of its customers, UL de México may issue the applicable certificate of compliance (conformity), for which purpose a request for services has to be submitted as well as the documentation therein required.

It is important to note that the certification based on the NOM-003-SCFI shall be performed under the Mexican standards directly referred to in the scope of this standard (NMX-J-508/515/521 and 524), and if any of these standards were to refer to another NMX, at the request of the customer, the analysis and assessment of the product shall be performed on the basis of said NMX, as long as UL is properly accredited in the standard requested.

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3 Diario Oficial de la Federación (Federal Official Gazette), Second Section – Secretariat of Economy – “Agreement pursuant to which the Secretariat of Economy issues rules and general criteria relating to foreign trade matters” – July 6, 2007 and which last modification was published on August 17, 2010.
Section 3   Product Certification

Conformity Assessment is a determination of the degree of compliance with Official Mexican Standards, Mexican standards, international standards and other specifications, provisions or features (normative documents). The assessment process comprises product sampling, testing, and certification and surveillance (follow-up) procedures.

UL de México S.A de C.V relies on the specific procedures required to assess product conformity, as laid out in the Federal Law on Metrology and Standardization and its Regulations, the Policies and Procedures applicable to conformity assessment, the NMX-EC-065-IMNC-2000 Standard, the general criteria in matters of certification and UL own requirements.

The decision to grant, maintain, enhance, suspend, cancel or reject the certification of a product is made on the basis of sustainable technical grounds, on the information gathered during the conformity assessment procedure, the results obtained during the surveillance (follow-up) inspections and any other applicable relevant information.

The general criteria in matters involving certification, programs or procedures to certify products required for conformity assessment under NOM certification program is the responsibility of UL de México S.A de C.V.’s Certification Technical Committee, a body made up by technically skilled individuals from various sectors, including industry, academia, research and technology, trade, consumers and suppliers and/or users of services. In addition, the Committee is responsible for resolving controversies and appeals that sometimes arise during the certification procedure.

Important Issues to Consider for Product Certification Purposes:

To serve our customers better and to prevent inconveniences and unnecessary delays upon requesting services, our customers are kindly asked to consider the following:

1. If the customer is new, a Service Agreement must be submitted, in 2 (two) original copies, with the execution signatures in their proper section, as well as the legal documentation that support Services Agreement. The agreements submitted by an agency (handling company) or an intermediary shall only be accepted if submitted together with the respective power of attorney signed by the legal representative or the person authorized by the manufacturer or importer. The power of attorney must include the name of the handling company or agency and its address, and it must specify that the Company and/or individual(s) is/are authorized to sign the documentation required for the supply of the service requested. All communications regarding the service shall be performed through the authorized individual(s) mentioned in the power of attorney. You can submit the Services Agreement either at the moment of request the service or previously to the service to be rendered.

2. An application corresponding to the service to be rendered is to be submitted, either printed (in original and copy), previously typed, using a computer or by hand, with legible ink and in print letters, or in original by electronic means.

3. An original version must be submitted of the technical and legal documentation specified on our Internet page in the section “PCO Services” under the heading “Required Documentation”. All information can be submitted in print or electronic copy, except the Service Agreement and the

4 UL considers electronic original document as the document that has been downloaded from UL’s web page (www.ul.com), filled out, printed and signed by the customer (legal representative or authorized person) and sent back to UL by electronic means, with the exception of the documents indicated in point 3 of this section.
corresponding Application Form, which can be received electronically; but, it has to be delivered/ returned as a hard copy, previously completed and signed by the appropriate person.

