



5360 Workman Mill Road ■ Whittier, CA 90601 USA

866.4.ICBOES (442.2637) toll free

562.699.0543 local ■ 562.695.4694 fax

www.icboes.org web site ■ es@icboes.org e-mail

## ACCEPTANCE CRITERIA FOR QUALITY CONTROL AGENCY ACCREDITATION

### AC98

September 2000

(Effective July 1, 2002)

Previously issued March 2000, September 1998,  
July 1996, September 1995, April 1993

### PREFACE

Evaluation reports issued by ICBO Evaluation Service, Inc. (ICBO ES), are based upon performance features of the Uniform family of codes and the International family of codes. Section 104.2.8 of the 1997 *Uniform Building Code*™ (UBC), Section 104.11 of the 2000 *International Building Code*® (IBC) and Section R104.11 of the 2000 *International Residential Code*™ (IRC) are the primary charging sections upon which evaluation reports are issued. Section 104.2.8 of the UBC reads as follows:

The provisions of this code are not intended to prevent the use of any material, alternate design or method of construction not specifically prescribed by this code, provided any alternate has been approved and its use authorized by the building official.

The building official may approve any such alternate, provided the building official finds that the proposed design is satisfactory and complies with the provisions of this code and that the material, method or work offered is, for the purpose intended, at least the equivalent of that prescribed in this code in suitability, strength, effectiveness, fire resistance, durability, safety and sanitation.

The building official shall require that sufficient evidence or proof be submitted to substantiate any claims that may be made regarding its use. The details of any action granting approval of an alternate shall be recorded and entered in the files of the code enforcement agency.

Similar provisions are contained in Sections 104.11 and R104.11 of the IBC and IRC, respectively.

The attached acceptance criteria has been issued to provide all interested parties with guidelines on implementing performance features of the applicable code(s) referenced in the acceptance criteria. The criteria was developed and adopted following public hearings conducted by the ICBO ES Evaluation Committee and is effective on the date shown above. All reports issued or reissued on or after the effective date must comply with this criteria, while reports issued prior to this date may be in compliance with this criteria or with the previous edition. If the criteria is an updated version from a previous edition, a solid vertical line (|) in the margin within the criteria indicates a technical change, addition, or deletion from the previous edition. A deletion indicator (°) is provided in the margin where a paragraph has been deleted if the deletion involved a technical change. This criteria may be further revised as the need dictates.

ICBO ES may consider alternate criteria, provided the proponent submits valid data demonstrating that the alternate criteria are at least equivalent to the attached criteria and otherwise meet the applicable performance requirements of the codes. Notwithstanding that a material, type or method of construction, or equipment, meets the attached acceptance criteria, or that it can be demonstrated that valid alternate criteria are equivalent and otherwise meet the applicable performance requirements of the codes, if the material, product, system or equipment is such that either unusual care with its installation or use must be exercised for satisfactory performance, or malfunctioning is apt to cause unreasonable property damage or personal injury or sickness relative to the benefits to be achieved by the use thereof, ICBO ES retains the right to refuse to issue or renew an evaluation report.

# ACCEPTANCE CRITERIA FOR QUALITY CONTROL AGENCY ACCREDITATION

## TABLE OF CONTENTS

SECTION	PAGE
<b>1.0 INTRODUCTION</b> .....	2
<b>1.1 Scope</b> .....	2
<b>1.2 Reference Documents</b> .....	2
<b>2.0 BASIC INFORMATION</b> .....	2
<b>3.0 SUPPLEMENTAL REQUIREMENTS</b> .....	2
<b>3.1 Inspection Reports</b> .....	2
<b>3.2 Noncompliance</b> .....	2
<b>3.3 Inspection Frequency</b> .....	2
<b>3.4 Subcontracting</b> .....	2
<b>4.0 GENERAL INSPECTION NOTES</b> .....	2
<b>4.1 Inspections and Expense Reimbursement</b> ...	2
<b>4.2 Inspection Procedures and Definition</b> .....	3
<b>4.3 Field Inspections</b> .....	3
<b>4.4 Definition of Terms Relating to ICBO ES Inspections</b> .....	3
<b>4.5 Complaints</b> .....	3

### 1.0 INTRODUCTION

#### 1.1 Scope:

The purpose of this criteria is to provide requirements for ICBO ES quality control agency ("agency") accreditation and the qualifying data necessary on procedures and expertise relating to the specific field of work for which recognition is sought. This criteria supplements the ICBO ES Rules of Procedure for Quality Control Agency Accreditation Listings. For purposes of this document, "quality control" and "quality assurance" are considered synonymous.

