

1 **RULES OF PROCEDURE FOR PRODUCT CERTIFICATION AGENCY ACCREDITATION**

2
3 **1.0 INTRODUCTION**

4 1.1 **Scope:** The purpose of these rules is to establish procedures governing accreditation of
5 Product Certification Agencies 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 product or product certification agency.

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12 1.2 **Reference Documents**

13 1.2.1 IAS Accreditation Criteria for Product Certification Agencies, AC370.

14 1.2.2 IAS Rules of Procedure for Appeals Concerning International Accreditation
15 Service, Inc., Actions

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17 **2.0 INITIAL ACCREDITATION**

18 2.1 **Initial Application, Fees and Assessment Costs**

19 2.1.1 Each initial application must be submitted through the IAS Customer portal.

20 2.1.2 The new applicant must submit appropriate basic fee and assessment cost as
21 identified in your quotation.

22 2.1.3 The basic fee covers one category of product certification, as applicable and as
23 provided in your quotation.

24 2.1.4 If any additional categories are identified during the course of accreditation,
25 additional fees may apply. Categories of product certification are broadly
26 categorized as a distinct expertise (e.g., building products, energy efficiency,
27 electrical, etc.).

28 2.1.5 Initial applications held for more than 180 days, without the applicant's having
29 fulfilled IAS requirements for accreditation, are subject to cancellation unless
30 such term is extended by the IAS president or his/her designee.

- 31 2.1.6 All IAS fees are nonrefundable.
- 32 2.1.7 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
33 charges are the responsibility of the applicant, and the applicant agrees to
34 reimburse IAS for any such taxes and charges imposed on IAS with respect to
35 services provided by IAS.
- 36 2.1.8 Required documentation as noted in Sections 4 and 5 of IAS AC370 must be
37 submitted.
- 38 2.1.9 Desired scope of accreditation detailing the categories for which accreditation
39 is sought must be submitted. As an example, the following format is
40 recommended:
- 41 **Fire Resistant Products and Components**
42 Door and Door Frame Hardware
43 Roof Covering Systems
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 categories of
50 product certification (refer to section 2.1.4) at the conclusion of the
51 accreditation process will be invoiced.

52 2.2 Initial Assessment

- 53 2.2.1 Upon receipt by IAS of the application, applicable fees, required documentation
54 and the desired scope of accreditation, IAS will process the application as
55 follows:
- 56 2.2.1.1 A review of submitted documentation will be conducted to determine
57 preliminary compliance with applicable requirements. A letter summarizing
58 preliminary observations will be relayed to the applicant, including a request
59 for any additional data which may be required prior to scheduling the initial
60 assessment.
- 61 2.2.1.2 An (optional) onsite pre-assessment visit may be scheduled at the discretion
62 of the applicant for the purpose of determining preliminary compliance with
63 applicable requirements. IAS and assessors shall ensure that no consultancy
64 is provided during this pre-assessment exercise.
65

66 2.2.1.3 **Initial Assessment:** In consultation with the applicant, initial onsite
67 assessments at the agency’s headquarters and in the field will be scheduled
68 to verify compliance with the accreditation requirements.

69 **Witnessing Inspection Activities:** IAS will witness onsite inspections
70 conducted by the applicant certification body. Selection of the number of
71 inspections to be witnessed, including scope and inspector for the witness, is
72 based on various factors – risk, complexity, technology utilized, etc. IAS
73 retains the right to select the inspectors and 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 product certification agency 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 product certification agency’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 product
89 certification agency within 30 days of submission of the assessment
90 report. While objective evidence addressing Concerns is not
91 mandatory, the product certification agency 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 product certification agency 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 product certification agency for the product
109 categories noted in the scope of accreditation certificate and available on the
110 IAS website.

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

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

116

117 **2.3 Assessment for Agencies Already Accredited by an IAS-recognized AB:** The
118 number of audit days for any onsite assessment may be reduced up to 50% by IAS if
119 the agency is already accredited to ISO/IEC Standard 17065 by an IAS-recognized
120 accreditation body (AB). For this to occur , the agency must be in good standing with
121 the AB. Additionally, the information listed below must be submitted to IAS for review
122 and a determination made by IAS that the onsite assessment time can be reduced and
123 to what extent:

124 2.3.1 Previous two years' worth of audit reports from your current AB.

