



1                   **RULES OF PROCEDURE FOR FIELD EVALUATION BODY ACCREDITATION**

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3           **1.0 INTRODUCTION**

4           1.1 **Scope:** The purpose of these rules is to establish procedures governing accreditation of  
5           Field Evaluation Bodies by International Accreditation Service, Inc. (IAS).

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7           IAS accreditation does not make any representation nor should it be construed as  
8           making representation regarding attributes not specifically addressed by the  
9           accreditation. Accreditation also does not constitute an endorsement or  
10          recommendation for use of a particular evaluation body.

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12          **1.2 Reference Documents**

13           1.2.1 IAS Accreditation Criteria for Field Evaluation of Unlisted Electrical Equipment,  
14           AC354.

15           1.2.2 IAS Rules of Procedure for Appeals Concerning International Accreditation  
16           Service, Inc., Actions

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18          **2.0 INITIAL ACCREDITATION**

19          **2.1 Initial Application, Fees and Assessment Costs**

20           2.1.1 Each initial application must be submitted through the IAS Customer portal.

21           2.1.2 The new applicant must submit appropriate basic fee and assessment cost as  
22           identified in your quotation.

23           2.1.3 Initial applications held for more than 180 days, without the applicant's having  
24           fulfilled IAS requirements for accreditation, are subject to cancellation unless  
25           such term is extended by the IAS president or his/her designee.

- 26 2.1.4 All IAS fees are nonrefundable.
- 27 2.1.5 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
- 28 charges are the responsibility of the applicant, and the applicant agrees to
- 29 reimburse IAS for any such taxes and charges imposed on IAS with respect to
- 30 services provided by IAS.
- 31 2.1.6 Required documentation as noted in Sections 4 and 5 of IAS AC354 must be
- 32 submitted.
- 33 2.1.7 Desired scope of accreditation detailing the product groups for which
- 34 accreditation is sought must be submitted. As an example, the following format
- 35 is recommended:
- 36 [Product Groups] Power distribution equipment
- 37 Luminaries
- 38 2.1.8 IAS may at any time, in addition to the required documentation noted above,
- 39 require other information.
- 40 2.1.9 Initial applicants will be invoiced for the balance of costs and expenses
- 41 resulting from the onsite assessment.

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### 43 2.2 Initial Assessment

- 44 2.2.1 Upon receipt by IAS of the application, applicable fees, required documentation
- 45 and the desired scope of accreditation, IAS will process the application as
- 46 follows:
- 47 2.2.1.1 A review of submitted documentation will be conducted to determine
- 48 preliminary compliance with applicable requirements. A letter summarizing
- 49 preliminary observations will be relayed to the applicant, including a request
- 50 for any additional data which may be required prior to scheduling the initial
- 51 assessment.
- 52 2.2.1.2 An (optional) onsite pre-assessment visit may be scheduled at the discretion
- 53 of the applicant for the purpose of determining preliminary compliance with
- 54 applicable requirements. IAS and assessors shall ensure that no consultancy
- 55 is provided during this pre-assessment exercise.
- 56 2.2.1.3 **Initial Assessment:** In consultation with the applicant, an initial onsite
- 57 assessment will be scheduled to verify compliance with the accreditation
- 58 requirements.

59                   **Witnessing Inspection Activities:** IAS will witness onsite inspections  
60                   conducted by the applicant evaluation body. Selection of the number of  
61                   inspections to be witnessed, including scope and inspector for the witness, is  
62                   based on various factors – risk, complexity, technology utilized, etc. IAS  
63                   retains the right to select the inspectors and inspections to be witnessed.

64                   **2.2.1.4 Response to Assessment Report:** A written response to any Corrective  
65                   Action Requests (CARs) and Concerns identified during the initial  
66                   assessment shall be submitted to IAS within thirty (30) days of the conclusion  
67                   of the assessment as follows:

68                   2.2.1.4.1 Corrective Action Requests (CARs) require a mandatory response on  
69                   actions taken by the evaluation body to resolve the CARs, including  
70                   objective evidence substantiating the actions taken. The response  
71                   must include root cause analysis to support CAR closures where  
72                   appropriate. Resolution of CARs requiring revisions to the evaluation  
73                   body's management and technical system must be documented and  
74                   submitted to IAS. Objective evidence may be in the form of revisions  
75                   to procedures, additional training, mentoring and monitoring given to  
76                   personnel accompanied by appropriate records, and/or other data.

