



**Solar Rating & Certification  
Corporation**

500 New Jersey Avenue, NW  
Sixth Floor  
Washington, DC 20001  
t: 888.ICC.SAFE (422.7233)  
t: 202.370.1800  
f: 202.783.2348  
[www.solar-rating.org](http://www.solar-rating.org)

# **ICC-SRCC™ Certification Surveillance Procedures**

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## **1. PURPOSE**

This procedure is to provide for surveillance activities, by multiple means, for products and systems certified under ICC-SRCC's certification programs. Surveillance of certified products and systems is conducted in accordance with the requirements of given certification programs in order to verify a participant's continued compliance with the terms of certification.

## **2. SCOPE**

This procedure shall apply to all surveillance activities associated with ICC-SRCC product or system certifications, as established by applicable ICC-SRCC certification programs.

## **3. REFERENCES**

- *GSCN Working Rules*
- *ICC-SRCC Affidavit for Postponing SRCC Inspection*
- *ICC-SRCC Annual Reporting Log*
- *ICC-SRCC Impartiality Policy*
- *ICC-SRCC Confidentiality Policy*
- *ICC-SRCC Complaint Policy*
- *ICC-SRCC Inspection Provider Policy*
- *ICC-SRCC OG-100 Operating Guidelines for Certifying Solar Collectors*
- *ICC-SRCC OG-300 Operating Guidelines for Certifying Solar Water Heating Systems*
- *ICC-SRCC Small and Medium Wind Turbine Guidelines*
- *ICC-SRCC Quality Manual*
- *ICC-SRCC Solar Heating & Cooling Listing Program Guidelines*
- *ICC-SRCC Initial Inspection Report*
- *ICC-SRCC Surveillance Inspection Report*
- *ICC-SRCC Trademark and Certification Mark Use Policy*
- *ISO 9001, Quality management systems -- Requirements*
- *ISO 17000, Conformity assessment – Vocabulary and general principles.*
- *ISO/IEC 17020, Conformity assessment — Requirements for the operation of various types of bodies performing inspection*
- *ISO/IEC 17065, Conformity assessment — Requirements for bodies certifying products, processes and services*

## **4. GENERAL REQUIREMENTS**

### **4.1 Impartiality**

Surveillance activities shall be undertaken impartially in accordance with the requirements of the *ICC-SRCC Quality Manual* and *ICC-SRCC Impartiality Policy*.

### **4.2 Confidentiality**

Confidentiality of information associated with and derived from certification surveillance activities shall be maintained in accordance with the *ICC-SRCC Confidentiality Policy* and *ICC-SRCC Quality Manual*.

### **4.3 Indemnification.**

Disassembly of certified products may be necessary in order to provide access to the components that must be assessed and measured as part of the product compliance verification. This may result in damage to, or destruction of the product. The quantity of products to be inspected shall be established by the applicable ICC-SRCC certification program and shall be sufficient to assess compliance. ICC-SRCC and its representatives shall not be liable in any manner for such damage or destruction.

### **4.4 Access and Authority**

The authority to conduct certification surveillance, for the purpose of assessing continued program conformity, is established in ICC-SRCC certification programs, and the *ICC-SRCC Quality Manual*. Access to facilities, records and documentation associated with the certified product or system shall be afforded by the Participant in order to conduct conformity assessment activities as defined in the applicable certification programs, as a condition of continued product certification by ICC-SRCC.

### **4.5 Postponing Surveillance**

Participants notified of the need for certification surveillance by ICC-SRCC may request an extension of the deadline for completion, provided that all other requirements of the applicable program are met. Extension requests shall be submitted in writing to ICC-SRCC and must state sufficient reason for extending the deadline for the scheduled surveillance activity. Acceptable reasons for extensions include, but are not limited to:

- a) Facility build-up phase: the manufacturing place or production facility is under development or construction.
- b) Pilot phase of production: Regular production is not yet underway at the facility. Instead a ramp-up from small number of production units to regular production is underway.
- c) Inactive facility. Potential reasons for this case include: low sales, equipment issues or maintenance or personnel issues.

The request must document that procedures, personnel, and equipment are available to produce products identical to the product originally tested. The Participant must also agree to promptly notify ICC-SRCC when the condition prompting the extension ends (e.g. production begins or is resumed) so that the required surveillance activity can be conducted.

