

RULES OF PROCEDURE FOR FIELD EVALUATION BODY ACCREDITATION

1.0 INTRODUCTION

- 1.1 **Scope:** The purpose of these rules is to establish procedures governing accreditation of Field Evaluation Bodies (FEB) 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 evaluation body.

1.2 Reference Documents

- 1.2.1 IAS Accreditation Criteria for Field Evaluation of Unlisted Electrical Equipment, AC354.
- 1.2.2 IAS Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions

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 appropriate basic fee and assessment cost as identified in your quotation.
- 2.1.3 Initial 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 president or his/her designee.

- 2.1.4 All IAS fees are nonrefundable.
- 2.1.5 **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.
- 2.1.6 Required documentation as noted in Sections 4 and 5 of IAS AC354 must be submitted.
- 2.1.7 Desired scope of accreditation detailing the product groups for which accreditation is sought must be submitted. As an example, the following format is recommended:

Field Evaluation of Electrical Product Groups
Power distribution equipment under 600 volts including switchboards, panel boards, motor control centers, transformers and switches
Power distribution equipment over 600 volts (medium and high voltage) including switchgear, motor control, transformers and switches
Industrial control and utilization equipment including industrial control panels, factory automation equipment, industrial process equipment, motor operated tools and machinery such as air compressors, pumps, etc.
Commercial utilization equipment and appliances including commercial cooking equipment, motor operated commercial cooking equipment, refrigeration and cooling equipment, heating equipment, laundry and dry-cleaning equipment, HVAC units, fan units
Luminaries (lighting fixtures) and signs including neon, LED and messaging type signs
Medical and dental equipment
Information technology equipment including UPS systems, electronic control equipment
Wet location equipment including pools, spas, hot tubs, fountain equipment
Hazardous location equipment that has listed components for the area or is purged pressurized or ventilated in accordance with NFPA standards to be changed to unclassified status
Other similar electrical equipment

- 2.1.8 IAS may at any time, in addition to the required documentation noted above, require other information.
- 2.1.9 Initial applicants will be invoiced for the balance of costs and expenses resulting from the onsite assessment.

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. In cases of inadequate documentation, the review comments shall be reported to the conformity assessment body.

2.2.1.2 An (optional) onsite pre-assessment visit may be scheduled at the discretion of the applicant for the purpose of determining preliminary compliance with applicable requirements. IAS and assessors shall ensure that no consultancy is provided during this pre-assessment exercise.

2.2.1.3 **Initial Assessment:** In agreement with the applicant, an initial onsite assessment will be scheduled to verify compliance with the accreditation requirements. If there are exceptional circumstances, the initial assessment will be performed remotely based on the guidelines outlined in the guidelines to perform remote assessments. Upon completion, an assessment report will be provided outlining any Corrective Action Requests and Concerns noted.

Witnessing Inspection Activities: IAS will witness onsite inspections conducted by the field evaluation body. Selection of the number of inspections to be witnessed, including scope and inspector to be witnessed, is based on various factors – risk, complexity, technology utilized, frequency of inspections etc. IAS reserves the right to select the inspectors and inspections to be witnessed.

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 evaluation body to resolve the CARs, including objective evidence substantiating the actions

taken. The response must include an analysis of the extent and cause (e.g., root cause analysis) with the objective evidence implemented to support CAR closures. Resolution of CARs requiring revisions to the evaluation body's 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 evaluation body within 30 days of submission of the assessment report. While objective evidence addressing Concerns is not mandatory, the evaluation body must include an analysis of the extent and cause (e.g., root cause analysis) with the actions planned to be taken to support closure of concerns. The actions taken by the organization to implement actions to resolve concerns will be verified at the FEB'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 evaluation body must request, in writing, for an extension from IAS. Requests for an extension should be accompanied by a reasonable estimate on when the responses will be 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. If follow-up assessment is conducted, costs incurred will be invoiced accordingly.

2.2.1.4.5 Failure to resolve all CARS and Concerns within six months from the date of initial 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 onsite assessment and review of evidence submitted, the applicant has met all the accreditation requirements as an evaluation body for the product groups

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 Application, Fees and Assessment Costs

- 3.1.1 Each renewal application must be submitted through the IAS Customer portal.
- 3.1.2 An application to renew accreditation must be filed at least 15 days 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 an application to renew accreditation is not completed by the renewal date.
- 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 expenses, including but not limited to travel and staff time, related to the assessments are reimbursable to IAS by the evaluation body.
- 3.1.6 Additional fees, if any, due to identification of any additional fields of evaluation (refer to section 2.1.4) at the conclusion of the accreditation process will be invoiced.

3.2 Rules applicable to all assessment types

- 3.2.1 The management systems/technical documentation can be in the local language. However, an English translation of key documents needs to be provided to IAS, preferably before the assessment, or a translator has to be available during the assessment. In such instances, additional assessment time will be charged to the FEB.

