



April 28, 2008

**TO: EVALUATION REPORT HOLDERS AND APPLICANTS, AND INSPECTION AGENCIES**

**SUBJECT: Proposed Revisions to the Acceptance Criteria for Quality Documentation, Subject AC10-0508-R1 (MB/MJ)**

**Hearing Information:**

Wednesday, May 28, 2008

8:00 a.m.

**Sheraton Gateway Suites Chicago O'Hare Airport**

6501 North Mannheim Road

Rosemont, Illinois 60018

(847) 699-6300

Dear Madam or Sir:

The subject acceptance criteria will be on the agenda at the above-noted meeting. The revisions proposed by ICC-ES staff are intended to identify requirements regarding moving of manufacturing locations; to clarify the intent of the requirements in Appendix A; and to clarify that the qualifying inspection may be conducted either by a representative of ICC-ES or by an independent, accredited inspection agency; and to include requirements for manufacturer's testing laboratories, which was prompted by our yearly ANSI accreditation under ISO Guide 65.

You are cordially invited to submit written comments on agenda items, or to attend the Evaluation Committee hearing and present verbal comments. If you wish to contribute to the hearing, please note the following:

1. Written comments that are received by the Los Angeles business/regional office by **May 14, 2008**, will be forwarded to the committee prior to the hearing, and will be posted on the ICC-ES web site shortly after the comment deadline.
2. Written comments received up to ten days before the meeting, and staff memos responding to comments, will be posted to the web site on **May 23, 2008**.
3. ICC-ES is no longer providing printed copies at the meeting of proposed acceptance criteria, staff memos or public comments. These documents will be available on a limited number of CDs at the meeting, for uploading to computers; and ICC-ES will make arrangements with the hotel business center to have hard copies available for photocopying.

4. Written comments that miss the deadline noted in item (1), above, will only be available at the meeting if you provide 35 copies, collated, stapled, and three-hole punched, either at the meeting itself or to the Los Angeles business/regional office by **May 23, 2008**.
5. If you plan to speak for more than 15 minutes, or offer a visual presentation lasting longer, you should notify ICC-ES staff as far as possible in advance. There will be a computer, projector, and screen available at the meeting for anyone wishing to make a visual presentation, and presentations in most cases will need to be in PowerPoint format. Also, ICC-ES will need to be provided with your presentation at least a half-hour before the start of the relevant meeting session (morning or afternoon) on either a CD or a flash card.
6. If you have any special needs related to a presentation, you should contact ICC-ES staff well in advance of the meeting.
7. Any visual aids for viewing at committee meetings (charts, overhead transparencies, slides, videos, electronic presentations, etc.) will be permitted only if a copy is provided to ICC-ES, before the presentation, in a medium that can be retained with other records of the meeting.
8. Any materials submitted for committee consideration are considered nonconfidential and available for public discussion, as noted in Section 2.7 of the ICC-ES Rules of Procedure for the Evaluation Committee.
9. Prior to the meeting, you should refrain from trying to communicate directly with committee members about agenda items, either verbally or in writing. Committee members reserve the right to refuse such communications.

Your cooperation with these guidelines is much appreciated, as is your interest in the deliberations of the Evaluation Committee. If you have any questions, please contact the undersigned at (800) 423-6587, extension 3289, or Michael C. Jones, at extension 3275. You may also reach us by e-mail at [es@icc-es.org](mailto:es@icc-es.org).

Yours very truly,



Michael Beaton, P.E.  
Senior Regional Manager

MB/lh

Enclosures

cc: Evaluation Committee



## ICC EVALUATION SERVICE, INC., RULES OF PROCEDURE FOR THE EVALUATION COMMITTEE

### 1.0 PURPOSE

The purpose of the Evaluation Committee is to monitor the work of ICC-ES, in issuing evaluation reports; to evaluate and approve acceptance criteria on which evaluation reports may be based; and to sponsor related changes in the applicable codes.

