

RULES OF PROCEDURE FOR SPECIAL INSPECTION AGENCY ACCREDITATION

1.0 INTRODUCTION

- 1.1 **Scope:** The purpose of these rules is to establish procedures governing accreditation of Special Inspection Agencies by International Accreditation Service, Inc. (IAS).

IAS accreditation does not make any representation, nor should it be construed as making representation regarding attributes not specifically addressed by the accreditation. Accreditation also does not constitute an endorsement or recommendation for use of a particular special inspection agency, or of the products inspected by the agency.

1.2 Reference Documents

- 1.2.1 IAS Accreditation Criteria for Special Inspection Agencies, AC291.
1.2.2 IAS Rules of Procedure for Appeals Concerning Cancellation of Application or Accreditation.

2.0 INITIAL ACCREDITATION

2.1 Initial Application, Fees and Assessment Costs

- 2.1.1 Each initial application must be submitted through the IAS Customer portal.
- 2.1.2 The new applicant must submit an appropriate basic fee and assessment cost as identified in the quote.
- 2.1.3 The basic fee covers one field of special inspection, as applicable and as provided in the quote.
- 2.1.4 If any additional fields are identified during the accreditation process, additional fees may apply. Fields of special inspection are broadly categorized as general building construction, structural, plumbing, fireproofing, etc.
- 2.1.5 Applications held for more than 180 days, without the applicant's having fulfilled IAS requirements for accreditation, are subject to cancellation unless such term is extended by the IAS Management.
- 2.1.6 All IAS fees and costs are nonrefundable.

- 2.1.7 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and charges are the responsibility of the applicant, and the applicant agrees to reimburse IAS for any such taxes and charges imposed on IAS with respect to services provided by IAS.
- 2.1.8 Required documentation as required by IAS AC291 must be submitted.
- 2.1.9 Desired scope of accreditation detailing the field and types of inspections for which accreditation is sought must be submitted. As an example, the following format is recommended:

Field and Types of Inspection	Code Reference
Structural Steel	IBC 1705.2.1
Concrete Constructions	IBC 1705.3
Chimneys and vents	NYC BC 1705.32
Masonry Construction	IBC 1705.4

- 2.1.10 IAS may at any time, in addition to the required documentation noted above, require other information.
- 2.1.11 Initial applicants will be invoiced for the balance of costs and expenses resulting from the onsite assessment.
- 2.1.12 Additional fees, if any, due to identification of any additional fields of special inspection (refer to section 2.1.4) at the conclusion of the accreditation process will be invoiced.

2.2 Initial Assessment

- 2.2.1 Upon receipt by IAS of the application, applicable fees, required documentation and the desired scope of accreditation, IAS will process the application as follows:
 - 2.2.1.1 A review of submitted documentation will be conducted to determine preliminary compliance with applicable requirements.
 - 2.2.1.2 An (optional) pre-assessment may be scheduled at the discretion of the applicant for the purpose of determining preliminary compliance with applicable requirements.
 - 2.2.1.3 **Initial Assessment:** In consultation with the applicant, an initial assessment will be scheduled to verify compliance with the accreditation requirements.

Witnessing Inspection Activities: IAS will witness inspections conducted by the applicant. The agency shall ensure appropriate access to such inspection locations for IAS personnel. Selection of the number of witnessing, including scope and inspector for the witness is based on various factors – risk, complexity, technology

utilized, etc. IAS retains the right to select the inspectors and inspections to be witnessed in the field.

2.2.1.4 **Response to Assessment Report:** A written response to any Corrective Action Requests (CARs) and Concerns identified during the initial assessment shall be submitted to IAS within thirty (30) days of the conclusion of the assessment as follows:

2.2.1.4.1 **Corrective Action Requests (CARs)** require a mandatory response on actions taken by the special inspection agency to resolve the CARs, including objective evidence substantiating the actions taken. The response must include root cause analysis to support CAR closures where appropriate. Resolution of CARs requiring revisions to the management and technical system must be documented and submitted to IAS. Objective evidence may be in the form of revisions to procedures, additional training, mentoring and monitoring given to personnel accompanied by appropriate records, and/or other data.

2.2.1.4.2 **Concerns** require a mandatory written response from the special inspection agency within 30 days of submission of the assessment report. While objective evidence addressing Concerns is not mandatory, the special inspection agency must submit to IAS written response on the action(s) taken or intended action(s) to be undertaken with a timeline for completion. The action(s) taken by the organization to implement actions to resolve concerns will be verified at the agency's next scheduled assessment or during a follow-up assessment.