4. The product report(s) stating the results of the currently valid testing procedures is/are to be submitted, within the valid period (90 (ninety) calendar days from the date of issuance thereof). In the case of products to be certified under modality V, the only valid reports shall be those of tests whose top sections bear the legend "Dictamen de laboratorio para certificación NOM simplificada para franja y región fronterizas" ("Laboratory Test Report for simplified NOM certification for border strips and regions") and whose period of validity is considered to be at maximum 6 (six) months subsequent to the date of issuance by the testing laboratory at the time the service is requested. The testing report applicable to the product shall only be valid, if a laboratory sub-contracted and/or validated by UL de México S.A de C.V. or a laboratory with which UL de México, S.A. de C.V. has signed a Mutual Recognition Agreement issues it.

5. With regards to the testing reports generated from a Mutual Recognition Agreement, you must submit either:
   - The original version of the test report accompanied by a validation letter issued (on letterhead) by a laboratory sub-contracted and/or validated by UL de México S.A de C.V.; or either,
   - The validated test report, i.e., generated by the sub-contracted laboratory based on the original testing report and prepared in the format used by the laboratory validating said results.
   - Test report issued by UL.

6. In the case of modalities II and III, a copy is to be submitted of the currently valid certificate of the quality management system that sets forth that the scope of the company is within Code DL NACE (Sector 19 I AF) and an original version or certified copy of the "system certification report", both issued by an accredited system certification organization. The system certification report must be at maximum 90 (ninety) calendar days old at the date of submission of the request for certification services. UL shall perform a preliminary inspection visit required to comply with the Exhibit 11 of the Mexican Policies and Procedures of Conformity Assessment. The system certification report has to be obtained by the customer, through the Quality System Organization which has granted the certificate of the quality management system, on an independent basis and subject to a previous request for certification services under these modalities.

7. In the event the need arises for a validation letter applicable to laboratory samples for customs purposes (in order to obtain the applicable certificate), it will be granted only if you have a valid service agreement, or in the case of services rendered for the first time, in the event you submitted the legal documentation required for registration. In both cases, the Form 42-IC-F0458 properly filled out must be submitted together with the applicable request for certification services. The response time for issuance of the letter is 5 (five) business days counted from the date on which the application was entered and the time of validity is 20 (twenty) calendar days.

8. Response times after the submission of the request for services is 7 (seven) business days for new products and 20 (twenty) business days for refurbished, re-conditioned, used, second-hand, B-stock, discontinued products and products outside the specifications, in both cases this is counted from the business day following the date of submission, provided however that any deficiencies identified have been remedied.

9. The original application form and the attached documentation shall be submitted, as the case may be, under a reference number or project number that allows customers to track or follow-up during the certification or to the issuance of the dictum process.

10. The submission of the request does not guarantee that the certificate or the dictum shall be issued; as such issuance is dependent upon the technical resolution performed by UL.
11. In the event a deficiency or non-compliance is identified in the results during the analysis and assessment procedure, the customer shall receive the applicable notice(s). Once the corrective action required has been implemented or any deficiencies identified have been rectified, the certification procedure shall continue as from that point.

12. If the results of the assessment show the existence of conformity, UL shall issue the applicable certificate or dictum, which shall be subject, as the case may be, to the applicable surveillance (follow up) visits – which shall be paid either with prior notice or not (please see Section 5). Otherwise, the customer shall receive the applicable notice whereby they are informed of the result.

13. In addition, the customer may modify the scope of its product certificates by submitting in free-form written letter as well as the applicable documentation for each type of change stated on our Internet page in the section “PCO Services” under the heading Other Services - “Required Documentation”.

The types of change include the following: modifications in corporate name, legal representative, billing address for tax purposes, facilities, distributors or warehouses, applicable tariffs for customs purposes, as well as the addition and/or cancellation of countries of origin, models (prefixes or suffixes to models due to an esthetical changes, amongst others) or the amendment of certificate(s) or dictum (dicta) issued.

14. If you are a local or foreign manufacturer and you want to extend ownership of the certificate to one or more of your distributors, dealers or importers, you may request an Ownership Extension for your certificates by submitting the attached Form 42-IC-F0457 (Request of Ownership Extension Services). The response time for this service is 7 (seven) business days, as counted from the business day immediately following the date of submission and, if applicable, the date on which any deficiencies identified have been rectified. If this service were requested, the customer shall, in its position as owner of the NOM certificate, assume joint liability for the use of the certificates whose ownership is extended.

