

## RULES OF PROCEDURE FOR MANAGEMENT SYSTEM CERTIFICATION BODY ACCREDITATION

### 1.0 PURPOSE AND SCOPE

These rules establish procedures for the accreditation, by International Accreditation Service (IAS), of third party Management Systems (MS) certification bodies (CB) under ISO/IEC Standard 17021: Conformity assessment – Requirements for bodies providing audit and certification of management systems. Accreditation by IAS under this program signifies that the certification body is competent to offer MS certification based on Management System disciplines such as Quality Management Systems (QMS) under ISO 9001, Environmental Management Systems (EMS) under ISO 14001, Food Safety Management Systems (FSMS) under ISO 22000, Information Security Management Systems (ISMS) under ISO 27001 or other related disciplines based on specific criteria as approved by IAS. The CB must demonstrate its competence for the respective discipline(s) and the technical categories or sectors for which accreditation is sought, in accordance with ISO/IEC 17021 and IAS requirements.

Accreditations do not make any representation nor should they be construed as making any representation regarding attributes not specifically addressed by the accreditation. Accreditations also do not constitute an endorsement or recommendation for use of a particular certification body or certified organization. Accreditation attests to compliance by the certification body to the IAS Accreditation Criteria for Management System Certification Bodies (AC477).

### 2.0 APPLICATION

#### 2.1 General

Applications for accreditation of MS certification bodies shall be filed on forms provided for this purpose. Application packages will not be accepted unless they are fully executed in the manner required by IAS. An application is required for each MS certification body seeking accreditation.

#### 2.2 Fees

##### 2.2.1 Initial Application

2.2.1.1 To receive a fee quotation for accreditation, please email [GetAQuote@iasonline.org](mailto:GetAQuote@iasonline.org) or call 866.427.4422. For international calls, +1 562.364.8201.

2.2.1.2 Each initial application shall be accompanied by the basic new application fee as provided in your quotation.

2.2.1.3 The basic fee covers one discipline and similar sectors of MSCB certification as applicable and as provided in your quotation. Additional disciplines and/or additional sectors within a discipline require a supplementary charge as provided in your quotation. Normally, an “additional discipline or additional sectors within a discipline of MSCB certification” will involve a distinct expertise (e.g., food, EMS, etc.). For example, a discipline refers to EMS ISO 14001, QMS ISO 9001, FSMS ISO 22000, ISMS ISO 27001, etc., and a sector/category refers to, for example under EMS, pulp, paper and paper products.

2.2.1.4 The filing fees include issuance of the accreditation certificate.

2.2.1.5 Fees are charged to reinstate expired or canceled accreditations.

2.2.1.6 Each new accreditation is valid for a one-year period from the accreditation date.

#### 2.2.2 Renewing Accreditation

2.2.2.1 An application to renew accreditation must be filed at least 15 days prior to the expiration date if continued accreditation is desired and shall be accompanied by the applicable fee. Application for renewal is for a one-year period.

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

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

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

**2.2.5 Nonrefundable:** All IAS fees are in U.S. dollars and are nonrefundable.

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

### 3.0 DATA

One complete set of data as set forth in Section 3.0 must be submitted with each application. Electronic submission is preferred.

**3.1** The name of the responsible officer of the body and the headquarters' address must be submitted.

→ **3.2** Management system documentation must be submitted that indicates compliance with the IAS Accreditation Criteria for Management System Certification Bodies (AC477). The management system manual must be signed and currently dated by a responsible officer of the MS certification body verifying that the information provided is true and correct.

**3.3** MS certification body programs must be under the supervision of an individual with demonstrated expertise, experience and familiarity with the specific type(s) of disciplines, service(s) and standards to be certified.

**3.4** IAS may at any time, in addition to the data submitted as provided above, require other information regarding the management system of the CB.

#### **4.0 PROCESSING**

Upon receipt by IAS of applicable fees, applications will be processed to their completion, which will be one of the following:

→ **4.1** Accreditation upon determination by IAS that, based on review of evidence submitted and on-site assessments, the applicant possesses the expertise, facilities and independence to properly act as a MS certification body for the specific discipline(s) and sector(s) requested in the application.

**4.2** Disapproval for lack of evidence that justifies accreditation as described in Item 4.1 above.

**4.3** Upon satisfactory compliance with all IAS requirements, closure of all assessment findings, and payment of all fees, an accreditation certificate shall be issued by IAS.