### 2.0 MEETINGS

**2.1** The Evaluation Committee shall schedule meetings that are open to the public in discharging its duties under Section 1, subject to Section 3.

**2.2** All scheduled meetings shall be publicly announced.

**2.3** Two-thirds ( $\frac{2}{3}$ ) of the voting Evaluation Committee members shall constitute a quorum. A majority vote of members present is required on any action.

**2.4** In the absence of the nonvoting chairman-moderator, Evaluation Committee members present shall elect an alternate chairman from the committee for that meeting. The alternate chairman shall be counted as a voting committee member for purposes of maintaining a committee quorum and to cast a tie-breaking vote of the committee.

**2.5** Minutes of the meetings shall be kept.

**2.6** An electronic audio record of meetings shall be made by ICC-ES; no other audio, video, electronic or stenographic recordings of the meetings will be permitted. Visual aids (including, but not limited to, charts, overhead transparencies, slides, videos, or presentation software) viewed at meetings shall be permitted only if the presenter provides ICC-ES before presentation with a copy of the visual aid in a medium which can be retained by ICC-ES with its record of the meeting and which can also be provided to interested parties requesting a copy. A copy of the ICC-ES recording of the meeting and such visual aids, if any, will be available to interested parties upon written request made to ICC-ES together with a payment as required by ICC-ES to cover costs of preparation and duplication of the copy. These materials will be available beginning five days after the conclusion of the meeting but will no longer be available after one year from the conclusion of the meeting.

**2.7** Parties interested in the deliberations of the committee should refrain from communicating, whether in writing or verbally, with committee members regarding agenda items. All written communications and submissions regarding agenda items should be delivered to ICC-ES. All such written communications and submissions shall be considered nonconfidential and available for discussion in open session of an Evaluation Committee meeting, and shall be delivered at least ten days before the scheduled Evaluation Committee meeting if they are to be forwarded to the committee. Materials delivered to ICC-ES at least ten

days before the scheduled meeting will be posted on the ICC-ES web site ([www.icc-es.org](http://www.icc-es.org)) prior to the meeting. After this time, parties wishing to submit materials for consideration by the Evaluation Committee must deliver a sufficient number of copies as directed by ICC-ES. Consideration of materials not received by ICC-ES at least ten days before the meeting is at the discretion of the Evaluation Committee. Following the meeting, ICC-ES will make all materials considered by the Evaluation Committee available on the web site for a maximum period of one year following the meeting. The committee reserves the right to refuse recognition of communications which do not comply with the provisions of this section.

### 3.0 CLOSED SESSIONS

Evaluation Committee meetings shall be open except that the chairman may call for a closed session to seek advice of counsel.

### 4.0 ACCEPTANCE CRITERIA

**4.1** Acceptance criteria are established by the committee to provide a basis for issuing ICC-ES evaluation reports on products and systems under codes referenced in Section 2.0 of the Rules of Procedure for Evaluation Reports. They also clarify conditions of acceptance for products and systems specifically regulated by the codes.

Acceptance criteria may involve a product, material, method of construction, or service. Consideration of any acceptance criteria must be in conjunction with a current and valid application for an ICC-ES evaluation report, an existing ICC-ES evaluation report, or as otherwise determined by the Evaluation Committee.

#### 4.2 Procedure:

**4.2.1** Proposed acceptance criteria shall be developed by the ICC-ES staff and discussed in open session with the Evaluation Committee during a scheduled meeting, except as permitted in Section 5.0 of these rules.

**4.2.2** Proposed acceptance criteria shall be available to interested parties at least 30 days before discussion at the committee meeting.

**4.2.3** The committee shall be informed of all pertinent written communications received by ICC-ES.

**4.2.4** Attendees at Evaluation Committee meetings shall have the opportunity to speak on acceptance criteria listed on the meeting agenda, to provide information to committee members.

