

ICC-ES PMG Rules of Procedure for Product Listings

1.0 PURPOSE

The purpose of these rules is to set forth procedures for the ICC Evaluation Service, Inc. (ICC-ES), listing program for plumbing, mechanical, and fuel gas (PMG) products. Mechanical and fuel gas products regulated by the building codes are not covered under this program.

The main purpose of ICC-ES listing programs is to assist those enforcing model codes to determine whether a given subject complies with applicable standards and applicable codes. A listing is not to be construed as representing a judgment about aesthetics or any other attributes not specifically addressed in the listing, nor as an endorsement, assurance, or guarantee, or recommendation for use of the subject of the listing. Approval of use of a listed product is by the code official.

2.0 DEFINITION

A "listee" is a person or organization having a product or products listed by ICC-ES, and who is identified in the Application for Listing.

3.0 BASIS OF EVALUATION

Evaluation of data is based on applicable standards and the provisions of the most current edition of the following model codes:

- International Codes
- Uniform Codes
- Other codes as designated by the ICC-ES president

Additionally, evaluation of data will be based on the most current of any applicable ICC-ES listing criteria. A listing criteria will be developed when one of the following situations applies:

- There are no code-referenced standards available.
- There is a nationally recognized standard for the product, but the codes do not cover in enough detail permitted uses of the product.

ICC-ES will issue listings or renew existing listings to any or all of the following codes unless it is determined that the product does not meet the performance requirements of the code or falls outside their scope of applicability: *International Plumbing Code*®, *International Mechanical Code*®, *International Fuel Gas Code*®, *Uniform Plumbing Code*, *Uniform Mechanical Code* and *International Residential Code*®.

4.0 APPLICATIONS

4.1 General

Applications for new listings, renewals, and for changes to existing listings shall be filed on forms provided for that purpose. The applicant must have the rights to the materials, products, or methods of construction on which a listing is sought and must have the legal rights to all evidence and data. Applications for new listings that are held for more than 30 days without receipt of the application/evaluation fee or supporting documentation are subject to being returned to the

applicant unless such term is extended by the ICC-ES president or his designated representative.

4.2 Additional Listing

Any manufacturer or distributor other than the primary listee may be included in the listing as an additional listee upon submission of an application and payment of required fees by the primary listee. The primary listee shall provide ICC-ES with the name and address of each additional listee and shall provide a cross-reference of model numbers between the primary listee's model numbers and the additional listee's model numbers. The primary listee shall also notify ICC-ES when additional listees are to be added or deleted.

4.3 Private Label Listing

The primary listee may authorize the issuing of a separate listing under the name of a distributor (also known as a "private label listing"). A separate listing application and a completed Application for Private Label Listing form shall be submitted. The application shall include a cross-reference of model numbers between the primary listee's model numbers and the private label listing applicant's model numbers. The private label listing shall be inextricably linked to the primary listing. Any relevant information in the primary listing shall be included in the private label listing. The private label listing shall have the same issue date as the primary listing. Interim revisions to the private label listing shall be made through an application when revisions relevant to the private label listing are made to the primary listing.

5.0 DATA TO BE SUBMITTED IN SUPPORT OF LISTINGS

5.1 General

Applications for new listings and for changes to existing listings shall be accompanied by one complete set of relevant test reports, samples, drawings, installation instructions, calculations, and/or other supporting data which fully describe the subject of the application and substantiate its performance as being in compliance with the applicable model codes and standards, including ICC-ES listing criteria. Applications for new listings shall also include documentation of the applicant's quality control program in sufficient detail to verify that the quality system ensures the listed product will not change from the product described in the original qualifying data.

5.2 Test Reports

5.2.1 Accredited Laboratories

Laboratory tests shall be performed at the expense of the applicant by an independent testing laboratory. Testing laboratories shall comply with ISO/IEC Standard 17025, *General Requirements for the Competence of Testing and Calibration Laboratories*. Testing laboratories must be accredited by the International Accreditation Service (IAS) or by another accreditation body that is a signatory to the International Laboratory Accreditation Cooperation Mutual Recognition Arrangement. The scope of the laboratory's accreditation shall include the type of testing that is to be reported to ICC-ES.