#### **5.0 ASSESSMENTS**

→ **5.1 Initial Assessment:** Prior to granting accreditation, the CB office and the CB's client field (witness) assessments must be completed by IAS to evaluate expertise and compliance in the discipline(s) and sector(s) for which accreditation is being sought. Witnessing of the CB's certification audits at a client's site (also referred to as witness field assessments) by IAS is a key requirement under the international standard.

The applicant and/or accredited CB have the right to appeal against an assessor or assessment team assigned to assess the CB for reasons of conflict of interest. This appeal must be requested in writing with the reasons identified. IAS, in mutual agreement with the applicant or accredited CB, may arrange to assign a different assessor or assessment team for the scheduled visit.

The number of audit days for any on-site assessment may be reduced by IAS if the MSCB is transferring its accreditation under ISO/IEC 17021 previously accredited by one of the International Accreditation Forum (IAF) Multilateral Recognition Arrangement (MLA) signatories.

For this to occur, the MSCB must be in good standing with the IAF MLA signatory accreditation body at the time of transfer. Additionally, the information listed below must be submitted to IAS for review and a determination will be made by IAS on the extent and reduction of the duration of assessment time. Records of past accreditations that may be required are:

- Previous two years' worth of audit reports from your current AB.
- Corrective actions for any deficiencies noted in those audit reports and AB's sign off on the corrective actions (if applicant and AB differ on any corrective actions or deficiencies, IAS will review them and make a determination as to status).
- Organizational chart (if not part of the management system documentation).
- Completed IAS ISO/IEC 17021 and specific MSCB checklists.

**5.2 Surveillance Assessment after Initial Year of Accreditation:** After the initial year of accreditation, MS certification bodies are subject to an on-site surveillance assessment or a remote surveillance assessment, based on the number of disciplines, as shown on your fee quotation. The surveillance assessment shall include, at a minimum, review of the quality management system including the following: internal audit reports; minutes of management review meetings; any changes in key personnel, facilities or any other significant changes in the scope of accreditation or the management system of the agency.

**5.3 Reassessments:** A full on-site reassessment is required, at a minimum, at the end of every two-year term commencing from the date of the surveillance visit to verify continued compliance with IAS accreditation requirements. Supplementary on-site reassessments may be conducted to investigate formal complaints or other changes in a CB's status that may affect the ability of the CB to fulfill IAS requirements for accreditation.

#### **6.0 EXPENSE REIMBURSEMENT**

**6.1** All expenses, including but not limited to travel and staff time, related to the assessments noted under Section 5.0 are reimbursable to IAS by the MSCB.

→ **6.2** IAS shall be permitted to conduct unannounced visits of the facilities of any MSCB it accredits. When an IAS representative is required to witness audits, conduct field investigations or investigate formal complaints, all related expenses, including travel and staff time, are reimbursable to IAS by the MS certification body.

#### **7.0 MAINTENANCE OF ACCREDITATION**

**7.1** Accredited MS certification bodies accredited under these rules shall notify IAS in writing within thirty days if there are changes in:

- 7.1.1** Company name or address.
- 7.1.2** Company ownership.
- 7.1.3** The CB's principal officers or key supervisory personnel.

**7.1.4** Facilities, equipment, policies or procedures that might affect the body's accreditation.

**7.1.5** Any other accreditation the CB maintained that was cancelled, revoked, suspended, withdrawn and/or removed from listing.

**7.1.6** Locations where certifications are being issued or distributed.

**7.2** IAS may assess the CB or the CB's certified customers without any or with limited time notice to the CB. Therefore, the CB must include in its contractual agreements with its customers, their responsibility to accept and facilitate IAS assessments of their management systems. Failure to accept and/or facilitate such assessments may result in suspension or withdrawal of the CB's accreditation.

**7.3** Requests for extension of scope require submission of a new application form detailing the extension (e.g., disciplines/sectors) requested.

## **8.0 RIGHT TO APPEAL DECISIONS INVOLVING ISSUANCE OF ACCREDITATION OR DENIAL THE APPLICATION**

**8.1** The applicant seeking issuance of an accreditation may appeal a written decision of IAS involving the cancellation of the application or the issuance of or refusal to issue the accreditation for which the applicant has submitted an application. This right to appeal shall apply to applicants for initial accreditations and applicants seeking renewal. Only the affected applicant may appeal the decision of IAS regarding the subject application.

