



HOW TO APPLY FOR AN EVALUATION REPORT FROM ICC EVALUATION SERVICE (ICC-ES)

Filling out the Evaluation Report Application

Please refer to the numbered items on the Evaluation Report Application:

1. The first item should be self-explanatory.
2. Fill in your company name carefully, because this is the way it will appear on your report. There have been instances where reports carried an incorrect company name, because the name was entered incorrectly on the application. There have also been instances where a new application had to be submitted to correct a company name.
3. To comply with applicable international standards, we are required to determine the legal status of our applicants. Let us know whether your company is a sole proprietorship, a partnership (general or limited), an S or C corporation, a limited liability company, etc.
4. Enter the subject that you want ICC-ES to recognize. This may be, for example, the proper name of your product, possibly accompanied by a model designation. Or it may be the name you use for your proprietary building method or system. Don't worry too much about getting this exactly right on the application, as the subject of the report can be changed during the ICC-ES review process.
5. It is important that you give us your address *exactly* as you want it to appear on your report.
6. Self-explanatory.
7. Enter the e-mail address (if you have one) for the person or persons most likely to be able to answer questions about the application and the report. Also, if your company has a web site, please give us the address.
8. This is where you indicate the purpose of the application. If you are simply applying for a new ICC-ES report, it is obvious which box you need to check. Note, however, that if you are applying to have an ICC-ES report re-examined, there are three possible choices. The following should help you choose which box to check:
 - A "re-examination out of schedule" occurs when, for some reason, your report must be re-examined and reissued before its normal re-examination date. For example, it may be you plan to make significant improvements in the product, and you want this recognized immediately in the report. Check the "Re-examination of ICC-ES report out of schedule" box.
 - At its normal re-examination time—one or two years after it was last issued—your ICC-ES report may require substantive changes. These would be, for example, any significant technical changes in the report, changes in the

product, the addition of a product, or the inclusion of a new manufacturing location. These are all substantive changes to be made during the re-examination process, and you should check the box indicating “Re-examination of ICC-ES report with substantive changes.”

- Re-examination of an ICC-ES report may also take place with very minor technical changes (requiring no more than eight hours of review time by ICC-ES staff), or with changes that are only editorial in nature. Examples of “editorial” changes would include a change in your mailing address; updating code references; and altering or deleting a company name. If your changes are only editorial or very minor, check the box for “Re-examination of ICC-ES report with limited change or only editorial changes.”

If your application involves a legacy report, you also have three options (a legacy report is an evaluation report originally issued by one of the legacy evaluation services: the National Evaluation Service, ICBO Evaluation Service, SBCCI PST & ESI, or BOCAI Evaluation Services):

- You may have the existing legacy report re-examined and reissued. Note, however, that this is permissible only if the report is reissued without any changes or with just editorial changes.
- Any substantive changes to a legacy report (e.g., changes in the product, addition of a new product, a new manufacturing location) will require you to apply for a “Legacy report conversion to ICC-ES report, with substantive changes.” When you apply to convert to an ICC-ES report, the existing legacy report will remain valid so long as you continue to pay “further-study” fees on the legacy report. (See the ICC-ES fee schedule.) Once the new ICC-ES report is issued, the legacy report will be canceled, and the further-study fees will cease.
- You have the option of converting your legacy report to an ICC-ES report “with limited change or only editorial changes.” In this case, too, changes must be so minor as to require no more than eight hours of ICC-ES review time, and “further-study” fees would apply to the legacy report until the new ICC-ES report is issued.

Finally, it may be you have an existing report (either an ICC-ES report *or* a legacy report) that is not yet due for re-examination, but you want to revise slightly the existing information. In this case, you would check the “Interim revision . . .” box. (In the case of legacy reports, any interim revisions must be strictly editorial in nature. In the case of ICC-ES reports, interim revisions are generally editorial in nature, but ICC-ES will also consider making an interim revision for a very minor technical change.)