2.2.1.4.3 If more than 30 days are needed to resolve CARs or Concerns, the special inspection agency must request, in writing, for an extension from IAS. Requests for an extension should be accompanied by a reasonable estimate when the responses are submitted for review.

2.2.1.4.4 IAS reserves the right to conduct a follow-up assessment to determine if CARs and Concerns have been satisfactorily resolved.

2.2.1.4.5 Failure to resolve all CARs and Concerns within six months from the date of assessment will result in a reassessment or further action against the accreditation as called for in these rules.

2.2.2 IAS will grant accreditation upon determination that based on the assessment and review of evidence submitted, the applicant has met all the accreditation requirements

as a special inspection agency for the field and types of inspection noted in the scope of accreditation certificate and available on the IAS website.

- 2.2.3 IAS may decide not to grant accreditation to the applicant for not fulfilling accreditation requirements. Any applicant denied accreditation may appeal this decision as per requirements noted under Section 6.2 of these rules.
- 2.2.4 Each initial accreditation is valid for a one-year period from the accreditation date.

3.0 MAINTENANCE OF ACCREDITATION

3.1 Renewal Fees and Assessment Costs

- 3.1.1 Each renewal must be submitted to IAS.
- 3.1.2 A renewal must be completed prior to the expiration date if continued accreditation is desired and shall be accompanied by the applicable fee as identified in the renewal notice.
- 3.1.3 Accreditation is subject to cancellation if renewal is not completed by the date indicated in the renewal notice.
- 3.1.4 **Taxes and Charges:** All sales, use, excise, value-added and similar taxes and charges are the responsibility of the applicant, and the applicant agrees to reimburse IAS for any such taxes and charges imposed on IAS with respect to services provided by IAS.
- 3.1.5 All fees and costs, including but not limited to travel and staff time, related to the assessments are reimbursable to IAS by the special inspection agency.
- 3.1.6 Additional fees, if any, due to identification of any additional fields of special inspection (refer to section 2.1.4) at the conclusion of the accreditation process will be invoiced.

3.2 Surveillance Assessment after Initial Year of Accreditation

- 3.2.1 All accredited special inspection agencies are subject to a surveillance assessment at the end of the initial year of accreditation.
- 3.2.2 At minimum, the following information shall be reviewed during the surveillance assessment: the special inspection agency's internal audit and management review records; any complaints; actions resulting from any findings noted in the previous assessment report; any major changes in key personnel, facilities or in the special inspection agency's management system for inspection areas that are within the special inspection agency's scope with IAS.

- 3.2.3 See Section 2.2.1.4 on the process of responding to the surveillance assessment report findings, if any, and the actions thereof.
- 3.2.4 IAS may decide not to grant accreditation to the accredited special inspection agency for not fulfilling accreditation requirements. Any organization denied accreditation may appeal this decision as per requirements noted under Section 6 of these rules.

3.3 Reassessment

3.3.1 A Reassessment is required at the end of every two-year term commencing from the date of initial accreditation.

3.3.2 The reassessment process is similar to the initial assessment process noted above.

Witness Inspection: IAS will witness inspections conducted by the accredited special inspection agency. Selection of the number of witnessing, including scope and inspector for the witness is based on various factors – risk, complexity, technology utilized, etc. IAS retains the right to select the inspectors and inspections to be witnessed.

3.3.3 See Section 2.2.1.4 on the process of responding to the reassessment report findings, if any, and the actions thereof.

3.3.4 Costs associated with the reassessment will be the responsibility of the accredited special inspection agency.

3.4 Scope Extension Assessments

3.4.1 Requests for extending the scope must be in writing, detailing the field and types of inspection sought. Documents supporting such requests must be submitted.

3.4.2 Special inspection agency seeking extension of scope may be subject to an scope extension assessment, including witnessing of inspection activities.

3.4.3 The process of resolving any findings resulting from the assessment will be as noted under Section 2.2.1.4.

3.4.4 Costs associated with the scope extension assessment will be the responsibility of the accredited special inspection agency.

3.4.5 Additional fees, if any, resulting from extension of scope may be invoiced for additional fields of inspections.

3.5 Extraordinary Assessments

- 3.5.1 Extraordinary assessments may be conducted, including unannounced assessments, to investigate complaints, request from regulators, or other changes in a special inspection agency's status that may affect the ability of the special inspection agency to fulfill IAS requirements for accreditation.
- 3.5.2 Costs associated with the extraordinary assessment will be the responsibility of the accredited special inspection agency.