77                   2.2.1.4.2 Concerns require a mandatory written response from the evaluation  
78                   body within 30 days of submission of the assessment report. While  
79                   objective evidence addressing Concerns is not mandatory, the  
80                   evaluation body must inform IAS on the action taken or intended  
81                   action to be undertaken with a timeline for completion. The action  
82                   taken by the organization to implement actions to resolve concerns  
83                   will be verified at the agency's next scheduled assessment or during a  
84                   follow-up assessment.

85                   2.2.1.4.3 If more than 30 days are needed to resolve CARs or Concerns, the  
86                   evaluation body must request, in writing, for an extension from IAS.  
87                   Requests for an extension should be accompanied by a reasonable  
88                   estimate on when the responses will be submitted for review.

89                   2.2.1.4.4 IAS reserves the right to conduct a follow-up assessment to determine  
90                   if CARs and Concerns have been satisfactorily resolved.

91 2.2.1.4.5 Failure to resolve all CARS and Concerns within six months from the  
92 date of assessment will result in a reassessment or further action  
93 against the accreditation as called for in these rules.

94 2.2.2 IAS will grant accreditation upon determination that based on the onsite  
95 assessment and review of evidence submitted, the applicant has met all the  
96 accreditation requirements as an evaluation body for the product groups noted  
97 in the scope of accreditation certificate and available on the IAS website.

98 2.2.3 IAS may decide not to grant accreditation to the applicant for not fulfilling  
99 accreditation requirements. Any applicant denied accreditation may appeal this  
100 decision as per requirements noted under Section 6.2 of these rules.

101 2.2.4 Each initial accreditation is valid for a one-year period from the accreditation  
102 date.

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### 104 **3.0 MAINTENANCE OF ACCREDITATION**

#### 105 **3.1 Renewal Application, Fees and Assessment Costs**

106 3.1.1 Each renewal application must be submitted through the IAS Customer portal.

107 3.1.2 An application to renew accreditation must be filed at least 15 days prior to the  
108 expiration date if continued accreditation is desired and shall be accompanied  
109 by the applicable fee as identified in the renewal notice.

110 3.1.3 Accreditation is subject to cancellation if an application to renew accreditation  
111 is not completed by the renewal date.

112 3.1.4 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and  
113 charges are the responsibility of the applicant, and the applicant agrees to  
114 reimburse IAS for any such taxes and charges imposed on IAS with respect to  
115 services provided by IAS.

116 3.1.5 All expenses, including but not limited to travel and staff time, related to the  
117 assessments are reimbursable to IAS by the evaluation body.

#### 118 **3.2 Surveillance Assessment after Initial Year of Accreditation**

119 3.2.1 All accredited evaluation bodies are subject to a surveillance assessment at the  
120 end of the initial year of accreditation. IAS will determine whether the  
121 surveillance assessment may be conducted remotely or onsite. Determination  
122 will be based on factors including: severity of CARs and Concerns from the  
123 initial assessment, changes in the management system as indicated in the

124 renewal application, complaints received by IAS in the past year and the risk  
125 associated with the scope of accreditation.

126 **3.2.2 Onsite Surveillance Assessment**

127 3.2.2.1 If IAS determines an onsite surveillance assessment is required, IAS staff will  
128 contact the evaluation body to schedule the assessment.

129 3.2.2.2 At minimum, the following information shall be reviewed during the onsite  
130 surveillance assessment: the evaluation body's internal audit and  
131 management review reports/minutes; any complaints; actions resulting from  
132 any Concerns noted in the previous assessment report; any major changes in  
133 key personnel, facilities, or in the evaluation body's management system.

134 3.2.2.3 Surveillance assessment process is similar to the initial assessment process  
135 noted above.

136 3.2.2.4 IAS may decide not to grant accreditation to the accredited evaluation body  
137 for not fulfilling accreditation requirements. Any applicant denied accreditation  
138 may appeal this decision as per requirements noted under Section 6 of these  
139 rules.