9. This item applies primarily to ICC-ES reports since legacy reports cannot be substantively changed. Please indicate which legacy codes (if any) you wish to include in the evaluation report. Please be aware that the basic report fee includes recognition under the applicable International Code and that additional fees are charged for any legacy codes that are also included in the report.

10. If you are having your report re-examined (either an ICC-ES report or a legacy report), choose whether you would like it reissued for one year or two years. (See the fee schedule for price comparisons between one- and two-year reports.)
11. This item applies to all applications except applications for a new ICC-ES report. You must answer questions (a) and (b), and submit an Inspection Summary Form if one is required. As to the questions in (c): For purposes of this application, a “proprietary component” should be considered a product that is named in the existing evaluation report, that is manufactured and/or supplied to the jobsite by a company other than the report holder, and that is critical to the performance of the report holder’s product. Additional information on proprietary components may be found in the document called “ICC-ES Policy on Proprietary Components,” which is available with the “Application Information” on the ICC-ES web site (www.icc-es.org). If your evaluation report does not involve a proprietary component, simply check the space indicated. If your evaluation report does involve a proprietary component, you need to answer the three questions and provide any necessary explanations on a separate sheet of paper.
12. Please give us the information requested for *all* facilities manufacturing products to be recognized in the report. This may require that you attach a separate sheet to the application form.
13. Very often, the person signing the application is not a technical expert on the subject of the report. If you have a technical representative who should be contacted about technical questions, please let us know who that person is.

To protect the proprietary nature of the information in your file, we will correspond only with the person(s) noted on the application form. If you wish to change the contacts in the future, you must make the request in writing.

14. The following are brief explanations of the conditions listed under this item:
 - a. Before signing the application, be sure you review the Rules of Procedure document that applies to your application, and the ICC-ES fee schedule. Note, in particular, that fees are nonrefundable. (The Rules of Procedure and the fee schedule are available on the ICC-ES web site at www.icc-es.org.) You should also be aware that ICC-ES may use other companies within the ICC family of companies as subcontractors to do work related to your application. For example, ICC-ES may ask employees of the International Accreditation Service, Inc., to help with review of quality control manuals and to perform on-site audits of manufacturing facilities.
 - b. You are committing your company to abide by—as they presently exist and as they may be modified, within reason, in the future—ICC-ES Rules of Procedure, any conditions placed on the evaluation report that may result from your application, and the model codes as they apply to the product(s) to be covered by the evaluation report.
 - c. To comply with applicable international standards, ICC-ES needs you to keep a record of complaints, deal appropriately with those complaints, and make your records available to ICC-ES upon request.
 - d. It is possible that, before your re-examination date, there will be a code change

that affects your report, or a change in ICC-ES acceptance criteria, evaluation guidelines, rules, or policies. In that case, in order to make sure you comply with the new requirements, we may need to re-exam your report “out of schedule,” or before the normal re-examination date.

- e. It would be difficult for ICC-ES to operate without the legal protections provided by this language.

The person signing the application must be an authorized representative of the applicant company, and preferably a company officer. This person must also initial and date the application in the space provided in the lower left-hand corner of the application’s first page. Please note that application fees must be paid in full, by check or money order and in U.S. funds, before ICC-ES can begin to process the application. Also note that you must send the original, signed application form to ICC-ES—not a copy.

Finally: For future invoicing purposes, please provide us (lower right-hand corner of the application’s second page) with contact information for the person who is to receive invoices from ICC-ES.

Other Materials You May Need to Submit to ICC-ES

1. **Supporting Data:** Submitting the application and fees will allow us to begin the process of issuing an evaluation report. If you are reasonably sure of what data needs to be submitted in support of the application—e.g., product information, quality control manuals, and test reports indicating compliance with the applicable code(s), or with applicable ICC-ES evaluation guidelines or acceptance criteria—then you will want to submit one copy of the data with the application. If you are uncertain of what data needs to be submitted, then just submit the application and fees; ICC-ES will contact you about the supporting data.