Extension of a given surveillance activity is at the sole discretion of ICC-SRCC. At all times, ICC-SRCC reserves the right to require certification surveillance as established by the applicable ICC-SRCC certification programs.

#### **4.6 Failure to Conduct Scheduled Surveillance**

In the event that scheduled surveillance cannot be conducted, the Participant shall pay any costs associated with the surveillance activity, and the surveillance shall be immediately rescheduled. ICC-SRCC shall have the right to revoke certification if scheduled surveillance cannot be conducted after two or more attempts.

In the case of an onsite inspection where an ICC-SRCC assigned inspector (ICC-SRCC staff inspector or designated representative) is unable to gain entry to any facility associated with the certification at the previously scheduled location, date and time, the Participant shall pay the inspection fee as established by ICC-SRCC or inspection agency, and the on-site inspection shall be immediately rescheduled.

#### **4.7 External Inspection Providers**

External inspection providers that perform inspections or other surveillance activities on behalf of ICC-SRCC shall have a contractual relationship with ICC-SRCC, shall be approved under the ICC-SRCC Inspection Provider Program and shall comply with the *ICC-SRCC Inspection Provider Program Policy*. The decision whether to use ICC-SRCC staff or ICC-SRCC Inspection Providers for the conduct of surveillance activities shall be the sole discretion of ICC-SRCC.

#### **4.8 Monitoring of Personnel Conducting Surveillance**

ICC-SRCC shall provide for the monitoring of personnel conducting surveillance and inspections to ensure that all ICC-SRCC policies and procedures related to surveillance are observed. Such monitoring shall be done by ICC-SRCC or through arrangements with a qualified third party, and shall occur at least once every five years for in-house inspectors and for each external inspection provider.

#### **4.9 Means of Certification Surveillance**

Certification surveillance shall be conducted using means specified in this procedure and the applicable ICC-SRCC certification programs. Where the means of inspection is not specified for a given certification program and circumstance, ICC-SRCC shall, at its sole discretion, determine the most appropriate means of surveillance to ensure compliance. Means of surveillance utilized may include, but are not limited to the following:

1. Onsite, in-person inspection of manufacturing facilities for certified products or systems.
2. Remote inspection of production facilities manufacturing or assembling certified products or systems.
3. Review and inspections of certified product samples, raw materials, policies, quality and/or training logs, or any other material or documentation associated with the certified product and deemed necessary for assessment of compliance by ICC-SRCC.

4. Self-reporting by the participant by means of questionnaires or other forms provided by ICC-SRCC in order to assess program compliance.
5. Verification of certification to Quality Certifications like ISO 9001.

#### 4.9.1 Inspection of facilities

Inspections of manufacturing facilities, whether in-person or remote, shall include a review of the following, as applicable for the certified product or system:

- Effectiveness of corrective actions taken in response to nonconformances identified during previous surveillance activities,
- Changes in the quality system,
- Changes to manufacturing process,
- ICC-SRCC required markings on products and literature,
- Raw materials,
- Equipment calibrations.

Any facility or premises where any part of a certified or listed product is manufactured, warehoused, distributed, managed, or sold is subject to inspection in accordance with the applicable program guidelines and this document. Entire facilities that produce finished certified or listed products shall be subject to inspection. If a facility is inspected that manufactures products for multiple ICC-SRCC Participants, that inspection shall satisfy the inspection requirement for all associated ICC-SRCC Participants. The location subject to any facility inspection shall be determined by the ICC-SRCC Technical Director, as informed by Appendix C.

#### 4.9.2 In-person facility inspections

Where in-person facility inspections are to be conducted, assigned ICC-SRCC inspectors shall make every effort to visit the designated facilities during normal local business hours. At the facility, the participant shall assign an appropriate representative or representatives to accompany the ICC-SRCC inspector or designated representative to grant access to applicable manufacturing and storage locations, to review applicable records and documents, and to accommodate the inspector with any other related inspection services as necessary.

