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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 Accreditation Criteria for Agencies Performing Field Inspections of Fire Door Assemblies (In Situ Inspection), AC415.
- 1.2.3 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 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 plumbing, electrical, wall and roof panels, roofing products, trusses, etc.

- 31 2.1.5 Initial applications held for more than 180 days, without the applicant's having
- 32 fulfilled IAS requirements for accreditation, are subject to cancellation unless
- 33 such term is extended by the IAS president or his/her designee.
- 34 2.1.6 All IAS fees are nonrefundable.
- 35 2.1.7 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
- 36 charges are the responsibility of the applicant, and the applicant agrees to
- 37 reimburse IAS for any such taxes and charges imposed on IAS with respect to
- 38 services provided by IAS.
- 39 2.1.8 Required documentation as noted in Sections 4 and 5 of IAS AC98 or AC415
- 40 must be submitted.
- 41 2.1.9 Desired scope of accreditation detailing the inspection procedures for which
- 42 accreditation is sought must be submitted. As an example, the following format
- 43 is recommended:

Plastic and Composite Lumber	Inspection Procedure XX-801 Quality Assurance Verification for Composite Lumber
Metal Plate Connected Wood Trusses	ANSI/TPI 1-2002; SOP-02 and SOP-03 (dated 3/01/09)
Preshipment Inspection in the Fields of: a) Waste Paper b) Scrap Metals c) Metals	1. Institute of Scrap Recycling Industries 2. Regulation of the Ministry of Trade Number XX/123/. dated January 6, 2014

- 44
- 45 2.1.10 IAS may at any time, in addition to the required documentation noted above,
- 46 require other information.
- 47 2.1.11 Initial applicants will be invoiced for the balance of costs and expenses
- 48 resulting from the onsite assessment.
- 49 2.1.12 Additional fees, if any, due to identification of any additional fields of inspection
- 50 (refer to section 2.1.4) at the conclusion of the accreditation process will be
- 51 invoiced.

52

53 **2.2 Initial Assessment**

- 54 2.2.1 Upon receipt by IAS of the application, applicable fees, required documentation
- 55 and the desired scope of accreditation, IAS will process the application as
- 56 follows:

57 2.2.1.1 A review of submitted documentation will be conducted to determine
58 preliminary compliance with applicable requirements. A letter summarizing
59 preliminary observations will be relayed to the applicant, including a request
60 for any additional data which may be required prior to scheduling the initial
61 assessment.

62 2.2.1.2 An (optional) onsite pre-assessment visit may be scheduled at the discretion
63 of the applicant for the purpose of determining preliminary compliance with
64 applicable requirements. IAS and assessors shall ensure that no consultancy
65 is provided during this pre-assessment exercise.

66 2.2.1.3 **Initial Assessment:** In consultation with the applicant, an initial onsite
67 assessment will be scheduled to verify compliance with the accreditation
68 requirements.

69 **Witnessing Inspection Activities:** IAS will witness onsite inspections
70 conducted by the applicant inspection body. Selection of the scope and
71 inspector for the witness is based on various factors – risk, complexity,
72 technology utilized, etc. IAS retains the right to select the inspectors and
73 inspections to be witnessed.

74 2.2.1.4 **Response to Assessment Report:** A written response to any Corrective
75 Action Requests (CARs) and Concerns identified during the initial
76 assessment shall be submitted to IAS within thirty (30) days of the conclusion
77 of the assessment as follows:

78 2.2.1.4.1 Corrective Action Requests (CARs) require a mandatory response on
79 actions taken by the inspection agency to resolve the CARs, including
80 objective evidence substantiating the actions taken. The response
81 must include root cause analysis to support CAR closures where
82 appropriate. Resolution of CARs requiring revisions to the inspection
83 agency's management and technical system must be documented
84 and submitted to IAS. Objective evidence may be in the form of
85 revisions to procedures, additional training, mentoring and monitoring
86 given to personnel accompanied by appropriate records, and/or other
87 data.

88 2.2.1.4.2 Concerns require a mandatory written response from the inspection
89 agency within 30 days of submission of the assessment report. While
90 objective evidence addressing Concerns is not mandatory, the

91 inspection agency must inform IAS on the action taken or intended
92 action to be undertaken with a timeline for completion. The action
93 taken by the organization to implement actions to resolve concerns
94 will be verified at the agency's next scheduled assessment or during a
95 follow-up assessment.

