

	<p>UL Solutions ISMS Certification</p>	<p>Document Number: Client/Customer Support Guidance-ULID-020290 Issue #: 1.0 Issued Date: 2024-xx-xx Revision Date: Effective Date: 2024-xx-xx Page 1 of 8</p>
---	--	--

UL Solutions Information Security Management System (ISMS) Certification Handbook

Revision 1.0
16 September 2024



Contents

1	Overview	3
2	Application for Certification	3
3	Gap Analysis	3
4	Initial Certification Process	3
4.1	Documentation Review (Stage 1 Audit)	3
4.2	Certification Audit (Stage 2 Audit)	3
4.3	Certification Audit Report	4
4.4	Nonconformities.....	4
4.5	Certification Review and Decision.....	4
4.6	Denial of Certification.....	5
5	Use of Certificate of Conformance, Use of Certification Mark, and Reference to UL Solutions	5
6	Ongoing Annual Audits	5
6.1	Surveillance Audits	5
6.2	Recertification Audits	5
7	Modifications or Revisions to Certificates of Conformity	6
8	Special Audits	6
9	Withdrawing, Maintaining, Terminating, and Suspending a Certification	6
10	Complaints, Appeals, and Information Requests	7
11	Confidentiality.....	7
12	Impartiality.....	7
13	About UL Solutions	8



Overview

The UL Solutions Information Security Management System (ISMS) Certification Scheme assesses the extent to which an organization conforms to the requirements of ISO/IEC 27001, a standard that sets forth requirements for information security, cybersecurity, and privacy protection. This handbook is intended to assist organizations with understanding the certification requirements and processes. Certification services are governed by the [Identity Management and Security \(IMS\) Certification Service Terms](#).

1 Application for Certification

UL Solutions will respond to requests from organizations interested in our certification services with a proposal or quotation. Your organization shall submit an application form providing us with details necessary to properly scope the certification effort. Based on the information provided in the application, we will determine the audit time required for the certification effort. If multiple sites are to be certified, we will determine the audit plan to confirm all sites are covered.

2 Gap Analysis

If requested by your organization, we will perform a gap analysis to help determine your readiness for an ISO 27001 assessment. We can identify areas of noncompliance for you to address before the certification process begins. An audit summary report will be provided outlining the nonconformities. Since this is a gap analysis, the formal corrective action process is not required. Time spent on the gap analysis does not count toward the certification audit time.

3 Initial Certification Process

4.1 Documentation Review (Stage 1 Audit)

A Stage 1 Audit will be conducted to obtain sufficient understanding of the scope, design of the ISMS and to verify preparedness for the Stage 2 Audit. This includes a review of your documented ISMS, a review of the organization structure and functions, the risk assessment and treatment processes, including the controls determined, and information security policy and objectives. We will provide a “Documentation Assessment Report” identifying any conclusions about fulfilling the Stage 1 objectives and readiness for the Stage 2 Audit.

4.2 Certification Audit (Stage 2 Audit)

Once any nonconformities from the Documentation Review (Stage 1 Audit) are resolved, we will schedule the onsite Certification Audit (Stage 2 Audit). Qualified auditors will be assigned to assess the implementation of your ISMS. We may also use technical experts who specialize in your area of business. This will allow us to better understand the way you operate and the unique aspects of information security in your business.



The audit begins with an opening meeting. This confirms that we both agree on the scope of the audit and the assessment process. A closing meeting will be held on the last day of the audit to present the nonconformities and opportunities for improvement to your organization's management. The goal of this meeting is to confirm that your organization understands the nonconformities, the corrective action process and the certification decision-making process.

4.3 Certification Audit Report

Our audit team will create a final audit report and submit it to the Certification Body Reviewer for certification. Where nonconformities were issued, your organization shall submit the corrective action responses within defined timeframes for the audit team to review and approve. See the Nonconformities section (4.4) for details of the nonconformity process.

4.4 Nonconformities

Major Nonconformity: nonconformity that affects the capability of the management system to achieve the intended results. Nonconformities could be classified as major in the following circumstances:

- if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

For any major nonconformities, we shall review, accept and verify the correction and corrective actions.

Minor Nonconformity: does not affect the capability of the management system to achieve the intended results

For any minor nonconformities, we shall review and accept the plan for correction and corrective actions.

Opportunity for improvement: areas for improvement, non-binding in nature.

If we cannot verify the implementation of corrective actions for any major nonconformity within 6 months of the last day of Stage 2, you must support another Stage 2 to continue to certification review.

4.5 Certification Review and Decision

Once the nonconformities have been approved by the auditor, or if no nonconformities were issued, the Certification Body Reviewer will review all audit records and reports (including corrective actions) to render a certification decision. Once the certification requirements are met, UL Solutions will issue the final audit report, including approved corrective action responses, Certificate(s), and authorization to use the UL Certification Badge. Certificates are valid for three (3) years provided that you continue to meet the certification requirements.



4.6 Denial of Certification

If we cannot find sufficient evidence of compliance with ISO 27001, certification will be denied. The decision to deny certification along with the grounds for the decision will be communicated to your organization in writing.

4 Use of Certificate, Use of Certification Badge, and Reference to UL Solutions

Certificates are granted to organizations that successfully demonstrate compliance with the standard. The Certificate and the Certification Badge remain the property of UL Solutions.

Your organization may refer to UL Solutions, publish their certification status and use the UL Solutions Certificate in any professional, technical, trade or other business publication. Claims regarding certification must be consistent with the scope of certification. See also the [UL Marketing Guidelines](#).

