



ICC-SWCC™ Application for Certification or Listing FORM A

1. For application type, please check one of the following:

New Product Listing or Certification (New File)

Revision to Existing Listing or Certification

2. Check all that apply to application:

Renewal

SWCC Small Wind Turbine Certification (<200 m² swept area)

SWCC Medium Wind Turbine Certification
(200 – 1000 m² swept area)

Reinstatement of Previous Certification

New Model Additions to Existing Listing or Certification

Additional Company Names
(See Form C following)

Listing or Certification Transfer

Manufacturing Plant or Importer Change

Technical Modification to Listed Product
(*design, material, shape, components, etc.*)

Company Name Change** (Modification)

Model Number Change (Modification)

Other(s):

** For contact name and/or address change, please contact our customer service directly.

Want to educate building professionals on your products and provide CEUs by joining the ICC Preferred Provider Program? [Click here.](#)

3. For new certification or listing applications - please check all that apply:

AWEA 9.1-2009 Small Wind Turbine Standard

IEC 61400-2 Design Requirements of Small Wind Turbines

IEC 61400-11 Acoustic Testing

IEC 61400-12-1 Power Performance Testing

IEC 61400-22 Conformity Testing & Certification

Other(s):

Company Name:

(Exactly as it should appear in the published listing)

Listing or Certification No.

(If applicable)

Company Legal Status:

(Sole proprietorship, general or limited partnership, S or C Corporation, LLC, etc.)

Website:

Mailing Address:

Street Address (exactly as it should appear in listing)

City/State/Zip/Country (if other than USA):

Email Address:

4. Product Description:

5. Product Name and Model:

(As it should appear in the certification or listing; attach a separate sheet if necessary)



6. If this is other than an initial request:

- a. Are there changes in the product formulation, raw material specifications, suppliers of raw materials, manufacturing method, manufacturer, or in the documented quality control system from what was originally submitted or from the last time ICC-SWCC reviewed the product?
- b. No Yes *** If yes, please explain on a separate sheet ***
- c. Are you aware of any complaints, or legal actions pending, related to code compliance, about the product(s) covered by the listing?
- d. No Yes *** If yes, please explain on a separate sheet ***

7. Name and title of applicant’s technical representative (if any):

Address (if different from address above)

Phone:

Email:

8. Name and title of applicant’s legal representative (if any):

Address (if different from address above)

Phone:

Email:

9. Is there a situation under which the product can lead to a potential hazard?

No Yes

10. Which testing laboratory do you wish to use to conduct the testing of your product(s)? If you plan to submit an existing test report, please list the laboratory that conducted the testing.

SURVEY:

How/Where did you hear about the ICC-SWCC Certification and Listing Programs?

Testing Lab Inspector Incentive Program Consultant Trade Show Post Card Phone Call

Other:

I would like to learn how The Learning Center at ICC can help me create an online or a face-to-face training program or course for my product.

No Yes

Want to educate building professionals on your products and provide CEUs by joining the ICC Preferred Provider Program?

No Yes



12. Applicant agrees to the following conditions:

- a. Applicant acknowledges reviewing applicable ICC-SWCC Rules of Procedure, and that the applicant shall be responsible for ensuring that products covered by this application conform with ICC-SWCC product listing or certification requirements. The applicant agrees that ICC-SWCC may, as necessary, subcontract for work related to the product listing or certification process; although the applicant retains the right to reject ICC-SWCC's use of any particular subcontractor. The applicant also agrees that, as may be required for the product evaluation and any follow-up surveillance activities, the applicant will make all necessary arrangements for examination of the applicant's documentation and records, and/or for ICC-SWCC access to the applicant's relevant locations, areas, equipment, personnel, and subcontractors. If requested by ICC-SWCC, the applicant will make arrangements for third-party observers, representing accreditation bodies, to be present during any given inspection of the manufacturing facilities producing products covered by this application.
- b. In consideration of the processing of this application, the applicant agrees to abide by any conditions attached to the approval of this application, the requirements of the applicable standards and codes, and the Rules of Procedure of the Small Wind Certification Council, as they now exist and as they may be reasonably modified in the future.
- c. The applicant agrees to make all necessary arrangements for ICC-SWCC to investigate complaints related to any product listing or certification requirements resulting from this application. The applicant also agrees to keep a record of all significant complaints made known to the applicant about the listed or certified product(s), and to make these records available to ICC-SWCC upon request. The applicant will take appropriate action with respect to such complaints, and document the actions taken.
- d. An ICC-SWCC listing or certification does not imply any guarantee or warranty (expressed or implied, and including but not limited to merchantability) by ICC-SWCC against defects or failures in service nor any responsibility in regard to patent or trademark infringement, misuse of trade name or trade secrets, or any other aspect of unfair competition. Affirmative actions of ICC-SWCC are based primarily on the data submitted by the applicant and/or listee and the validity and integrity thereof as implicitly represented by the applicant and/or listee in submitting the same. Applicant agrees that it shall have no cause of action or claim against ICC-SWCC or its parent corporation, the International Code Council, Inc., or the officers, directors, members and employees of either entity from time to time arising out of any listing issued pursuant to this application, whether or not such listing is subject to conditions, or out of any denial of this application. Applicant agrees to hold ICC-SWCC, its parent corporation, the International Code Council, Inc., or any of their affiliates, parent, brother or sister corporations or their successor-in-interest or assigns, and the officers, directors, members, and employees of such entities ("ICC" collectively throughout this paragraph) harmless, and to defend and indemnify them, with respect to any claim, liability, action or judgment arising from the use or operation by any person of the product or service to which the application relates, actual or asserted, whether related to the matters set forth in the first sentence of this paragraph or otherwise, whether for personal injury, wrongful death, property damage, or any type of injury or damage whatsoever, whether or not of the same kind or nature as any of the foregoing. ICC's rights pursuant to the foregoing sentence, and applicant's obligations there under, shall apply whether or not it is claimed that ICC was concurrently negligent with others, solely negligent, actively or passively negligent, and whether or not the legal theory of the claimant(s) is on one of the foregoing grounds or some other. California law shall apply to the interpretation hereof. If any part or portion of this paragraph, or any application thereof to particular facts, should be determined invalid, the provisions hereof shall be severable so as to achieve for ICC the maximum legal protection. If this application is for a renewal of an existing additional listing or certification, the provisions of this paragraph shall apply from the date of first granting of that listing, whether upon application or without application by applicant or a predecessor and regardless of: intervening modifications to said listing or modifications pursuant to application for renewal; any prior change in the number assigned to the listing; and any prior change in ownership rights in or rights to said listing, or any additional listing or certification included in the listing, whether one or more, since granting of said first additional listing or certification.

