



1 **RULES OF PROCEDURE FOR ACCREDITATION OF PERSONNEL**
2 **CERTIFICATION BODIES**

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4 **1.0 INTRODUCTION**

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

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8 IAS accreditation does not make any representation nor should it be construed as
9 making representation regarding attributes not specifically addressed by the
10 accreditation. Accreditation does not make any representation nor should it be
11 construed as making representation regarding attributes not specifically addressed by
12 the accreditation.

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14 1.2 **Reference Documents**

- 15 1.2.1 IAS Accreditation Criteria for Personnel Certification Bodies, AC474.
16 1.2.2 IAS Rules of Procedure for Appeals Concerning International Accreditation
17 Service, Inc., Actions

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19 **2.0 INITIAL ACCREDITATION**

20 2.1 **Initial Application, Fees and Assessment Costs**

- 21 2.1.1 Each initial application must be submitted through the IAS Customer portal.
22 2.1.2 The new applicant must submit appropriate basic fee and assessment cost as
23 identified in your quotation.
24 2.1.3 The basic fee covers one field of certification, as applicable and as provided in
25 your quotation.
26 2.1.4 If any additional fields are identified during the course of accreditation,
27 additional fees may apply. Fields of certification are broadly categorized as a
28 distinct personnel certification process which requires unique research and
29 validation, with oversight by a separate scheme committee.

30 2.1.5 Initial applications held for more than 180 days, without the applicant's having
31 fulfilled IAS requirements for accreditation, are subject to cancellation unless
32 such term is extended by the IAS president or his/her designee.

33 2.1.6 All IAS fees are nonrefundable.

34 2.1.7 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
35 charges are the responsibility of the applicant, and the applicant agrees to
36 reimburse IAS for any such taxes and charges imposed on IAS with respect to
37 services provided by IAS.

38 2.1.8 Required documentation as noted in Sections 4 and 5 of IAS AC474 must be
39 submitted. Where relevant, (a) a detailed description of the development and
40 validation methods, and an itemized listing of documentation for examinations
41 utilized for certifications for which accreditation is sought (data should include
42 any outsourced service); (b) examinations and any other information that
43 requires special security provisions, shall be available for review by IAS during
44 onsite assessment visits; and (c) IAS may at any time require other information
45 regarding the operation of the personnel certification body.

46 2.1.9 Desired scope of accreditation detailing the certifications for which
47 accreditation is sought must be submitted. As an example, the following format
48 is recommended:

Management Systems Professionals Scheme – Managers	
Quality Management Systems Environmental Management Systems Occupational Health & Safety Management Systems Food Safety Management Systems Risk Management Systems	ISO 10019, ISO 9001, ISO 14001, OHSAS 18001, ISO 22000, ISO 31000; International Personnel Certification Association (IPC) IPC-PL-14-04

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50 2.1.10 IAS may at any time, in addition to the required documentation noted above,
51 require other information.

52 2.1.11 Initial applicants will be invoiced for the balance of costs and expenses
53 resulting from the onsite assessment.

54 2.1.12 Additional fees, if any, due to identification of any additional fields of
55 certification (refer to section 2.1.4) at the conclusion of the accreditation
56 process will be invoiced.

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58 **2.2 Initial Assessment**

59 2.2.1 Upon receipt by IAS of the application, applicable fees, required documentation
60 and the desired scope of accreditation, IAS will process the application as
61 follows:

62 2.2.1.1 A review of submitted documentation will be conducted to determine
63 preliminary compliance with applicable requirements. A letter summarizing
64 preliminary observations will be relayed to the applicant, including a request
65 for any additional data which may be required prior to scheduling the initial
66 assessment.

67 2.2.1.2 An (optional) onsite pre-assessment visit may be scheduled at the discretion
68 of the applicant for the purpose of determining preliminary compliance with
69 applicable requirements. IAS and assessors shall ensure that no consultancy
70 is provided during this pre-assessment exercise.

71 2.2.1.3 **Initial Assessment:** In consultation with the applicant, an initial onsite
72 assessment will be scheduled to verify compliance with the accreditation
73 requirements.