**4.3** Approval of acceptance criteria shall be as specified in Section 2.3 of these rules.

**4.4** Actions of the Evaluation Committee may be

**ICC EVALUATION SERVICE, INC., RULES OF PROCEDURE FOR THE EVALUATION COMMITTEE**

appealed in accordance with the ICC-ES Rules of Procedure for Appeal of Acceptance Criteria or the ICC-ES Rules of Procedure for Appeals of Evaluation Committee Technical Decisions.

**5.0 COMMITTEE BALLOTING FOR ACCEPTANCE CRITERIA**

**5.1** Acceptance criteria may be issued without a public hearing following a 30-day public comment period and a majority vote for approval by the Evaluation Committee when, in the opinion of ICC-ES staff, one or more of the following conditions have been met:

1. The subject is nonstructural, does not involve life safety, and is addressed in nationally recognized standards or generally accepted industry standards.
2. The subject is a revision to an existing acceptance criteria that requires a formal action by the Evaluation Committee, and public comments raised were resolved by staff with commenters fully informed.
3. Other acceptance criteria and/or the code provide precedence for the revised criteria.

**5.2** Negative votes must be based upon one or more of the following, for the ballots to be considered valid and require resolution:

- a. *Lack of clarity:* There is insufficient explanation of the scope of the acceptance criteria or insufficient description of the intended use of the product or system; or the acceptance criteria is so unclear as to be unacceptable. (The areas where greater clarity is required must be specifically identified.)
- b. *Insufficiency:* The criteria is insufficient for proper evaluation of the product or system. (The provisions of the criteria that are in question must be specifically identified.)
- c. *The subject of the acceptance criteria is not within the scope of the applicable codes:* A report issued by ICC-ES is intended to provide a basis for approval under the codes. If the subject of the acceptance criteria is not regulated by the codes, there is no basis for issuing a report, or a criteria. (Specifics must be provided concerning the inapplicability of the code.)

d. *The subject of the acceptance criteria needs to be discussed in a public hearings.* The committee member requests additional input from other committee members, staff or industry.

**5.3** An Evaluation Committee member, in voting on an acceptance criteria, may only cast the following ballots:

- Approved
- Approved with Comments
- Negative: Do Not Proceed

**6.0 COMMITTEE COMMUNICATION**

Direct communication between committee members, and between committee members and an applicant or concerned party, with regard to the processing of a particular acceptance criteria or evaluation report shall take place only in a public hearing of the Evaluation Committee. Accordingly:

**6.1** Committee members receiving an electronic ballot should respond only to the sender (staff). Committee members who wish to discuss a particular matter with other committee members, before reaching a decision, should ballot accordingly and bring the matter to the attention of ICC-ES staff, so the issue can be placed on the agenda of a future committee meeting.

**6.2** Committee members who are contacted by an applicant or concerned party on a particular matter that will be brought to the committee will refrain from private communication and will encourage the applicant or concerned party to forward their concerns through the ICC-ES staff in writing, and/or make their concerns known by addressing the committee at a public hearing, so that their concerns can receive the attention of all committee members. ■

***Effective March 18, 2008***



## PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION

### AC10

Proposed April 2008

Previously approved February 2007, October 2005, October 2004, June 2003,  
November 2001, March 2000, April 1997, April 1995, September 1992

## PREFACE

Evaluation reports issued by ICC Evaluation Service, Inc. (ICC-ES), are based upon performance features of the International family of codes and other widely adopted code families, including the Uniform Codes, the BOCA National Codes, and the SBCCI Standard Codes. Section 104.11 of the *International Building Code*<sup>®</sup> reads as follows:

The provisions of this code are not intended to prevent the installation of any materials or to prohibit any design or method of construction not specifically prescribed by this code, provided that any such alternative has been approved. An alternative material, design or method of construction shall be approved where the building official finds that the proposed design is satisfactory and complies with the intent of 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 quality, strength, effectiveness, fire resistance, durability and safety.

Similar provisions are contained in the Uniform Codes, the National Codes, and the Standard Codes.