#### 4.9.2 Real-time remote facility inspections

Real-time remote inspections shall make use of a real-time video and audio feed allowing the inspector to direct the portions of the facility, products and processes to be evaluated. The system used to conduct the inspection must provide video and audio of sufficient quality to permit the proper conduct of the inspection. The system should be capable of providing real-time video and audio from any area in the facility associated with the certified product. The Participant is responsible for providing the necessary systems, including hardware, software, internet access, lighting and power, to conduct a remote inspection. In the event that a real-time remote inspection cannot be conducted for any reason, ICC-SRCC

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reserves the right to require additional surveillance activities, including an onsite inspection. Participants may request an in-person facility inspection in lieu of a real-time remote facility inspection.

#### 4.9.3 Evaluation of product samples

Where ICC-SRCC evaluates product, component(s) or raw material samples as part of surveillance activities, the Participant shall provide the quantity and type of samples requested. In the event that requested samples are not provided to ICC-SRCC within the timeframe specified, ICC-SRCC reserves the right to require additional surveillance, implement corrective actions or terminate the certification.

#### **4.10 Fees**

Fees for inspections shall be quoted and paid prior to scheduling the inspection. Additionally, the costs for samples and shipping to the location designated by ICC-SRCC shall be the sole responsibility of the participant. Costs for the provision of audio and video as required for real-time, remote inspections shall be the sole responsibility of the participant.

#### **4.11 External Inspection Report Recognition**

ICC-SRCC may recognize previously conducted external inspection reports to satisfy ICC-SRCC certification program surveillance requirements where the inspection was conducted by an approved participant in the ICC-SRCC Inspection Provider Program. To be considered, the inspection report must be for the same product(s) and facilities for which ICC-SRCC has required inspection under its certification program(s).

The decision to recognize external inspection report is the sole responsibility of the ICC-SRCC Technical Director, and is subject to appeal under the procedures established in the *ICC-SRCC Complaint Policy*.

ICC-SRCC Certification program participants seeking to have existing inspections recognized must make the request formally, in writing, within 7 days of the receipt of a notification of a required inspection by ICC-SRCC. Such requests should be directed to the ICC-SRCC Technical Director and shall be accompanied by a copy of the inspection report submitted for consideration.

##### 4.11.1 Global Solar Certification Network (GSCN) Inspection Report Recognition

ICC-SRCC shall recognize and accept surveillance inspection reports of an ICC-SRCC OG-100 participant's manufacturing facilities where all of the following conditions are met:

1. The surveillance inspection was conducted after the date when ICC-SRCC officially joined the GSCN,
2. The surveillance inspection was conducted by an inspector recognized by the GSCN prior to the date that the inspection was conducted.

3. The surveillance inspection was conducted by an approved ICC-SRCC Inspection Provider,
4. The inspection is reported on a properly and fully completed *GSCN Inspection Report* as required in Section 5.1.4,
5. The inspection was conducted within 2 years of the date of the ICC-SRCC inspection notification, and
6. The ICC-SRCC inspection request was not a result of a complaint investigation or non-compliance.

If all of the conditions above are met except 4.11.1(1), ICC-SRCC shall review the inspection report to determine compliance with the OG-100 GSCN surveillance procedures in place when ICC-SRCC officially joined the GSCN. Where the information contained within the inspection report and the manner in which the inspection was conducted are found to be in full compliance with the *GSCN Working Rules* and all ICC-SRCC OG-100 guidelines and policies, ICC-SRCC shall recognize and accept the inspection report.

## **5. PROGRAM-SPECIFIC SURVEILLANCE PROCEDURES**

### **5.1 OG-100 and Wind Turbine Certification Program Surveillance**

As specified in the *ICC-SRCC OG-100 Operating Guidelines for Certifying Solar Collectors* and the *ICC-SRCC Small and Medium Wind Turbine Guidelines*, products certified under these programs are subject to ongoing surveillance activities to verify continued compliance with program requirements.

#### 5.1.1 Annual Program Agreements and Certification Reporting

The OG-100, SWT and MWT certification programs require the submission of Annual Certification reports containing specific information on manufacturing processes, quality control, complaints and design changes. The responses shall be recorded in the *ICC-SRCC Annual Reporting Log*. The information received shall be evaluated along with any relevant complaints. ICC-SRCC may require corrective actions or additional surveillance measures, including in-person factory inspections, as required to ensure continued compliance with the applicable certification program requirements.

