Chapter 3 [CS]: General Requirements

General Comments

A fundamental principle of the code is its dependence on the listing and labeling method of approval for appliances and equipment. Section CS301.4 prohibits the installation of unlisted appliances except where approved in accordance with Section CS103.

SECTION CS301 (IMC 301) GENERAL

CS301.1 (IMC 301.1) Scope. [This chapter] shall govern the approval and installation of all *equipment* and appliances that comprise parts of the building mechanical systems regulated by [this code] in accordance with Section CS101.1 (IMC 101.2).

This section states that this chapter governs the approval and installation of all mechanical equipment and appliances that are regulated by the code. Section CS101.2 establishes the scope of application of the code (see commentary, Section CS101.2).

CS301.2 (IMC 301.2) Energy utilization. Heating, ventilating and air-conditioning systems of all structures shall be designed and installed for efficient utilization of energy in accordance with the *International Energy Conservation Code*.

Appliances and equipment that use energy sources must be designed and installed to use energy efficiently. This is especially important where the energy is not a renewable source. Saving energy is a commendable goal regardless of the affordability or abundance of energy. Energy use, especially of nonrenewable energy, has impacts on the environment. The International Energy Conservation Code[®] (IECC[®]) is the applicable document for regulating the efficiency and performance of the appliances and heating, ventilating and air-conditioning (HVAC) systems. Special applications such as process heating or cooling should be designed for the maximum energy efficiency attainable.

CS301.3 (IMC 301.3) Identification. Each length of pipe and tubing and each pipe fitting utilized in a mechanical system shall bear the identification of the manufacturer.

The manufacturer is given the option of determining the type of marking for the material. If there is no applicable standard or the applicable standard does not require that a material be identified, identification of the manufacturer is still required by the code. Where the code indicates compliance with an approved standard, the manufacturer must comply

Purpose

The International Solar Energy Provisions[®] (ISEP[®]) Chapter 3 [CS] contains requirements for the safe and proper installation of mechanical equipment and appliances to ensure protection of life and property

with the requirements for marking in accordance with the applicable standard.

CS301.4 (IMC 301.4) Plastic pipe, fittings and components. Plastic pipe, fittings and components shall be *thirdparty certified* as conforming to NSF 14.

Plastic piping, fittings and plastic pipe-related components, including solvent cements, primers, tapes, lubricants and seals used in mechanical systems, must be tested and certified as conforming to NSF 14. This includes all piping and fittings and plastic piping system components, including but not limited to pipes, fittings, valves, joining materials, gaskets and appurtenances. This section does not apply to components that only include plastic parts such as brass valves with a plastic stem.

CS301.5 (IMC 301.5) Third-party testing and certification. Piping, tubing and fittings shall comply with the applicable referenced standards, specifications and performance criteria of [this code] and shall be identified in accordance with Section CS301.3 (IMC 301.3). Piping, tubing and fittings shall either be tested by an approved third-party testing agency or certified by an approved *third-party certification agency*.

The term "third party" refers to an outside organization with no financial or other interest in the outcome. The term "tested" means that the product or material was initially tested, a report or documentation was developed, but retesting at a later date is not performed. The term "certified" means that the product or material was initially tested and a program of periodic testing ensures that the product or material continues to meet the specified requirements. See definitions in Chapter 2 [CS] for "Third-party certified" and "Third-party tested."

CS301.6 (IMC 301.6) Fuel gas appliances and equipment. The approval and installation of fuel gas distribution piping and equipment, fuel gas-fired appliances and fuel gas-fired *appliance* venting systems shall be in accordance with the *International Fuel Gas Code*.

Editions of the code prior to the year 2000 addressed installation requirements that were exclusively fuel-

gas-related. Starting with the 2000 edition of the code, the provisions that exclusively addressed fuelgas installations were deleted from the code as the first edition of the International Fuel Gas Code® (IFGC[®]) was developed in 1997. The creation of the IFGC was the result of an agreement between the International Code Council® (ICC®) and the American Gas Association (AGA) to develop and maintain a stand-alone fuel gas code for the family of International Codes[®] (I-Codes[®]). With the support and input of the fuel gas industry, the IFGC is kept current with new developments and technology in the fuel gas industry. Any code provision that addressed only a fuel-gas-related subject was removed from the code. Code provisions that could apply to other types of fuel (oil, kerosene, wood, coal, pellets, etc.) as well as fuel gas were modified to no longer refer to fuel-gasrelated subjects. The IFGC is an inseparable partner to the International Mechanical Code[®] (IMC[®]). Together, they cover all currently used fuels with the most up-to-date text possible.