- 3.2.2 If more than 30 days are needed to resolve CARs or Concerns, the evaluation body must request, in writing, an extension from IAS. Requests for an extension should be accompanied by a reasonable estimate on when the responses will be submitted for review.
- 3.2.3 For currently accredited FEBs, lack of responsiveness to an IAS assessment report within 90 days will result in suspension of accreditation and removal of the FEB's accreditation certificate from the IAS website.
- 3.2.4 Failure to resolve all CARS and Concerns within six months from the date of assessment may result in a complete/partial follow-up assessment or further action against the accreditation as called for in these rules upon discretion of the management. If follow-up assessment is conducted, costs incurred will be invoiced accordingly.
- 3.2.5 IAS may decide not to grant accreditation to the accredited FEB for not fulfilling accreditation requirements. Any applicant denied accreditation may appeal this decision as per requirements noted under Section 6 of these rules.

3.3 Surveillance Assessment after Initial Year of Accreditation

- 3.3.1 All accredited evaluation bodies are subject to surveillance assessment at the end of the initial year of accreditation. IAS will determine whether the surveillance assessment may be conducted remotely or onsite. Determination will be based on factors including: severity of CARs and Concerns from the initial assessment, changes in the management system as indicated in the renewal application, complaints received by IAS in the past year and the risk associated with the scope of accreditation.
- 3.3.2 **Onsite Surveillance Assessment**
 - 3.3.2.1 If IAS determines an onsite surveillance assessment is required, IAS staff will contact the evaluation body to schedule the assessment.
 - 3.3.2.2 At minimum, the following information shall be reviewed during the onsite surveillance assessment: the evaluation body's internal audit and management review reports/minutes; any complaints; actions resulting from any Concerns noted in the previous assessment report; any major changes in key personnel, facilities, or in the evaluation body's management system.

3.3.2.3 The surveillance assessment process is similar to the initial assessment process noted above.

3.3.3 Remote Surveillance Assessment

3.3.3.1 If IAS determines that the evaluation body qualifies for a remote surveillance assessment, the evaluation body shall provide the following information: the evaluation body's internal audit and management review reports/minutes; any complaints; actions resulting from any Concerns noted in the previous assessment report; any major changes in key personnel, facilities, or in the evaluation body's management system.

3.3.3.2 IAS will review the submittals and make a determination if the accreditation can be continued or an onsite surveillance assessment is required.

3.3.3.3 IAS will grant continuation of accreditation upon determination based on surveillance assessment and completion of renewal application that the accredited evaluation body has met the accreditation requirements for the program groups noted in the scope of accreditation certificate and available on the IAS website.

3.4 Onsite Reassessment

3.4.1 An onsite reassessment is required at the end of every two-year term commencing from the date of initial accreditation.

3.4.2 No more than 24 months shall elapse between reassessments.

3.4.3 In agreement with the accredited evaluation body, an onsite assessment will be scheduled to verify compliance with the accreditation requirements.

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

Witnessing Inspection Activities: It is similar to as stated in the initial assessment.

3.4.5 Remote Reassessment

3.4.5.1 A remote reassessment will be performed in exceptional circumstances, when the onsite reassessment is not possible and will be performed according to *IAS Guidelines to perform the remote assessments*.

3.4.5.2 In consultation with the accredited FEB, assessment will be scheduled to verify compliance with the accreditation requirements.

Witnessing Inspection Activities: It is similar to as stated in the initial assessment.

3.5 Scope Extension Assessments

- 3.5.1 Requests for extension of scope require submission of a formal written request detailing the extension (e.g., program groups) requested.
- 3.5.2 Evaluation bodies seeking extension of scope may be subject to an onsite scope extension assessment.
- 3.5.3 In agreement with the accredited evaluation body, an onsite assessment will be scheduled.

3.6 Extraordinary Assessments

- 3.6.1 Extraordinary onsite assessments may be conducted, including unannounced assessments, to investigate formal complaints or other changes in an evaluation body's status that may affect the ability of the evaluation body to fulfill IAS requirements for accreditation.
- 3.6.2 All costs associated with the extraordinary assessment will be the responsibility of the accredited evaluation body.

4.0 RESPONSIBILITIES OF Evaluation Body

4.1 Changes to Evaluation Body's Accreditation Status: Evaluation bodies accredited under these rules shall notify IAS in writing within thirty days concerning the following:

- 4.1.1 Change in evaluation body name.
- 4.1.2 Change in evaluation body ownership.
- 4.1.3 Change in evaluation body address *. *(If a FEB has relocated, it needs to notify IAS immediately and the 30-day time period does not apply for relocation.)*
- 4.1.4 Changes in policies or procedures that affect the evaluation body's accreditation.
- 4.1.5 Major changes in FEB (e.g., changes in organizational structure, Impact on accredited scope with key personnel changes, changes in approach in performing evaluations, relocation, or changes that affect ability to comply with the management system and technical standard requirements)

- 4.1.6 Changes in key technical or supervisory personnel.
- 4.1.7 Change in status, including but not limited to cancellation, revocation, suspension or withdrawal of other accreditations maintained by the evaluation body.

