



1 **RULES OF PROCEDURE FOR FIELD EVALUATION BODY ACCREDITATION**

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3 **1.0 INTRODUCTION**

4 1.1 **Scope:** The purpose of these rules is to establish procedures governing accreditation of
5 Field Evaluation Bodies 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 evaluation body.

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12 **1.2 Reference Documents**

13 1.2.1 IAS Accreditation Criteria for Field Evaluation of Unlisted Electrical Equipment,
14 AC354.

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

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18 **2.0 INITIAL ACCREDITATION**

19 **2.1 Initial Application, Fees and Assessment Costs**

20 2.1.1 Each initial application must be submitted through the IAS Customer portal.

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

23 2.1.3 Initial applications held for more than 180 days, without the applicant's having
24 fulfilled IAS requirements for accreditation, are subject to cancellation unless
25 such term is extended by the IAS president or his/her designee.

- 26 2.1.4 All IAS fees are nonrefundable.
- 27 2.1.5 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
- 28 charges are the responsibility of the applicant, and the applicant agrees to
- 29 reimburse IAS for any such taxes and charges imposed on IAS with respect to
- 30 services provided by IAS.
- 31 2.1.6 Required documentation as noted in Sections 4 and 5 of IAS AC354 must be
- 32 submitted.
- 33 2.1.7 Desired scope of accreditation detailing the product groups for which
- 34 accreditation is sought must be submitted. As an example, the following format
- 35 is recommended:
- 36 [Product Groups] Power distribution equipment
- 37 Luminaries
- 38 2.1.8 IAS may at any time, in addition to the required documentation noted above,
- 39 require other information.
- 40 2.1.9 Initial applicants will be invoiced for the balance of costs and expenses
- 41 resulting from the onsite assessment.

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43 2.2 Initial Assessment

- 44 2.2.1 Upon receipt by IAS of the application, applicable fees, required documentation
- 45 and the desired scope of accreditation, IAS will process the application as
- 46 follows:
- 47 2.2.1.1 A review of submitted documentation will be conducted to determine
- 48 preliminary compliance with applicable requirements. A letter summarizing
- 49 preliminary observations will be relayed to the applicant, including a request
- 50 for any additional data which may be required prior to scheduling the initial
- 51 assessment.
- 52 2.2.1.2 An (optional) onsite pre-assessment visit may be scheduled at the discretion
- 53 of the applicant for the purpose of determining preliminary compliance with
- 54 applicable requirements. IAS and assessors shall ensure that no consultancy
- 55 is provided during this pre-assessment exercise.
- 56 2.2.1.3 **Initial Assessment:** In consultation with the applicant, an initial onsite
- 57 assessment will be scheduled to verify compliance with the accreditation
- 58 requirements.

59 **Witnessing Inspection Activities:** IAS will witness onsite inspections
60 conducted by the applicant evaluation body. Selection of the number of
61 inspections to be witnessed, including scope and inspector for the witness, is
62 based on various factors – risk, complexity, technology utilized, etc. IAS
63 retains the right to select the inspectors and inspections to be witnessed.

64 **2.2.1.4 Response to Assessment Report:** A written response to any Corrective
65 Action Requests (CARs) and Concerns identified during the initial
66 assessment shall be submitted to IAS within thirty (30) days of the conclusion
67 of the assessment as follows:

68 2.2.1.4.1 Corrective Action Requests (CARs) require a mandatory response on
69 actions taken by the evaluation body to resolve the CARs, including
70 objective evidence substantiating the actions taken. The response
71 must include root cause analysis to support CAR closures where
72 appropriate. Resolution of CARs requiring revisions to the evaluation
73 body’s management and technical system must be documented and
74 submitted to IAS. Objective evidence may be in the form of revisions
75 to procedures, additional training, mentoring and monitoring given to
76 personnel accompanied by appropriate records, and/or other data.

77 2.2.1.4.2 Concerns require a mandatory written response from the evaluation
78 body within 30 days of submission of the assessment report. While
79 objective evidence addressing Concerns is not mandatory, the
80 evaluation body must inform IAS on the action taken or intended
81 action to be undertaken with a timeline for completion. The action
82 taken by the organization to implement actions to resolve concerns
83 will be verified at the agency’s next scheduled assessment or during a
84 follow-up assessment.

