

IAS Policy – Certification Bodies (CBs) maintaining CB Key Locations, Subcontractor Key Locations, Subcontractors, and CB Locations

1. Purpose

- a. This policy describes the IAS requirements, reporting considerations, assessment process, fees, and recognition details for accredited certification bodies (CBs) maintaining CB Key Locations, Subcontractor Key Locations and Subcontractors relating to the provision of accredited management systems certification.

2. Normative References

- a. ISO/IEC 17011:2017 – Requirements for accreditation bodies accrediting conformity assessment bodies.
- b. ISO/IEC 17011:2004 - Conformity assessment — General requirements for accreditation bodies accrediting conformity assessment bodies
- c. ISO/IEC 17021-1:2015 – Requirements for bodies providing audit and certification of management systems --Part 1: Requirements
- d. IAF MD 23:2018 - Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies
- e. IAFMD 15:2014 - Collection of Data to Provide Indicators of MSCB' Performance
- f. IAF/ILACA5:11/2013 - IAF/ILAC Multi-Lateral Mutual Recognition Arrangements

3. Terms and Definitions

- a. **CB Key Location:** Entities performing and/or managing key management system certification activities, on behalf of accredited certification bodies, **which are** wholly or partly owned or employed by the CB.

- b. **Subcontractor Key Location:** Entities performing and/or managing key management system certification activities, on behalf of accredited certification bodies, **which are not** wholly or partly owned or employed by the CB.
- c. **Subcontractor (No Key Activities):** Entities performing and/or managing processes related to management system activities, on behalf of accredited certification bodies, **which are not** wholly or partly owned or employed by the CB (processes include; marketing, communications, outreach, etc. This list is not all-inclusive; any activity not listed as a key activity in this policy (see 3f), related to the accredited CBs certification program is applicable.).
- d. **CB Location (No Key Activities):** Entities performing and/or managing processes related to management system activities, on behalf of accredited certification bodies, **which are** wholly or partly owned or employed by the CB (processes include; marketing, communications, outreach, etc. This list is not all-inclusive; any activity not listed as a key activity in this policy (see 3f), related to the accredited CBs certification program is applicable.).
- e. **Entity/Entities:** Collective term used in this document to describe any/all of the above four location types.
- f. **Key Management System Certification Activities:** Policy formulation; Process and/or procedure development; Initial approval of auditing personnel, or control of their training; On-going monitoring of auditing personnel; Application review; Assignment of auditing personnel; Control of surveillance or recertification audits; Final report review or certification decision or approval.

4. Requirements

- a. Any CB wishing to utilize CB Key Locations, Subcontractor Key Locations, Subcontractors (no key activities) and/or CB Locations (no key activities) to support their accredited certification processes must complete and submit an IAS MSCB Application for Related Entities.

Note: Please allow up to 30 days for IAS processing of the applications.

- b. Additionally, CBs must submit the following records for each CB Key Location, Subcontractor Key Location, Subcontractor and/or CB Location (See IAF MD23 for further details):
 - i. Verification of legal status of Entity (Business license, Gazette, Tax Registration, etc.)

- ii. Risk Assessment including information regarding countries of operation
 - iii. Verification of insurance coverage of Entity
 - iv. Legally enforceable arrangement/agreement/contract with Entity
 - v. List of countries in which entity is operating/issuing certificates on behalf of the accredited CB
- c. IAS accreditation mark usage: Only the accredited CB, CB key locations and CB Locations can use the IAS accreditation mark. Subcontractor Key Locations and/or Subcontractors **are not** permitted to claim accreditation or use the IAS accreditation mark.
- d. All accreditation requirements (ISO/IEC 17021 series of standards, AC 477, applicable IAF MDs, etc.) are applicable for the operation of any Entity related to the accredited CBs certification process and shall be subject to IAS assessment at any time.
- e. Yearly internal audits: All CBs shall conduct yearly on-site internal audits (including witnessing of certification audits) of any Entity related to the accredited CBs certification process. (See IAF MD23 for further details)
- f. All country specific requirements related to the provision of accredited certification (national legislation, national registration requirements, regulatory agency reporting requirements, etc.) shall be documented and available for IAS assessor review.
- g. CBs are responsible to immediately inform IAS of any changes regarding related entities – changes include:
- i. Name of Company
 - ii. Address of Company
 - iii. Contact Person/Details
 - iv. Countries of Operation
 - v. Status – whether the related entity has ceased work, or has taken on new responsibilities
 - vi. Changes to the contract