ICC-ES may consider alternate criteria, provided the report applicant submits valid data demonstrating that the alternate criteria are at least equivalent to the criteria proposed in this document, and otherwise meet the applicable performance requirements of the codes. Notwithstanding that a product, material, or type or method of construction meets the requirements of the criteria proposed in this document, or that it can be demonstrated that valid alternate criteria are equivalent to the criteria in this document and otherwise meet the applicable performance requirements of the codes, ICC-ES retains the right to refuse to issue or renew an evaluation report, if the product, material, or type or method of construction 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 of the product, material, or type or method of construction.

*Acceptance criteria are developed for use solely for purposes of issuing ICC-ES evaluation reports.*

# PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION

## 1.0 INTRODUCTION

**1.1 Purpose:** The purpose of this acceptance criteria is to establish requirements for information that is provided to ICC-ES with regard to product specifications and the documented quality system for all products, systems and materials to be recognized in ICC Evaluation Service, Inc. (ICC-ES), evaluation reports.

**1.2 Scope:** This criteria is applicable to quality documentation that is submitted to ICC-ES in conjunction with an ICC-ES evaluation report. This criteria identifies specific information that shall be submitted to ICC-ES pertinent to the technical review of the product or system; and identifies information that shall be included in the report holder's documented quality system, which shall be verified through an on-site qualifying inspection of the manufacturing facility.

### 1.3 Definitions:

**1.3.1 Inspection Agency:** An agency accredited by International Accreditation Service (IAS), or by an accreditation body that is a partner with IAS in a mutual recognition arrangement pertaining to inspection bodies, as complying with ISO/IEC Standard 17020, *General Criteria for the Operation of Various Types of Bodies Performing Inspection*, and with the ICC-ES Acceptance Criteria for Inspection Agencies (AC304).

**1.3.2 Third-party Inspection:** Activities by an inspection agency involving unannounced, periodic verification of conformance to quality system and product specification criteria.

**1.3.3 Component or Constituent:** Depending on the product, a component or constituent is one part of the finished product. A component may also be an element that is combined with the product to form an assembly.

**1.3.4 Product:** The unit recognized in the evaluation report that is supplied by the report holder and labeled with the evaluation report number.

**1.3.5 Assembly or System:** The product combined with other components.

**1.3.6 Documented Quality System:** The totality of the documents that describe and encompass the quality system as defined in this criteria. The documentation may be a single bound document or may be various documents found in various locations throughout the manufacturing facility. These may be in either printed or electronic form.

**1.3.7 Quality Documentation:** For the purposes of this criteria, quality documentation is those documents that address specific provisions in this criteria.

**1.3.8 Certificate of Compliance:** A document provided by the supplier of the component or constituent that attests the component or constituent complies with the report holder's stated specifications.

**1.3.9 Certificate of Analysis:** See Certificate of Compliance.

**1.3.10 Report Holder:** The ICC-ES applicant who is either the manufacturer of the product described in the evaluation report, a distributor of a recognized product that

is manufactured by another party, or a party that packages and distributes specified components that constitute a final recognized product when assembled at the jobsite.

### 1.4 General Requirements:

**1.4.1** The information specified in Appendix A (entitled Information Submittal Requirements) shall be submitted by the report holder for each product or system to be recognized in the evaluation report. Appendix A should be utilized to verify that all required documents are submitted.

**1.4.2** In cases where the evaluation report requires third-party inspections, evidence shall be submitted that there is an agreement to perform these inspections between the report holder and an accredited inspection agency. The submitted documentation shall specify the frequency of the inspections, which shall be—unless agreed to otherwise by ICC-ES—a minimum of four inspections reasonably spaced throughout the year, or as otherwise dictated by an applicable acceptance criteria or reference standard.

**1.4.3 Declarations:** The declarations addressed in Section 3.1 of this criteria shall be submitted by all evaluation report applicants. The declarations addressed in Section 3.2 of this criteria shall be submitted also, when third-party inspections are required.