15. In the case of products to be certified under the modalities VI, VII and VIII, UL is required to conduct a preliminary inspection visit during which a sampling of the applicable product shall be examined, as applicable. (See Section 5).

16. In order to have the certificate(s) renewed, following documentation is necessary to be submitted:

a) appropriate service application or free format request;

b) a written statement where it is declared under oath to be true that both the products included in the certificate to be renewed and the information delivered for the initial certification have not changed and therefore authorizing UL to use it for the renewal service; and

c) Either test report of product sampled during surveillance inspection or the notice of compliance of products sampled issued by UL. If a renewal were requested with a change in the scope, the customer must state such information (See Point 13, of this Section).

17. The validity of the certificates issued shall depend on the type of modality under which the product was certified:

- One year for modalities I and VI,
- three years for modality II, and
- no validity in the case of certification by batches (modalities VII and VIII).
- In the case of modality III, the validity of the product dictum for a local or foreign manufacturer is one year and the NOM certificates issued based on these shall be valid until the date of expiration of the applicable dictum.
Additionally, our customers are kindly asked to remember that:

- It is their responsibility to keep the documents submitted and/or generated during the certification process and to store them in a file in case UL’s personnel request them.

- Information stated in the application, either signed by the Legal Representative or by the Agency or Handling Company has been stated under the oath of truthfulness.

- It is our customers’ responsibility to verify through our Web page that the forms to be submitted should correspond to the most recently updated version.

- If you wish to file for a complaint, appeal, or dispute related to compliance evaluation activities, please visit our facilities to learn more about the corresponding procedures or follow the instructions below:

  1. Submit your complaint to a Certification Organization employee or UL’s representative:

     By phone: +52 (55) 3000-5400;
     By fax: +52 (55) 3000-5491;
     By e-mail: quejas@mx.ul.com; or
     In person, at our facilities located at:
     **Blas Pascal 205, Piso 2; Col. Los Morales, C.P. 11510, México, D. F.**

  2. If you are filing a complaint, please do so preferably in writing and indicate your reasons and what you expect from a resolution, providing us any information to the service requested as well as all information needed for contact you later. Appeals and disputes will only be considered if formally submitted with a description of the problem. In case of appeals, please include the name and position of the interested party, as well as any data that identifies the decision you are appealing and any arguments for your appeal. This letter must be signed by the interested party, legal representative, or authorized representative.

  3. UL personnel or UL’s representative will record your complaint, appeal, or dispute and address the issue.

  4. Within ten (10) business days, you will receive a formal response on your complaint, appeal, or dispute. A UL representative will contact you within the following 24 working hours to confirm the receipt of your complaint.

  5. Otherwise, in case of complaints, the process will be repeated. In case of appeals and disputes, you may request that the competent agency solve the issue according to the terms stated by Federal Law on Metrology and Standardization (LFMN — Ley Federal sobre Metrología y Normalización), Article 122.

Section 4 contains the certification procedure flowcharts to be followed under the different modalities.
Section 4  General Certification Process

Modalities I and V

Commencement

Submission of the Services Application together with the applicable legal and technical documentation

UL receives the documentation and subjects it to a preliminary analysis

If the documentation is correct, UL assigns a reference number to the customer's request.

Once the customer proceeds with the appropriate corrections, the process may continue

If deficiencies had been identified, UL shall state such deficiencies in the applicable Checklist for correction purposes

Once the customer proceeds with the required corrective actions, the customer should send them to UL, either via electronic means, fax, mail, courier service or personality.

If nonconformities were identified, a Certification Engineer shall send the customer a notice stating such nonconformities.

The customer's documentation and, if applicable, any corrective actions shall be analyzed by the Certification Area.