125 2.3.2 Corrective actions for any deficiencies noted in those audit reports and AB's
126 sign off on the corrective actions or deficiencies, IAS will review them and
127 make a decision as to status.

128 2.3.3 Organizational chart (if not part of the quality management system manual).

129 2.3.4 Completed IAS ISO/IEC Standard 17065 checklist. Applicant may substitute
130 current AB's ISO/IEC Standard 17065 checklist if completed and equivalent in
131 content to IAS checklist.

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133 **3.0 MAINTENANCE OF ACCREDITATION**

134 **3.1 Renewal Application, Fees and Assessment Costs**

135 3.1.1 Each renewal application must be submitted through the IAS Customer portal.

136 3.1.2 An application to renew accreditation must be filed at least 15 days prior to the
137 expiration date if continued accreditation is desired and shall be accompanied
138 by the applicable fee as identified in the renewal notice.

139 3.1.3 Accreditation is subject to cancellation if an application to renew accreditation
140 is not completed by the renewal date.

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

145 3.1.5 All expenses, including but not limited to travel and staff time, related to the
146 assessments are reimbursable to IAS by the product certification agency.

147 3.1.6 Additional fees, if any, due to identification of any additional categories of
148 certification (refer to section 2.1.4) at the conclusion of the accreditation
149 process will be invoiced.
150

151 **3.2 Surveillance Assessment after Initial Year of Accreditation**

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

159 **3.2.2 Onsite Surveillance Assessment**

160 3.2.2.1 If IAS determines an onsite surveillance assessment is required, IAS staff will
161 contact the product certification agency to schedule the assessment.

162 3.2.2.2 At minimum, the following information shall be reviewed during the onsite
163 surveillance assessment: the product certification agency's internal audit,
164 management review and impartiality committee meeting reports/minutes; any
165 complaints; actions resulting from any Concerns noted in the previous
166 assessment report; any major changes in key personnel, facilities, or any

167 other significant changes in the scope of accreditation or the product
168 certification agency's management system.

169 3.2.2.3 Surveillance assessment process is similar to the initial assessment process
170 noted above.

171 3.2.2.4 IAS may decide not to grant accreditation to the accredited product
172 certification agency 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 3.2.2.5 For currently-accredited product certification agencies, failure to respond to
176 an IAS assessment report within 90 days will result in suspension of
177 accreditation and removal of the product certification agency's accreditation
178 certificate from the IAS website.

179 3.2.3 Remote Surveillance Assessment

180 3.2.3.1 If IAS determines that the product certification agency qualifies for a remote
181 surveillance assessment, the product certification agency shall provide the
182 following information: the product certification agency's internal audit,
183 management review and impartiality committee meeting reports/minutes; any
184 complaints; actions resulting from any Concerns noted in the previous
185 assessment report; any major changes in key personnel, facilities, or any
186 other significant changes I the scope of accreditation or the management
187 system of the product certification agency.

188 3.2.3.2 IAS will review the submittals and make a determination if the accreditation
189 can be continued or an onsite surveillance assessment is required.

190 3.2.3.3 IAS may decide not to grant accreditation to the accredited product
191 certification agency for not fulfilling accreditation requirements. Any applicant
192 denied accreditation may appeal this decision as per requirements noted
193 under Section 6 of these rules.

194 3.2.4 IAS will grant accreditation upon determination based on surveillance
195 assessment and completion of renewal application that the accredited product
196 certification agency has met the accreditation requirements for the categories
197 of certification noted in the scope of accreditation certificate and available on
198 the IAS website.