**8.2** Procedures for appeals of denial of accreditation shall be in accordance with the Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions.

## **9.0 PROPRIETARY DATA**

Data in any accreditation file or application are considered proprietary to the applicant. The data may be disclosed by IAS only upon the written consent of the applicant or pursuant to subpoena issued by a court or other governmental agency of competent jurisdiction. Proprietary data may also be disclosed to an IAS Accreditation Committee member, a staff member of IAS or an authorized representative of IAS having a legitimate interest therein; any duly identified representative of the applicant; any duly identified person or organization who initially prepared the data, having a legitimate interest therein. Governmental regulatory bodies may be granted access to the data in the interest of public safety or preservation of property as it relates to enforcement of laws/regulations upon receipt of an official written request.

From time to time, IAS records and files are audited by national and international bodies on a random basis to establish conformance with international accreditation and conformity assessment standards. It is understood that, by executing an accreditation application, applicants grant IAS the authority to allow such access.

## **10.0 ACCREDITATION DOCUMENTS AND LISTINGS**

→ A certificate of accreditation shall be issued and maintained current for each CB upon satisfactory completion of the accreditation requirements. For each accredited CB, a listing shall be posted on the IAS website. Accreditation actions will also be noted on the IAS website.

## **11.0 INDEMNIFICATION**

All applications for an IAS accreditation shall contain such indemnifications and like provisions running in favor of IAS, its parent corporation, ICC, the directors, officers, agents and employees of both entities as the board of directors of IAS shall from time to time require.

## **12.0 USAGE OF THE IAS NAME OR SYMBOL BY ACCREDITED BODIES**

**12.1** An accredited MS certification body can make reference to its IAS accreditation in its general literature and promotional materials, and in business solicitations, under the following provisions:

**12.1.1** The MS certification 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, service or material certified by the body.

**12.1.2** When the IAS name and/or the registered symbol are used on the CB's letterhead or in other general literature or promotional materials, it shall be accompanied by the word "ACCREDITED." The symbol must also include the name of the accredited program, e.g., "Management System Certification." When the IAS name or symbol is printed on letterhead and/or other CB stationery, such stationery may not be used for work proposals or quotations if none of the work is within the CB's scope of accreditation with IAS.

**12.1.3** The IAS symbol is to be used on IAS-endorsed certifications. The IAS symbol may not be changed in any way, although it may be enlarged or reduced.

**12.1.4** When the IAS name and/or symbol is used on a business solicitation, such as a work proposal or quotation, the CB must attach to the solicitation a copy of its current IAS certificate of accreditation, so as to make clear the MS discipline(s) and sectors fall within the CB's scope of accreditation.

**12.1.5** The IAS symbol displayed on the CB's IAS-endorsed certificates must include the name of the accredited program, e.g., "Management System Certification" provided the certificates relate to disciplines that are within the CB's IAS-approved scope of accreditation. Whenever the IAS symbol is used on a certificate covering multiple disciplines, some of which are within the CB's scope of accreditation and some of which are outside the scope, the CB must clearly identify whatever portion of the disciplines are not covered by IAS accreditation.

**12.2** It is the CB'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 body's intended use of the IAS name and/or symbol.

**12.3** IAS permits the use of the IAS symbol by certified organizations. However, this must be managed, controlled and supervised by the accredited CB. The accredited CB's logo, including the words: "ACCREDITED Management System Certification," must accompany the accreditation body symbol when making reference to the accredited certificates issued to the certified organizations.

**12.4** IAS-accredited CBs shall not issue non-accredited management systems certificates in scopes for which they are accredited. CBs are entitled to issue non-accredited certificates for scopes that are not accredited by the accreditation body. This requirement is implemented in accordance with the IAF Resolution 2015-14, *"The General Assembly, acting on the recommendation of the Technical Committee, resolved that IAF Accreditation Body members shall have legally enforceable arrangements with their accredited CABs that prevents the CAB from issuing non-accredited management systems certificates in scopes for which they are accredited."*

**12.5** Where a certified organization misuses the reference to IAS or the IAS symbol in any form or manner, the accredited CB must take all actions necessary to correct the misuse and immediately inform IAS of the corrective actions taken by the certified organization. When suitable and timely action is not taken by the accredited CB, IAS reserves the right to revoke, modify, suspend or cancel the accreditation.