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

88 2.2.1.4.2 Concerns require a mandatory written response from the personnel
89 certification body within 30 days of submission of the assessment
90 report. While objective evidence addressing Concerns is not
91 mandatory, the personnel certification body must inform IAS on the
92 action taken or intended action to be undertaken with a timeline for

- 93 completion. The action taken by the organization to implement actions
94 to resolve concerns will be verified at the agency's next scheduled
95 assessment or during a follow-up assessment.
- 96 2.2.1.4.3 If more than 30 days are needed to resolve CARs or Concerns, the
97 personnel certification body must request, in writing, for an extension
98 from IAS. Requests for an extension should be accompanied by a
99 reasonable estimate on when the responses will be submitted for
100 review.
- 101 2.2.1.4.4 IAS reserves the right to conduct a follow-up assessment to determine
102 if CARs and Concerns have been satisfactorily resolved.
- 103 2.2.1.4.5 Failure to resolve all CARs and Concerns within six months from the
104 date of assessment will result in a reassessment or further action
105 against the accreditation as called for in these rules.
- 106 2.2.2 IAS will grant accreditation upon determination that based on the onsite
107 assessment and review of evidence submitted, the applicant has met all the
108 accreditation requirements as a personnel certification body for the categories
109 noted in the scope of accreditation certificate and available on the 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.

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116 **3.0 MAINTENANCE OF ACCREDITATION**

117 **3.1 Renewal Application, Fees and Assessment Costs**

- 118 3.1.1 Each renewal application must be submitted through the IAS Customer portal.
- 119 3.1.2 An application to renew accreditation must be filed at least 15 days prior to the
120 expiration date if continued accreditation is desired and shall be accompanied
121 by the applicable fee as identified in the renewal notice.
- 122 3.1.3 Accreditation is subject to cancellation if an application to renew accreditation
123 is not completed by the renewal date.
- 124 3.1.4 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
125 charges are the responsibility of the applicant, and the applicant agrees to

126 reimburse IAS for any such taxes and charges imposed on IAS with respect to
127 services provided by IAS.

128 3.1.5 All expenses, including but not limited to travel and staff time, related to the
129 assessments are reimbursable to IAS by the personnel certification body.

130 3.1.6 Additional fees, if any, due to identification of any additional fields of
131 certification (refer to section 2.1.4) at the conclusion of the accreditation
132 process will be invoiced.

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134 3.2 **Surveillance Assessment after Initial Year of Accreditation**

135 3.2.1 All accredited personnel certification bodies are subject to a surveillance
136 assessment at the end of the initial year of accreditation. IAS will determine
137 whether the surveillance assessment may be conducted remotely or onsite.
138 Determination will be based on factors including: severity of CARs and
139 Concerns from the initial assessment, changes in the management system as
140 indicated in the renewal application, complaints received by IAS in the past
141 year and the risk associated with the scope of accreditation.

142 3.2.2 **Onsite Surveillance Assessment**

143 3.2.2.1 If IAS determines an onsite surveillance assessment is required, IAS staff will
144 contact the personnel certification body to schedule the assessment.

145 3.2.2.2 At minimum, the following information shall be reviewed during the onsite
146 surveillance assessment: the personnel certification body's internal audit and
147 management review reports/minutes; any complaints; actions resulting from
148 any Concerns noted in the previous assessment report; any major changes in
149 key personnel, facilities, or in the personnel certification body's management
150 system.

151 3.2.2.3 Surveillance assessment process is similar to the initial assessment process
152 noted above.

153 3.2.2.4 IAS may decide not to grant accreditation to the accredited personnel
154 certification body for not fulfilling accreditation requirements. Any applicant
155 denied accreditation may appeal this decision as per requirements noted
156 under Section 6 of these rules.

157 3.2.2.5 For currently-accredited personnel certification bodies, failure to respond to
158 an IAS assessment report within 90 days will result in suspension of

159 accreditation and removal of the personnel certification body's accreditation
160 certificate from the IAS website.

161 3.2.3 Remote Surveillance Assessment

162 3.2.3.1 If IAS determines that the personnel certification body qualifies for a remote
163 surveillance assessment, the personnel certification body shall provide the
164 following information: the personnel certification body's internal audit and
165 management review reports/minutes; any complaints; actions resulting from
166 any Concerns noted in the previous assessment report; any major changes in
167 key personnel, facilities, or in the personnel certification body's management
168 system.

169 3.2.3.2 IAS will review the submittals and make a determination if the accreditation
170 can be continued or an onsite surveillance assessment is required.