96 2.2.1.4.3 If more than 30 days are needed to resolve CARs or Concerns, the
97 inspection agency must request, in writing, for an extension from IAS.
98 Requests for an extension should be accompanied by a reasonable
99 estimate on when the responses will be submitted for review.

100 2.2.1.4.4 IAS reserves the right to conduct a follow-up assessment to determine
101 if CARs and Concerns have been satisfactorily resolved.

102 2.2.1.4.5 Failure to resolve all CARs and Concerns within six months from the
103 date of assessment will result in a reassessment or further action
104 against the accreditation as called for in these rules.

105 2.2.2 IAS will grant accreditation upon determination that based on the onsite
106 assessment and review of evidence submitted, the applicant has met all the
107 accreditation requirements as an inspection agency for the inspection
108 procedures noted in the scope of accreditation certificate and available on the
109 IAS website.

110 2.2.3 IAS may decide not to grant accreditation to the applicant for not fulfilling
111 accreditation requirements. Any applicant denied accreditation may appeal this
112 decision as per requirements noted under Section 6.2 of these rules.

113 2.2.4 Each initial accreditation is valid for a one-year period from the accreditation
114 date.

115

116 2.3 **Transfer of Accreditation:** Applicant inspection agency currently accredited by a
117 signatory to the ILAC MRA seeking transfer of accreditation, in addition to fulfilling IAS
118 accreditation requirements, must provide the following:

119 2.3.1 A complete copy of the most recent assessment report from your current
120 accreditation body.

121 2.3.2 Corrective actions for any deficiencies noted in the assessment report,
122 including acknowledgement of acceptance of the corrective actions by the
123 current accreditation body. If the applicant and the accreditation body differ on

124 the corrective actions or deficiencies, IAS will review them and make a decision
125 as to status.

126 2.3.3 A copy of the most recent accreditation certificate issued by the current
127 accreditation body.

128 2.3.4 Other information as deemed pertinent by IAS.

129

130 **3.0 MAINTENANCE OF ACCREDITATION**

131 **3.1 Renewal Application, Fees and Assessment Costs**

132 3.1.1 Each renewal application must be submitted through the IAS Customer portal.

133 3.1.2 An application to renew accreditation must be filed at least 15 days prior to the
134 expiration date if continued accreditation is desired and shall be accompanied
135 by the applicable fee as identified in the renewal notice.

136 3.1.3 Accreditation is subject to cancellation if an application to renew accreditation
137 is not completed by the renewal date.

138 3.1.4 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
139 charges are the responsibility of the applicant, and the applicant agrees to
140 reimburse IAS for any such taxes and charges imposed on IAS with respect to
141 services provided by IAS.

142 3.1.5 All expenses, including but not limited to travel and staff time, related to the
143 assessments are reimbursable to IAS by the inspection agency.

144 3.1.6 Additional fees, if any, due to identification of any additional fields of inspection
145 (refer to section 2.1.4) at the conclusion of the accreditation process will be
146 invoiced.

147 **3.2 Surveillance Assessment after Initial Year of Accreditation**

148 3.2.1 All accredited inspection agencies are subject to a surveillance assessment at
149 the end of the initial year of accreditation. IAS will determine whether the
150 surveillance assessment may be conducted remotely or onsite. Determination
151 will be based on factors including: severity of CARs and Concerns from the
152 initial assessment, changes in the management system as indicated in the
153 renewal application, complaints received by IAS in the past year and the risk
154 associated with the scope of accreditation.

155 **3.2.2 Onsite Surveillance Assessment**

156 3.2.2.1 If IAS determines an onsite surveillance assessment is required, IAS staff will
157 contact the inspection agency to schedule the assessment.

158 3.2.2.2 At minimum, the following information shall be reviewed during the onsite
159 surveillance assessment: the inspection agency's internal audit and
160 management review reports/minutes; any complaints; actions resulting from
161 any Concerns noted in the previous assessment report; any major changes in
162 key personnel, facilities, or in the inspection agency's management system
163 for inspection areas that are within the agency's scope with IAS.

164 3.2.2.3 Surveillance assessment process is similar to the initial assessment process
165 noted above.

166 3.2.2.4 IAS may decide not to grant accreditation to the accredited inspection agency
167 for not fulfilling accreditation requirements. Any applicant denied accreditation
168 may appeal this decision as per requirements noted under Section 6 of these
169 rules.

170 3.2.2.5 For currently-accredited inspection agencies, failure to respond to an IAS
171 assessment report within 90 days will result in suspension of accreditation
172 and removal of the agency's accreditation certificate from the IAS website.