#### 1.2 Reference Documents:

**1.2.1** ISO/IEC (International Organization for Standardization/International Electrotechnical Commission) Standard 17020-1998, *General Criteria for the Operation of Various Types of Bodies Performing Inspection*.

**1.2.2** ICBO ES Rules of Procedure for Quality Control Agency Accreditation Listings.

### 2.0 BASIC INFORMATION

The following basic information shall be documented in a manual containing a table of contents keyed to consecutively numbered pages. A means for recording revisions must be incorporated in the manual.

**2.1** Data showing compliance with the ICBO ES Rules of Procedure for Quality Control Agency Accreditation Listings.

**2.2** Data showing compliance with the relevant sections of ISO/IEC Standard 17020-1998, *General Criteria for the Operation of Various Types of Bodies Performing Inspection*.

### 3.0 SUPPLEMENTAL REQUIREMENTS

#### 3.1 Inspection Reports:

**3.1.1** Inspection reports shall accurately and clearly outline the results of inspections.

**3.1.2** Inspection reports shall contain the following information, as applicable:

**3.1.2.1** Inspection date, arrival and departure time of the inspector.

**3.1.2.2** Review of incoming material records.

**3.1.2.3** Products inspected.

**3.1.2.4** Any changes in supervisory personnel, vendors, production or process and equipment relating to ICBO ES recognized products.

**3.1.2.5** Results of tests witnessed or performed.

**3.1.2.6** Review of labeling and label control system.

**3.1.2.7** Product traceability from incoming material to finished product through production records.

**3.1.2.8** Resolution of any discrepancies noted during previous inspections.

**3.1.2.9** If listed products were not in production at the time of inspection, details of when the product was last produced.

**3.1.2.10** Description of samples obtained, if any, including quantity, dimensions and relevant physical characteristics.

**3.1.2.11** Review of calibration records for manufacturing and test equipment.

**3.1.2.12** Signature of the inspector and manufacturer's representative.

**3.1.2.13** Copy of the report(s) issued to the manufacturer by the agency detailing results of follow-up inspection.

#### 3.2 Noncompliance:

**3.2.1** The agency shall have procedures for follow-up action after an inspection reveals noncompliance, including notification, resolution and prevention of future occurrences.

**3.2.2** The agency shall provide details of supplementary inspections and related procedures due to violation of the inspection criteria.

#### 3.3 Inspection Frequency:

**3.3.1** The agency shall provide documentation on the frequency of follow-up inspections, including specific details on supplemental inspections for plants employing seasonal production schedules.

**3.3.2** For products manufactured under a quality control program for which the relevant evaluation report requires inspections, the frequency of follow-up inspections shall be as specified in the approved quality control manual, but shall in any case not be less than four inspections per year for facilities with year-round operations.

In situations where a facility has not produced ICBO ES recognized products for an extended period of time, a minimum of one unannounced, on-site inspection per year shall be conducted by the quality control agency of record. The inspection shall be done to independently determine whether any changes have occurred in the quality control system, supervisory personnel, vendors, production processes, production equipment, etc., which might adversely affect the ability of the manufacturer to produce products that comply with the evaluation report.

#### 3.4 Subcontracting:

The agency must advise and obtain written approval from ICBO ES prior to subcontracting any portion of the inspection to any person or quality control agency not recognized or accredited by ICBO ES.

### 4.0 GENERAL INSPECTION NOTES

#### 4.1 Inspections and Expense Reimbursement:

ICBO ES representatives shall be permitted to conduct unannounced inspections at the office of the agency or of the manufacturing facilities of any evaluation report holder or licensee requiring periodic quality control inspection, for the purpose of monitoring the performance of the agency.