199 200 3.3 Onsite Reassessment

- 201 3.3.1 An onsite reassessment is required at the end of every two-year term
202 commencing from the date of initial accreditation.
- 203 3.3.2 In consultation with the accredited product certification agency, an onsite
204 assessment will be scheduled to verify compliance with the accreditation
205 requirements.
- 206 3.3.3 Onsite reassessment process is similar to the initial assessment process noted
207 above.
- 208 **Witnessing Inspection Activities:** IAS will witness onsite inspections
209 conducted by the accredited certification body. Selection of the number of
210 inspections to be witnessed, including scope and inspector for the witness, is
211 based on various factors – risk, complexity, technology utilized, etc. IAS retains
212 the right to select the inspectors and inspections to be witnessed.
- 213 3.3.4 For currently-accredited product certification agencies, failure to respond to an
214 IAS assessment report within 90 days will result in suspension of accreditation
215 and removal of the product certification agency’s accreditation certificate from
216 the IAS website.

217

218 3.4 **Scope Extension Assessments**

- 219 3.4.1 Requests for extension of scope require submission of a formal request
220 detailing the extension (e.g., categories of certification) requested.
- 221 3.4.2 Product certification agencies seeking extension of scope may be subject to an
222 onsite scope extension assessment, including witnessing of inspection
223 activities.
- 224 3.4.3 In consultation with the accredited product certification agency, an onsite
225 assessment will be scheduled.

226

227 3.5 **Extraordinary Assessments**

- 228 3.5.1 Extraordinary onsite assessments may be conducted, including unannounced
229 assessments, to investigate formal complaints or other changes in a product
230 certification agency’s status that may affect the ability of the product
231 certification agency to fulfill IAS requirements for accreditation.
- 232 3.5.2 All costs associated with the extraordinary assessment will be the responsibility
233 of the accredited product certification agency.

234

235 **4.0 RESPONSIBILITIES OF PRODUCT CERTIFICATION AGENCY**

236 4.1 **Changes to Product Certification Agency’s Accreditation Status:** Product
237 certification agencies accredited under these rules shall notify IAS in writing within thirty
238 days concerning the following:

239 4.1.1 Change in product certification agency name.

240 4.1.2 Change in product certification agency ownership.

241 4.1.3 Change in product certification agency address.

242 4.1.4 Changes in facilities, equipment, policies or procedures that affect the product
243 certification agency’s accreditation.

244 4.1.5 Changes in principal officers or key supervisory personnel.

245 4.1.6 Change in status, including but not limited to cancellation, revocation,
246 suspension or withdrawal of other accreditations maintained by the product
247 certification agency.

248

249 4.2 **Product Certification Agencies Operating Under Special**
250 **Jurisdictional/Governmental Regulations**

251 4.2.1 Regulatory entities may place specific compliance requirements on product
252 certification agencies operating within their jurisdiction. If a product certification
253 agency intends to seek acceptance of its certificates by these entities, they
254 must agree to comply with the additional assessment requirements, including
255 more frequent onsite assessments, as applicable.

256 4.2.2 By executing the IAS application for product certification agency accreditation,
257 the product certification agency agrees to furnish all needed documentation,
258 pay the required fees, perform additional witness inspections, or otherwise fully
259 comply with the requirements of the regulatory entities.

260

261 4.3 **Indemnification:** All applications for an IAS accreditation contain indemnification
262 provisions.

263

264 4.4 **Unannounced Assessments:** The product certification agency agrees to permit
265 unannounced assessments of its office and facilities by the IAS for cause, such as
266 formal complaints, pattern of nonconformance, regulatory requests, etc.

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268 4.5 **Usage of the IAS Name or Symbol by Accredited Product Certification Agencies**