Commencement of the Review Procedure(Procedure/DDSCG-099) of the certificate issued

The customer may pick up the Certificate or Dictum using for such purpose the acknowledgment of receipt or either receive it directly in the domicile previously reported by the customer or by email.

If everything is correct, UL de Mexico S.A. de C.V. shall issue the applicable certificate or dictum.

NOTE: You can contact us by phone directly in order to acquire into the status of your project.
General Certification Process
Modalities II, III, VI, VII and VIII

Commencement

Submission of the Services Application together with the appropriate legal and technical documentation to UL.

UL receives the documentation and performs a preliminary analysis of the documentation submitted.

UL prepares the applicable quotation and sends it to the customer or delivers it to the customer for approval.

A Preliminary Inspection Visit is scheduled and made to confirm or obtain the Certification Report applicable to the system and/or product sampling.

A Reference Number is assigned to the Project.

If the quotation is accepted, UL shall issue the corresponding charge and applicable invoice. If the quotation is not accepted, UL shall cancel the request for services submitted.

The results of the Preliminary Visit are analyzed and assessed.

If non-conformities are identified, UL shall issue the relevant notice.

Once the customer carries out the required corrective actions, they are to be reported to UL, either via any electronic means, fax, mail, courier service or they must be personally delivered.

Once the System Certification Report and the reports of the product testing procedures/results are received, the certification process starts and the Product Technical Documentation is analyzed.

If non-conformities are identified, UL shall send the applicable notice.

Once the customer performs any necessary corrective actions, information on them is to be submitted to UL, either via any electronic means, fax, mail, courier service or they must be personally delivered.

The customer may pick up his Certificate and for that purpose the customer may use the acknowledgement of receipt or he may either receive it directly in the domicile previously informed by the customer or by email.

The Surveillance Process commences (follow-up).

Even in those cases in which a System Certification Report issued by any certification organization accredited in Sector 19NACE is submitted, a Preliminary Visit must be made.
Section 5  Surveillance Process (Follow-up)

The surveillance or follow-up service constitutes a visual confirmation or review by sampling, measurement, laboratory testing procedures or documentary reviews by UL to assess product conformity on any date. The purpose of the follow-up is to verify the proper use of the certification and UL’s certification mark(s) granted and to verify that the products certified continue to meet the safety and/or functionality requirements specified in normative documents under which the products are assessed and whose result determines the validity of the certificate or dictum.

Product surveillance or follow-up is carried out through inspections performed by UL’s representative at least once a year, either on a scheduled or random basis and that may be notified in advance or not.

Scheduled visits notified in advance are scheduled visits that require customers to confirm the date proposed. Visits not previously notified are those that have been scheduled and not notified and for which no customer confirmation is required. In both cases, the customer will receive the pertinent notice.

Surveillance visits are classified into:

**Preliminary Inspection Visit**: These are notified in advance and are carried out during the assessment procedure and its confirmation is required. They only apply in the framework of certification schemes or modalities II, VI, VII, VIII, and for Scheme III if a product dictum does not exist.

**Routine Surveillance Visits (inspections)**: They apply at all schemes or modalities. These visits are generally conducted without prior notice and their aim is to verify that the product continues meeting the testing procedures and specifications under which the certification has been granted. These inspections do not require any confirmation and will occur according to UL’s availability. It could take place three months after the corresponding notification is received. However, these visits may be subject to prior notice being served upon the contact person.

**Extraordinary Visits**: They apply at all schemes or modalities. These visits may be conducted with or without prior notice, depending on the case. The purpose of such visits is usually to verify implementation of corrective measures for non-conformities identified in previous visits and scheduled at the express request of the certification area or the customer or either at the express request of competent agencies and authorities.

**Important Issues to be considered**

1. UL schedules the surveillance (follow-up) visits within the period of time in which the NOM certificates or dictums are in force.