#### 5.1.2 Additional Surveillance

ICC-SRCC retains the authority to require additional surveillance to confirm continued compliance with certification requirements in the following cases:

- a) Product design change: Where a product design is changed sufficiently, in the judgement of ICC-SRCC, to impact performance or durability.
- b) Manufacturing process change: The manufacturing process used to produce the product is changed in a way deemed to be significant by ICC-SRCC or the Participant changes third-party suppliers.



- c) Complaint investigation: Where a formal complaint is filed with ICC-SRCC in accordance with the *ICC-SRCC Complaint Policy* and the applicable Program Guidelines against a certified product. As part of a complaint investigation or corrective action program ICC-SRCC reserves the right to require additional surveillance.
- d) Non-conformance: Where a non-conformance has been identified, a corrective action plan may require additional and/or more frequent surveillance measures.
- e) Resumption of certification: Where a certified product was suspended for a prolonged period, or has been withdrawn or terminated, and a Participant wants to regain certified status for that product.

#### 5.1.3 Inspection Forms.

Inspections of facilities conducted for the ICC-SRCC OG-100 Solar Thermal Certification Program shall be reported using the *Global Solar Certification Network Inspection Report* contained within Annex B-2 of the *GSCN Working Rules*. In-person inspections of facilities conducted for the for the ICC-SRCC Small and Medium Wind Turbine Programs shall be reported using the *ICC-SRCC Initial Inspection Report* or *ICC-SRCC Surveillance Inspection Report*, as applicable.

## **5.2 Solar Heating & Cooling Code and Standard Listing Program Surveillance**

As specified in the *ICC-SRCC SHC Listing Programs Guidelines* solar heating and cooling products and/or systems certified under the ICC-SRCC SHC Codes and Standards Listing Program are subject to ongoing surveillance activities to verify continued compliance with program requirements.

#### 5.2.1 Inspection Frequency.

Initial and regular surveillance inspections shall be conducted at the frequency established with in the *ICC-SRCC SHC Listing Program Guidelines*. Additional surveillance, including inspections, may be ordered for circumstances including but not limited to non-conformities and complaints.

#### 5.2.2 Inspection Forms.

All in-person inspections of manufacturing facilities for listed solar thermal collectors shall be shall be reported using the *Global Solar Certification Network Inspection Report* contained within Annex B-2 of the *GSCN Working Rules*. All in-person inspections of listed products or systems (other than collectors) shall be reported using the *ICC-SRCC Initial Inspection Report* or *ICC-SRCC Surveillance Inspection Report*, as applicable. All three inspection reports are contained within Annex A of this document.

## 5.3 OG-300 Solar Thermal System and ENERGY STAR® Residential Solar Water Heater Certification Program Surveillance

### 5.3.1 Surveillance.

ICC-SRCC retains the authority to conduct surveillance in accordance with the *OG-300 Operating Guidelines for Certifying Solar Water Heating Systems* to confirm continued program compliance in the following cases:

- a) System design change: Where a system design is changed sufficiently, in the judgement of ICC-SRCC, to impact performance or durability.
- b) Manufacturing process change: The manufacturing process used to produce the system is changed in a way deemed to be significant by ICC-SRCC or the Participant changes third-party suppliers.
- c) Complaint investigation: Where a formal complaint is filed with ICC-SRCC in accordance with the *ICC-SRCC Complaint Policy* and the applicable Program Guidelines against an OG-300 certified system. As part of a complaint investigation or corrective action program ICC-SRCC reserves the right to require additional surveillance.
- d) Non-conformance: Where a non-conformance has been identified, a corrective action plan may require additional and/or more frequent surveillance measures.
- e) Resumption of certification: Where a certified system was suspended for a prolonged period, or has been withdrawn or terminated, and a Participant wants to regain certified status for that product.

Where a certified OG-300 certified solar thermal system that also has certification to the ENERGY STAR Residential Solar Water Heater Certification Program provided by ICC-SRCC, continued compliance with ENERGY STAR program requirements shall also be assessed.

### 5.3.2 Inspection Forms.

In-person inspections of facilities for the OG-300 Solar Thermal System Certification Program shall be reported using the *ICC-SRCC Initial Inspection Report* or *ICC-SRCC Surveillance Inspection Report*, as specified by ICC-SRCC.

## 6. COMPLIANCE SURVEILLANCE RESOLUTION

ICC-SRCC staff shall review all inspection reports and surveillance actions to ensure that the surveillance was conducted in accordance with this document and the applicable Program Guidelines.