- 269 4.5.1 An accredited product certification agency can make reference to its IAS
270 accreditation on its website, in its general literature and promotional materials,
271 and in business solicitations, under the following provisions:
- 272 4.5.1.1 The product certification agency may not reference its accredited status in
273 any way that indicates or implies accreditation in areas outside the actual
274 scope of the specific IAS accreditation; or that indicates or implies IAS
275 endorsement of any particular product, service or material certified by the
276 agency.
- 277 4.5.1.2 When the IAS name and/or the registered symbol are used, it shall be
278 accompanied by the word "ACCREDITED." The symbol must also include the
279 name of the accredited program, e.g., "Product Certification Agency."
- 280 4.5.1.3 When the IAS name or the registered symbol is printed on letterhead and/or
281 other product certification agency stationery, such stationery **may not** be
282 used for work proposals or quotations if none of the work is within the product
283 certification agency's current scope of accreditation with IAS.
- 284 4.5.1.4 The IAS registered symbol is to be used on IAS-endorsed certificates. The
285 IAS registered symbol may not be changed in any way, although it may be
286 enlarged or reduced.
- 287 4.5.1.5 The IAS registered symbol displayed on the product certification agency's
288 IAS-endorsed certificates must include the name of the accredited program,
289 e.g., "Product Certification Agency," provided the certificates relate to
290 categories that are within the product certification agency's IAS-approved
291 scope of accreditation. Whenever the IAS symbol is used on a certificate
292 covering multiple categories, some of which are within the product
293 certification agency's scope of accreditation and some of which are outside
294 the scope, the product certification agency must clearly identify whatever
295 portion of the certificate is not covered by IAS accreditation.
- 296 4.5.2 It is the product certification agency's responsibility to not misrepresent its
297 accreditation status in any way, and to secure IAS approval in advance
298 whenever there is a question about the product certification agency's intended
299 use of the IAS name and/or symbol.

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301

5.0 RESPONSIBILITY OF INTERNATIONAL ACCREDITATION SERVICE

302 5.1 **Accreditation Documents:** A certificate of accreditation and scope of accreditation
303 document shall be issued and maintained current for each accredited product
304 certification agency upon satisfactory completion of the accreditation requirements. For
305 each accredited product certification agency, the scope of accreditation shall be posted
306 on the IAS website. Accreditation actions will also be noted on the IAS website.

307
308 5.2 **Fee Modifications:** Any modifications to the fees must be reviewed and approved by
309 the IAS president or his/her designee.

310
311 5.3 **Proprietary Data:** Data in any accreditation file or application are considered
312 proprietary to the applicant. The data may be disclosed by IAS only upon the written
313 consent of the applicant or pursuant to subpoena issued by a court or other
314 governmental agency of competent jurisdiction. Proprietary data may also be disclosed
315 to a staff member of IAS or an authorized representative of IAS having a legitimate
316 interest therein; any duly identified representative of any product certification agency, or
317 like person or organization who initially prepared the data, or a duly authorized
318 representative thereof stated to be an employee or principal thereof having a legitimate
319 interest therein. Governmental regulatory bodies may be granted access in the interest
320 of public safety or preservation of property as it relates to enforcement of
321 laws/regulations upon receipt of an official written request.

322
323 5.4 **Access to Proprietary Data:** From time to time, IAS records and files are audited by
324 national and international bodies on a random basis to establish conformance with
325 international accreditation and conformity assessment standards. It is understood that,
326 by executing an accreditation application, product certification agencies grant IAS the
327 authority to allow such access.

328
329 5.5 **Selection of Assessment Team:** IAS will provide an opportunity to the applicant or
330 accredited product certification agency to appeal against an assessor or assessment
331 team assigned to assess the product certification agency. This appeal must request in
332 writing with the reasons identified. IAS, in mutual agreement with the product
333 certification agency, may arrange to assign a different assessor or assessment team for
334 the scheduled assessment.

335

336 **6.0 DENIAL, REVOCATION, MODIFICATION, SUSPENSION OR CANCELLATION OF THE**
337 **ACCREDITATION, AND APPEALS**

338 6.1 Any accreditation is subject to denial, revocation, modification, suspension or
339 cancellation upon occurrence of any of the following:

340 6.1.1 Failure by the product certification agency to comply with the current or
341 updated Rules of Procedure.

342 6.1.2 Failure to comply with the current or updated Accreditation Criteria.

343 6.1.3 Failure to comply with any condition to the issuance of the accreditation.

344 6.1.4 Any misstatement, whether intentionally or unintentionally made, in the
345 application or any data or documentation submitted in support thereof.

346 6.1.5 Failure to comply with any provision contained in the application.

347 6.1.6 Failure to comply with any terms of the management system documentation on
348 which the IAS accreditation was based.