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5.2.2 Nonaccredited Laboratories

Test reports may be accepted from nonaccredited laboratories recognized by ICC-ES as conforming to applicable sections of ISO/IEC Standard 17025 for the tests in question. Fees and expenses associated with the laboratories' recognition by ICC-ES, such as for an application, document review, on-site assessment and yearly inspections, shall be the responsibility of the laboratories. A minimum of one ICC-ES assessment per year of each laboratory is required.

5.2.3 Manufacturer's Testing Facility

A listee may submit data resulting from tests conducted at the manufacturer's testing facility. In this case, the testing shall be done under the supervision of an accredited laboratory (as described in Section 5.2.1), and the accredited laboratory shall issue the test report. The accredited laboratory shall take necessary steps to ensure that the integrity and condition of the test specimens is maintained and that the test specimens have not been altered during periods when a laboratory representative is not present. Also, the manufacturer's testing facility shall show to the satisfaction of the accredited laboratory that it meets ICC-ES requirements for laboratories.

5.3 Inspections at Manufacturing Facilities

See Section 10.0 of these rules for information concerning inspections, including provisions for qualifying inspections before a listing can be issued, and for follow-up inspections, of the facilities designated to manufacture the product(s) covered in the listing.

5.4 Additional Information

ICC-ES may require the applicant to conduct further tests and/or provide additional information considered relevant to the product evaluation.

6.0 ISSUANCE OF A LISTING

6.1 General:

6.1.1 ICC-ES will review the data submitted; work with the applicant to develop new or revised listing criteria, as needed; request additional information necessary to evaluate the product; and prepare a final listing, provided ICC-ES requirements as communicated in staff letters have been satisfied.

6.1.2 The applicant and any listees will be notified when the listing is issued. The listing will also be made available on the ICC-ES website. See Section 14.0 of these rules for permitted uses of any listing.

6.2 Changes to Listing Requirements:

In the event of significant changes to the code, applicable standard (including ICC-ES listing criteria), rules, or policies, affected listees will be notified and will be given a grace period to show compliance with the changes, but no more than a year from the time the changes are adopted by ICC-ES unless this period is extended by the president or his designated representative.

7.0 FEES

7.1 General:

7.1.1 The ICC-ES application fee covers one category of products (covered by the same standard). A separate application is required for products that are covered by other standards. The listing fee gives the listee the right to use the ICC-ES PMG listing mark on the product after the listing is

granted. All other fees are set forth in the fee schedule. All fees shall be paid in U.S. funds drawn from a U.S. bank.

7.1.2 Where products covered by a listing are distributed by companies other than the applicant, such other companies' names shall appear on the listing as additional listees. A fee will be charged for each listee as set forth in the fee schedule.

7.2 New Listing Application:

7.2.1 Each new application shall be accompanied by the application fee set forth in the most recently published ICC-ES fee schedule for Product Listings. This fee is not refundable unless authorized by the president or his designated representative. Upon completion of the evaluation, the applicant will be invoiced for additional fees, as described in the fee schedule.

7.2.2 The new listing shall be valid for one year from the date of issue. An application for renewal shall be filed prior to the expiration date of the listing if continued recognition is desired.

7.2.3 Applications that are open for one year without the issuance of a listing are subject to additional fees or to cancellation, as determined by the president or his designated representative.

7.3 Renewal:

7.3.1 Listings shall be renewed every year. An application for renewal shall be accompanied by applicable renewal fees as set forth in the ICC-ES fee schedule for Product Listings.

7.4 Application to Revise Listings:

A listee may request to revise a listing at any time during the renewal period or when the listing is active. Revisions may include technical or editorial changes to a listing, and/or adding models to a listing or deleting models. Revisions shall not extend the expiration date of the existing listing. Fees for revisions are as set forth in the fee schedule.

7.5 Private Label Listings:

The fee for a private label listing, as defined in Section 4.3, shall be the same as the fee for a primary listing applicant, as set forth in the fee schedule.

7.6 Development of Listing Criteria:

The fee to develop a listing criteria, as defined in Section 3.0, is as set forth in the Application for Listing Criteria.