CS301.7 (IMC 301.7) Listed and labeled. Appliances regulated by [this code] shall be *listed* and *labeled* for the application in which they are installed and used, unless otherwise *approved* in accordance with Section CS103 (IMC 105).

Mechanical appliances must be listed and labeled by an approved agency to show that they comply with the applicable national standards. The code requires listing and labeling for appliances such as boilers, furnaces, space heaters, direct-fired heaters, cooking appliances, clothes dryers, rooftop HVAC units, etc. The code also requires listing for system components as specifically stated in the text addressing those components. The label is the primary, if not the only, assurance to the installer, the inspector and the enduser that a similar appliance has been tested and evaluated by an approved agency and has been determined to perform safely and efficiently where installed and operated in compliance with its listing.

The presence of a label is part of the information that the code official is to consider in the approval of appliances. The only exception to the labeling requirement is when the code official approves the use of a specific appliance with the authority granted in Section CS103. The requirement that appliances are to be used only in accordance with their listing is intended to prevent the use of products that have a listing for a particular application but are being used in an application for which they have not been tested. An example would be an appliance that is listed for indoor use only being installed outdoors. Another potential misapplication example could be a factorybuilt chimney that has been tested and listed for use only with wood-burning heating appliances being used as a grease duct. Such misapplications have the potential to create hazardous conditions.

Caution must be exercised when considering the approval of unlisted and unlabeled appliances in accordance with Section CS103. Approval of unlabeled appliances must be based on documentation that demonstrates equivalence to appliances that are in compliance with the applicable standards or, where no product standards exist, that the appliance is appropriate for the intended use and will provide the same level of performance as would listed and labeled appliances. A fundamental principle of the code is the reliance on the listing and labeling process to ensure appliance performance; approvals granted in accordance with Section CS103 must be well justified with supporting documentation. To the code official, the installer and the end-user, very little is known about the performance of an appliance that is not tested and built to an appliance standard.

CS301.8 (IMC 301.8) Labeling. Labeling shall be in accordance with the procedures set forth in Sections CS301.8.1 (IMC 301.8.1) through CS301.8.2.3 (IMC 301.8.2.3).

Additional labeling requirements of electrical systems can be found in NFPA 70.

♦ As the commentary for Section CS301.7 states, the product label is the primary, if not the only, assurance to the code official that the appliance is safe for installation. The labeling of an appliance ensures that testing in compliance with an applicable standard has been performed and that the product will perform acceptably where installed and operated in accordance with the appliance's listing. Before an appliance or other component can be labeled, the code requires specific actions by qualified agencies and personnel. Sections CS301.8.1 through CS301.8.2.3 describe the requirements that must be complied with before a label can be issued for the appliance or equipment.

CS301.8.1 (IMC 301.8.1) Testing. An *approved* agency shall test a representative sample of the mechanical *equipment* and appliances being *labeled* to the relevant standard or standards. The *approved* agency shall maintain a record of all of the tests performed. The record shall provide sufficient detail to verify compliance with the test standard.

An approved agency is one that complies with the requirements of Sections CS301.8.2.1 through CS301.8.2.3 and is approved by the code official (see commentary, Section CS301.8.2.1). The only way that an approved agency can verify that equipment and appliances meet the requirements of the relevant standard(s) is by testing of the appliance or equipment under controlled conditions in a testing laboratory. For mass-produced identical products, the approved agency rarely tests each product. Typically, a representative random sample of a "production run" of products is tested. For example, a test protocol might require that three units out of 1,000 units produced be tested. As long as the design and manufacturing processes for identically produced products do not change, the established sampling and testing frequency provides a high level of assurance that each produced product would pass the test if actually tested.

The approved agency is responsible for maintaining a record of specific information concerning the product tested, as well as the results of the tests performed. The test standards detail what information is important to record. The records provide proof that the testing was actually performed and that appliance or equipment met or exceeded the minimum requirements of the applicable product standards.