### **13.0 REVOCATION/MODIFICATION/SUSPENSION/CANCELLATION OF ACCREDITATION WITH RIGHT TO APPEAL**

→ **13.1** Any accreditation is subject to revocation, modification, suspension or cancellation upon occurrence of any of the following reasons:

**13.1.1** Failure to comply with the current or updated Rules of Procedure.

→ **13.1.2** Failure to comply with any condition to the issuance of the accreditation.

**13.1.3** Any misstatement, whether intentionally or unintentionally made, in the application or any data submitted in support thereof.

**13.1.4** Failure to comply with any provision contained in the application.

**13.1.5** Failure to comply with new, existing or revised accreditation criteria adopted by IAS following public hearing.

**13.1.6** Failure to comply with any terms of the management system documentation on which the IAS accreditation was based referred to in Section 3 of these Rules of Procedure.

**13.1.7** Any other grounds considered as adequate cause in the judgment of IAS.

**13.2** The revocation, modification, suspension or cancellation of accreditation may only be appealed by the holder of the accreditation.

**13.3** Procedures for appeals of revocation, modification, suspension or cancellation of accreditation

shall be in accordance with the Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions. The IAS president or his/her designee, or the Board of Directors, as the case may be, may shorten any of the time periods set forth in the Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions, if such action is deemed necessary, in their discretion, in the interest of public safety and welfare.

### **14.0 REVOCATION/MODIFICATION/SUSPENSION/CANCELLATION WITHOUT RIGHT TO APPEAL**

Notwithstanding anything in these rules to the contrary, any initial application or accreditation may be revoked, modified, suspended or cancelled by the IAS president or his/her designee for any of the following reasons with no right of appeal: ←

**14.1** Required fees having not been received by IAS within 30 days from the date of the mailing by IAS of a written demand for payment.

**14.2** Failure to furnish any material or data relating to MS certification body accreditation required by IAS within the specified time limit, unless extended by the president or his/her designee.

**14.3** Failure to respond and resolve IAS Corrective Action Requests or Concerns resulting from an IAS assessment report in the allotted time unless extended by the IAS president or his/her designee.

**14.4** Failure to permit or submit to an on-site assessment as set forth in Section 5.0.

**14.5** Failure to furnish information and/or submit to a remote surveillance assessment, if applicable, as required in Section 5.4 of these rules within the specified time limit.

### **15.0 RESULTS OF REVOCATION/MODIFICATION/SUSPENSION/CANCELLATION**

**15.1** Upon the occurrence of any of the events set forth in Section 13.1 or Section 14.0, IAS, by the decision of its president or his/her designee, may choose any of the following actions:

**15.1.1** Revocation of the accreditation.

**15.1.2** Modification of the accreditation, on such terms as determined by the IAS president or his/her designee.

**15.1.3** Suspension of the accreditation for such period on such terms as determined by the IAS president or his/her designee.

**15.1.4** Cancellation of the accreditation.

**15.2** The decisions of the IAS president or his/her designee with respect to any of the actions set forth in Section 15.1 may become effective immediately if deemed necessary, in the interest of public safety and welfare, may be stayed pending an appeal pursuant to the Rules of Procedure for Appeals Concerning International Accreditation Service, Inc., Actions, or may be otherwise stayed on such terms and conditions as determined by the president or his/her designee.

**15.3** Upon revocation or cancellation of the accreditation or during any period of suspension, unless this provision is specifically modified by the terms of the

suspension, the accredited MS certification body shall discontinue all use of the IAS symbol. Upon revocation or cancellation of accreditation, the MS certification body shall return any certificate of accreditation to IAS. The MS certification body shall also immediately discontinue any references to IAS accreditation on any reports, certificates, or promotional material.

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

**15.5** Upon the determination by IAS that cause exists for any of the actions specified in Section 15.1 above, with respect to the accreditation, IAS shall deliver to the MS certification body a written statement, signed by the IAS president or his/her designee, setting forth the factual basis for such action. This written statement shall include a specific reference to the cause for the action which is set forth in the Rules of Procedure. This statement shall be delivered to the MS certification body by certified or registered United States mail, with postage prepaid, to the most current address of the MS certification body contained in the records of IAS. ■