4.0 RESPONSIBILITIES OF SPECIAL INSPECTION AGENCY

4.1 **Changes to Special Inspection Agency's Accreditation Status:** Special inspection agency accredited under these rules shall notify IAS in writing within thirty days concerning the following:

- 4.1.1 Change in special inspection agency name.
- 4.1.2 Change in special inspection agency ownership.
- 4.1.3 Change in special inspection agency address.
- 4.1.4 Changes in equipment, policies or procedures that affect the special inspection agency's accreditation.
- 4.1.5 Changes in principal officers or key supervisory personnel.
- 4.1.6 Changes in the agency's registration status with applicable Authority Having Jurisdiction (AHJ).
- 4.1.7 Change in status, including but not limited to, cancellation of other recognition(s) maintained by the special inspection agency.

4.2 Special Inspection Agencies Operating Under Special Jurisdictional /Governmental Regulations

- 4.2.1 Regulatory entities may place specific compliance requirements on special inspection agencies operating within their jurisdiction. If a special inspection agency intends to seek acceptance of its reports of its inspections by these entities, they must agree to comply with any additional accreditation requirements, including more frequent assessments, as applicable.
- 4.2.2 By executing the IAS application for special inspection agency accreditation, the special inspection agency agrees to furnish all needed documentation, pay the required fees and any associated costs, perform additional witness inspections, or otherwise fully comply with the requirements of the regulatory entities.

4.3 **Indemnification:** Application for an IAS accreditation contain indemnification provisions.

4.4 **Unannounced Assessments:** The special inspection agency agrees to permit unannounced assessments of its office and facilities by the IAS for cause, such as formal complaints, pattern of nonconformance, regulatory requests, etc.

4.5 **Usage of the IAS Name or Symbol by Accredited Special Inspection Agencies**

4.5.1 An accredited special inspection agency can make reference to its IAS accreditation in its inspection reports, on its website, in its general literature and promotional materials, and in business solicitations, under the following provisions:

4.5.1.1 The special inspection agency may not reference its accredited status in any way that indicates or implies accreditation in areas outside the actual scope of the specific IAS accreditation; or that indicates or implies IAS endorsement of any particular product, material, or service.

4.5.1.2 When the IAS name and/or the registered symbol are used, it shall be accompanied by the word "ACCREDITED." The symbol must also include the name of the accredited program, e.g., "Special Inspection Agency" or "Special Inspection Agency – NY."

4.5.1.3 When the IAS name or the registered symbol is printed on letterhead and/or other special inspection agency stationery, such stationery may not be used for work proposals or quotations if none of the work is within the special inspection agency's current scope of accreditation with IAS.

4.5.1.4 The IAS registered symbol is to be used on IAS-endorsed inspection reports. The IAS registered symbol may not be changed in any way, although it may be enlarged or reduced.

4.5.1.5 The IAS registered symbol displayed on the special inspection agency's IAS-endorsed inspection reports must include the name of the accredited program, e.g., "Special Inspection Agency" or "Special Inspection Agency – NY," provided the reports relate to inspections, that are within the special inspection agency's IAS-approved scope of accreditation. Whenever the IAS symbol is used on a report covering multiple inspections, some of which are within the special inspections agency's scope of accreditation and some of which are outside the scope, the special inspection agency must clearly identify portion of the report is not covered by IAS accreditation.

4.5.2 It is the special inspection agency's responsibility to not misrepresent its accreditation status in any way, and to secure IAS approval in advance whenever there is a question about the special inspection agency's intended use of the IAS name and/or symbol.

5.0 RESPONSIBILITY OF INTERNATIONAL ACCREDITATION SERVICE

- 5.1 **Accreditation Documents:** A certificate of accreditation and scope of accreditation document shall be issued and maintained current for each accredited special inspection agency upon satisfactory completion of the accreditation requirements. For each accredited special inspection agency, the scope of accreditation shall be posted on the IAS website. Accreditation actions will also be noted on the IAS website.
- 5.2 **Fee Modifications:** Any modifications to the fees must be reviewed and approved by the IAS Management.
- 5.3 **Proprietary Data:** Data in accreditation files is considered proprietary to the applicant. The data may be disclosed by IAS only upon the written consent of the applicant or pursuant to subpoena issued by a court or other governmental agency of competent jurisdiction. Proprietary data may also be disclosed to a staff member of IAS or an authorized representative of IAS having a legitimate interest therein; any duly identified representative of any special inspection agency, or like person or organization who initially prepared the data, or a duly authorized representative thereof stated to be an employee or principal thereof having a legitimate interest therein. Governmental regulatory bodies may be granted access in the interest of public safety or preservation of property as it relates to enforcement of laws/regulations upon receipt of an official written request.
- 5.4 **Access to Proprietary Data:** From time to time, IAS records and files are audited by national and international bodies on a random basis to establish conformance with international accreditation and conformity assessment standards. It is understood that, by executing an accreditation application, special inspection agencies grant IAS the authority to allow such access.
- 5.5 **Participation of Observers and/or Evaluators:** As part of IAS's obligations or recognitions, it may be necessary for participation of observers and/or evaluators during an assessment. The special inspection agency shall extend necessary cooperation to accommodate such requests. These observers and/or evaluators may be from regulatory community or international accreditation body personnel.
- 5.6 **Selection of Assessment Team:** IAS will provide an opportunity to the applicant or accredited special inspection agency to appeal against an assessor or assessment team assigned to assess the special inspection agency. This appeal must be requested in writing with the reasons identified. IAS, in mutual agreement with the special inspection agency, may arrange to assign a different assessor or assessment team for the scheduled assessment.