85 2.2.1.4.3 If more than 30 days are needed to resolve CARs or Concerns, the
86 evaluation body must request, in writing, for an extension from IAS.
87 Requests for an extension should be accompanied by a reasonable
88 estimate on when the responses will be submitted for review.

89 2.2.1.4.4 IAS reserves the right to conduct a follow-up assessment to determine
90 if CARs and Concerns have been satisfactorily resolved.

- 91 2.2.1.4.5 Failure to resolve all CARS and Concerns within six months from the
92 date of assessment will result in a reassessment or further action
93 against the accreditation as called for in these rules.
- 94 2.2.2 IAS will grant accreditation upon determination that based on the onsite
95 assessment and review of evidence submitted, the applicant has met all the
96 accreditation requirements as an evaluation body for the product groups noted
97 in the scope of accreditation certificate and available on the IAS website.
- 98 2.2.3 IAS may decide not to grant accreditation to the applicant for not fulfilling
99 accreditation requirements. Any applicant denied accreditation may appeal this
100 decision as per requirements noted under Section 6.2 of these rules.
- 101 2.2.4 Each initial accreditation is valid for a one-year period from the accreditation
102 date.
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104 **3.0 MAINTENANCE OF ACCREDITATION**

105 **3.1 Renewal Application, Fees and Assessment Costs**

- 106 3.1.1 Each renewal application must be submitted through the IAS Customer portal.
- 107 3.1.2 An application to renew accreditation must be filed at least 15 days prior to the
108 expiration date if continued accreditation is desired and shall be accompanied
109 by the applicable fee as identified in the renewal notice.
- 110 3.1.3 Accreditation is subject to cancellation if an application to renew accreditation
111 is not completed by the renewal date.
- 112 3.1.4 **Taxes and charges:** All sales, use, excise, value-added and similar taxes and
113 charges are the responsibility of the applicant, and the applicant agrees to
114 reimburse IAS for any such taxes and charges imposed on IAS with respect to
115 services provided by IAS.
- 116 3.1.5 All expenses, including but not limited to travel and staff time, related to the
117 assessments are reimbursable to IAS by the evaluation body.

118 **3.2 Surveillance Assessment after Initial Year of Accreditation**

- 119 3.2.1 All accredited evaluation bodies are subject to a surveillance assessment at the
120 end of the initial year of accreditation. IAS will determine whether the
121 surveillance assessment may be conducted remotely or onsite. Determination
122 will be based on factors including: severity of CARs and Concerns from the
123 initial assessment, changes in the management system as indicated in the

124 renewal application, complaints received by IAS in the past year and the risk
125 associated with the scope of accreditation.

126 **3.2.2 Onsite Surveillance Assessment**

127 3.2.2.1 If IAS determines an onsite surveillance assessment is required, IAS staff will
128 contact the evaluation body to schedule the assessment.

129 3.2.2.2 At minimum, the following information shall be reviewed during the onsite
130 surveillance assessment: the evaluation body's internal audit and
131 management review reports/minutes; any complaints; actions resulting from
132 any Concerns noted in the previous assessment report; any major changes in
133 key personnel, facilities, or in the evaluation body's management system.

134 3.2.2.3 Surveillance assessment process is similar to the initial assessment process
135 noted above.

136 3.2.2.4 IAS may decide not to grant accreditation to the accredited evaluation body
137 for not fulfilling accreditation requirements. Any applicant denied accreditation
138 may appeal this decision as per requirements noted under Section 6 of these
139 rules.

140 3.2.2.5 For currently-accredited evaluation bodies, failure to respond to an IAS
141 assessment report within 90 days will result in suspension of accreditation
142 and removal of the evaluation body's accreditation certificate from the IAS
143 website.

144 **3.2.3 Remote Surveillance Assessment**

145 3.2.3.1 If IAS determines that the evaluation body qualifies for a remote surveillance
146 assessment, the evaluation body shall provide the following information: the
147 evaluation body's internal audit and management review reports/minutes; any
148 complaints; actions resulting from any Concerns noted in the previous
149 assessment report; any major changes in key personnel, facilities, or in the
150 evaluation body's management system.

