SOLAR RATING & CERTIFICATION CORPORATION™
SMALL WIND CERTIFICATION COUNCIL™

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ICC-SRCC™/ ICC-SWCC™ QUALIFYING INSPECTION REPORT FORM

1. GENERAL

Listee Name: _____ **Date(s) of Inspection:** _____

Inspection Type ☐ Onsite ☐ Remote

1A. INSPECTORS

Lead Inspector Name: _____ Other Inspector: _____

Lead Inspector Email: _____ Other Inspector: _____

Lead Inspector Phone: _____ Witness/Auditor: _____

Inspection Organization: _____ Witness/Auditor: _____

1B. FACILITY

Facility Name: _____

Facility Address: _____

_____

_____

Primary Facility Contact Name & Title: _____

Phone: _____ e-Mail: _____

Other Listee or Mfg. Participants: _____

2. PRODUCTS COVERED BY THIS INSPECTION REPORT

(attach additional sheets using the Appendix C form as necessary)

CERTIFICATION/LISTING NO.	PROGRAM*	MODEL NAME/NO.

** e.g. OG-100, OG-300, OG-500, Solar Listing, Wind Certification*

3. INSPECTION RESULTS SUMMARY

☐ ALL SATISFACTORY, NO SIGNIFICANT NON-CONFORMITIES

☐ NONCONFORMITIES FOUND. Number of Nonconformities: _____

☐ OTHER. (*Products destroyed/released for sale; impoundment; recall required*): _____

Summary Remarks – Continued:

4. SIGNATURES

By signing below, the lead inspector attests that the information provided is accurate to the best of their knowledge, and that they have no undeclared conflicts of interest with the manufacturer and/or listee. By signing, the manufacturer's representative acknowledges the findings of this inspection report and any non-conformities. Both parties may enter any remarks for the benefit of the certification body reviewer.

LEAD INSPECTOR	MANUFACTURER'S REPRESENTATIVE
Signature and date	*Signature and date*
Print Name	*Print Name*
	Title:

5. PRODUCTION CONTROL ASSESSMENT

Part A: Review of Quality System

Evaluate the policies, procedures and records associated with the Quality System used to produce the certified products. Review may be conducted on the scheduled date of the inspection or through a prior document review.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
1. Basic Elements (AC-10 §2.0) A quality system is in place and effectively implemented to produce the certified products with the following basic elements:		
Describes the manufacturing process for the certified products and in-process quality control procedures.	☐ yes ☐ no	
Organizational chart and a description of the responsibilities of key positions in the quality program.	☐ yes ☐ no	
Procedures/policies implemented for processing and documenting complaints and actions taken as a result for the certified products.	☐ yes ☐ no	
Retention policies and procedures to keep quality control records for a minimum of 2 years.	☐ yes ☐ no	
List key quality system documents evaluated (Name/Rev/Date). Use Appendix B as needed.		
2. Design Control. (AC-10 §1.4.4.1, §2.1.7)		
Documents controlling the design of the certified product maintained for components, sub-assemblies, and final assemblies.	☐ yes ☐ no	
Criteria for conformity/non-conformity of materials, components and assemblies are documented.	☐ yes ☐ no	
Product design and material changes are documented and evaluated. Appropriate parties (including ICC-SRCC) are notified of significant changes.	☐ yes ☐ no	
List design documents reviewed in Appendix B is additional space is required.		
3. Incoming Goods and Materials. (AC-10 §2.2)		
Procedures in place to inspect incoming goods and materials to meet relevant design control specifications.	☐ yes ☐ no	
Applies to materials and components (custom and off-the shelf) used in the manufacture of products and systems regardless of whether the assembly takes place in a factory or in the field. List incoming goods and materials inspections that are conducted for certified products.		
4. Calibration. (AC-10 §2.6)		
Procedures are in place to maintain the calibration of testing, measuring and inspection devices used for incoming goods inspections and production quality control for certified products.	☐ yes ☐ no	
Calibrated devices are required to be physically marked for traceability to calibration records.	☐ yes ☐ no	
Calibrated devices are required to be checked and recalibrated by a qualified party on a prescribed frequency. Results of calibration activities shall be recorded for a minimum of 2 years.	☐ yes ☐ no	
List evaluated devices with calibration.		
5. Finished Products. (AC-10 §2.1.9)		
Procedures for testing, inspection, and acceptance of final product.	☐ yes ☐ no	
Directions are provided for packaging and storage of the final product prior to shipment or transport.	☐ yes ☐ no	
Procedures in place for the identification, handling, segregation, and disposition of non-compliant product.	☐ yes ☐ no	

Part A Remarks:
Part A Non-Conformities:

Part B: Incoming Goods Facility Check

Confirm implementation of incoming goods and materials inspections of incoming goods and materials are conducted in accordance with the policies and procedures reviewed in Part A. Applies to goods and materials inspected in a factory location for a production line and for inspections occurring in the field for a field assembly and installation.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
1. Inspections are being carried out for the materials and goods listed in Part A.	☐ yes ☐ no	
2. Results of incoming goods inspections are recorded in accordance with policies and procedures in Part A.	☐ yes ☐ no	
3. Devices for measurement, test or inspection equipment required are present and have appropriate calibration labeling.	☐ yes ☐ no ☐ NA	
4. Instructions are available to responsible personnel describing the incoming goods and materials inspections to be conducted and process for recording any results.	☐ yes ☐ no	
Part B Remarks:		
Part B Non-Conformities:		

PART C: IMPLEMENTATION OF QUALITY SYSTEM IN PRODUCTION PROCESSES

Evaluate the location(s) where any onsite manufacturing activities for the certified products are conducted and verify compliance with quality policies and procedures identified in Part A. If the production line is not operating, the inspector should review recent past production records to assess compliance with the items listed below. For products that are field-assembled, documentation or some other evidence must be provided to demonstrate compliance with Quality System requirements as listed below.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
1. Instructions for the proper production and/or assembly of the certified products are readily available for personnel.	☐ yes ☐ no	
2. Any devices used for quality checks conducted during production and/or assembly are present or readily available to responsible personnel. If calibrated, they are labeled in accordance with the requirements in Part A.	☐ yes ☐ no ☐ NA	
Identify evaluated devices used to check whether products meet design specifications.		
3. Results of production/assembly quality checks are recorded and retained in accordance with policies reviewed in Part A.	☐ yes ☐ no	
4. Non-conforming products are marked, segregated, or otherwise controlled as specified in policies reviewed in Part A.	☐ yes ☐ no	
5. Finished products are handled, packaged, and stored to prevent damage or deterioration as specified in policies reviewed in Part A.	☐ yes ☐ no ☐ NA	
6. For onsite production facilities, was the production line in operation at the time of inspection?	☐ yes ☐ no ☐ NA	
Onsite production facility is not required to be in operation at the time of inspection (although it is preferred). If "Yes", list the specific product(s) under production. If all products are assembled in the field, select "NA".		

Part C Remarks:

Part C Non-Conformities:

PART D: PRODUCT MARKING & LABELING

List the name/number of key technical drawing(s), bills of materials, and parts lists used to control the design of the certified product listed in Part 2. Must include revision number and date. Add rows and additional sheets to the list as needed.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
1. Products are marked with the information required in the "Identification" section of the associated certification or listing report and the prescribed mark in the location required for each program.	☐ yes ☐ no	
Provide examples/photos of product marking/labels for sampled products if available. See certificate or listing and ICC-SRCC Rules for Mark and Certificate Use for more information.		
Part D Remarks:		
Part D Non-Conformities:		

6. SUBMISSION INSTRUCTIONS

1. Inspection reports must be signed by both the inspector and manufacturer's representative in Section 4. Electronic signatures are acceptable.
2. Completed reports, along with attachments, should be submitted to ICC-SRCC by email to the srcc@solar-rating.org address for solar heating and cooling equipment. Reports for wind turbines should be submitted to ICC-SWCC by e-mail to swcc@solar-rating.org
3. A copy of the completed report must be provided to the listee or manufacturer's representative who signed Section 4 by the lead inspector. The copy may be either paper or electronic form.

APPENDIX A: NON-CONFORMITY SUMMARY FORM

Identify and describe each non-conformity individually. In the Reference Section, list the specific section above where the non-conformity was observed (e.g. C4). If the non-conformity pertained a specific product, provide the model number associated. Provide a brief description of the non-conformity and rate the significance with respect to its impact on safety and the certification.

Describe recommended actions (optional) to resolve the non-conformity through a subsequent corrective action. Minor non-conformities should be addressed and resolved by the inspector. Major non-conformities are addressed by ICC-SWCC. Any non-conformances corrected at the time of the inspection should be described below, indicating the resolution. Make additional copies as needed.

NON-CONFORMITY: 1

Reference Section:	
Description of Non-Conformity:	
Significance:	☐ Major ☐ Minor
Recommended Action:	

NON-CONFORMITY: 2

Reference Section:	
Description of Non-Conformity:	
Significance:	☐ Major ☐ Minor
Recommended Action:	

NON-CONFORMITY: 3

Reference Section:	
Description of Non-Conformity:	
Significance:	☐ Major ☐ Minor
Recommended Action:	

APPENDIX B: DOCUMENT LIST FORM

This form is provided to enter and record the key documents evaluated as part of the inspection. May include quality system documents, design drawings, parts lists, specifications, manuals, work instructions, etc. Include version, edition, revision number and/or date, if available. Add rows and additional sheets to the list as needed.

DOCUMENT ID (Name or number/revision/date)

APPENDIX C: ADDITIONAL PRODUCTS COVERED BY THIS INSPECTION REPORT

This form is provided to enter additional products covered by the inspection if additional space is required in Section 2. The list may be duplicated as necessary to provide more rows. See www.solar-rating.org/directory for certified solar thermal products organized by listee.

CERTIFICATION/LISTING NO.	PROGRAM*	MODEL NAME/NO.

** e.g. OG-100, OG-300, OG-500, Solar Listing, Wind Certification*