### 1.4.4 Quality System Documentation:

**1.4.4.1** All applicants for an ICC-ES evaluation report in which a product or system is being recognized shall maintain, and make available for inspection (but need not initially submit to ICC-ES), quality system documentation specific to the manufacture of the product to be recognized in the report. The documentation shall address, at a minimum, the elements described in Section 2.0 of this acceptance criteria. Appendix B of this criteria shall be completed by the evaluation report applicant and submitted to ICC-ES prior to the on-site qualifying inspection. The major purpose of the quality system documentation is to provide assurance, verifiable through inspection, that the manufactured product is consistent with the product described in the original qualifying data and recognized in the evaluation report.

**1.4.4.2** When products are to be manufactured at multiple locations, the report applicant shall submit quality system documentation for each of the manufacturing sites.

**1.4.4.3** The quality system documentation shall address requirements of applicable ICC-ES acceptance criteria, when this is specifically required by those criteria.

**1.4.5 Manufacturing by Parties Other than the Report Holder:** When the product is manufactured by a party other than the report holder, the form provided in Appendix C shall be submitted, except as permitted by specific acceptance criteria.

**1.4.6 Qualifying Inspection:** A qualifying inspection shall be conducted by a representative of ICC-ES or by an agency accredited under the ICC-ES Acceptance Criteria for Inspection Agencies (AC304), to verify that the quality system is in place and is being implemented. The agency shall complete and sign a form, provided by ICC-ES, that is based on Appendices A and B of this criteria, attesting that the quality system incorporates the quality system

## PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION

documentation requirements of this criteria. The qualifying inspection shall verify that the product being manufactured is consistent with the product specifications information submitted to address Section 1.4.1 of this criteria.

When the product specifications are not provided to ICC-ES except through reference to a controlled document, the controlled document describing the product specifications shall be made available to the inspection agency for their review and their verification that the product specifications are consistent with the product described in the original qualifying data.

### **1.4.7 Moving Manufacturing Locations:**

**1.4.7.1 Move of Equipment:** When the move of manufacturing involves only a move of equipment and does not result in a significant change of methods or manpower or the product specifications, a statement shall be submitted to ICC-ES attesting to same. If the product is recognized under a third-party quality control program, the inspection agency shall confirm the statement.

**1.4.7.2 Changes in Manufacturing Equipment, Methods or Personnel, or in Product Specifications:** When the move of manufacturing results in a significant change of equipment, a change in the methods used to produce the product or system, a change in ownership or principal quality management, or a significant change in product specifications, the following shall be submitted to ICC-ES:

1. Revised quality documentation, as applicable.
2. Report of a qualifying inspection at the new location.
3. Data demonstrating that the product manufactured at the new location is equivalent to the product recognized by ICC-ES at the former location. Some ICC-ES acceptance criteria also have requirements for testing at new manufacturing locations.

## **2.0 REQUIRED ELEMENTS OF THE QUALITY SYSTEM DOCUMENTATION**

### **2.1 General:**

**2.1.1** The documentation shall be signed and dated by an authorized representative of the manufacturer.

**2.1.2** The documentation shall clearly state the facility name of the manufacturing location, the street address and telephone number, and the name of the contact person at the facility.

**2.1.3** There shall be provisions for the quality system documentation to be reviewed at least annually. A record of revisions shall be maintained.

**2.1.4** The documentation shall indicate how the recognized product is to be identified in the field. This information shall be consistent with the information in the "Identification" section of the evaluation report, and should include a copy of the product label or a description of what is included on the label. Product labeling shall include, at a minimum, the report holder's name, the evaluation report number (ICC-ES ESR-xxxx), and information required by the code, referenced standard, or applicable acceptance criteria.

**2.1.5** Based on the product labeling, the quality system shall provide a means to trace finished product back to the

production and quality control records at the manufacturing facility.

**2.1.6** The documentation shall describe the manufacturing process.

**2.1.7** The documentation shall include provisions for the documenting of product changes, evaluation of product changes and notification to the appropriate parties.

**2.1.8** The documentation shall include the manufacturer's organizational chart, and a description of the duties and responsibilities assigned to key positions in the quality program.

