

RULES OF PROCEDURE FOR INSPECTION AGENCY ACCREDITATION

1.0 INTRODUCTION

- 1.1 **Scope:** The purpose of these rules is to establish procedures governing accreditation of 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 inspection agency or of the products inspected by the agency.

1.2 Reference Documents

- 1.2.1 IAS Accreditation Criteria for Inspection Agencies, AC98.
- 1.2.2 IAS Rules of Procedure for Appeals Concerning International Accreditation Service, Inc.,
- 1.2.3 ILAC-R7 Rules for the Use of the ILAC MRA Mark
- 1.2.4 ILAC-P8 ILAC Mutual Recognition Arrangement (Arrangement):
Supplementary Requirements for the Use of Accreditation Symbols and for
Claims of Accreditation Status by Accredited Conformity Assessment Bodies

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 The basic fee covers one field of inspection, as applicable and as provided in your quotation.
- 2.1.4 If any additional fields are identified during the course of accreditation, additional fees may apply. Fields of inspection are broadly categorized as Construction Material Testing (CMT), Mechanical, Electrical, Structural, Fire

doors and other protective openings, Automotive, Manufactured (mobile) homes, Modular structures, Samples collection of drinking water, surface water, Sea Water, catchment sources and raw water, pre-shipment, Environmental, Heating and Cooling, etc.

- 2.1.5 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.
- 2.1.6 All IAS fees 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 noted in Sections 4 and 5 of IAS AC98 must be submitted.
- 2.1.9 Desired scope of accreditation detailing the inspection procedures for which accreditation is sought must be submitted. As an example, the following format is recommended:

Samples collection of groundwater	PICH-210 (Rev. 5) Groundwater samples collection based on NCh411/11:1998 and UNE-EN-ISO 5667- 3:2019 Water quality - Sampling - Part 3: Preservation and handling of water samples
Welding of Reinforcing Steel	BS EN ISO 17660-1:2006
Mobile and Locomotive Crane, Tower Crane	ASME B30.5: Mobile & Locomotive Cranes ASME B30.3: Construction of Tower Cranes
High Voltage Switchgears and Control gears	IEC 62271-1, Common specifications for alternating current switchgear and control gear
Plumbing Products and Materials	ANSI/NSF Standards 14 and 61 Audit Sections

Verification of conformity Pre-shipment inspection, Conformity of products	International / National Standards & guidelines: (IFIA Code of practice Consignment Based Conformity Assessment (CBCA) Services, Version 2 November 2012 / Consumer Product Testing Code of Practice - Release 1.0 - 1st May 2018)
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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 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. 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 assessors shall ensure that no consultancy is provided during this pre-assessment exercise.

2.2.1.3 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 on Remote Assessments For the Accreditation Of Conformity Assessment Bodies”*. 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 inspection body. Selection of the number of inspections including the 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 inspection agency 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 inspection agency'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 inspection agency within 30 days of submission of the assessment report. While objective evidence addressing Concerns is not mandatory, the inspection agency 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 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 inspection agency 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 inspection agency for the inspection procedures 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.

2.3 Transfer of Accreditation: Applicant inspection agency currently accredited by a signatory to the ILAC MRA seeking transfer of accreditation, in addition to fulfilling IAS accreditation requirements, must provide the following:

- 2.3.1 A complete copy of the most recent assessment report from the current accreditation body.
- 2.3.2 Corrective actions for any deficiencies noted in the assessment report, including acknowledgement of acceptance of the corrective actions by the current accreditation body. If the applicant and the accreditation body differ on the corrective actions or deficiencies, IAS will review them and make a decision as to status.
- 2.3.3 A copy of the most recent accreditation certificate issued by the current accreditation body.
- 2.3.4 Other information as deemed pertinent by IAS.
- 2.3.5 IAS shall review the submitted material and determine the scope of the on-site assessment prior to accrediting the application organization. IAS will be invoicing the applicant for the on-site assessment accordingly.

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 inspection agency.
- 3.1.6 Additional fees, if any, due to identification of any additional fields of inspection (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 agency.
- 3.2.2 If more than 30 days are needed to resolve CARs or Concerns, the agency 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 agencies, lack of responsiveness to an IAS assessment report within 90 days will result in suspension of accreditation and removal of the agency'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 continue accreditation to the accredited inspection agency 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 inspection agencies are subject to a 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 inspection agency to schedule the assessment.

- 3.3.2.2 At minimum, the following information shall be reviewed during the onsite surveillance assessment: the inspection agency'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 inspection agency's management system for inspection areas that are within the agency's scope with IAS.