151 3.2.3.2 IAS will review the submittals and make a determination if the accreditation
152 can be continued or an onsite surveillance assessment is required.

153 3.2.3.3 IAS may decide not to grant accreditation to the accredited evaluation body
154 for not fulfilling accreditation requirements. Any applicant denied accreditation
155 may appeal this decision as per requirements noted under Section 6 of these
156 rules.

157 3.2.4 IAS will grant accreditation upon determination based on surveillance
158 assessment and completion of renewal application that the accredited
159 evaluation body has met the accreditation requirements for the program groups
160 noted in the scope of accreditation certificate and available on the IAS website.
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162 3.3 Onsite Reassessment

163 3.3.1 An onsite reassessment is required at the end of every two-year term
164 commencing from the date of initial accreditation.

165 3.3.2 In consultation with the accredited evaluation body, an onsite assessment will
166 be scheduled to verify compliance with the accreditation requirements.

167 3.3.3 Onsite reassessment process is similar to the initial assessment process noted
168 above.

169 **Witnessing Inspection Activities:** IAS will witness onsite inspections
170 conducted by the accredited evaluation body. Selection of the number of
171 inspections to be witnessed, including scope and inspector for the witness, is
172 based on various factors – risk, complexity, technology utilized, etc. IAS retains
173 the right to select the inspectors and inspections to be witnessed.

174 3.3.4 For currently-accredited evaluation bodies, failure to respond to an IAS
175 assessment report within 90 days will result in suspension of accreditation and
176 removal of the evaluation body's accreditation certificate from the IAS website.
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178 3.4 Scope Extension Assessments

179 3.4.1 Requests for extension of scope require submission of a formal request
180 detailing the extension (e.g., program groups) requested.

181 3.4.2 Evaluation bodies seeking extension of scope may be subject to an onsite
182 scope extension assessment.

183 3.4.3 In consultation with the accredited evaluation body, an onsite assessment will
184 be scheduled.
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186 3.5 Extraordinary Assessments

187 3.5.1 Extraordinary onsite assessments may be conducted, including unannounced
188 assessments, to investigate formal complaints or other changes in an
189 evaluation body's status that may affect the ability of the evaluation body to
190 fulfill IAS requirements for accreditation.

191 3.5.2 All costs associated with the extraordinary assessment will be the responsibility
192 of the accredited evaluation body.

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194 **4.0 RESPONSIBILITIES OF Evaluation Body**

195 4.1 **Changes to Evaluation Body's Accreditation Status:** Evaluation bodies accredited
196 under these rules shall notify IAS in writing within thirty days concerning the following:

197 4.1.1 Change in evaluation body name.

198 4.1.2 Change in evaluation body ownership.

199 4.1.3 Change in evaluation body address.

200 4.1.4 Changes in policies or procedures that affect the evaluation body's
201 accreditation.

202 4.1.5 Changes in key technical or supervisory personnel.

203 4.1.6 Change in status, including but not limited to cancellation, revocation,
204 suspension or withdrawal of other accreditations maintained by the evaluation
205 body.

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207 4.2 **Field Evaluation Bodies Operating Under Special Jurisdictional/Governmental** 208 **Regulations**

209 4.2.1 Regulatory entities may place specific compliance requirements on field
210 evaluation bodies operating within their jurisdiction. If a field evaluation body
211 intends to seek acceptance of its reports of its reports by these entities, they
212 must agree to comply with the additional assessment requirements, including
213 more frequent onsite assessments, as applicable.

214 4.2.2 By executing the IAS application for field evaluation body accreditation, the
215 field evaluation body agrees to furnish all needed documentation, pay the
216 required fees, perform additional witness inspections, or otherwise fully comply
217 with the requirements of the regulatory entities.

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219 4.3 **Indemnification:** All applications for an IAS accreditation contain indemnification
220 provisions.

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222 4.4 **Unannounced Assessments:** The evaluation body agrees to permit unannounced
223 assessments of its office and facilities by the IAS for cause, such as formal complaints,
224 pattern of nonconformance, regulatory requests, etc.