**2.1.9** The documentation shall contain information on packaging and storage of the product, if packaging and storage are critical to the product performance.

**2.1.10** The documentation shall describe the process whereby (1) records are kept of all significant complaints about the product(s) covered by the evaluation report; (2) appropriate action is taken with respect to such complaints; and (3) the actions taken are documented.

**2.2 Incoming Materials:** The documentation shall include procedures regarding inspections or tests that are conducted on incoming materials, or other means used to determine that the materials meet specifications (for example, mill test reports, certificates of analysis, certificates of compliance, etc.). If incoming material requiring a certificate at the time of receipt does not carry such a certificate, then the documentation shall contain provisions for the material to be segregated until it has been appropriately tested or inspected, or the certificate is received.

**2.3 In-process Quality Control:** The documentation shall describe in-process quality control procedures, including how manufacturing processes are monitored to ensure that the product is consistently manufactured within the allowable tolerances.

**2.4 Final Inspection:** The documentation shall detail any final inspections and/or tests that are conducted before the product is labeled and shipped, to ensure that the finished product complies with specifications and applicable design values.

**2.5 Nonconforming Materials:** The documentation shall specify how nonconforming materials—incoming materials, materials in production, and finished materials—are segregated from production until a decision is made as to their disposition.

### **2.6 Measuring and Test Equipment:**

**2.6.1** The documentation shall identify the measuring and test equipment that is used to determine whether products and materials meet minimum specifications.

**2.6.2** As regards the equipment addressed in Section 2.6.1, the documentation shall note the frequency of equipment calibration, and the means of determining the traceability of measurements to national standards.

**2.7 Inspection and Test Records:** As regards any forms, checklists, reports, etc., used by in-house personnel to document tests, inspections, and other quality control procedures:

**2.7.1** The documentation shall identify these documents.

## PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION

**2.7.2** The documentation shall describe how the completed documents are approved by responsible personnel.

**2.7.3** The documentation shall contain a statement committing the manufacturer to retaining the completed forms, checklists, and reports for a minimum of two years. (In cases where third-party inspections are required, the statement shall also say that the resulting inspection reports will be retained for at least two years.)

**2.8 In-house Testing Laboratories:** When the manufacturer has an in-house laboratory that performs quality control testing related to the product to be recognized in the ICC-ES evaluation report:

**2.8.1** The documentation shall describe the process whereby corrective action is taken when the laboratory is found to have performed incorrect or invalid testing.

**2.8.2** The documentation shall describe the records that are kept on the training of laboratory personnel to operate equipment, perform tests, and evaluate and report the results.

**2.8.3** For testing related to the product to be recognized in the evaluation report, the documentation shall detail the methods of sampling, handling, transporting, storing, and preparing items that are to be tested.

**2.8.4** For testing related to the product to be recognized in the evaluation report, the documentation shall include an accounting of the instructions, standards, manuals, and related materials that are available for reference by laboratory personnel.

### 3.0 REQUIRED DECLARATIONS

**3.1 Declarations Required of All Report Holders:** The

following declarations shall be provided to ICC-ES in a signed and dated affidavit from the report holder:

**3.1.1** The ICC-ES name, mark, or report number will only be used on products that are in compliance with the evaluation report and the quality system documentation.

**3.1.2** The report holder will promptly investigate and respond to ICC-ES when apprised by ICC-ES of complaints concerning product performance.

**3.1.3** The report holder agrees to permit ICC-ES representatives to examine, at distribution points and the manufacturing plant, any product labeled as being in conformance with the evaluation report.

**3.1.4** ICC-ES will be notified in writing if there is a significant change in the product, manufacturing procedures or quality system documentation from what was recognized upon issuance of the evaluation report. A significant change is one that may reduce the performance of the product as it pertains to applicable test standards or acceptance criteria.