173 3.2.3 Remote Surveillance Assessment

174 3.2.3.1 If IAS determines that the inspection agency qualifies for a remote
175 surveillance assessment, the agency shall provide the following information:
176 the agency's internal audit and management review reports/minutes; any
177 complaints; actions resulting from any Concerns noted in the previous
178 assessment report; any major changes in key personnel, facilities, or in the
179 agency's management system for inspection areas that are within the
180 agency's scope with IAS.

181 3.2.3.2 IAS will review the submittals and make a determination if the accreditation
182 can be continued or an onsite surveillance assessment is required.

183 3.2.3.3 IAS may decide not to grant accreditation to the accredited inspection agency
184 for not fulfilling accreditation requirements. Any applicant denied accreditation
185 may appeal this decision as per requirements noted under Section 6 of these
186 rules.

187 3.2.4 IAS will grant accreditation upon determination based on surveillance
188 assessment and completion of renewal application that the accredited
189 inspection agency has met the accreditation requirements for the procedures
190 noted in the scope of accreditation certificate and available on the IAS website.

191

192 **3.3 Onsite Reassessment**

193 3.3.1 An onsite reassessment is required at the end of every two-year term
194 commencing from the date of initial accreditation.

195 3.3.2 In consultation with the accredited inspection agency, an onsite assessment
196 will be scheduled to verify compliance with the accreditation requirements.

197 3.3.3 Onsite reassessment process is similar to the initial assessment process noted
198 above.

199 **Witnessing Inspection Activities:** IAS will witness onsite inspections by each
200 accredited inspection body. Selection of the scope and inspector for the
201 witness is based on various factors – risk, complexity, new inspectors,
202 technology utilized, etc. IAS retains the right to select the inspectors and
203 inspections to be witnessed. It is not intended that every inspector has to be
204 witnessed, as indicated in IAF/ILAC A5 clause 7.7.3.1.

205 3.3.4 For currently-accredited inspection agencies, failure to respond to an IAS
206 assessment report within 90 days will result in suspension of accreditation and
207 removal of the agency's accreditation certificate from the IAS website.

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209 **3.4 Scope Extension Assessments**

210 3.4.1 Requests for extension of scope require submission of a formal request
211 detailing the extension (e.g., procedures) requested.

212 3.4.2 Inspection agencies seeking extension of scope may be subject to an onsite
213 scope extension assessment.

214 3.4.3 In consultation with the accredited inspection agency, an onsite assessment
215 will be scheduled.

216

217 **3.5 Extraordinary Assessments**

218 3.5.1 Extraordinary onsite assessments may be conducted, including unannounced
219 assessments, to investigate formal complaints or other changes in an
220 inspection agency's status that may affect the ability of the laboratory to fulfill
221 IAS requirements for accreditation.

222 3.5.2 All costs associated with the extraordinary assessment will be the responsibility
223 of the accredited inspection agency.

224

225 **4.0 RESPONSIBILITIES OF INSPECION AGENCY**

226 4.1 **Changes to Inspection Agency's Accreditation Status:** Inspection agencies
227 accredited under these rules shall notify IAS in writing within thirty days concerning the
228 following:

229 4.1.1 Change in inspection agency name.

230 4.1.2 Change in inspection agency ownership.

231 4.1.3 Change in inspection agency address.

232 4.1.4 Changes in policies or procedures that affect the inspection agency's
233 accreditation.

234 4.1.5 Changes in key technical or supervisory personnel.

235 4.1.6 Change in status, including but not limited to cancellation, revocation,
236 suspension or withdrawal of other accreditations maintained by the inspection
237 agency.

238

239 4.2 **Inspection Agencies Operating Under Special Jurisdictional/Governmental**
240 **Regulations**

241 4.2.1 Regulatory entities may place specific compliance requirements on inspection
242 agencies operating within their jurisdiction. If an inspection agency intends to
243 seek acceptance of its reports of its inspections by these entities, they must
244 agree to comply with the additional assessment requirements, including more
245 frequent onsite assessments, as applicable.

246 4.2.2 By executing the IAS application for inspection agency accreditation, the
247 inspection agency agrees to furnish all needed documentation, pay the
248 required fees, perform additional witness inspections, or otherwise fully comply
249 with the requirements of the regulatory entities.

250

251 4.3 **Indemnification:** All applications for an IAS accreditation contain indemnification
252 provisions.

253

254 4.4 **Unannounced Assessments:** The inspection agency agrees to permit unannounced
255 assessments of its office and facilities by the IAS for cause, such as formal complaints,
256 pattern of nonconformance, regulatory requests, etc.