2. Could be additional expenses incurred during the certification process as a result of corrective actions and/or extraordinary review visits. In the case of Modalities II and III, they are not considered to be additional expenses as the service is based on a quotation. However, in cases where UL performs an extraordinary surveillance visit under modalities II or III, it will raise the corresponding charge.

3. Confirmation periods in the case of routine visits previously notified shall be 5 (five) business days and for the preliminary visits, the period will be indicated in the corresponding notice. **In the event the required confirmation has not been received in the stated period, we shall deem the date and place of the visit to be accepted.** For extraordinary visits, confirmation is not required.

4. In the event of problems with the date, time and place scheduled (Surveillance visits with prior notice), the legal representative or contact person shall, upon receiving the notice of the surveillance visit, ask the Coordination area that issued the notice that such visit should be re-scheduled within the periods
stated in the preceding section as the case may be. The visit shall be rescheduled once. If such visit was not possible, the related certificates or dictums shall be cancelled.

5. The customer, manufacturer, owner, or any of the ir employees or managers of industrial or commercial establishments shall be responsible for allowing access and facilitating any items necessary to UL’s representative to carry out the surveillance visit.

6. The activities carried out in general in the course of a surveillance (inspection) visit are:

- Indicate the scope of the visit and, depending on the case, introduce people who will participate in it;
- Documents are reviewed (only applicable at schemes II, III and VI);
- Inspection of the production line in the case of modality II or III and in the case of Modality VI, inspection of the refurbishment line;
- **Product sampling:** It is performed over the quantity strictly necessary to carry out the tests required under the applicable standard. The number of samples taken may vary depending on the modality of the certification and/or in case you request the UL’s representative to select a “witness sample” (it is not applicable for schemes VI, VII and VIII). The witness sample shall be used in case of doubts or controversies or when the results of the testing procedure reports are negative. The customer must keep the witness sample in custody for 45 (forty-five) calendar days and it may be disposed of once UL has sent the corresponding notification or either, if at the expiration of the term the witness sample has not been required. If you decide not to have a witness sample selected during product sampling and the witness sample is required for complementary testing, you shall request UL to perform an extraordinary surveillance visit corresponding to the product sampling procedure. UL shall proceed with the extraordinary visit and will charge you accordingly.
- Product marking review and use of marks and certification (as applicable);
- Summary of activities: A summary and explanation of the observations and/or non-conformities identified, if applicable, is provided. The UL’s representative shall leave an electronic or print copy of the applicable Inspection Report for the customer’s reference.

7. The maximum period established for the customer to enter the Test Report concerning the product(s) sampled (irrespective of the result) is 45 (forty-five) calendar days as from the date of the sampling or the surveillance visit, as the case may be. If the result of the report were negative, UL shall notify the customer in writing, of the Suspension of the appropriate certificate. In addition, if a witness sample was selected during product surveillance, it must be submitted to the testing procedure no later than 5 (five) business days subsequent to the date of issuance of the notice. If the result obtained with the witness sample were the same, the certificate shall be cancelled. Otherwise, i.e., if the product did not show any non-compliance, the certification shall be ratified through a Notice of Compliance.

8. The samples chosen must be sent to a laboratory that must be either subcontracted and/or validated by UL de México, S. A. de C.V., as well as those laboratories which it has as a Mutual Recognition Agreement signed and approved. In the case of selected samples under Mutual Recognition Agreements, it has to be sent to the laboratory that UL indicates for the validation or recognition of the test report.

9. Should UL determine the suspension of a certificate due to noncompliance with the requirements applicable to the product; or about the misuse of the marks, the client (holder of the certificate) may choose to correct, repair or reprocess the product or to remove the marks from all the products designated by UL prior to their distribution or merchandising.

10. If applicable, the response to the non-conformities identified must be given within the periods stipulated in the applicable notice. If required, an extraordinary surveillance visit will be conducted in order to review the implementation of the corrective actions implemented.
11. Additionally, customers must report to UL in writing any change or modification in the product, as UL shall in turn analyze and, if applicable, request supplementary testing procedures for the product in order to evaluate that the product continues to meet the requirements of the normative document under which it was evaluated.