5. IAS Notification of Local ABs

- a. ABs have been encouraged to share information regarding Entities operating on behalf of accredited CBs in foreign markets. To this point, IAS may provide local ABs with the name,

location, and a description of activities of any Entity operating on behalf of an IAS accredited CB in a foreign economy. Additionally, IAS may provide local ABs with information pertaining to the termination of any agreements between an accredited CB and any Entity due to fraudulent or unethical behavior and information pertaining to poorly performing Entities.

6. IAS Assessment of Entities

- a. On a case by case basis, IAS shall determine the need and frequency of on-site assessment (office and/or witness) for each Entity related to an IAS accredited CB. Depending on results of IAS independent review of various performance indicators, frequency of on-site assessments can be adjusted at any time.

Note: Negative findings arising from the assessment of a related Entity may impact the accredited CBs accreditation status and could result in the suspension or cancellation of an accredited CB.

- b. CB Key Locations and Subcontractor Key Locations shall be assessed on-site (office and/or witness) at least once per accreditation cycle.
 - i. For new applicant CBs (CBs not yet IAS accredited), visits to all CB Key Locations and Subcontractor Key Locations will be included in the initial assessment. (See ISO/IEC 17011:2004 clause 7.5.7)
 - ii. For existing IAS accredited CBs, visits to all CB Key Locations and Subcontractor Key Locations will be included during the accreditation cycle. (See ISO/IEC 17011:2004 clause 7.5.8)
- c. Subcontractors and CB Locations shall be assessed as needed based on IAS risk assessment and independent review of responsibilities, performance, and market intelligence.
- d. IAS accredited CBs are responsible for all costs incurred during these assessments; including but not limited to:
 - i. Travel Time
 - ii. Assessment Time
 - iii. Airfare
 - iv. Meals, Hotels, Ground Transport and other Incidentals

7. Fees related to Entities

- a. IAS will charge a fee at addition of related entities and an additional fee each year during renewal.
 - i. Please contact IAS for information on fees.

8. IAS Recognition of Entities/Scope of Accreditation

- a. IAS will list all related Entities on the accredited CBs published scope of accreditation.
- b. This listing does not indicate that the related Entities are accredited or endorsed by IAS in any capacity. All legal situations arising from related Entities are the sole responsibility/liability of the accredited CB. Listing of Entities on the scope of accreditation is for informational purposes only.
- c. The listing will appear similar to the below example:

Type of Entity	Name of Entity	Address of Entity	Contact Details for Entity	Countries of Operation
CB Key Location	QMS – CB Inc.	1234 Example St., Brea, CA, 92821, USA	John Doe Jdoe@email.com +1 (714) 867-5309	USA, Canada, Mexico, India, Japan, S. Korea
Subcontractor Key Location	Audit Scheduling LLC.	9876 IE Rd., Gurugram, Delhi, 011245, India	A.B. Chana abchana@email.com +91 (483) 267-5489	India, Nepal, Pakistan, UAE
Subcontractor (No Key Activities)	Marketing Specialists Pvt. Ltd.	1928 Outsource Ct., Montreal, Quebec, 562-ABC, Canada	J.L. Picard JLPicard@email.com +1 (423) 789-6543	Canada, USA, Mexico, Greenland
CB Location (No Key Activities)	QMS – CB Inc. – Marketing Location	6789 CB Ln., New York, New York, 45687, USA	T. Paris tparis@vger.com +1 (123) 867-5309	USA, Canada, Mexico, India, Japan, S. Korea