257

258 4.5 **Usage of the IAS Name or Symbol by Accredited Inspection Agencies**

- 259 4.5.1 An accredited inspection agency can make reference to its IAS accreditation in
260 its inspection reports, in its website, in its general literature and promotional
261 materials, and in business solicitations, under the following provisions:
- 262 4.5.1.1 The inspection agency may not reference its accredited status in any way
263 that indicates or implies accreditation in areas outside the actual scope of the
264 specific IAS accreditation; or that indicates or implies IAS endorsement of any
265 particular product, material or service.
- 266 4.5.1.2 When the IAS name and/or the registered symbol are used, it shall be
267 accompanied by the word “ACCREDITED.” The symbol must also include the
268 name of the accredited program, e.g., “Inspection Agency.”
- 269 4.5.1.3 When the IAS name or the registered symbol is printed on letterhead and/or
270 other inspection agency stationery, such stationery **may not** be used for work
271 proposals or quotations if none of the work is within the inspection agency’s
272 current scope of accreditation with IAS.
- 273 4.5.1.4 The IAS registered symbol is to be used on IAS-endorsed inspection reports.
274 The IAS registered symbol may not be changed in any way, although it may
275 be enlarged or reduced.
- 276 4.5.1.5 The IAS registered symbol displayed on the inspection agency’s IAS-
277 endorsed inspection reports must include the name of the accredited
278 program, e.g., “Inspection Agency,” provided the reports relate to inspections
279 that are within the inspection agency’s IAS-approved scope of accreditation.
280 Whenever the IAS symbol is used on a report covering multiple inspection
281 procedures, some of which are within the inspection agency’s scope of
282 accreditation and some of which are outside the scope, the inspection agency
283 must clearly identify whatever portion of the report is not covered by IAS
284 accreditation.
- 285 4.5.2 It is the inspection agency’s responsibility to not misrepresent its accreditation
286 status in any way, and to secure IAS approval in advance whenever there is a
287 question about the inspection agency’s intended use of the IAS name and/or
288 symbol.

289
290 **5.0 RESPONSIBILITY OF INTERNATIONAL ACCREDITATION SERVICE**

- 291 5.1 **Accreditation Documents:** A certificate of accreditation and scope of accreditation
292 document shall be issued and maintained current for each accredited inspection agency

293 upon satisfactory completion of the accreditation requirements. For each accredited
294 inspection agency, the scope of accreditation shall be posted on the IAS website.
295 Accreditation actions will also be noted on the IAS website.

296

297 **5.2 Fee Modifications:** Any modifications to the fees must be reviewed and approved by
298 the IAS president or his/her designee.

299

300 **5.3 Proprietary Data:** Data in any accreditation file or application are considered
301 proprietary to the applicant. The data may be disclosed by IAS only upon the written
302 consent of the applicant or pursuant to subpoena issued by a court or other
303 governmental agency of competent jurisdiction. Proprietary data may also be disclosed
304 to a staff member of IAS or an authorized representative of IAS having a legitimate
305 interest therein; any duly identified representative of any inspection agency, or like
306 person or organization who initially prepared the data, or a duly authorized
307 representative thereof stated to be an employee or principal thereof having a legitimate
308 interest therein. Governmental regulatory bodies may be granted access in the interest
309 of public safety or preservation of property as it relates to enforcement of
310 laws/regulations upon receipt of an official written request.

311

312 **5.4 Access to Proprietary Data:** From time to time, IAS records and files are audited by
313 national and international bodies on a random basis to establish conformance with
314 international accreditation and conformity assessment standards. It is understood that,
315 by executing an accreditation application, inspection agencies grant IAS the authority to
316 allow such access.

317

318 **5.5 Selection of Assessment Team:** IAS will provide an opportunity to the applicant or
319 accredited inspection agency to appeal against an assessor or assessment team
320 assigned to assess the inspection agency. This appeal must request in writing with the
321 reasons identified. IAS, in mutual agreement with the inspection agency, may arrange
322 to assign a different assessor or assessment team for the scheduled assessment.

