

## IAS Policy – Certification Bodies Maintaining Related Entities

### 1. Purpose

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

### 2. Normative References

- 2.1. ISO/IEC 17011:2017 – Requirements for accreditation bodies accrediting conformity assessment bodies.
- 2.2. ISO/IEC 17021-1:2015 – Requirements for bodies providing audit and certification of management systems -- Part 1: Requirements
- 2.3. IAF MD 23: Current Version - Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies
- 2.4. IAF MD 15: Current Version - Collection of Data to Provide Indicators of MSCB' Performance

### 3. Terms and Definitions

- 3.1. 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.
- 3.2. 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.
- 3.3. 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; and classification of key activities is subject to review on a case-by-case basis).

- 3.4. 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; and classification of key activities is subject to review on a case-by-case basis).
- 3.5. Related Entity/Entities: Collective term used in this document to describe any/all of the above four location types.
- 3.6. 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

- 4.1. 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.
- 4.2. Additionally, CBs must submit the following records for each CB Key Location, Subcontractor Key Location, Subcontractor and/or CB Location, as applicable (See IAF MD23 for further details):
  - 4.2.1. Verification of legal status of Entity (Business license, Gazette, Tax Registration, etc.)
  - 4.2.2. Risk Assessment including information regarding countries of operation
  - 4.2.3. Verification of insurance coverage of Entity
  - 4.2.4. Legally enforceable arrangement/agreement/contract with Entity
  - 4.2.5. List of countries in which entity is operating/issuing certificates on behalf of the accredited CB
- 4.3. 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.

- 4.4. 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.
- 4.5. Yearly internal audits: All CBs shall conduct yearly internal audits (including witnessing certification audits) of any Entity related to the accredited CBs certification process. (See IAF MD23 for further details)
- 4.6. 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.
- 4.7. CBs are responsible for immediately informing IAS of any changes regarding related entities – changes include:
  - 4.7.1. Name of Company
  - 4.7.2. Address of Company
  - 4.7.3. Contact Person/Details
  - 4.7.4. Countries of Operation
  - 4.7.5. Status – changes in responsibilities/substantive contract revisions, cancellation of contracts, etc.

## 5. IAS Notification of Local ABs

- 5.1. 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

- 6.1. Entities are subject to assessment on an ongoing basis during regularly scheduled assessments throughout the accreditation cycle. On a case-by-case basis IAS may require additional assessment of entities at any time during the accreditation cycle. 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.

6.2. Initial Assessment includes assessment of related entities performing key activities that are declared at the time of application. Related Entities not performing key activities are assessed as needed based on IAS risk assessment and independent review of responsibilities, performance, and market intelligence.

## 7. Cost/Fees for Related Entities

7.1.1. IAS accredited CBs are responsible for all costs incurred during assessments as stated in the IAS Rules of Procedure

7.1.2. CBs are responsible for additional fees related to processing related entity applications and yearly renewals. Please contact IAS for further information on fees.

## 8. IAS Accreditation Certificate/Scope of Accreditation

8.1. IAS will list all registered related Entities on the accredited CBs published scope of accreditation

8.2. 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.

8.3. The listing will appear similar to the below example:

Type of Entity	Name of Entity	Address of Entity	Contact Details for Entity
CB Key Location	QMS – CB Inc.	1234 Example St., Brea, CA, 92821, USA	John Doe <a href="mailto:Jdoe@email.com">Jdoe@email.com</a> +1 (714) 867-5309
Subcontractor Key Location	Audit Scheduling LLC.	9876 IE Rd., Gurugram, Delhi, 011245, India	A.B. Chana <a href="mailto:abchana@email.com">abchana@email.com</a> +91 (483) 267-5489
Subcontractor (No Key Activities)	Marketing Specialists Pvt. Ltd.	1928 Outsource Ct., Montreal, Quebec, 562ABC, Canada	J.L. Reddy <a href="mailto:JLredd@email.com">JLredd@email.com</a> +1 (423) 789-6543
CB Location (No Key Activities)	QMS – CB Inc. – Marketing Location	6789 CB Ln., New York, New York, 45687, USA	P. Taris <a href="mailto:paris@vger.com">paris@vger.com</a> +1 (123) 867-5309