171 3.2.3.3 IAS may decide not to grant accreditation to the accredited personnel
172 certification body for not fulfilling accreditation requirements. Any applicant
173 denied accreditation may appeal this decision as per requirements noted
174 under Section 6 of these rules.

175 3.2.4 IAS will grant accreditation upon determination based on surveillance
176 assessment and completion of renewal application that the accredited
177 personnel certification body has met the accreditation requirements for the
178 certifications noted in the scope of accreditation certificate and available on the
179 IAS website.

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181 3.3 Onsite Reassessment

182 3.3.1 An onsite reassessment is required at the end of every two-year term
183 commencing from the date of initial accreditation.

184 3.3.2 In consultation with the accredited personnel certification body, an onsite
185 assessment will be scheduled to verify compliance with the accreditation
186 requirements.

187 3.3.3 Onsite reassessment process is similar to the initial assessment process noted
188 above.

189 3.3.4 For currently-accredited personnel certification bodies, failure to respond to an
190 IAS assessment report within 90 days will result in suspension of accreditation
191 and removal of the personnel certification body's accreditation certificate from
192 the IAS website.

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3.4 Scope Extension Assessments

- 3.4.1 Requests for extension of scope require submission of a formal request detailing the extension (e.g., certifications) requested.
- 3.4.2 Personnel certification bodies seeking extension of scope may be subject to an onsite scope extension assessment.
- 3.4.3 In consultation with the accredited personnel certification body, an onsite assessment will be scheduled.

3.5 Extraordinary Assessments

- 3.5.1 Extraordinary onsite assessments may be conducted, including unannounced assessments, to investigate formal complaints or other changes in a personnel certification body’s status that may affect the ability of the personnel certification body to fulfill IAS requirements for accreditation.
- 3.5.2 All costs associated with the extraordinary assessment will be the responsibility of the accredited personnel certification body.

4.0 RESPONSIBILITIES OF PERSONNEL CERTIFICATION BODY

4.1 Changes to Personnel Certification Body’s Accreditation Status: personnel certification bodies accredited under these rules shall notify IAS in writing within thirty days concerning the following:

- 4.1.1 Change in personnel certification body name.
- 4.1.2 Change in personnel certification body ownership.
- 4.1.3 Change in personnel certification body address.
- 4.1.4 Changes in major subcontractors, equipment, policies or procedures that affect the personnel certification body’s accreditation.
- 4.1.5 Changes in principal officers or key supervisory personnel.
- 4.1.6 Change in status, including but not limited to cancellation, revocation, suspension or withdrawal of other accreditations maintained by the personnel certification body.

4.2 Personnel Certification Bodies Operating Under Special Jurisdictional/Governmental Regulations

226 4.2.1 Regulatory entities may place specific compliance requirements on personnel
227 certification bodies operating within their jurisdiction. If a personnel certification
228 body intends to seek acceptance of its certificates by these entities, they must
229 agree to comply with the additional assessment requirements, including more
230 frequent onsite assessments, as applicable.

231 4.2.2 By executing the IAS application for personnel certification body accreditation,
232 the personnel certification body agrees to furnish all needed documentation,
233 pay the required fees, perform additional witness inspections, or otherwise fully
234 comply with the requirements of the regulatory entities.

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236 4.3 **Indemnification:** All applications for an IAS accreditation contain indemnification
237 provisions.

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239 4.4 **Unannounced Assessments:** The personnel certification body agrees to permit
240 unannounced assessments of its office and facilities by the IAS for cause, such as
241 formal complaints, pattern of nonconformance, regulatory requests, etc.

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243 4.5 **Usage of the IAS Name or Symbol by Accredited Personnel Certification Bodies**

244 4.5.1 An accredited personnel certification body can make reference to its IAS
245 accreditation on certificates which it issues to certified persons, on its website,
246 in its general literature and promotional materials, and in business solicitations,
247 under the following provisions:

248 4.5.1.1 The personnel certification body may not reference its accredited status in
249 any way that indicates or implies accreditation in areas outside the actual
250 scope of the specific IAS accreditation; or that indicates or implies IAS
251 endorsement of a certification program or of any certified individual.

252 4.5.1.2 When the IAS name and/or the registered symbol are used on letterhead or
253 in other general literature or promotional materials, it shall be accompanied
254 by the word "ACCREDITED." The symbol must also include the name of the
255 accredited program, e.g., "Personnel Certification Body." When the IAS name
256 or symbol is printed on letterhead and/or other stationery, such stationery
257 **may not** be used for work proposals or quotations if none of the work is
258 within the personnel certification body's current scope of accreditation with
259 IAS.