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4.5 Usage of the IAS Name or Symbol by Accredited Evaluation Bodies

4.5.1 An accredited evaluation body can make reference to its IAS accreditation in evaluation reports, on its website, in its general literature and promotional materials, and in business solicitations, under the following provisions:

4.5.1.1 The evaluation 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, material or service.

4.5.1.2 When the IAS name and/or the registered symbol are used, it shall be accompanied by the word “ACCREDITED.” The symbol must also include the name of the accredited program, e.g., “Field Evaluation Body.”

4.5.1.3 When the IAS name or the registered symbol is printed on letterhead and/or other evaluation body stationery, such stationery **may not** be used for work proposals or quotations if none of the work is within the evaluation body’s current scope of accreditation with IAS.

4.5.1.4 The IAS registered symbol is to be used on IAS-endorsed reports. The IAS registered symbol may not be changed in any way, although it may be enlarged or reduced.

4.5.1.5 The IAS registered symbol displayed on the evaluation body’s IAS-endorsed reports must include the name of the accredited program, e.g., “Field Evaluation Body,” provided the reports relate to product groups that are within the evaluation body’s IAS-approved scope of accreditation. Whenever the IAS symbol is used on a report covering multiple product groups, some of which are within the evaluation body’s scope of accreditation and some of which are outside the scope, the evaluation body must clearly identify whatever portion of the report is not covered by IAS accreditation.

4.5.2 It is the evaluation body’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 evaluation body’s intended use of the IAS name and/or symbol.

5.0 RESPONSIBILITY OF INTERNATIONAL ACCREDITATION SERVICE

- 258 5.1 **Accreditation Documents:** A certificate of accreditation and scope of accreditation
259 document shall be issued and maintained current for each accredited evaluation body
260 upon satisfactory completion of the accreditation requirements. For each accredited
261 evaluation body, the scope of accreditation shall be posted on the IAS website.
262 Accreditation actions will also be noted on the IAS website.
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- 264 5.2 **Fee Modifications:** Any modifications to the fees must be reviewed and approved by
265 the IAS president or his/her designee.
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- 267 5.3 **Proprietary Data:** Data in any accreditation file or application are considered
268 proprietary to the applicant. The data may be disclosed by IAS only upon the written
269 consent of the applicant or pursuant to subpoena issued by a court or other
270 governmental agency of competent jurisdiction. Proprietary data may also be disclosed
271 to a staff member of IAS or an authorized representative of IAS having a legitimate
272 interest therein; any duly identified representative of any evaluation body, or like person
273 or organization who initially prepared the data, or a duly authorized representative
274 thereof stated to be an employee or principal thereof having a legitimate interest
275 therein. Governmental regulatory bodies may be granted access in the interest of public
276 safety or preservation of property as it relates to enforcement of laws/regulations upon
277 receipt of an official written request.
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- 279 5.4 **Access to Proprietary Data:** From time to time, IAS records and files are audited by
280 national and international bodies on a random basis to establish conformance with
281 international accreditation and conformity assessment standards. It is understood that,
282 by executing an accreditation application, evaluation bodies grant IAS the authority to
283 allow such access.
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- 285 5.5 **Selection of Assessment Team:** IAS will provide an opportunity to the applicant or
286 accredited evaluation body to appeal against an assessor or assessment team
287 assigned to assess the evaluation body. This appeal must request in writing with the
288 reasons identified. IAS, in mutual agreement with the evaluation body, may arrange to
289 assign a different assessor or assessment team for the scheduled assessment.
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291 **6.0 DENIAL, REVOCATION, MODIFICATION, SUSPENSION OR CANCELLATION OF THE**
292 **ACCREDITATION, AND APPEALS**

293 6.1 Any accreditation is subject to denial, revocation, modification, suspension or
294 cancellation upon occurrence of any of the following:

295 6.1.1 Failure by the evaluation body to comply with the current or updated Rules of
296 Procedure.

297 6.1.2 Failure to comply with the current or updated Accreditation Criteria.

298 6.1.3 Failure to comply with any condition to the issuance of the accreditation.

299 6.1.4 Any misstatement, whether intentionally or unintentionally made, in the
300 application or any data or documentation submitted in support thereof.

301 6.1.5 Failure to comply with any provision contained in the application.