Expenses incurred by ICBO ES for initial qualifying assessments of quality control agencies are reimbursable by the agency.

When an ICBO ES representative is required to witness tests, conduct field investigations or investigate complaints for reasonable cause, all related expenses, including travel and staff time, shall be reimbursed by the agency. Expenses to conduct tests related to investigations for reasonable cause by the ICBO ES staff shall also be reimbursed by the agency.

#### 4.2 Inspection Procedures and Definitions:

The following is to provide information on general procedures and definitions regarding field inspections as it relates to holders of ICBO ES evaluation reports on quality control agencies.

The purpose of ICBO ES field inspections of accredited quality control agencies (agency) is to:

**4.2.1** Determine that inspection programs demonstrate the experience, expertise and familiarity with the specific type of product or fabrication requested in an agency's application for accreditation.

**4.2.2** Determine that the agency's inspection program continues to operate in compliance with the applicable ICBO ES Rules of Procedure and Acceptance Criteria.

#### 4.3 Field Inspections:

Field inspections related to quality control agencies may be announced or unannounced and are only initiated for specific reasons. Travel expenses and ICBO ES staff time may be charged to an agency depending on the reason for inspections. The following provides information on the types of inspections, reasons and reimbursable expenses (to ICBO ES):

Type	Reason	Reimbursable Expenses
Announced	Initial Accreditation	Staff Time and Travel Expenses
Announced	Biennial Assessment	None
Announced or Unannounced	Monitoring Inspection	None
Announced or Unannounced	Reasonable Cause	Staff Time and Travel Expenses

#### 4.4 Definition of Terms Relating to ICBO ES Inspections:

**4.4.1 Announced Inspection:** Audit that is scheduled in advance with written notification to the agency. Typically, announced inspections are for initial qualification of an agency or for follow-up inspections for monitoring purposes of accredited quality control agencies.

**4.4.2 Unannounced Inspection:** Audit that is conducted without prior notification at the manufacturing site where the inspection is to take place. Unannounced inspections are typically conducted when reasonable cause has been

established. Monitoring inspections of quality control agencies at manufacturing site locations of ICBO ES report holders requiring third-party inspections may also be unannounced.

**4.4.3 Reasonable Cause:** The determination of reasonable cause rests with ICBO ES management staff. All inspections for reasonable cause are subject to verification and/or validation by ICBO ES.

Typical examples of "reasonable cause" are as follows:

- Complaints from building officials.
- Product failure notices from evaluation report holders.
- Missed inspection as noted in the Inspection Summary Form submitted as part of the re-examination application.
- Identification of an industry-wide problem.
- Complaints brought to the attention of ICBO ES regarding the performance of materials, products, methods or types of construction recognized in an ICBO ES evaluation report, after evaluation of the complaint to determine the cause of the problem.

**4.4.4 Reimbursable Expenses:** Costs incurred by ICBO ES in the course of conducting assessments for initial accreditation or when inspection for reasonable cause is required. The expenses shall consist of staff time and travel (at cost). Inspection costs shall be reimbursed upon presentation of a claim by ICBO ES with a listing of expenses. Expenses are not charged for biennial monitoring inspections of accredited quality control agencies.

**4.4.5 Listed:** Products required by the code or ICBO ES acceptance criteria to be subject to periodic inspection of production by an accredited quality control agency.

For new evaluation reports on listed products, the accredited quality control agency shall obtain from the manufacturer sufficient information to correlate the product originally qualified to current production. This information may include, for example, product specifications, test reports or other initial qualifying data.

#### 4.5 Complaints:

Complaints to ICBO ES must be presented in written form. Field audits based on complaints are subject to the determination of reasonable cause by ICBO ES management staff. Written complaints shall be accompanied by independent substantiating data or other evidence upon which the determination of reasonable cause will be based. Where listed products are involved, ICBO ES staff may first request input from the quality control agency in determining reasonable cause and resolution of complaints.