### 6.1 Compliance

Where a review of the surveillance activities indicates compliance with all requirements, ICC-SRCC shall notify the Participant, and record the outcome in inspection logs.

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## 6.2 Non-compliance

Where a review of the surveillance activities indicate one or more non-compliances, ICC-SRCC shall notify the Participant through a Corrective Action Request (CAR) indicating the non-conformity, corrective actions to resolve the issues and any follow-up verification by ICC-SRCC or the inspector that may be required. All non-compliances must be resolved by one or more of the following:

- a) Correction to the quality management system (documentation and implementation),
- b) Reverting to the originally approved materials, processes or design,
- c) Retesting the product and submitting an application to certify the product in its current design,
- d) Other methods as specifically approved by the ICC-SRCC Technical Director.

ICC-SRCC, at its discretion, may continue to work with the Participant to resolve any non-conforming condition(s). At its discretion, ICC-SRCC may suspend certification of the product(s) during this process. ICC-SRCC reserves the authority to require additional inspections and/or testing as a result of non-conformities to establish successful and continued implementation of corrective actions. The burden of proof and all additional costs are the sole responsibility of the Participant.

## 6.3 Continued Condition of Non-Conformance

If the non-conformity to certification requirements is not resolved within six months time, or the next annual renewal (whichever is more), ICC-SRCC shall terminate certification of the product or system. In this event, the Participant shall cease the use of the certification mark and references to being certified or listed by ICC-SRCC for the product in accordance with the *ICC-SRCC Trademark and Certification Mark Use Policy* and the applicable Program Agreement.

## APPENDIX A: INSPECTION PROCESS GUIDELINES

The process for initiating, conducting, evaluating and resolving inspections of facilities shall be as follows:

1. ICC-SRCC notifies Participant of the need for an inspection, noting the reason for the inspection, products to be inspected, type of inspection required, location to be inspected and deadline for inspection. ICC-SRCC will also detail options for the facilities subject to inspection as applicable (as described in Section 8), and whether the inspection must be conducted on-site or whether a remote inspection is an option.
2. Participants with inspections conducted for the same product and facility within the past 2 years by an approved ICC-SRCC Inspection Provider may submit the report for acceptance in lieu of a new inspection.
3. If a new inspection is required, ICC-SRCC assigns an approved ICC-SRCC inspector for the conduct of the inspection. For an in-person inspection, the inspector then works directly with the participant to schedule a time for the inspection.
4. Participant works with the assigned inspector to schedule the inspection in order to meet the deadline specified by ICC-SRCC. The inspector will contact the Participant to ensure that the necessary personnel will be available at the time of the inspection.
5. Prior to the inspection, the Participant should obtain the appropriate ICC-SRCC Inspection Report form from the ICC-SRCC website, fills in the information requested on the first two pages and provides it to the inspector.
6. The inspection is the assigned inspector, with the inspector completing the ICC-SRCC Inspection Report started by the Participant in Step 4.
7. The inspector submits the completed Inspection Report directly to ICC-SRCC for processing and provides a copy for the Participant.
8. ICC-SRCC staff reviews the inspection report for findings ensures that it is completed properly. Any non-conformities will be reported to the Participant by means of a Corrective Action Request (CAR). The CAR will note the specific requirement and nonconformity finding.
9. If any non-conformities are issued, the Participant will have 30 days to resolve it from the date of receipt of the CAR. The Participant responds to ICC-SRCC documenting the resolution of the non-conformity noted in the CAR.
10. ICC-SRCC reviews the resolution of the CAR and determines if any further follow-up is required.
11. Upon the resolution of any non-conformities, the Participant is notified of the successful completion of the inspection. If the non-conformity to certification requirements, certification criteria or established product criteria cannot be resolved, ICC-SRCC will terminate certification or listing of the product in accordance with the terms of the applicable program agreement.

## **APPENDIX B: FACILITY INSPECTION GUIDELINES FOR INSPECTORS**

Facility inspections, whether conducted onsite or remotely, should follow a formal format that includes an opening meeting, inspection, preparation of documentation and a closing meeting.

### **B.1 Opening meeting**

During this meeting the inspector should review the formal proceedings outlined in the agenda. The participating parties and personnel shall be introduced. Formal questions as outlined in the inspection report form are discussed and the responses documented. Records that will be needed for the inspection shall be identified. The Participant's contact person or personnel shall provide the documentation and records for further assessment during the inspection segment.