There are numerous standards, not all of which are specifically referenced in the code, applicable to various appliances and equipment. For this reason, the approved agency determines the standards to be used for testing and then, in turn, as the basis for labeling. Each standard contains safety requirements for a given appliance or piece of equipment and specifies tests that must be performed. The labeling agency must maintain sufficient detailed documentation to demonstrate compliance with the test standard. The code official may require that copies of the test reports be submitted to determine the validity of the label.

Examples of the many standards that are used as a basis for testing and labeling include:

- UL 641—Low-Temperature Venting Systems, Type L;
- UL 727—Oil-Fired Central Furnaces; and
- UL 1482—Room Heaters, Solid-Fuel Type.

The basis for a label is the requirement for testing a representative, perhaps identical, sample of the appliance to indicate conformance to a required standard. For this reason, the appliance must meet the requirements of the standard (see commentary, Section CS304.1).

CS301.8.2 (IMC 301.8.2) Inspection and identification. The *approved* agency shall periodically perform an inspection, which shall be in-plant if necessary, of the mechanical *equipment* and appliances to be *labeled*. The inspection shall verify that the *labeled* mechanical *equipment* and appliances are representative of the mechanical *equipment* and appliances tested.

The approved agency whose identification insignia appears on the label is required to perform periodic in-plant inspections to verify that the manufactured product is equivalent to the sample that was tested. Because the label is good only for the products that were tested, the in-plant inspections are intended to discover any design changes or production guality control problems. If any discrepancies are found, the labeling agency would discontinue labeling of the particular product, and the manufacturer would be required to resolve the problem and, if necessary, have the revised product retested before the labeling process is resumed. The code official may require copies of the periodic inspection reports to determine that the in-plant inspections are being performed in compliance with the requirements for a labeled product.

Because appliances and equipment are tested under specific conditions of installation and operation in accordance with the manufacturer's instructions, the issuance of a label requires that these instructions be provided to the installer and end-user to ensure that the product is not misapplied or improperly installed. Because the code requires that the labeled appliances and equipment be installed and operated in accordance with the manufacturer's instructions, the instructions must be attached to or shipped with each appliance. In-plant inspections by the approved agency ensure that the instructions are being shipped with the product, that the design of the product has not substantially changed and that any change in manufacturing processes will not require a change in the testing protocol.

CS301.8.2.1 (IMC 301.8.2.1) Independent. The agency to be *approved* shall be objective and competent. To confirm its objectivity, the agency shall disclose all possible conflicts of interest.

As a part of the basis for a code official's approval of a particular labeling agency, the agency must demonstrate its independence from the manufacturer of the product as well as its competence to perform the required tests. The judgment of objectivity is linked to the financial and fiduciary independence of the agency. The competence of the agency is judged by its experience and organization, and the experience of its personnel. As a hypothetical example, the Acme Inspection Agency is testing oil-fired furnaces for the Real Hot Furnace Company. After some investigation, it is discovered that both Acme and Real Hot are subsidiaries of the same parent company. The inspection agency and manufacturer clearly have a relationship that is inappropriate from the standpoint of conflict of interest, and the objectivity of the inspection agency is sufficiently questionable for the code official to justify not approving Acme as a testing and labeling agency for equipment produced by the Real Hot Furnace Company.

While code officials could do their own investigations of testing agencies, many rely upon accredited third-party evaluation services to perform such investigations. One such service is the ICC Evaluation Service (ICC-ES[®]). ICC-ES evaluation reports are public documents, available free of charge on the worldwide Web, not only to building regulators and manufacturers, but also to contractors, specifiers, architects, engineers and anyone else with an interest in the building industry.

CS301.8.2.2 (IMC 301.8.2.2) Equipment. An *approved* agency shall have adequate equipment to perform all required tests. The *equipment* shall be periodically calibrated.

An agency must have proper equipment to perform the specific tests and inspections as required by the product and test standards. Referring to the example in the commentary for Section CS301.8.2.1, if the Acme Inspection Agency had the facilities to test only fire doors, they would not be the appropriate agency for testing of an oil-fired furnace. Although this example is oversimplified, the point is that the inspection agency must have all of the necessary equipment to perform the testing required by the applicable standard.