7.7 Inspection:

The fees for qualifying and surveillance inspection activities, as defined in Section 10.0, are as set forth in the fee schedule. The applicant shall reimburse ICC-ES or its representative for all expenses related to qualifying inspection activities. If the inspector is unable to gain entry to a manufacturing facility covered by the listing, the listee shall agree to pay ICC-ES the inspection fee as shown in the ICC-ES fee schedule. The listee is responsible for covering the costs associated with shipping and testing the selected samples at a recognized laboratory during surveillance inspection.

8.0 MODIFICATION OF LISTED PRODUCTS

Listees must notify ICC-ES prior to modifying products covered by the listing. Product modifications include changes in the manufacturing process, change in manufacturer, change in raw material specifications, or changes to the quality control program. Listees shall also notify ICC-ES when significant changes occur regarding the listee. Significant changes include

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company name change, change of address, change of ownership, or change in legal status. When deemed necessary by ICC-ES, the listee must discontinue use of the listing until a listing revision addressing the changes has been issued.

9.0 PRODUCT IDENTIFICATION

9.1 Listee's name, registered trademark, or registered logo:

The listed products shall be permanently identified with the listee's name. The listee's registered trademark or registered logo is permitted in lieu of the listee's name when a facsimile of the registered trademark or registered logo is included in the listing. The listing may include additional identification provisions when required by the code, the applicable standard or the applicable ICC-ES listing criteria.

9.2 PMG Listing Mark:

The listee shall mark the listed product with the ICC-ES PMG listing mark. If the listee reasonably believes that such marking will affect the aesthetic appearance of the listed product, ICC-ES will consider issuing a written permit allowing the listee (1) to affix the PMG listing mark on other items acceptable to ICC-ES, such as on packaging or installation instruction, and/or (2) to affix the PMG listing mark by means of a label or sticker, acceptable to ICC-ES, to be placed at a location or on an area of the listed product which is not exposed or visible to the consumer.

ICC-ES will not consider any product, which would otherwise be a listed product, to be listed if it does not somehow bear the ICC-ES PMG listing mark.

9.3 Listing Number:

The ICC-ES listing number may be placed on listed product, product's packaging or installation instructions.

10.0 INSPECTIONS OF MANUFACTURERS

Qualifying inspections are required for new listing applications and for additional manufacturing facilities being added to an existing listing. The qualifying inspection will be conducted by ICC-ES or its designated representative. As an alternative, the listee may retain a third party inspection body meeting the provisions of ISO/IEC Standard 17020, *General Criteria for the Operation of Various Types of Bodies Performing Inspection* provided such body is accredited by IAS or by an accreditation body that is a partner with IAS in a mutual recognition agreement. The purpose of the qualifying inspection is to determine whether the manufacturer's quality system has been successfully implemented and/or to verify that the manufactured product is the same as the product presented for recognition. As a condition of maintaining an ICC-ES listing, the listee shall grant ICC-ES or its designated representative the right to conduct, at a minimum, one unannounced annual surveillance inspection of manufacturing facilities to verify compliance with the listing requirements. . As an alternative, the listee may retain a third party inspection body meeting the provisions of ISO/IEC Standard 17020, *General Criteria for the Operation of Various Types of Bodies Performing Inspection* provided such body is accredited by IAS or by an accreditation body that is a partner with IAS in a mutual recognition agreement.

ICC-ES, its designated representative, or the third party inspection body shall review the following elements at the manufacturing facilities as applicable: effectiveness of corrective actions taken in response to nonconformances

found during previous inspection, changes in the quality system that may affect listed products, confirm that process/material has not changed, review complaint records on listed products, review marking on product and literature, review raw materials, and review calibrations

ICC-ES or its designated representative shall make every effort to visit manufacturing locations during normal business hours. In rare cases, announced surveillance inspections may be performed where previously agreed upon with ICC-ES (e.g., due to travel restrictions issued by the U.S. government, plant relocation, hard-to-reach locations, etc.).

