

**FORMATTING AND INSTRUCTIONS FOR DEVELOPING A
COMPLIANCE ASSURANCE PROGRAM MANUAL**

COMPLIANCE ASSURANCE PROGRAM

For

(Company Name)

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**RULE 1137:
LABELS**

- ▶ Items (1), (4), and (6) of this rule, requires each unit to have a label attached. Labels shall be purchased by the manufacturer and sent to the inspection-evaluation agency who shall retain the labels and attach to building units after inspection. The manufacturer shall **not** have possession of labels.

**RULE 1161:
REQUIREMENTS FOR SUBMISSION OF COMPLIANCE ASSURANCE
PROGRAMS**

- The manual shall be submitted in triplicate on 8-1/2" x 11" paper bound into a booklet.
- The cover shall have the words "Compliance Assurance Program" and the identity of the manufacturer.
- List inspection and evaluation agency.
- The manual shall be **comprehensively** indexed by rule number and indicated subsection number.

**RULE 1162:
ORGANIZATIONAL REQUIREMENTS**

1162 (1) REVISION TO THE MANUAL

Outline a procedure for periodic revision to the manual.

1162 (2) ORGANIZATIONAL CHART AND KEY PERSONNEL

Provide a graphic organizational chart of the company, indicating the various departments including management and production. List the key personnel in charge of the Compliance Assurance Program, indicate their experience, and training, and show how they are independent from the production department.

1162 (3) PROGRAM EFFECTIVENESS

Outline your system of program effectiveness to monitor performance and identify deficiencies.

1162 (4) MANUFACTURING RECORDS

Show a method of keeping manufacturing records, site operations, storage preservation and access to these records.

1162 (5) CHANGES IN PRODUCTION

Outline a system to control changes in production and inspection procedures.

1162 (6) CONSTRUCTION DOCUMENTS

Outline a system to assure that all construction documents conform to the approved building system.

1162 (7) SERIAL NUMBERING

Outline a system of serial numbering units and components.

**RULE 1163:
MATERIALS CONTROL**

1163 (1) MATERIALS CONFORMANCE

Provide a system to assure that materials, production and site operations conform with the approved construction documents.

1163 (2) INSPECTION OF MATERIALS

Outline the procedure for the inspection of materials at point of receipt.

1163 (3) PROTECTION OF MATERIALS

Explain how materials are protected from damage and deterioration.

1163 (4) REJECTED MATERIALS

Outline a procedure for the segregation and disposal of rejected materials.

**RULE 1164:
PRODUCTION CONTROL**

1164 (1) PRODUCT QUALITY

Provide procedures to insure product quality.

1164 (2) TESTING AND INSPECTION EQUIPMENT

Provide procedures for use of testing and inspection equipment. This shall include the schedule of maintenance and calibration of the equipment.

1164 (3) SAMPLING INSPECTIONS

Include provision for frequency of sampling inspections.

1164 (4) REJECTION OF DEFECTIVE WORK

Provide requirements for authority to reject defective work without conflict from the production department.

1164 (5) PLAN LAYOUT

Provide a schematic plan of the manufacturing operation showing location, testing stations and hold points for mandatory inspections.

1164 (6) INSPECTION AND TESTING

Outline of inspection and test procedures, including accept/reject criteria and mandatory inspection characteristics.

1164 (7) STANDARDS OF WORKMANSHIP

Explain how the standards of workmanship are established, monitored and corrected.

1164 (8) REJECTED UNITS

Provide a process for disposal of rejects.

**RULE 1165:
FINISHED PRODUCT CONTROL**

1165 (1) FINAL INSPECTION AND LABELING

Provide procedures for final inspection, identification, and labeling.

1165 (2) STORAGE OF FINISH UNIT

Provide procedure for storage of all finished units, both at plant, other storage point, and after delivery to site.

1165 (3) PACKING FOR SHIPPING

Provide procedures for packing, packaging, and shipping, and related inspections.

1165 (4) TRANSPORTATION

Provide procedures for transportation and protection in transit.

**RULE 1166:
INSTALLATION CONTROL**

1166 (1) INSTALLATION PROCEDURES

Provide installation procedures including placement, field erection, finish work, utility hookup, on site inspection.

1166 (2) FIELD REPAIR

Provide procedures for field repair and disposal of rejects.

RULE 1167:
PERMISSION FOR INSPECTION

- ▶ The manufacturer shall provide the Commission with a **signed** and **notarized** document, which would allow the bureau to inspect its manufacturing facilities, products, and building sites, at any reasonable time, without prior announcement. Include a detailed map showing the exact location of the manufacturing facility.

RULE 1168:
INSPECTIONS BY BUREAU

- ▶ The Compliance Assurance Manual shall contain detailed procedures for inspections by the bureau or approved inspection agency. This shall include, but is not limited to, when and how inspections are requested, performed and documented. Include a map showing how to get to the plant.