4.2 Field Evaluation Bodies Operating Under Special Jurisdictional/Governmental Regulations

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

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

4.4 **Unannounced Assessments:** The evaluation body 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 **Accreditation Certificate:** Accreditation certificate issued by IAS will be in English. If any translations are made by the accredited organizations for business reasons, it is their responsibility to ensure accuracy of information on translation.

4.6 Usage of the IAS Name or Symbol by Accredited Evaluation Bodies

- 4.6.1 An accredited evaluation body can make reference to its IAS accreditation in evaluation reports, on its website, in its general literature and promotional materials, and in business solicitations, under the following provisions:
 - 4.6.1.1 The evaluation body 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.

4.6.1.2 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., “Field Evaluation Body.”

4.6.1.3 When the IAS name or the registered symbol is printed on letterhead and/or other evaluation body stationery, such stationery **may not** be used for work proposals or quotations if none of the work is within the evaluation body’s current scope of accreditation with IAS.

4.6.1.4 The IAS accredited FEB is encouraged to use the IAS registered symbol on IAS-endorsed reports. The IAS registered symbol may not be changed in any way, although it may be enlarged or reduced.

4.6.1.5 The IAS registered symbol displayed on the evaluation body’s IAS-endorsed reports must include the name of the accredited program, “Field Evaluation Body,” next to the IAS accreditation symbol, provided the evaluation reports relate to product groups that are within the evaluation body’s IAS-approved scope of accreditation. Whenever the IAS symbol is used on a report covering multiple product groups, some of which are within the evaluation body’s scope of accreditation and some of which are outside the scope, the evaluation body must clearly identify whatever portion of the report is not covered by IAS accreditation.

4.6.2 It is the evaluation body’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 evaluation body’s intended use of the IAS name and/or symbol.

4.6.3 **Reference to ISO 9001:**

If a FEB operates under a management system certified by a certification body, it may not make reference to such certification or display the certification body’s symbol on its certificates or reports.

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 evaluation body upon satisfactory completion of the accreditation requirements. For each accredited evaluation body, 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 president or his/her designee.
- 5.3 Proprietary Data:** Data in any accreditation file or application are 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 evaluation body, 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, evaluation bodies grant IAS the authority to allow such access.
- 5.5 Appeal to Change of Assessment Team:** IAS will provide an opportunity to the applicant or accredited evaluation body to appeal against an assessor or assessment team assigned to assess the evaluation body. This appeal must request in writing with the reasons identified. IAS, in mutual agreement with the evaluation body, may arrange to assign a different assessor or assessment team for the scheduled assessment.

6.0 DENIAL, REVOCATION, MODIFICATION, SUSPENSION OR CANCELLATION OF THE ACCREDITATION, AND APPEALS

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

- 6.1.1 Failure by the evaluation body 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, whether intentionally or unintentionally 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 terms of the management system documentation on which the IAS accreditation was based.
- 6.1.7 Any other grounds considered as adequate cause in the judgment of IAS.

6.2 Appeals

- 6.2.1 The denial, revocation, modification, suspension or cancellation of accreditation may only be appealed by the holder of the accreditation.
- 6.2.2 Procedures for appeals of denial, revocation, modification, suspension or cancellation of accreditation shall be in accordance with the Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions. The IAS president or his/her designee, or the Board of Directors, as the case may be, may shorten any of the time periods set forth in the Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions, if such action is deemed necessary, in their discretion, in the interest of public safety and welfare.

6.3 **With Limited Considerations for Appeal:** Notwithstanding anything in these rules to the contrary, any initial application, or accreditation may be denied, revoked, modified, suspended or cancelled by the IAS president or his/her designee for any of the following reasons with limited consideration for 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, unless extended by the IAS president or his/her designee.
- 6.3.2 Failure to perform any test or to furnish any material or data relating to evaluation body accreditation required by IAS within the specified time limit, unless extended by the IAS president or his/her designee.
- 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns resulting from an IAS assessment in the allotted time, unless extended by the IAS president or his/her designee.
- 6.3.4 Failure to permit or submit to an assessment as set forth in Sections 2 and 3 and, if applicable, the requirements stipulated in Section 4.3 of the Rules of Procedure.

6.4 Results Of Denial, Revocation, Modification, 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, by the decision of its president or his/her designee, may choose any of the following actions:
 - 6.4.1.1 Denial of the application.
 - 6.4.1.2 Revocation of the accreditation.
 - 6.4.1.3 Modification of the accreditation, on such terms as determined by the IAS president or his/her designee.
 - 6.4.1.4 Suspension of the accreditation for such period on such terms as determined by the IAS president or his/her designee.
 - 6.4.1.5 Cancellation of the accreditation.
- 6.4.2 The decisions of the IAS president or his/her designee 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 Concerning International Accreditation Service, Inc., Actions, or may be otherwise stayed on such terms and conditions as determined by the president or his/her designee.
- 6.4.3 Upon revocation or cancellation of the accreditation or during any period of suspension, unless this provision is specifically modified by the terms of the suspension, the accredited evaluation body shall discontinue all use of the

IAS symbol. The evaluation body 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 sole judgment of IAS, as determined by its president or his/her designee, 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 evaluation body a written statement, signed by the IAS president or his/her designee, 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. ▀