**3.2 Declarations Required of Report Holders for Products That Require Third-party Inspections:** In cases where third-party inspections are required, the following declarations shall also be provided to ICC-ES in a signed and dated affidavit from the report holder:

**3.2.1** ICC-ES will be notified in writing prior to termination of the inspection agreement with the accredited inspection agency, when such termination is initiated by the report holder.

**3.2.2** ICC-ES will be notified in writing if there is a failure to conduct unannounced follow-up inspections in accordance with the approved quality documentation. ■

PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION

APPENDIX A  
INFORMATION SUBMITTAL REQUIREMENTS<sup>1</sup>

The evaluation report applicant shall submit information as follows for each product/system to be recognized in the evaluation report. For each item, provide a description or explanation; if there are attached supporting documents, identify the document and the date of the document. Identify the report applicant and the file or report number with each submittal.

REQUIREMENT
1. Name of product, material or system, including model number, if applicable.
2. Identify each component or constituent of the product that is supplied to the jobsite by the report applicant. <sup>2</sup>
3. Identify where the product and components provided by the evaluation report applicant are manufactured. If the product is assembled from purchased components, identify where final assembly/formulation and labeling are done. If the product is manufactured by a company other than the report applicant, provide the name of the company. If a portion of the process is done by a company other than the report applicant, or if a component is supplied by another company, identify the relevant components or portions of the process and how those components or portions of the process are verified as complying with the manufacturer's specifications.
4. Briefly describe the manufacturing process. A flowchart would be helpful. <sup>3</sup>
5. Provide all relevant specifications for the product, the components and/or constituents used to manufacture the product, and the components used with the product in the final assembly. When agreed to by ICC-ES, in lieu of providing the actual specifications, the applicant may identify the controlled document that describes the product specifications, provided the document is identified by a revision level and/or date. Specifications must be consistent with the products as described in the submitted test reports and with any requirements of applicable acceptance criteria. <sup>4</sup>
6. Describe the test procedures, and the conditions of acceptance, for incoming materials and for in-process and/or final product testing to ensure the product's performance is at least equal to that shown in the original qualifying tests. Describe any quality control tests required by the applicable acceptance criteria or standard.
7. Provide the name of the inspection agency, if applicable, and provide evidence of a contractual agreement with the agency to conduct a minimum of four inspections per year (or the number of inspections specified in the applicable acceptance criteria or agreed to by ICC-ES).
8. Describe how the product is labeled. At a minimum, products shall be labeled in accordance with Section 2.1.4 of AC10 and the requirements of any applicable code, reference standard or acceptance criteria.
9. Describe how the product or system is to be installed. When available, manufacturer's published installation instructions must be submitted.
10. For products not required to have third-party inspections, provide an affidavit (from the report applicant) attesting that the product specifications <del>noted on this form</del> submitted with Appendix A are consistent with those of the products tested to qualify for an evaluation report and with the products described in the test reports submitted to ICC-ES. The affidavit must include the test report numbers and dates. See Section 3.2 of the Acceptance Criteria for Test Reports (AC85).
11. For products required to have third-party inspections, enclose documentation from the accredited laboratory or inspection agency sampling the materials for testing, <del>noting the specifications for the tested product. The specifications for the tested product must be consistent with the specifications noted in the report applicant's quality documentation. The documentation must include test report numbers and dates that the specifications of the materials sampled for testing are consistent with the specifications submitted with Appendix A.</del> See Section 3.1 of AC85.
12. Declarations required in Sections 3.1 and 3.2 (if applicable) of AC10.

<sup>1</sup>For definitions of the terms component, constituent, product, assembly and system, see Section 1.3 of the ICC-ES Acceptance Criteria for Quality Documentation (AC10).

<sup>2</sup>For example, sandwich panels may consist of facers, core, framing and adhesive; patio covers may consist of extruded aluminum members, aluminum panels and fasteners; single-ply roofing membranes may consist of asphalt, reinforcement and fillers.

<sup>3</sup>For example, note if the product is cast or formed; if the product is mixed from purchased chemicals; if components are purchased and then assembled at the jobsite.