- 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 inspection agency qualifies for a remote surveillance assessment, the agency shall provide the following information: the agency'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 agency's management system for inspection areas that are within the agency's scope with IAS.

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 inspection agency has met the accreditation requirements for the procedures 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 inspection agency, 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 On Remote Assessments For The Accreditation Of Conformity Assessment Bodies”*.

3.4.5.2 In agreement with the accredited inspection agency, reassessment 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., procedures) requested.

3.5.2 Inspection agencies seeking extension of scope may be subject to an onsite scope extension assessment.

3.5.3 In agreement with the accredited inspection agency, 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 inspection agency's status that may affect the ability of the agency to fulfill IAS requirements for accreditation.

3.6.2 All costs associated with the extraordinary assessment will be the responsibility of the accredited inspection agency.

4.0 RESPONSIBILITIES OF INSPECTION AGENCY

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

4.1.1 Change in inspection agency name.

4.1.2 Change in inspection agency ownership.

4.1.3 Change in inspection agency address. * *(If an inspection agency 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 inspection agency's accreditation.

4.1.5 Major changes in inspection agency, (e.g., changes in organizational structure, Impact on accredited scope with key personnel changes, changes in approach in performing inspections, 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 inspection agency.

4.2 Inspection Agencies Operating Under Special Jurisdictional/Governmental Regulations

4.2.1 Regulatory entities may place specific compliance requirements on inspection agencies operating within their jurisdiction. If an inspection agency intends to seek acceptance of its reports of its inspections 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 inspection agency accreditation, the inspection agency 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 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 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 of the accredited organization to ensure accuracy of information on translation.

4.6 Usage of the IAS Name or Symbol by Accredited Inspection Agencies

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

4.6.1.1 The 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.

4.6.1.2 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., "Inspection Agency."

- 4.6.1.3** When the IAS name or the registered symbol is printed on letterhead and/or other inspection agency stationery, such stationery **may not** be used for work proposals or quotations if none of the work is within the inspection agency's current scope of accreditation with IAS.
- 4.6.1.4** The IAS accredited agency is encouraged to use the registered symbol on IAS-endorsed inspection 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 inspection agency's IAS-endorsed inspection reports must include the name of the accredited program "Inspection Agency," to the right of or under the IAS accreditation symbol, provided the inspection reports relate to inspections that are within the inspection agency's IAS-approved scope of accreditation. Whenever the IAS symbol is used on a report covering multiple inspection procedures, some of which are within the inspection agency's scope of accreditation and some of which are outside the scope, the inspection agency must clearly identify whatever portion of the report is not covered by IAS accreditation.
- 4.6.2** It is the 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 inspection agency's intended use of the IAS name and/or symbol.
- 4.6.3** If the agency wishes to display the combined IAS/ILAC MRA mark, the agency must enter into a separate sub-license agreement with IAS in accordance with the *'Policy on the use of the ILAC/IAF/IAS Combined Marks'*.
- 4.6.4 Reference to ISO 9001:**
- 4.6.4.1 An accredited inspection agency may mention on its inspection reports that it operates a quality management system in accordance with the principles of ISO 9001 using the following statement:
- 4.6.4.2 "This inspection agency is accredited in accordance with the recognized International Standard ISO/IEC 17020. This accreditation demonstrates technical competence for a defined scope and the operation of a quality management system (refer to joint ISO-ILAC-IAF Communiqué dated September 2013)".
- 4.6.4.3 An accredited inspection agency choosing to use the above statement on its reports or certificates should also either supply, or provide access to (via a

website), the Joint ISO-ILAC-IAF Communiqué as part of the package for its customers.

- 4.6.4.4 If an inspection agency 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 inspection 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 inspection agency upon satisfactory completion of the accreditation requirements. For each accredited 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 president or his/her designee.

5.3 Proprietary Data: Data in any accreditation file or application are considered proprietary and confidential to the applicant. The confidential 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 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, inspection agencies grant IAS the authority to allow such access to confidential proprietary data.

5.5 Appeal to Change of Assessment Team: IAS will provide an opportunity to the applicant or accredited inspection agency to appeal against an assessor or assessment team assigned to assess the inspection agency. This appeal must be requested in writing with the reasons identified. IAS, in mutual agreement with the inspection agency, 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 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, 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 inspection agency 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 inspection agency shall discontinue all use of the IAS symbol. The 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 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 inspection agency 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. ▪