140 3.2.2.5 For currently-accredited evaluation bodies, failure to respond to an IAS  
141 assessment report within 90 days will result in suspension of accreditation  
142 and removal of the evaluation body's accreditation certificate from the IAS  
143 website.

144 **3.2.3 Remote Surveillance Assessment**

145 3.2.3.1 If IAS determines that the evaluation body qualifies for a remote surveillance  
146 assessment, the evaluation body shall provide the following information: the  
147 evaluation body's internal audit and management review reports/minutes; any  
148 complaints; actions resulting from any Concerns noted in the previous  
149 assessment report; any major changes in key personnel, facilities, or in the  
150 evaluation body's management system.

151 3.2.3.2 IAS will review the submittals and make a determination if the accreditation  
152 can be continued or an onsite surveillance assessment is required.

153 3.2.3.3 IAS may decide not to grant accreditation to the accredited evaluation body  
154 for not fulfilling accreditation requirements. Any applicant denied accreditation  
155 may appeal this decision as per requirements noted under Section 6 of these  
156 rules.

157 3.2.4 IAS will grant accreditation upon determination based on surveillance  
158 assessment and completion of renewal application that the accredited  
159 evaluation body has met the accreditation requirements for the program groups  
160 noted in the scope of accreditation certificate and available on the IAS website.  
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### 162 3.3 Onsite Reassessment

163 3.3.1 An onsite reassessment is required at the end of every two-year term  
164 commencing from the date of initial accreditation.

165 3.3.2 In consultation with the accredited evaluation body, an onsite assessment will  
166 be scheduled to verify compliance with the accreditation requirements.

167 3.3.3 Onsite reassessment process is similar to the initial assessment process noted  
168 above.

169 **Witnessing Inspection Activities:** IAS will witness onsite inspections  
170 conducted by the accredited evaluation body. Selection of the number of  
171 inspections to be witnessed, including scope and inspector for the witness, is  
172 based on various factors – risk, complexity, technology utilized, etc. IAS retains  
173 the right to select the inspectors and inspections to be witnessed.

174 3.3.4 For currently-accredited evaluation bodies, failure to respond to an IAS  
175 assessment report within 90 days will result in suspension of accreditation and  
176 removal of the evaluation body's accreditation certificate from the IAS website.  
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### 178 3.4 Scope Extension Assessments

179 3.4.1 Requests for extension of scope require submission of a formal request  
180 detailing the extension (e.g., program groups) requested.

181 3.4.2 Evaluation bodies seeking extension of scope may be subject to an onsite  
182 scope extension assessment.

183 3.4.3 In consultation with the accredited evaluation body, an onsite assessment will  
184 be scheduled.  
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### 186 3.5 Extraordinary Assessments

187 3.5.1 Extraordinary onsite assessments may be conducted, including unannounced  
188 assessments, to investigate formal complaints or other changes in an  
189 evaluation body's status that may affect the ability of the evaluation body to  
190 fulfill IAS requirements for accreditation.

191 3.5.2 All costs associated with the extraordinary assessment will be the responsibility  
192 of the accredited evaluation body.

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#### 194 **4.0 RESPONSIBILITIES OF Evaluation Body**

195 4.1 **Changes to Evaluation Body's Accreditation Status:** Evaluation bodies accredited  
196 under these rules shall notify IAS in writing within thirty days concerning the following:

197 4.1.1 Change in evaluation body name.

198 4.1.2 Change in evaluation body ownership.

199 4.1.3 Change in evaluation body address.

200 4.1.4 Changes in policies or procedures that affect the evaluation body's  
201 accreditation.

202 4.1.5 Changes in key technical or supervisory personnel.

203 4.1.6 Change in status, including but not limited to cancellation, revocation,  
204 suspension or withdrawal of other accreditations maintained by the evaluation  
205 body.

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#### 207 4.2 **Field Evaluation Bodies Operating Under Special Jurisdictional/Governmental** 208 **Regulations**

209 4.2.1 Regulatory entities may place specific compliance requirements on field  
210 evaluation bodies operating within their jurisdiction. If a field evaluation body  
211 intends to seek acceptance of its reports of its reports by these entities, they  
212 must agree to comply with the additional assessment requirements, including  
213 more frequent onsite assessments, as applicable.

