

# VIRGINIA APPLICATION FOR BECOMING A CAA

(13VAC5-91-180)

This application is being made to the Virginia State Building Codes Office (SBCO) for acceptance as a Compliance Assurance Agency (CAA). This Application is made *under oath* and is accompanied by information and evidence submitted to the SBCO for their review for determine whether we the applicant are specially qualified by reason of facilities, personnel, experience and demonstrated reliability to investigate, test and evaluate industrialized buildings for compliance with this chapter of the Virginia, and to provide adequate follow-up and compliance assurance services at the point of manufacture.

I \_\_\_\_\_ Date: \_\_\_\_\_ do here by  
(Print name) (Signature)

affirm that the following information and documents attached here to are true and accurate to the best of my knowledge.

Company Name: \_\_\_\_\_

Company Address: \_\_\_\_\_

Company Phone # (s): \_\_\_\_\_ Fax #: \_\_\_\_\_

E-mail: \_\_\_\_\_

## A. **Freedom from Conflict of Interest 13VAC5-91-190:**

A compliance assurance agency shall not be affiliated with, nor influenced or controlled by, producers, suppliers or vendors of products in any manner which might affect its capacity to render reports of findings objectively and with-out bias. A compliance assurance agency is judged to be free of such affiliation, influence and control if it complies with all of the following conditions:

YES   NO (Mark response. If the response is "YES" to any of the questions please explain in an attachment to be included with this affidavit)

1. The agency has no managerial affiliation with producers, suppliers or vendors and is not engaged in the sale or promotion of any product or material.

2. The results of the agency's work accrue no financial benefits to the agency through stock ownership of, or other similar affiliation to, any producer, supplier or vendor of the product involved.

3. The agency's directors and other management personnel in their job capacities receive no stock option or other financial benefit from any producer, supplier or vendor of the product involved.

4. The agency has sufficient interest or activity that the loss or award of a specific contract to determine compliance of a producer's, supplier's or vendor's product with this chapter would not be a determining factor in its financial well-being.

5. The employment security status of the agency's personnel is free of influence or control by producers, suppliers or vendors.

***Notary Statement:***

*State of:* \_\_\_\_\_, *County of:* \_\_\_\_\_

*The foregoing instrument was acknowledged before me this (date):* \_\_\_\_\_

*By (name of officer or agent, title of officer or agent):* \_\_\_\_\_

*On behalf of the Corporation:* \_\_\_\_\_

*State of Incorporation:* \_\_\_\_\_

*He/she is personally known to me or has produced (type of identification):* \_\_\_\_\_  
*as identification.*

*(Identification/Serial number):* \_\_\_\_\_

*(Signature of person making acknowledgment):* \_\_\_\_\_

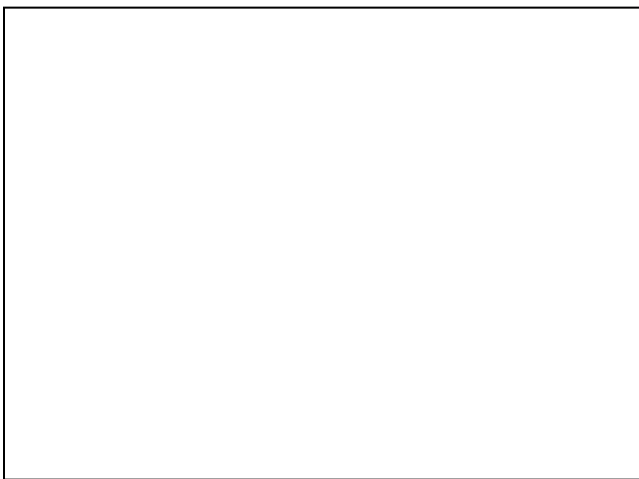
*(Name typed, printed or stamped):* \_\_\_\_\_

*(Title):* \_\_\_\_\_

*Notary's Official Signature:* \_\_\_\_\_

*Registration number:* \_\_\_\_\_

*Commission Expiration Date:* \_\_\_\_\_



*Notary Seal*

DOCUMENTATION / INFORMATION  
REQUIRED TO ACCOMPANY APPLICATION FOR CAA

**B. Information Required:**

All of the following information and criteria will be considered by the administrator in designating compliance assurance agencies:

1. Names of officers and location of offices.
2. Liability insurance
3. Specification and description of services proposed to be furnished under this chapter.
4. Description of qualifications of personnel and their responsibilities, including an assurance that personnel involved in system analysis, design and plans review, compliance assurance inspections, and their supervisors comply with the requirements of the American Society for Testing and Material (ASTM) Standard Number E541-08 - Standard Specification for Agencies Engaged in System Analysis and Compliance Assurance for Manufactured Building or shall obtain ICC or DHCD certifications in the appropriate subject area within 18 months of employment and maintain such certifications in an active status.
5. Summary of experience within the organization.
6. General description of procedures and facilities to be used in proposed services, including evaluation of the model, factory follow-up, quality assurance, labeling of production buildings, and specific information to be furnished on or with labels.
7. Procedures to deal with any defective buildings resulting from oversight.
8. Acceptance of these services by independent accrediting organizations and by other jurisdictions.
9. Proof of independence and absence of conflict of interest.
10. Articles of Incorporation and bylaws as filed in the State of incorporation.
11. List of facilities and their addresses, with which your agency has implementing contracts and the effective dates of the contracts.
12. A list of the fee schedule for design review and inspection services.
13. List of all agency personnel, (identify them as being full-time, part-time or contractor/consultants).
14. Minimum qualifications for employees in the various positions.
15. Provide the following procedures to be employed by the **Design Review Agency**:
  - Design review checklists.
  - Procedure to revise designs due to code revisions, state interpretations, etc.
  - How are designs retired?

- Are verbal approvals granted?
- Procedure for logging or tracking approved designs & revisions.
- Where are approved plans and records maintained?
- Is red-lining permitted? If so, what is the procedure?
- Procedures and forms used to notify clients of design deviations and approvals.
- Procedures and/or checklists for approving manufacturer's quality assurance, (QA), programs.

16. Provide the following procedures to be employed by the **Inspection Agency**:

- Plant certification – How is it conducted? Who conducts the certification? Does the design review staff participate? How many units are inspected? 100% inspection of each unit? What are the minimum criteria for acceptance? If deficiencies in the QA and/or production process are identified, what actions are taken, (i.e. additional units inspected; duration of certification extended, etc.)?
- Provide the in-plant inspection report utilized by your agency.
- Detail how an in-plant inspection is conducted – Who does the inspector meet with? What records and files are reviewed, and at what frequency? Process for conducting the on-line inspection.
- Is a copy of the inspection report left with the manufacturer? Are the reports maintained at your headquarters? Are they reviewed by a supervisor?
- How are in-plant inspectors monitored? Is this documented? Is staff provided with ongoing training? In what areas?
- How are you assured that cited nonconformance's have been corrected?
- How do your inspectors verify that the most current design approvals and QA documents being used by the manufacturer?
- What is your “red-tag” procedure for ensuring that nonconforming units are not labeled?
- Procedure for tracking repeat nonconformance.
- Procedure to determine when remedial action is required and the type of remedial action to be taken. Who determines when remedial action is required? How is the manufacturer notified that remedial action is being implemented?
- Procedure for tracking label use.

**NOTE:** *The ASTM Standard Number E541-08 referenced above may be obtained from:*

American Society for Testing and Materials  
 100 Barr Harbor Drive  
 West Conshohocken, PA 19428-2959