At the manufacturing facility, the listee shall assign an appropriate representative to accompany the ICC-ES inspector or its designated representative, to grant access to applicable manufacturing and storage locations, to review applicable records and documents, to select samples randomly for testing, and to accommodate the inspector with any other related inspection services as necessary. If the inspector selects samples for testing by an accredited or a recognized laboratory, the listee shall authorize the recognized laboratory to send a copy of the test results directly to ICC-ES headquarters for review.

In general, the decision to choose samples for testing by an accredited or a recognized laboratory at the discretion of the inspector or its designated representative and may depend on the availability of the listed products during inspection; However, sampling and testing may be necessary in the event of the following: modification of the listed products as defined in Section 8.0, there are complaints or legal actions pending related to code compliance on the listed products, the standard or the code that governed the listed products has undergone a revision, or the applicable Rules of Procedure or ICC-ES policies have changed in such a way as to require retesting.

The listee shall agree that if such test results fail to meet the requirements of the specified testing standard, ICC-ES may remove the relevant listed product from the listing certificate.

11.0 REVOCATION OR MODIFICATION OF LISTINGS WITH RIGHT TO A HEARING

11.1 Any listing, and the authorization to use the ICC-ES PMG listing mark, may be revoked or modified for cause. "Cause" shall include: repeated failure of the material, method of construction or equipment to conform with the specifications upon which the listing was based; repeated failure of the material, method of construction or equipment to perform properly although meeting the specifications upon which the listing was based; failure to comply with any condition to the issuance of the listing; any misstatement, whether intentionally or unintentionally made, in the listing application or in any data submitted in support thereof; failure to comply with any provision of the application form; failure to pass any test required by ICC-ES; failure to comply with new, existing, or revised listing criteria; or any other grounds considered as adequate cause in the judgment of ICC-ES.

11.2 Before ICC-ES revokes or modifies any listing, the listee shall be given reasonable notice and an opportunity to file an appeal pursuant to the ICC-ES Rules of Procedure for Appeals Concerning Product Listings.

12.0 REVOCATION/CANCELLATION/SUSPENSION OF LISTINGS WITHOUT RIGHT TO A HEARING

12.1 A listing may be canceled upon ICC-ES's receiving a written request to do so from the listee. A file for a new listing

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may be closed upon receipt of a written request from the applicant.

12.2 Notwithstanding anything in these rules to the contrary, any listing or additional listing may be suspended for a period not to exceed 90 days, revoked, or canceled by the ICC-ES president or his designated representative, without notice or a hearing, for any of the following reasons: required fees having not been received by ICC-ES within 30 days from the date of mailing by ICC-ES of a written demand for payment; failure of the listee to maintain a current quality control program; failure to perform any test, or furnish any material or data, required by ICC-ES within the specified time limit, unless extended by the ICC-ES president or his designated representative; receipt of information that the product has been modified in violation of Section 8.0 of these rules; denial of ICC-ES access to manufacturing facilities for purposes of inspecting and evaluating quality control procedures; or failure to comply with any rule for maintaining listings as adopted or amended from time to time by ICC-ES.

12.3 Notwithstanding anything in these rules to the contrary, any listing may be suspended by action of the ICC-ES Board of Directors for such period or periods as the Board determines, without notice or a hearing, for the following reason: failure of the product, material, method of construction or equipment to perform properly or conform with the specifications upon which the listing was based, either condition presenting a threat to public safety or property.

13.0 PROPRIETARY DATA

Data in any listing file or application file is considered proprietary. The data may be disclosed by ICC-ES upon written consent of the applicant or pursuant to a subpoena issued by a court or other governmental agency of competent jurisdiction. Proprietary data may also be disclosed to a Product Listing Committee member; a staff member of ICC-ES or the International Code Council (ICC), or an authorized representative of ICC-ES or ICC having a legitimate interest therein; any member of the ICC-ES Board of Directors; or any duly identified representative of any testing agency or like organization that initially prepared the data, or a duly authorized representative thereof stated to be an employee or principal thereof having a legitimate interest therein. Additionally, any Governmental Member of ICC may be granted access in the interest of public safety or preservation of property as it relates to enforcement of building and other applicable laws.

From time to time, ICC-ES records and files are audited by national and international bodies on a random basis to establish conformance with international accreditation and conformity assessment standards. It is understood that, by executing a listing application, listees grant ICC-ES the authority to allow such access.