The agency must also keep records of maintenance and calibration of their test and inspection equipment to demonstrate that the equipment can be relied upon to produce accurate, consistent and reproducible results. Often testing apparatus, instruments and equipment must be capable of measurements using very small units of measure within a specified tolerance. To produce accurate, dependable readings and reliable test results, testing apparatus, many pieces of equipment and instruments must be routinely calibrated to established references, such as those maintained by the National Institute of Standards and Technology (NIST).

While code officials could question specific testing agencies with respect to their testing equipment, many rely upon accredited third-party evaluation services to perform such verifications. One such service is the ICC-ES.

CS301.8.2.3 (IMC 301.8.2.3) Personnel. An approved agency shall employ experienced personnel educated in conducting, supervising and evaluating tests.

The competence of an inspection agency is based on the agency having the proper equipment to perform the test, as stated in Section CS301.8.2.2, and also on the experience and abilities of its personnel. The best calibrated equipment can produce accurate results only when operated by experienced personnel who are trained to conduct, supervise and evaluate tests. For example, consider a newly formed agency that has employed individuals who do not have experience related to the testing to be conducted and have not been adequately trained. The code official may require information that demonstrates the agency personnel have the capability to properly perform the tests. The capabilities and experience of supervisory personnel overseeing their work are also important.

While code officials could question specific testing agencies with respect to their testing personnel, many rely upon accredited third-party evaluation services to perform such verifications. One such service is the ICC-ES.

CS301.9 (IMC 301.9) Label information. A permanent factory-applied nameplate(s) shall be affixed to appliances on which shall appear in legible lettering, the manufacturer's name or trademark, the model number, serial number and the seal or mark of the *approved* agency. A label shall also include the following:

- 1. Electrical *equipment* and appliances: Electrical rating in volts, amperes and motor phase; identification of individual electrical components in volts, amperes or watts, motor phase; Btu/h (W) output; and required clearances.
- 2. Absorption units: Hourly rating in Btu/h (W); minimum hourly rating for units having step or automatic

modulating controls; type of fuel; type of refrigerant; cooling capacity in Btu/h (W); and required clearances.

- 3. Fuel-burning units: Hourly rating in Btu/h (W); type of fuel *approved* for use with the *appliance*; and required clearances.
- 4. Electric comfort heating appliances: electric rating in volts, amperes and phase; Btu/h (W) output rating; individual marking for each electrical component in amperes or watts, volts and phase; and required clear-ances from combustibles.
- This section requires that the label be a plate, tag or other item made and printed of materials that will have a permanence to last the intended life of the product. In general, label materials other than metal tags or plates usually consist of material that is similar in appearance to a decal, and the label, its adhesive and the printed information are all durable and water resistant. Because of the important information given by a label, the intent is that the label be permanent, not susceptible to damage and legible for the life of the appliance or equipment to which it is attached. The standards that appliances are tested against usually specify the required label performance criteria, the method of attachment and required label information. The code requires that the label be affixed permanently and intends that the label be in a prominent location on the appliance or equipment. Although this section specifies the information that must appear on the label, relevant product standards might require additional information or the manufacturer might choose to provide additional information on the label. Commentary Figure CS301.9 shows a typical appliance label.

Certified solar thermal collectors have ratings published listing daily performance (MBtu/day or MJ/day) for a grid of assumed operating conditions (solar radiation levels, ambient temperatures, operating or load set point temperatures), and are required to carry permanent labels displaying at least one of these performance ratings, typically the rating for "Clear Day Category C." Collector performance at other assumed operating conditions can be found in the certificate published for that collector. Listed PV modules have nameplates showing, among other things, maximum rated power (Pmax) under standard testing conditions (STC), short circuit current, and open circuit voltage. Some jurisdictions also require power under performance test conditions (PTC) which typically is derated from that measured for STC due to higher operating temperature, and is a little more representative of operation in the field versus Pmax at STC.

CS301.10 (IMC 301.10) Electrical. Electrical wiring, controls and connections to equipment and appliances regulated by [this code] shall be in accordance with NFPA 70.

Field-installed power wiring and control wiring for appliances and equipment must be installed in accordance with the NEC (NFPA 70).