214 4.2.2 By executing the IAS application for field evaluation body accreditation, the  
215 field evaluation body agrees to furnish all needed documentation, pay the  
216 required fees, perform additional witness inspections, or otherwise fully comply  
217 with the requirements of the regulatory entities.

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219 4.3 **Indemnification:** All applications for an IAS accreditation contain indemnification  
220 provisions.

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222 4.4 **Unannounced Assessments:** The evaluation body agrees to permit unannounced  
223 assessments of its office and facilities by the IAS for cause, such as formal complaints,  
224 pattern of nonconformance, regulatory requests, etc.

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#### 4.5 Usage of the IAS Name or Symbol by Accredited Evaluation Bodies

4.5.1 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:

4.5.1.1 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.

4.5.1.2 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., "Field Evaluation Body."

4.5.1.3 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.

4.5.1.4 The IAS registered symbol is to be used on IAS-endorsed 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 evaluation body's IAS-endorsed reports must include the name of the accredited program, e.g., "Field Evaluation Body," provided the 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.

4.5.2 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.

#### 5.0 RESPONSIBILITY OF INTERNATIONAL ACCREDITATION SERVICE



- 258        5.1 **Accreditation Documents:** A certificate of accreditation and scope of accreditation  
259        document shall be issued and maintained current for each accredited evaluation body  
260        upon satisfactory completion of the accreditation requirements. For each accredited  
261        evaluation body, the scope of accreditation shall be posted on the IAS website.  
262        Accreditation actions will also be noted on the IAS website.  
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- 264        5.2 **Fee Modifications:** Any modifications to the fees must be reviewed and approved by  
265        the IAS president or his/her designee.  
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- 267        5.3 **Proprietary Data:** Data in any accreditation file or application are considered  
268        proprietary to the applicant. The data may be disclosed by IAS only upon the written  
269        consent of the applicant or pursuant to subpoena issued by a court or other  
270        governmental agency of competent jurisdiction. Proprietary data may also be disclosed  
271        to a staff member of IAS or an authorized representative of IAS having a legitimate  
272        interest therein; any duly identified representative of any evaluation body, or like person  
273        or organization who initially prepared the data, or a duly authorized representative  
274        thereof stated to be an employee or principal thereof having a legitimate interest  
275        therein. Governmental regulatory bodies may be granted access in the interest of public  
276        safety or preservation of property as it relates to enforcement of laws/regulations upon  
277        receipt of an official written request.  
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- 279        5.4 **Access to Proprietary Data:** From time to time, IAS records and files are audited by  
280        national and international bodies on a random basis to establish conformance with  
281        international accreditation and conformity assessment standards. It is understood that,  
282        by executing an accreditation application, evaluation bodies grant IAS the authority to  
283        allow such access.  
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- 285        5.5 **Selection of Assessment Team:** IAS will provide an opportunity to the applicant or  
286        accredited evaluation body to appeal against an assessor or assessment team  
287        assigned to assess the evaluation body. This appeal must request in writing with the  
288        reasons identified. IAS, in mutual agreement with the evaluation body, may arrange to  
289        assign a different assessor or assessment team for the scheduled assessment.  
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291 **6.0 DENIAL, REVOCATION, MODIFICATION, SUSPENSION OR CANCELLATION OF THE**  
292 **ACCREDITATION, AND APPEALS**

293 6.1 Any accreditation is subject to denial, revocation, modification, suspension or  
294 cancellation upon occurrence of any of the following:

295 6.1.1 Failure by the evaluation body to comply with the current or updated Rules of  
296 Procedure.

297 6.1.2 Failure to comply with the current or updated Accreditation Criteria.

298 6.1.3 Failure to comply with any condition to the issuance of the accreditation.

299 6.1.4 Any misstatement, whether intentionally or unintentionally made, in the  
300 application or any data or documentation submitted in support thereof.

301 6.1.5 Failure to comply with any provision contained in the application.

302 6.1.6 Failure to comply with any terms of the management system documentation on  
303 which the IAS accreditation was based.