12. In case of certificate cancellation, the customer or holder of the certificate must immediately stop using the mark(s), certificates or other means denoting certification of a product. Any reference to the certification must be removed from all publicity material, as well as from the products. Likewise, the mark(s) or other means used to indicate certification of such materials must be returned –if required by UL –, no later than 30 (thirty) calendar days. Printed certificates, if applicable, must be returned to UL for cancellation or destruction no later than 5 (five) calendar days from the date of Notice of Cancellation (Withdrawal).

13. Surveillance (follow-up) visits for products certified by batch (Modality VII and VIII) are not paid by UL, because the follow-up or surveillance of products at the point of sale in order to confirm that the product is sold in accordance with the category under which it was certified is the responsibility of the Secretariat of Economy and the Governmental Authorities for Consumer Protection (Procuraduría Federal del Consumidor - PROFECO).
Surveillance Process (Follow-Up)

UL schedules the Surveillance Visit with or without prior notice.

UL notifies the customer of the surveillance inspection.

Customer confirms to UL if inspection could be performed or if has to be re-scheduled.

Lab / Customer submits the results of the Testing Report to UL (2).

The Customer sends Sampled Product to the Testing Laboratory (1).

UL’s representative pays a Surveillance Visit including, if applicable, a product sampling. **

Does it agree with the assessment?

If it does not, UL issues the corresponding notice and the Certificate is suspended (+).

The Customer implements Corrective Actions (and notifies them) and/or sends witness samples to the laboratory (in a maximum period of five days from the shipping date of the suspension notice).

If the Corrective Actions do not comply the Certificate is cancelled.

NOM certification is maintained.

UL shall send the respective Notice of Compliance, which may be used to renew it.

¿Do the Corrective Actions comply?

Yes

No

End

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** Depending on each Scheme (modality). A witness sample is required. Therefore, the number of samples shall be in duplicate.

(*) The Customer may not use the conformity marks up and until the product has been reconditioned, reprocessed, substituted or disposed of.

(1) Laboratories subcontracted or validated by UL de Mexico, S.A. De C.V or Laboratories with which UL de Mexico, S.A. De C.V. has a Mutual Recognition Agreement approved.

(2) The maximum period to submit the Report of Results is 45 calendar days as of the date of the sampling.
Section 6 Our Services

The services offered by UL de México, S.A. de C.V., as a Certification Organization for Third-Party Products, are listed below:

1. **Certification for Electronic Products** according to the standards:


   NOM-019-SCFI-1998 “Safety of Data-processing Equipment”

2. **Certification for Electrical Products**, according to the following standards:


   NOM-003-SCFI-2000 “Electrical Products – Safety Specifications” and related normative documents:

3. **Issuance of Highly Specialised Equipment Dictum**: Products or pieces of equipment which, given their features and components, are excluded from the scope of the NOM-019-SCFI-1998 standard as established in Section 1.2 thereof.

4. **Certificate Ownership Extension**: when a certificate owner may grant its ownership to one or more distributors, traders, or importers, as long as the certificate has been issued under Scheme I. This service only applies to local or foreign manufacturers located in Mexico, or in a country with which Mexico has signed a Free Trade Agreement or Treaty that specifies product surveillance activities.

5. **Amendments in the Scope** of certificates and dicta previously granted, such as: Model additions or cancellations, changes in registered company name or address, changes of legal representative, extensions in country of origin, etc.

6. **Validation Letters Applicable to Samples for Customs Purposes**.

7. **Issuance of Product Dictum**.
Should you be interested in engaging our services and/or have comments about our services, do not hesitate to contact us at:

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Alternatively, you can visit our web page at www.ul.com

IT WILL BE A PLEASURE FOR US TO BE OF ASSISTANCE TO YOU.