The power wiring includes all the wiring, disconnects, overcurrent protection devices, starters and related hardware used to supply electrical power to

DESIGN	American Standard Inc. The Trane Company	
LINE CE	TRENTON, N.J. 08619	MADE IN U.S.A.
TO CONTRACT	FORCED AIR FURNAC	E CATEGORY I
CERTIFIED	ANS 221.47 - 1990	CENTRAL FURN
	FOR INDOOR INSTALLATION IN A BUIL CONSTRUCTED ON SITE.	
MODEL NO.	SERIAL NO.	EQUIPPED FOR
INPUT	LIMIT SETTING	GAS GAS
80.000 BTU	U/HR. 190 °F	MFRD. 09/92
FROM 30 TO 6	0 50 INCHES WATER	MAX. DESIGN AIR
VOLTS/PHASE/HERTZ	TOTAL AMPS	SERVICE CODE
115/1/60	8.5	
(IN INCHES OF WA NAT. 3 • 5 L P 10, SUPPLY PRESSUF (IN INCHES OF WA MAX. NAT. 10.5, L I MIN. NAT. 4 • 5 L	MER) WG0 9 X 03 3 (3 3 3 0.5 ONE TIME THERM RE ATER) P 13.0 L P 11.0 FOR PURPOSE OF INPL W INPUT 52,000 BTU.	JT ADJUSTMENT.
MINIMUM CLEARANCE	COMBUSTIBLE MATERIALS:	
FOR CLOSET SIDES O IN. FLUE 6 IN. FRONT 6 IN.	INSTALLATION AS FOLLOWS: W/SINGLE WALL VENT W/SINGLE WALL VENT 1 IN . M BACK 0 IN.	/TYPE B-1 VEN'T TOP 1 IN.
UPFLOW UNITS. FOR	R INSTALLATION COMBUSTIBLE FLO	ORING. 21D340159 P01
	Commentary Figure CS3	
(Courtesy of I	rane U.S. Inc., an ingerso	ni kand Company)

the appliance or equipment. The control wiring includes all the wiring, devices and related hardware that connect the main unit to all external controls and accessories, such as temperature and pressure sensors, thermostats, exhausters, equipment contactors, interlock controls and remote damper motors. The internal factory wiring of appliances and equipment is not covered by this section unless it is specifically addressed in NFPA 70; however, such wiring is covered by the testing and review performed by an approved agency as part of the labeling process.

The mechanical or electrical code official responsible for the inspection of appliances and equipment must be familiar with the applicable sections of NFPA 70.

CS301.11 (IMC 301.11) Plumbing connections. Potable water supply and building drainage system connections to *equipment* and appliances regulated by [this code] shall be in accordance with the *International Plumbing Code*.

Plumbing connections to appliances and equipment regulated by the code must be in accordance with the International Plumbing Code[®] (IPC[®]).

Hydronic systems normally require a means of supplying fill and makeup water to replace any water lost to evaporation, leakage or intentional draining. Where direct connections are made to the potable water supply, the connections must be isolated from the potable water source. This provision is intended to protect the potable water system from contamination by backflow when a direct connection is made to a hydronic system. Hydronic systems are normally pressurized, contain nonpotable water and fluids, and can contain conditioning chemicals or antifreeze solutions. Low-temperature hydronic fluids and cooling towers have also been associated with disease-causing organisms such as the Legionnaires' disease bacterium. The potable water system must be protected from potential contamination resulting from connection to hydronic systems, water-wash filter systems, cooling towers, solar systems, water-cooled heat exchangers, cooking appliances, ice makers, humidifiers, evaporative coolers, etc.

In addition, water heaters must also be considered as both mechanical appliances and plumbing appliances and, therefore, must comply with both this code and the IPC.

A water heater installation is complex in that it has a fuel or power supply; a chimney or vent connection, if fuel fired; a combustion air supply, if fuel fired; connections to the plumbing potable water distribution system; and controls and devices to prevent a multitude of potential hazards from conditions such as excessively high temperatures, pressures and ignition failure.