- 260 4.5.1.3 The IAS registered symbol is to be used on IAS-endorsed certificates. The
261 IAS registered symbol may not be changed in any way, although it may be
262 enlarged or reduced.
- 263 4.5.1.4 The IAS registered symbol displayed on the personnel certification body's
264 IAS-endorsed certificates must include the name of the accredited program,
265 e.g., "Personnel Certification Body," provided the certificates relate to
266 categories that are within the personnel certification body's IAS-approved
267 scope of accreditation. Whenever the IAS symbol is used on a report
268 covering multiple categories, some of which are within the personnel
269 certification body's scope of accreditation and some of which are outside the
270 scope, the personnel certification body must clearly identify whatever portion
271 of the report is not covered by IAS accreditation.
- 272 4.5.2 It is the personnel certification body's responsibility to not misrepresent its
273 accreditation status in any way, and to secure IAS approval in advance
274 whenever there is a question about the personnel certification body's intended
275 use of the IAS name and/or symbol.

276 277 **4.6 Enumerated Conditions**

- 278 4.6.1 As a condition of IAS accreditation, the applicant agrees to inform IAS, in
279 advance, of any intended modification to its personnel certification processes
280 or management system.
- 281 4.6.2 As a condition of IAS accreditation, the applicant agrees to keep a record of all
282 significant complaints made known to the applicant relevant to its IAS-
283 accredited personnel certification program, and to make these records
284 available to IAS upon request. The applicant will take appropriate action with
285 respect to such complaints, and document the actions taken.

286 287 **5.0 RESPONSIBILITY OF INTERNATIONAL ACCREDITATION SERVICE**

- 288 5.1 **Accreditation Documents:** A certificate of accreditation and scope of accreditation
289 document shall be issued and maintained current for each accredited personnel
290 certification body upon satisfactory completion of the accreditation requirements. For
291 each accredited personnel certification body, the scope of accreditation shall be posted
292 on the IAS website. Accreditation actions will also be noted on the IAS website.

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294 5.2 **Fee Modifications:** Any modifications to the fees must be reviewed and approved by
295 the IAS president or his/her designee.

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297 5.3 **Proprietary Data:** Data in any accreditation file or application are considered
298 proprietary to the applicant. The data may be disclosed by IAS only upon the written
299 consent of the applicant or pursuant to subpoena issued by a court or other
300 governmental agency of competent jurisdiction. Proprietary data may also be disclosed
301 to a staff member of IAS or an authorized representative of IAS having a legitimate
302 interest therein; any duly identified representative of any personnel certification body, or
303 like person or organization who initially prepared the data, or a duly authorized
304 representative thereof stated to be an employee or principal thereof having a legitimate
305 interest therein. Governmental regulatory bodies may be granted access in the interest
306 of public safety or preservation of property as it relates to enforcement of
307 laws/regulations upon receipt of an official written request.

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309 5.4 **Access to Proprietary Data:** From time to time, IAS records and files are audited by
310 national and international bodies on a random basis to establish conformance with
311 international accreditation and conformity assessment standards. It is understood that,
312 by executing an accreditation application, personnel certification bodies grant IAS the
313 authority to allow such access.

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315 5.5 **Selection of Assessment Team:** IAS will provide an opportunity to the applicant or
316 accredited personnel certification body to appeal against an assessor or assessment
317 team assigned to assess the personnel certification body. This appeal must request in
318 writing with the reasons identified. IAS, in mutual agreement with the personnel
319 certification body, may arrange to assign a different assessor or assessment team for
320 the scheduled assessment.

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322 **6.0 DENIAL, REVOCATION, MODIFICATION, SUSPENSION OR CANCELLATION OF THE**
323 **ACCREDITATION, AND APPEALS**

324 6.1 Any accreditation is subject to denial, revocation, modification, suspension or
325 cancellation upon occurrence of any of the following:

326 6.1.1 Failure by the personnel certification body to comply with the current or
327 updated Rules of Procedure.