Please note that, normally, any test reports you submit must come from laboratories accredited by the International Accreditation Service, Inc. (IAS), or by other signatories to the Mutual Recognition Arrangement of the International Laboratory Accreditation Cooperation. Under very limited conditions, reports of tests from a nonaccredited laboratory may be accepted, but ICC-ES must be informed *prior* to testing. For further information, consult the document entitled “Testing Your Product to Get an Evaluation Report from ICC Evaluation Service”; or consult the IAS web site (www.iasonline.org); or contact ICC-ES directly.

2. **Quality Documentation:** Applicants for reports are required to submit quality documentation that complies with the ICC-ES Acceptance Criteria for Quality Documentation (AC10), for all facilities manufacturing products that are to be recognized in the evaluation report. ICC-ES will provide a copy of AC10 upon request, or it can be downloaded from the web site at www.icc-es.org.
3. **Evidence That the Manufacturing Facilities Have Been Inspected:** A qualifying inspection must be conducted of each manufacturing facility producing products that are recognized in the evaluation report. If your product is required to be under a continuing inspection program, the initial qualifying inspection will typically be conducted by your

accredited inspection agency. If your product is not required to be under a continuing inspection program, the initial qualifying inspection may be conducted by either an ICC-ES representative or by an IAS-accredited inspection agency. If you choose the latter, ICC-ES will provide the agency with the necessary inspection guidelines.

4. **Forms You May Need to Submit:**

- a. If you are applying for re-examination and your product is required to be under a continuing inspection program, the “Quality Control Inspection Summary Form” supplied with the application materials should be submitted with your application.
- b. If you want your report to carry the names of more than one company— e.g., you want the report to list licensees that produce identical products to your own—then you will need to submit a form called “Application for Additional Company Listing . . .” ICC-ES will let you know if this form is necessary.
- c. If you are applying for re-examination and the name of your company has changed, or for some other reason you wish to transfer control of the report to a different company, ICC-ES will provide you with a form called “Consent for Transfer and Use of Data.”
- d. If your product involves a proprietary component, as defined in the “ICC-ES Policy on Proprietary Components” (this policy document may be found under “Application Information” on the ICC-ES web site (www.icc-es.org), you may need to submit the forms called “Statement of Responsibility for Use of a Proprietary Component” and “Authorization for Use of the Name of a Proprietary Component.” ICC-ES will let you know for sure if these forms are required.

5. **Tables and Figures:** You may need to submit tables and figures for inclusion in your evaluation report. If at all possible, tables should be prepared in one of the following softwares, and submitted on disk or as an e-mail attachment: WordPerfect; MS Word; or Excel. *Please contact the ICC-ES regional office that is processing your report for detailed information concerning submission and processing of electronic files.* Tables submitted on disk *must* be accompanied by hard copies that are clearly marked with the table numbers, and you must indicate on the disk itself the software in which the tables were created.

Art for figures may be submitted in one of two ways, as follows:

- a. Art may be prepared electronically and submitted to ICC-ES on disk or as an e-mail attachment. Such art should be prepared as a .pdf, .tif, or .jpg file. If you submit the art on disk, you must indicate on the disk the software in which the art was created, and you also must furnish us with hard copies of the art. These hard copies should be marked with the figure numbers. Also, *make sure the hard copies match what is on the disk.*
- b. Applicants may send us camera-ready copies of their art, and we will scan these copies on a high-resolution scanner to bring the art into an electronic format. Please note that when we ask for “camera-ready” copies, we are asking for the

best-possible original image. The original art should be clean and sharp; there should be no broken lines or type, and the type should be no smaller than 8-point; every element of the art should be clear and easy to read.

If you have any questions about the application process, you may contact any of the ICC-ES regional offices: the Los Angeles Business/Regional Office at (562) 699-0543; the Birmingham Regional Office at (205) 599-9800; or the Chicago Regional Office at (708) 799-2305. You may also send us an e-mail at es@icc-es.org.

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