### **B.2 Inspection**

The ICC-SRCC Inspection Report shall provide guidance for the inspector. All questions in the report shall be answered.

During the actual inspection, the process for manufacturing shall be observed and records shall be assessed in accordance with the requirements of this document and the inspection report.

The inspector shall verify and record all findings on the appropriate ICC-SRCC Inspection Report. The inspection report shall be completed for use during the closing meeting.

### **B.3 Closing meeting**

The inspector shall present the inspection report and discuss the findings. The Participant's contact person shall sign the inspection report. Copies of all forms signed during the inspection shall be provided to the Participant's contact person.

Upon conclusion of the inspection, all materials supplied to the ICC-SRCC approved inspection body by ICC-SRCC shall be permanently deleted from inspection body's electronic files and/or immediately returned to ICC-SRCC.

In the case of remote inspections the closing meeting is not required to be conducted immediately following the remote inspection.

## **APPENDIX C: FACILITY INSPECTION LOCATION GUIDELINES**

Facility inspections, whether conducted onsite or remotely, should be conducted at facilities associated with the manufacture, assembly, of the certified product or system, as applicable. The following provides guidance on the appropriate location to be inspected for various circumstances.

### **C.1 Product is constructed in a factory owned by the ICC-SRCC**

**Participant.** Where the product is manufactured in a factory owned by the Participant, inspection of that factory shall be conducted by an approved inspector as specified in this document.

### **C.2 Product is constructed in accordance with the ICC-SRCC**

**Participant's design in a factory owned by a third party.** Where the product is manufactured in a factory owned by a third party, the ICC-SRCC Participant receives only a fully assembled product. The inspection should be accomplished by either an approved inspector using one of the following two methods in C.2.1 and C.2.2.

#### C.2.1 Inspection of the third-party facility that manufactures the product.

The third-party facility manufacturing the product on behalf of the Participant is subject to inspection as required by the applicable program. In the event that the Participant changes third-party suppliers, a new inspection should be conducted.

#### C.2.2 Participant receiving warehouse inspection.

An inspection of the Participant's warehouse receiving product from the third-party manufacturer is conducted. In this case, the Participant's quality management system for incoming product inspection and acceptance processes would undergo ICC-SRCC evaluation. Unlike C.2.1, whenever the Participant chooses to change third-party suppliers, a new inspection will not be required since the quality management system will evaluate the product as received, regardless of the supplier.

### **C.3 Product components are made in more than one factory and are combined only at the installation site**

Where product components or sub-assemblies are constructed at several facilities, and are only combined into a final assembly at the installation site, the inspection should be accomplished by one of the following two methods in C.3.1 and C.3.2. ICC-SRCC has the right to require an onsite inspection of the participant's facility in accordance with C.3.1 at its discretion. Additionally, if the inspection methods detailed in C.3.1 or C.3.2 do not yield sufficient information to assess product conformity, ICC-SRCC may, at its sole discretion, require inspection of an installed product or products or samples.

Surveillance may be accomplished by one of these methods:

### C.3.1 Inspection at Participant's Facility

An approved inspector conducts the inspection at the Participant's factory or office. Samples of all certified components and systems subject to inspection must be made available to the inspector.

### C.3.2 Inspection at the ICC-SRCC Office

ICC-SRCC may choose to conduct the inspection at its office. The ICC-SRCC Participant should send the following to ICC-SRCC for evaluation as applicable:

1. Several samples of collector materials as specified by ICC-SRCC
2. Requested quality management system documents
3. A list of installations made in the last year.

ICC-SRCC staff may select one or two installations and require that the Participant submit documentation (bill of materials, purchase orders, installer reports, etc) on that installation. A conference call may be held with the Participant during the evaluation if necessary.

## ICC-SRCC Certification Surveillance Procedures

### Document Change History

Rev.	Date	Nature of Changes	Approved By
0	2/15/2017	New document based in part on superseded SRCC Inspection Policy documents.	Eileen Prado

### Posting

X	The document <b>IS</b> publicly posted and the updated version shall be processed per the SRCC Document Control Policy, and the new version <b>SHALL</b> be posted on the SRCC website.
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