302 6.1.6 Failure to comply with any terms of the management system documentation on
303 which the IAS accreditation was based.

304 6.1.7 Any other grounds considered as adequate cause in the judgment of IAS.

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306 **6.2 Appeals**

307 6.2.1 The denial, revocation, modification, suspension or cancellation of accreditation
308 may only be appealed by the holder of the accreditation.

309 6.2.2 Procedures for appeals of denial, revocation, modification, suspension or
310 cancellation of accreditation shall be in accordance with the Rules of Procedure
311 for Appeals Concerning International Accreditation Service, Inc., Actions. The
312 IAS president or his/her designee, or the Board of Directors, as the case may
313 be, may shorten any of the time periods set forth in the Rules of Procedure for
314 Appeals Concerning International Accreditation Service, Inc., Actions, if such
315 action is deemed necessary, in their discretion, in the interest of public safety
316 and welfare.

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318 **6.3 With No Right To Appeal:** Notwithstanding anything in these rules to the contrary, any
319 initial application, or accreditation may be denied, revoked, modified, suspended or
320 cancelled by the IAS president or his/her designee for any of the following reasons with
321 no right of appeal:

322 6.3.1 Failure to pay required fees to IAS within thirty days from the date of the
323 mailing by IAS of written demand for payment.

- 324 6.3.2 Failure to perform any test or to furnish any material or data relating to
325 evaluation body accreditation required by IAS within the specified time limit,
326 unless extended by the IAS president or his/her designee.
- 327 6.3.3 Failure to respond and resolve IAS Corrective Action Requests or Concerns
328 resulting from an IAS assessment report in the allotted time, unless extended
329 by the IAS president or his/her designee.
- 330 6.3.4 Failure to permit or submit to an assessment as set forth in Sections 2 and 3
331 and, if applicable, the special oversight requirements stipulated in Section 4.3
332 of the Rules of Procedure.
- 333 6.3.5 Failure to furnish information and/or submit to a remote surveillance
334 assessment as required in Section 3.2.3 of these rules within the specified time
335 limit.

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337 **6.4 Results Of Denial, Revocation, Modification, Suspension or Cancellation**

- 338 6.4.1 Upon the occurrence of any of the events set forth in Section 6.1 or Section
339 6.3, IAS, by the decision of its president or his/her designee, may choose any
340 of the following actions:
- 341 6.4.1.1 Denial of the application.
- 342 6.4.1.2 Revocation of the accreditation.
- 343 6.4.1.3 Modification of the accreditation, on such terms as determined by the IAS
344 president or his/her designee.
- 345 6.4.1.4 Suspension of the accreditation for such period on such terms as determined
346 by the IAS president or his/her designee.
- 347 6.4.1.5 Cancellation of the accreditation.
- 348 6.4.2 The decisions of the IAS president or his/her designee with respect to any of
349 the actions set forth in this section may become effective immediately if
350 deemed necessary, in the interest of public safety and welfare, may be stayed
351 pending an appeal pursuant to the Rules of Procedure for Appeals Concerning
352 International Accreditation Service, Inc., Actions, or may be otherwise stayed
353 on such terms and conditions as determined by the president or his/her
354 designee.
- 355 6.4.3 Upon revocation or cancellation of the accreditation or during any period of
356 suspension, unless this provision is specifically modified by the terms of the
357 suspension, the accredited evaluation body shall discontinue all use of the IAS

358 symbol. The evaluation body shall also immediately discontinue any references
359 to IAS accreditation on any reports, certificates, or promotional material.

360 6.4.4 IAS shall have the right to immediately notify governmental jurisdictions and
361 any other interested parties of any improper and unauthorized reference to the
362 continuation of the accreditation, when in the sole judgment of IAS, as
363 determined by its president or his/her designee, such notification is necessary
364 in the interest of public safety or welfare.

365 6.4.5 Upon the determination by IAS that cause exists for any of the actions specified
366 in this section, with respect to the accreditation, IAS shall deliver to the
367 evaluation body a written statement, signed by the IAS president or his/her
368 designee, setting forth the factual basis for such action. This written statement
369 shall include a specific reference to the cause for the action which is set forth in
370 the Rules of Procedure. ▪