6.0 SUSPENSION OR CANCELLATION OF THE APPLICATION FOR ACCREDITATION AND EXISTING ACCREDITATION

6.1 Any accreditation is subject to suspension or cancellation upon occurrence of any of the following:

- 6.1.1 Failure by the special inspection agency to comply with the current or updated Rules of Procedure.
- 6.1.2 Failure to comply with the current or updated Accreditation Criteria.
- 6.1.3 Failure to comply with any condition to the issuance of the accreditation.
- 6.1.4 Any misstatement made in the application, or any data or documentation submitted in support thereof.
- 6.1.5 Failure to comply with any provision contained in the application.
- 6.1.6 Failure to comply with any requirements of the management system documentation on which the IAS accreditation was based.
- 6.1.7 Any other reason deemed appropriate by IAS management for violation of accreditation requirements.

6.2 Appeals

- 6.2.1 Only the applicant on record, or holder of an accreditation is eligible to submit an appeal against an IAS decision.
- 6.2.2 Procedures for appeals of suspension, or cancellation of application or accreditation shall be in accordance with the Rules of Procedure for Appeals concerning cancellation of application or accreditation.
- 6.2.3 Appeals of other types, such as those related to assessment findings, suspension, scope reduction, changes to assessment frequency, and other pertinent matters not specific to the cancellation of application or accreditation, are examined by a member of the IAS executive management team. This team includes Senior Vice Presidents and the President of IAS, who are responsible for conducting a comprehensive evaluation and making decisions on these appeals. This reviewer ensures they are free from any conflicts that may influence the review of the appeal under consideration.

6.3 **With No Right to Appeal:** Notwithstanding anything in these rules to the contrary, any initial application or accreditation may be suspended or cancelled by the IAS Management for any of the following reasons with no right of appeal:

- 6.3.1 Failure to pay required fees to IAS within thirty days from the date of the mailing by IAS of written demand for payment.

- 6.3.2 Failure to furnish any material or data relating to special inspection agency accreditation required by IAS within the specified time limit, unless extended by the IAS Management.
- 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns resulting from an IAS assessment report in the allotted time, unless extended by the IAS Management. Failure to permit or submit to an assessment (initial, surveillance and reassessment) as set forth in Sections 2 and 3 and, if applicable, the extraordinary or unannounced assessment requirements stipulated in the sections above.

6.4 Results Of Suspension or Cancellation

- 6.4.1 Upon the occurrence of any of the events set forth in Section 6.1 or Section 6.3, IAS Management may choose any of the following actions:
 - 6.4.1.1 Suspension of the accreditation for such period on such terms as determined by the IAS Management.
 - 6.4.1.2 Cancellation of the accreditation.
- 6.4.2 The decisions of the IAS Management with respect to any of the actions set forth in this section may become effective immediately if deemed necessary, in the interest of public safety and welfare, may be stayed pending an appeal pursuant to the Rules of Procedure for Appeals, or may be otherwise stayed on such terms and conditions as determined by the IAS Management.
- 6.4.3 Upon cancellation of the accreditation or during any period of suspension, unless this provision is specifically modified by the terms of the suspension, the accredited special inspection agency shall discontinue all use of the IAS symbol. The special inspection agency shall also immediately discontinue any references to IAS accreditation on any reports, certificates, or promotional material.
- 6.4.4 IAS shall have the right to immediately notify governmental jurisdictions and any other interested parties of any improper and unauthorized reference to the continuation of the accreditation, when in the judgment of IAS Management such notification is necessary in the interest of public safety or welfare.
- 6.4.5 Upon the determination by IAS that cause exists for any of the actions specified in this section, with respect to the accreditation, IAS shall deliver to the special inspection agency a written statement, signed by IAS Management, setting forth the factual basis for such action. This written statement shall include a specific reference to the cause for the action which is set forth in the Rules of Procedure. ▪