349 6.1.7 Any other grounds considered as adequate cause in the judgment of IAS.

350

351 **6.2 Appeals**

352 6.2.1 The denial, revocation, modification, suspension or cancellation of accreditation
353 may only be appealed by the holder of the accreditation.

354 6.2.2 Procedures for appeals of denial, revocation, modification, suspension or
355 cancellation of accreditation shall be in accordance with the Rules of Procedure
356 for Appeals Concerning International Accreditation Service, Inc., Actions. The
357 IAS president or his/her designee, or the Board of Directors, as the case may
358 be, may shorten any of the time periods set forth in the Rules of Procedure for
359 Appeals Concerning International Accreditation Service, Inc., Actions, if such
360 action is deemed necessary, in their discretion, in the interest of public safety
361 and welfare.

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363 **6.3 With No Right To Appeal:** Notwithstanding anything in these rules to the contrary, any
364 initial application, or accreditation may be denied, revoked, modified, suspended or
365 cancelled by the IAS president or his/her designee for any of the following reasons with
366 no right of appeal:

367 6.3.1 Failure to pay required fees to IAS within thirty days from the date of the
368 mailing by IAS of written demand for payment.

- 369 6.3.2 Failure to perform any test or to furnish any material or data relating to product
370 certification agency accreditation required by IAS within the specified time limit,
371 unless extended by the IAS president or his/her designee.
- 372 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns
373 resulting from an IAS assessment report in the allotted time, unless extended
374 by the IAS president or his/her designee.
- 375 6.3.4 Failure to permit or submit to an assessment as set forth in Sections 2 and 3
376 and, if applicable, the special oversight requirements stipulated in Section 4.3
377 of the Rules of Procedure.
- 378 6.3.5 Failure to furnish information and/or submit to a remote surveillance
379 assessment as required in Section 3.2.3 of these rules within the specified time
380 limit.

381

382 **6.4 Results Of Denial, Revocation, Modification, Suspension or Cancellation**

- 383 6.4.1 Upon the occurrence of any of the events set forth in Section 6.1 or Section
384 6.3, IAS, by the decision of its president or his/her designee, may choose any
385 of the following actions:
- 386 6.4.1.1 Denial of the application.
- 387 6.4.1.2 Revocation of the accreditation.
- 388 6.4.1.3 Modification of the accreditation, on such terms as determined by the IAS
389 president or his/her designee.
- 390 6.4.1.4 Suspension of the accreditation for such period on such terms as determined
391 by the IAS president or his/her designee.
- 392 6.4.1.5 Cancellation of the accreditation.
- 393 6.4.2 The decisions of the IAS president or his/her designee with respect to any of
394 the actions set forth in this section may become effective immediately if
395 deemed necessary, in the interest of public safety and welfare, may be stayed
396 pending an appeal pursuant to the Rules of Procedure for Appeals Concerning
397 International Accreditation Service, Inc., Actions, or may be otherwise stayed
398 on such terms and conditions as determined by the president or his/her
399 designee.
- 400 6.4.3 Upon revocation or cancellation of the accreditation or during any period of
401 suspension, unless this provision is specifically modified by the terms of the
402 suspension, the accredited product certification agency shall discontinue all

403 use of the IAS symbol. The product certification agency shall also immediately
404 discontinue any references to IAS accreditation on any reports, certificates, or
405 promotional material.

406 6.4.4 IAS shall have the right to immediately notify governmental jurisdictions and
407 any other interested parties of any improper and unauthorized reference to the
408 continuation of the accreditation, when in the sole judgment of IAS, as
409 determined by its president or his/her designee, such notification is necessary
410 in the interest of public safety or welfare.

411 6.4.5 Upon the determination by IAS that cause exists for any of the actions specified
412 in this section, with respect to the accreditation, IAS shall deliver to the product
413 certification agency a written statement, signed by the IAS president or his/her
414 designee, setting forth the factual basis for such action. This written statement
415 shall include a specific reference to the cause for the action which is set forth in
416 the Rules of Procedure. ▪