- 328 6.1.2 Failure to comply with the current or updated Accreditation Criteria.
- 329 6.1.3 Failure to comply with any condition to the issuance of the accreditation.
- 330 6.1.4 Any misstatement, whether intentionally or unintentionally made, in the
- 331 application or any data or documentation submitted in support thereof.
- 332 6.1.5 Failure to comply with any provision contained in the application.
- 333 6.1.6 Failure to comply with any terms of the management system documentation on
- 334 which the IAS accreditation was based.
- 335 6.1.7 Any other grounds considered as adequate cause in the judgment of IAS.
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337 **6.2 Appeals**

- 338 6.2.1 The denial, revocation, modification, suspension or cancellation of accreditation
- 339 may only be appealed by the holder of the accreditation.
- 340 6.2.2 Procedures for appeals of denial, revocation, modification, suspension or
- 341 cancellation of accreditation shall be in accordance with the Rules of Procedure
- 342 for Appeals Concerning International Accreditation Service, Inc., Actions. The
- 343 IAS president or his/her designee, or the Board of Directors, as the case may
- 344 be, may shorten any of the time periods set forth in the Rules of Procedure for
- 345 Appeals Concerning International Accreditation Service, Inc., Actions, if such
- 346 action is deemed necessary, in their discretion, in the interest of public safety
- 347 and welfare.
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349 **6.3 With No Right To Appeal:** Notwithstanding anything in these rules to the contrary, any

350 initial application, or accreditation may be denied, revoked, modified, suspended or

351 cancelled by the IAS president or his/her designee for any of the following reasons with

352 no right of appeal:

- 353 6.3.1 Failure to pay required fees to IAS within thirty days from the date of the
- 354 mailing by IAS of written demand for payment.
- 355 6.3.2 Failure to furnish any material or data relating to personnel certification body
- 356 accreditation required by IAS within the specified time limit, unless extended by
- 357 the IAS president or his/her designee.
- 358 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns
- 359 resulting from an IAS assessment report in the allotted time, unless extended
- 360 by the IAS president or his/her designee.

- 361 6.3.4 Failure to permit or submit to an assessment as set forth in Sections 2 and 3
362 and, if applicable, the special oversight requirements stipulated in Section 4.3
363 of the Rules of Procedure.
- 364 6.3.5 Failure to furnish information and/or submit to a remote surveillance
365 assessment as required in Section 3.2.3 of these rules within the specified time
366 limit.
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- 368 **6.4 Results Of Denial, Revocation, Modification, Suspension or Cancellation**
- 369 6.4.1 Upon the occurrence of any of the events set forth in Section 6.1 or Section
370 6.3, IAS, by the decision of its president or his/her designee, may choose any
371 of the following actions:
- 372 6.4.1.1 Denial of the application.
- 373 6.4.1.2 Revocation of the accreditation.
- 374 6.4.1.3 Modification of the accreditation, on such terms as determined by the IAS
375 president or his/her designee.
- 376 6.4.1.4 Suspension of the accreditation for such period on such terms as determined
377 by the IAS president or his/her designee.
- 378 6.4.1.5 Cancellation of the accreditation.
- 379 6.4.2 The decisions of the IAS president or his/her designee with respect to any of
380 the actions set forth in this section may become effective immediately if
381 deemed necessary, in the interest of public safety and welfare, may be stayed
382 pending an appeal pursuant to the Rules of Procedure for Appeals Concerning
383 International Accreditation Service, Inc., Actions, or may be otherwise stayed
384 on such terms and conditions as determined by the president or his/her
385 designee.
- 386 6.4.3 Upon revocation or cancellation of the accreditation or during any period of
387 suspension, unless this provision is specifically modified by the terms of the
388 suspension, the accredited personnel certification body shall discontinue all
389 use of the IAS symbol. The personnel certification body shall also immediately
390 discontinue any references to IAS accreditation on any reports, certificates, or
391 promotional material.
- 392 6.4.4 IAS shall have the right to immediately notify governmental jurisdictions and
393 any other interested parties of any improper and unauthorized reference to the
394 continuation of the accreditation, when in the sole judgment of IAS, as

395 determined by its president or his/her designee, such notification is necessary
396 in the interest of public safety or welfare.

397 6.4.5 Upon the determination by IAS that cause exists for any of the actions specified
398 in this section, with respect to the accreditation, IAS shall deliver to the
399 personnel certification body a written statement, signed by the IAS president or
400 his/her designee, setting forth the factual basis for such action. This written
401 statement shall include a specific reference to the cause for the action which is
402 set forth in the Rules of Procedure. ▪