323

324 **6.0 DENIAL, REVOCATION, MODIFICATION, SUSPENSION OR CANCELLATION OF THE** 325 **ACCREDITATION, AND APPEALS**

- 326 6.1 Any accreditation is subject to denial, revocation, modification, suspension or
327 cancellation upon occurrence of any of the following:
- 328 6.1.1 Failure by the inspection agency to comply with the current or updated Rules of
329 Procedure.
 - 330 6.1.2 Failure to comply with the current or updated Accreditation Criteria.
 - 331 6.1.3 Failure to comply with any condition to the issuance of the accreditation.
 - 332 6.1.4 Any misstatement, whether intentionally or unintentionally made, in the
333 application or any data or documentation submitted in support thereof.
 - 334 6.1.5 Failure to comply with any provision contained in the application.
 - 335 6.1.6 Failure to comply with any terms of the management system documentation on
336 which the IAS accreditation was based.
 - 337 6.1.7 Any other grounds considered as adequate cause in the judgment of IAS.

338

339 6.2 Appeals

- 340 6.2.1 The denial, revocation, modification, suspension or cancellation of accreditation
341 may only be appealed by the holder of the accreditation.
- 342 6.2.2 Procedures for appeals of denial, revocation, modification, suspension or
343 cancellation of accreditation shall be in accordance with the Rules of Procedure
344 for Appeals Concerning International Accreditation Service, Inc., Actions. The
345 IAS president or his/her designee, or the Board of Directors, as the case may
346 be, may shorten any of the time periods set forth in the Rules of Procedure for
347 Appeals Concerning International Accreditation Service, Inc., Actions, if such
348 action is deemed necessary, in their discretion, in the interest of public safety
349 and welfare.

350

- 351 6.3 **With No Right To Appeal:** Notwithstanding anything in these rules to the contrary, any
352 initial application, or accreditation may be denied, revoked, modified, suspended or
353 cancelled by the IAS president or his/her designee for any of the following reasons with
354 no right of appeal:

- 355 6.3.1 Failure to pay required fees to IAS within thirty days from the date of the
356 mailing by IAS of written demand for payment.
- 357 6.3.2 Failure to perform any test or to furnish any material or data relating to
358 inspection agency accreditation required by IAS within the specified time limit,
359 unless extended by the IAS president or his/her designee.

- 360 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns
361 resulting from an IAS assessment report in the allotted time, unless extended
362 by the IAS president or his/her designee.
- 363 6.3.4 Failure to permit or submit to an assessment as set forth in Sections 2 and 3
364 and, if applicable, the special oversight requirements stipulated in Section 4.3
365 of the Rules of Procedure.
- 366 6.3.5 Failure to furnish information and/or submit to a remote surveillance
367 assessment as required in Section 3.2.3 of these rules within the specified time
368 limit.

369

370 **6.4 Results Of Denial, Revocation, Modification, Suspension or Cancellation**

- 371 6.4.1 Upon the occurrence of any of the events set forth in Section 6.1 or Section
372 6.3, IAS, by the decision of its president or his/her designee, may choose any
373 of the following actions:
- 374 6.4.1.1 Denial of the application.
- 375 6.4.1.2 Revocation of the accreditation.
- 376 6.4.1.3 Modification of the accreditation, on such terms as determined by the IAS
377 president or his/her designee.
- 378 6.4.1.4 Suspension of the accreditation for such period on such terms as determined
379 by the IAS president or his/her designee.
- 380 6.4.1.5 Cancellation of the accreditation.
- 381 6.4.2 The decisions of the IAS president or his/her designee with respect to any of
382 the actions set forth in this section may become effective immediately if
383 deemed necessary, in the interest of public safety and welfare, may be stayed
384 pending an appeal pursuant to the Rules of Procedure for Appeals Concerning
385 International Accreditation Service, Inc., Actions, or may be otherwise stayed
386 on such terms and conditions as determined by the president or his/her
387 designee.
- 388 6.4.3 Upon revocation or cancellation of the accreditation or during any period of
389 suspension, unless this provision is specifically modified by the terms of the
390 suspension, the accredited inspection agency shall discontinue all use of the
391 IAS symbol. The inspection agency shall also immediately discontinue any
392 references to IAS accreditation on any reports, certificates, or promotional
393 material.

- 394 6.4.4 IAS shall have the right to immediately notify governmental jurisdictions and
395 any other interested parties of any improper and unauthorized reference to the
396 continuation of the accreditation, when in the sole judgment of IAS, as
397 determined by its president or his/her designee, such notification is necessary
398 in the interest of public safety or welfare.
- 399 6.4.5 Upon the determination by IAS that cause exists for any of the actions specified
400 in this section, with respect to the accreditation, IAS shall deliver to the
401 inspection agency a written statement, signed by the IAS president or his/her
402 designee, setting forth the factual basis for such action. This written statement
403 shall include a specific reference to the cause for the action which is set forth in
404 the Rules of Procedure. ▪