<sup>4</sup>Some examples include:

- a. Sandwich panels: provide dimensioned drawings of finished panels with tolerances, and minimum requirements for components (for example, thickness and grade of panel facers, adhesive as recognized in ESR-xxxx, etc.)
- b. For mixed materials (wet and dry), provide the following:
  - i. Specifications of incoming materials, or the date of the signed, controlled document that describes each constituent and its specification.
  - ii. Mix ratios of the constituents, or the date of the signed, controlled document that describes the mix ratio.
  - iii. Finished product specifications (for example, for wet products, specific gravity and viscosity; for formed products, weight, compressive strength, etc.).

<sup>5</sup>Supporting documentation must be dated.

**PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION**

**APPENDIX B  
QUALITY SYSTEM DOCUMENTATION CROSS-REFERENCE MATRIX**

Identify in the matrix below where, in the quality system documentation, the information required in Section 2.0 of the ICC-ES Acceptance Criteria for Quality Documentation (AC10) can be found.

Date of Documentation: \_\_\_\_\_

Evaluation Report or File No.: \_\_\_\_\_

Company Name: \_\_\_\_\_

AC10 SECTION	DOCUMENT IDENTIFICATION AND DATE OF DOCUMENT	COMMENTS (IF NEEDED)
2.1.1 (Signature)		
2.1.2 (Manufacturing location and contact info)		
2.1.3 (Manual revisions)		
2.1.4 (Product identification)		
2.1.5 (Traceability)		
2.1.6 (Work flow)		
2.1.7 (Product changes)		
2.1.8 (Organizational information)		
2.1.9 (Packaging)		
2.1.10 (Complaints procedure)		
2.2. (Incoming materials)		
2.3 (In-process quality control)		
2.4 (Final inspection)		
2.5 (Nonconforming materials)		
2.6.1 (Test equipment)		
2.6.1 (Calibrations)		
2.7.1 (QC forms)		

PROPOSED REVISIONS TO THE ACCEPTANCE CRITERIA FOR QUALITY DOCUMENTATION

APPENDIX B  
QUALITY SYSTEM DOCUMENTATION CROSS-REFERENCE MATRIX (Continued)

AC10 SECTION	DOCUMENT IDENTIFICATION AND DATE OF DOCUMENT	COMMENTS (IF NEEDED)
2.7.2 (Document approval)		
2.7.3 (Records retention)		

Signature: \_\_\_\_\_

Name of signer (type or print): \_\_\_\_\_

Date: \_\_\_\_\_



APPENDIX C

AGREEMENT BETWEEN REPORT HOLDERS AND MANUFACTURERS

Report holder/applicant name (hereafter called the report holder)

Address

Report or file number

Manufacturer name and address

Products recognized in the subject evaluation report will be manufactured by a party other than the report holder. To ensure that all parties involved understand the conditions placed on manufacturers of products recognized in ICC-ES evaluation reports, the report holder and manufacturer are hereby advised of the following:

- 1. The manufacturer agrees that products being manufactured are consistent with the products that are recognized in the above-noted evaluation report and with the quality documentation submitted to and approved by ICC-ES. The manufacturer shall maintain a quality system complying with the ICC-ES Acceptance Criteria for Quality Documentation (AC10), Section 9.0 of the ICC-ES Rules of Procedure for Evaluation Reports and any other applicable ICC-ES acceptance criteria.
2. The manufacturer agrees that the report holder will be notified of any changes in the product or the quality system.
3. The manufacturer and report holder agree to inform ICC-ES of any change in the agreement between the report holder and the manufacturer that affects Item 1 above, including cancellation of the agreement.
4. The manufacturer and report holder have received and reviewed AC10 and the ICC-ES Rules of Procedure for Evaluation Reports. Any questions on these documents should be directed to ICC-ES staff.

Signature for manufacturer

Signature for report holder

Date

Date

Name of signer (type or print)

Name of signer (type or print)

Title of signer

Title of signer

September 2006