Name of Authorized Applicant

Name of ICC-SWCC Authorized Personnel

Title

Title

Phone/Fax

Phone/Fax

Email

Email

Signature

Signature

Date

Date

One copy of all supporting data should be submitted to ICC-SWCC, 3060 Saturn Street, Suite 100, Brea, CA 92821, with this application. Applicants for new ICC-SWCC listings or certifications should note that a qualifying on-site inspection may be required, in accordance with applicable ICC-SWCC Rules of Procedure. The applicant must reimburse ICC-SWCC for expenses incurred in performing such inspections. Reimbursable expenses include, but are not limited to, travel expenses and staff time.



ICC-SWCC™ Application for Certification or Listing FORM B – Manufacturing Plant Locations

The following information is required for each plant where your listed or certified products are manufactured. If there are more than two manufacturing locations, make photocopies of this sheet as needed.

Company Name: _____ File No. (if known): _____

Plant 1 Name: _____
Plant 1 Street Address: _____
City/State/Zip/Country: _____
Contact Person: _____
Person responsible for QA system: _____
Phone: _____ Email: _____
Hours & days of operation: _____
Anticipated plant closings, shutdowns or holidays: _____

Is this plant ISO 9000 Certified? No Yes

Plant 2 Name: _____
Plant 2 Street Address: _____
City/State/Zip/Country: _____
Contact Person: _____
Person responsible for QA system: _____
Phone: _____ Email: _____
Hours & days of operation: _____
Anticipated plant closings, shutdowns or holidays: _____

Is this plant ISO 9000 Certified? No Yes

Please select preferred use of language for all inspections: English Spanish Chinese German Other

Signature of Applicant: _____
Print or type name and title: _____ Date: _____



ICC-SWCC™ Application for Certification or Listing FORM C – Additional Company Names

The following information is required for EACH Additional Company Name that currently appears on (or will be appearing on) your Certificate or Listing. Complete one sheet for each Additional Company Name (you may make photocopies of this sheet as needed).

Please provide all information as noted below for EACH ADDITIONAL COMPANY NAME that you are applying for or that currently appears on your certificate of certification or listing:

Listee Company Name:

Certification and Listing No.

Please attach a list of models on separate sheet with cross-reference list of currently listed models on the file:

Additional company name:

Contact Person:

Address:

City/State/Zip/Country:

Phone:

Email:

Email Address:

In consideration of the processing of this application, the Applicant agrees to abide by any conditions attached to any listing or certification or renewal thereof issued pursuant to this application, or any later amendment of said listing or renewal, and the applicable ICC-SWCC Rules of Procedure as they now exist and as they may be reasonably modified in the future. Applicant acknowledges reviewing the applicable Rules of Procedure. Applicant also agrees that the provisions on the second page of this application constitute a part of the applicant's agreement.

Applicant understands that any approval of this application will be automatically vacated upon any expiration or revocation or amendment of said ICC-SWCC listing or certification. Applicant also agrees and understands that the holder of the above-referenced ICC-SWCC listing or certification may at any time withdraw any rights of Applicant which may result from this application; Small Wind Certification Council, however, is to have a reasonable period of time within which to delete any reference to the Applicant from the ICC-SWCC listing or certification. Applicant also agrees that any rights resulting from this application may be revoked by Small Wind Certification Council, separate and apart from any revocation of the above-referenced ICC-SWCC listing or certification for any reason considered valid by Small Wind Certification Council, even if such reason is not a ground for revocation of the ICC-SWCC listing or certification itself.

Submitting the Application There are three easy ways to submit this completed application along with payment or credit card information.

1. **MAIL:** Small Wind Certification Council
3060 Saturn Street, Ste 100
Brea, CA 92821

2. **SCAN & EMAIL:**
info@smallwindcertification.org

3. **Save this PDF to your computer,**
complete form and select