14.0 PERMITTED USE OF LISTINGS AND THE ICC-ES NAME AND PMG LISTING MARK

14.1 Upon completion of a new listing, a renewal or an interim revision to an existing listing, the listee will be provided with an authorization letter from ICC-ES that covers the use of the ICC-ES name and the listing itself, as well as guidance on communications associated with the listing. If it is determined that identification is being applied to materials or products that do not comply with the current listing, is being applied before authorization or applied after a listing has been closed, ICC-ES will immediately disseminate a notice of violation of the ICC-ES

Rules of Procedure and take any and all actions necessary to secure compliance with the rules.

14.2 No listee shall use the ICC-ES PMG listing mark until authorized by ICC-ES.

14.3 The then-current listing as provided to the listee by ICC-ES and also available on the ICC-ES website, may be reproduced in its entirety by the listee in the listee's literature, advertising, or promotional materials. No reference to ICC-ES, the listing, or the ICC-ES PMG listing mark shall be included with such reproduction in a manner which could be misleading.

14.4 In lieu of reproducing the entire listing in literature, advertising, or promotional materials, the listee may use references and statements such as: "See ICC-ES Listing No. _____ (insert current number) at www.icc-es.org/pmg." It is the listee's responsibility not to misrepresent the listing in any way, and to secure ICC-ES approval in advance whenever there is a question about the use of the ICC-ES name and/or ICC-ES listing. Listees are expressly prohibited from using the ICC-ES name or PMG listing mark to claim or imply product recognition beyond the recognition specified in the listing. Listees are also expressly prohibited from using, in advertising, promotional, and informational materials, such language as "ICC-ES approved," "code approved," or "code accepted," which implies that recognition of their products in an ICC-ES listing is an acceptable substitute for review and approval by the local code official. However, listees are allowed to use language such as "ICC-ES listed" in their promotional and informational materials.

14.5 The following provisions govern the use of the ICC-ES PMG listing mark on products and in advertising, promotional, and informational materials:

14.5.1 Use of the ICC-ES PMG listing mark is prohibited in any manner and in any media without authorization from ICC-ES. Use of or reference to any listing after cancellation is also prohibited.

14.5.2 The ICC-ES PMG listing mark may be used *only* on or in connection with products, components, methods, and materials that are covered in currently valid listings. Use of the PMG listing mark is not a replacement or substitute for product identification provisions in the relevant listing. In no circumstances may the PMG listing mark be used to imply ICC-ES approval of aesthetics or any other attributes not specifically addressed in the listing.

14.5.3 The PMG listing mark may not be altered in any way, although it may be enlarged or reduced. Black is the basic color of the PMG listing mark. Other colors may be used only when authorized in writing by ICC-ES.

14.5.4 It is the responsibility of the listee not to misrepresent in any way the status, conditions, or terms of the relevant ICC-ES listing. It is also the listee's responsibility to secure ICC-ES approval in advance whenever there is a question about how the ICC-ES PMG listing mark and/or name is to be used.

14.6 The above does not excuse compliance with any ICC-ES requirement as a condition of securing or maintaining a listing concerning identification, reference to standards or inspection, or other information to be affixed to or labeled upon products.

14.7 Violation of these rules, regarding use of the ICC-ES name and PMG listing mark, as determined by ICC-ES, must cease immediately upon notification of the violator by ICC-ES. Failure to respond to the notification may lead to suspension or

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revocation of the listing under these rules. ICC-ES also reserves the right to note violations in the public notices and publications of ICC-ES and its parent company, ICC, and on the ICC-ES website.

15.0 COMPLAINT PROCEDURE

All complaints related to a listing should be submitted in writing to the attention of the ICC-ES Quality Systems Administrator. The listee will be notified of the complaint and, if a response is needed to address the complaint, ICC-ES will so inform the listee. After notice, the listee will have 30 calendar days in which to respond, or the listing in question will be subject to cancellation.

16.0 APPEALS

For details on appeals, see the ICC-ES Rules of Procedure for Appeals Concerning Product Listings. *

Effective: November 10, 2009