Such references must not imply product endorsement. Your organization shall not use its certification in such a manner as to bring UL Solutions into disrepute and shall not make any statements regarding its certification that we may consider misleading or unauthorized. Use of the Certification Badge is reviewed during surveillance.

5 Ongoing Annual Audits

The ISMS Certification Scheme is an ongoing program with three-year cycles. The first year is the initial Certification audit; the second and third year, Surveillance Audits are conducted. The fourth audit activity shall be a Recertification followed by two Surveillance Audits. The three-year cycle of certification/recertification followed by two annual Surveillance Audits will continue until the organization chooses to end their certification.

6.1 Surveillance Audits

Surveillance Audits are conducted to assure continued conformance with respect to the appropriate standard(s) and applicable regulations. You will be notified in writing of the pending Surveillance Audits. Surveillance Audits shall be conducted at least once a calendar year and shall not be more than 12 months from the certificate decision date.

You may request an extension of time for a Surveillance Audit once in every three-year cycle, but it may only be granted for rare cases (e.g., death in the family, medical emergency, etc.). Such requests must be made in writing. The length of extension allowed will be determined by UL Solutions' management, but in no case will it exceed 6 months. There is a fee associated with this type of request.

6.2 Recertification Audits

Recertification Audits occur every three (3) years. In order to keep the certification active, the recertification activities must be completed prior to the expiry date of the existing certification. If the Recertification Audit has not been completed or we are unable to verify the implementation



of corrections and corrective actions for any major nonconformity (see Section 4.4) prior to the expiry date of the certification, then recertification shall not be recommended. The validity of the certification shall not be extended. We can restore certification within 6 months, provided that the outstanding recertification activities are completed; otherwise, at least a Stage 2 audit shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle,

6 Modifications or Revisions to Certificates

Certificates are only valid at the location(s) that appear on the certificate. If an organization changes locations, it may be subject to a special audit to maintain the validity of the certificate. After all audit fees have been paid, a revised Certificate will be issued to the organization.

Changes in ownership, physical location, key personnel, changes in facilities and/or any significant change affecting ISMS scope must be provided in writing to UL Solutions who will determine whether the changes impact the existing certification. We will determine if a special audit is required.

7 Special Audits

In addition to the aforementioned reasons for a Special Audit (e.g. changes in location, ownership, physical location, key personnel), Special Audits may also be required at short notice or unannounced for the purpose of investigating complaints, in response to changes or as follow-up on suspended certifications. Such audits shall bear additional costs to the certified organization or applicant in addition to the costs related to annual audits.

When a Special Audit is required, we will notify, describe and make known in advance to the certified organization the conditions under which Special Audits are to be conducted. In both short notice and unannounced cases, we will exercise additional care in the assignment of the audit team because of the lack of opportunity for the organization to object to audit team members.

8 Withdrawing, Maintaining, Terminating, and Suspending a Certification

An organization may at any time terminate its ISMS certification with UL Solutions. If an organization wishes to terminate its certification, the organization shall cease to make reference to said certification.

We may, at our discretion, withdraw or suspend the certification of an organization for cause such as non-payment, violating the terms of certification listed in the certification agreement or failure to notify us of any significant changes that may affect their compliance with ISO 27001.



We also have the right to suspend or withdraw certification and remove the organization's name from the certified companies list for failure to complete the next activity by the applicable anniversary date of the audit cycle. Upon suspension, withdrawal, or termination of certification, the organization shall remove all references to certification and take any other measures required by UL Solutions.

If certification is suspended, we shall advise the organization in writing of the processes that will be needed to restore certification. The organization shall continue to pay all fees as required.

9 Complaints, Appeals and Information Requests

We maintain a process for handling complaints about our services and for handling appeals of UL Solutions' certification decisions.

All complaints regarding our certification services will be investigated and the complainant notified of the outcome, as appropriate. Complaints may be submitted to our Customer Experience Center (CEC@ul.com).

We also investigate legitimate complaints from customers and accreditation bodies regarding certificates issued by UL Solutions. Organizations holding a certificate from UL Solutions shall support the investigation and resolution of such complaints.

If your organization is denied certification or your certification is withdrawn or suspended, you may appeal the decision. You have 30 days from the notice of denial, withdrawal or suspension to file an appeal. We shall assign an independent reviewer to review the appeal. You will receive notice of the result of the appeal.

We will not disclose information to any third party other than what is publicly available or as required to maintain accreditation.

10 Confidentiality

UL Solutions maintains a high level of confidentiality at all levels of its organization concerning information obtained in the course of its business. No information will be disclosed to any third party unless in response to legal process or the organization has requested such disclosure in writing, in which case UL Solutions will notify the organization prior to disclosing the information.

11 Impartiality

We are committed to conducting every evaluation and certification with impartiality. You can find our Standards of Business Conduct on our [website](#).



12 About UL Solutions

A global leader in applied safety science, UL Solutions (NYSE: ULS) transforms safety, security and sustainability challenges into opportunities for customers in more than 110 countries. UL Solutions delivers testing, inspection and certification services, together with software products and advisory offerings, that support our customers' product innovation and business growth. The UL Mark serves as a recognized symbol of trust in our customers' products and reflects an unwavering commitment to advancing our safety mission. We help our customers innovate, launch new products and services, navigate global markets and complex supply chains, and grow sustainably and responsibly into the future. Our science is your advantage.