It is not uncommon for jurisdictions to issue both plumbing and mechanical permits for water heater installations or to require that the installer be licensed in both the plumbing and mechanical trades when performing such installations (see commentary, Section CS405). There is no way to avoid the "code crossover" for water heaters because they are clearly plumbing and mechanically related and under the purview of both plumbing and mechanical codes. This section also triggers the IPC for the drainage associated with mechanical appliances and equipment, such as those addressed in Section CS307.

CS301.12 (IMC 301.12) Fuel types. Fuel-fired appliances shall be designed for use with the type of fuel to which they will be connected and the altitude at which they are installed. Appliances that comprise parts of the building mechanical system shall not be converted for the usage of a different fuel, except where *approved* and converted in accordance with the manufacturer's instructions. The fuel input rate shall not be increased or decreased beyond the limit rating for the altitude at which the *appliance* is installed.

Mechanical appliances are usually designed by the manufacturer to operate on one specifically designated type of fuel. An element of information used for the approval of appliances is the label, which ensures that the appliance has been tested in accordance with a valid standard and determined to perform acceptably when installed and operated in accordance with the appliance listing (see commentary, Section CS301.8). The fuel used in the appliance test must be based on the type of fuel specified by the manufacturer. When an appliance is converted to a different type of fuel, the original label that appears on the appliance is no longer valid. Because the original approval of the appliance is based in part on the label, the appliance is no longer approved for use.

Requiring approval of fuel conversions by the code official and that they be in compliance with the manufacturer's installation instructions is the only way to ensure that the conversion will allow for the safe operation of the appliance. Fuel conversions that are not performed correctly can adversely affect the performance of burners, the venting of combustion gases and the proper clearance to combustibles.

Before a fuel conversion is performed, the manufacturer must be contacted to obtain installation instructions outlining the procedures to follow to ensure proper operation of the appliance. In most cases, conversion kits are available from the manufacturer along with the installation instructions. Once a conversion has been completed, a supplemental label must be installed to update the information contained on the original label, thereby alerting service personnel to the modifications.

All fuel-fired appliances are designed to operate with a maximum and minimum heat energy input

capacity. This capacity is field adjusted to suit the elevation because of the change in air density at different elevations. Alteration of heat energy input beyond the allowable limits can result in hazardous overfiring or underfiring. Either condition can cause operation problems that include overheating, vent failure, corrosion, poor draft and poor combustion.

CS301.13 (IMC 301.13) Vibration isolation. Where vibration isolation of *equipment* and appliances is employed, an *approved* means of supplemental restraint shall be used to accomplish the support and restraint.

Where vibration isolation connections are used in ducts and piping and where equipment is mounted with vibration dampers, support is required for the ducts, piping and equipment to maintain positioning and alignment and to prevent stress and strain on the vibration connectors and dampers.

CS301.14 (IMC 301.14) Repair. Defective material or parts shall be replaced or repaired in such a manner so as to preserve the original approval or listing.

Repair work must not alter the nature of appliances and equipment in a way that would invalidate the listing or conditions of approval. For example, replacement of safety control devices with different devices could alter the design and operation of an appliance from that intended by the manufacturer and the listing agency.

CS301.15 (IMC 301.15) Wind resistance. Mechanical *equipment*, appliances and supports that are exposed to wind shall be designed and installed to resist the wind pressures determined in accordance with the *International Building Code*.

Installations of mechanical equipment and appliances that are subject to wind forces must be designed to resist those forces. The wind pressures must be based on the wind provisions in the *International Building Code*[®] (IBC[®]) for the site. The requirements in the IBC are based on ASCE 7. The wind pressure requirements are based on the exposure of the building and wind speeds for that region.

Typically, this section applies to solar arrays and other roof mounted equipment.

Solar thermal collectors and photovoltaic modules must be able to resist wind pressures as well as snow loads, other dead loads, and seismic loading for the location where they are installed. Most PV modules and many ST collectors have been tested and listed for wind pressure, and some have been tested, including the mounting hardware, up to the connection to the existing building structural member. In addition, there are site-specific issues which must be addressed to ensure that the complete main windforce-resisting system, which includes the collector or module, mounting hardware, roof penetration and attachment method, building structural members and other components; is adequately designed and installed. Where module and collector manufacturers have specified resistance to pressures from wind, seismic and or snow that are made assuming common roofing and structural methods, site inspection is required to ensure that the system