304 6.1.7 Any other grounds considered as adequate cause in the judgment of IAS.  
305

306 **6.2 Appeals**

307 6.2.1 The denial, revocation, modification, suspension or cancellation of accreditation  
308 may only be appealed by the holder of the accreditation.

309 6.2.2 Procedures for appeals of denial, revocation, modification, suspension or  
310 cancellation of accreditation shall be in accordance with the Rules of Procedure  
311 for Appeals Concerning International Accreditation Service, Inc., Actions. The  
312 IAS president or his/her designee, or the Board of Directors, as the case may  
313 be, may shorten any of the time periods set forth in the Rules of Procedure for  
314 Appeals Concerning International Accreditation Service, Inc., Actions, if such  
315 action is deemed necessary, in their discretion, in the interest of public safety  
316 and welfare.  
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318 **6.3 With No Right To Appeal:** Notwithstanding anything in these rules to the contrary, any  
319 initial application, or accreditation may be denied, revoked, modified, suspended or  
320 cancelled by the IAS president or his/her designee for any of the following reasons with  
321 no right of appeal:

322 6.3.1 Failure to pay required fees to IAS within thirty days from the date of the  
323 mailing by IAS of written demand for payment.

- 324 6.3.2 Failure to perform any test or to furnish any material or data relating to  
325 evaluation body accreditation required by IAS within the specified time limit,  
326 unless extended by the IAS president or his/her designee.
- 327 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns  
328 resulting from an IAS assessment report in the allotted time, unless extended  
329 by the IAS president or his/her designee.
- 330 6.3.4 Failure to permit or submit to an assessment as set forth in Sections 2 and 3  
331 and, if applicable, the special oversight requirements stipulated in Section 4.3  
332 of the Rules of Procedure.
- 333 6.3.5 Failure to furnish information and/or submit to a remote surveillance  
334 assessment as required in Section 3.2.3 of these rules within the specified time  
335 limit.  
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#### 337 **6.4 Results Of Denial, Revocation, Modification, Suspension or Cancellation**

- 338 6.4.1 Upon the occurrence of any of the events set forth in Section 6.1 or Section  
339 6.3, IAS, by the decision of its president or his/her designee, may choose any  
340 of the following actions:
- 341 6.4.1.1 Denial of the application.
- 342 6.4.1.2 Revocation of the accreditation.
- 343 6.4.1.3 Modification of the accreditation, on such terms as determined by the IAS  
344 president or his/her designee.
- 345 6.4.1.4 Suspension of the accreditation for such period on such terms as determined  
346 by the IAS president or his/her designee.
- 347 6.4.1.5 Cancellation of the accreditation.
- 348 6.4.2 The decisions of the IAS president or his/her designee with respect to any of  
349 the actions set forth in this section may become effective immediately if  
350 deemed necessary, in the interest of public safety and welfare, may be stayed  
351 pending an appeal pursuant to the Rules of Procedure for Appeals Concerning  
352 International Accreditation Service, Inc., Actions, or may be otherwise stayed  
353 on such terms and conditions as determined by the president or his/her  
354 designee.
- 355 6.4.3 Upon revocation or cancellation of the accreditation or during any period of  
356 suspension, unless this provision is specifically modified by the terms of the  
357 suspension, the accredited evaluation body shall discontinue all use of the IAS

358 symbol. The evaluation body shall also immediately discontinue any references  
359 to IAS accreditation on any reports, certificates, or promotional material.

360 6.4.4 IAS shall have the right to immediately notify governmental jurisdictions and  
361 any other interested parties of any improper and unauthorized reference to the  
362 continuation of the accreditation, when in the sole judgment of IAS, as  
363 determined by its president or his/her designee, such notification is necessary  
364 in the interest of public safety or welfare.

365 6.4.5 Upon the determination by IAS that cause exists for any of the actions specified  
366 in this section, with respect to the accreditation, IAS shall deliver to the  
367 evaluation body a written statement, signed by the IAS president or his/her  
368 designee, setting forth the factual basis for such action. This written statement  
369 shall include a specific reference to the cause for the action which is set forth in  
370 the Rules of Procedure. ▪