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|--------------------------------------------------------------------------------------|----------------------------------|-------------------------------------------------------------------------------------|
| <b>Base Standard Program</b>                                                         |                                  |  |
| <b>SQFI Ethical Sourcing Management Systems<br/>CB Application for Accreditation</b> |                                  |                                                                                     |
| <b>FA 5011</b>                                                                       | Authority: Accreditation Manager |                                                                                     |

## Section 1: CB Name, Contact Information, and Processing Fees

CB name:

Street address:

City:

State/province:

Postal code:

Country:

Name of person completing application:

E-mail:

Application fee: \$5,000

### **Fees are payable when purchasing application**

Application and all supporting documents shall be submitted in English.

Instructions on application process are at [www.anab.org](http://www.anab.org); click on Become a Certification Body.

Application shall be obtained through ANAB's Enterprise Quality Manager (EQM) database at <http://anab.jadianonline.com> and completed electronically (including submission of all supporting evidence) and submitted to ANAB via EQM. Instructions on how to obtain and upload the application in EQM can be found at [www.anab.org](http://www.anab.org); under Documents, select Heads Up and click on issue 72.

If the completed application is not accepted by ANAB after three reviews, the application will be declined. The CB may re-apply (including payment of application fees) after 60 days.

For details on this ANAB accreditation program, refer to [Accreditation Rule 46](#) (at [www.anab.org](http://www.anab.org), under Documents select Accreditation Rules).

## Section 2: ISO/IEC 17021 Requirements for CBs Not ISO/IEC 17021 Accredited by ANAB

Provide evidence that the CB's certification system includes the requirements of ISO/IEC 17021.

**\_\_\_ Not applicable – mark X at left if CB is already an applicant or accredited by ANAB for another program and proceed to Section 3.**

| Requirement                                                                                                                                                                                                                                                                                            | To Be Completed by CB                                               |                  | To Be Completed by ANAB                                                                                            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|------------------|--------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                        | Refer to Supporting Documents Including Specific Section References | Comment/Response | Comment/Response                                                                                                   |
| <p>1. Execute (signed) <a href="#">ANAB CB Applicant Agreement</a>, which can be found in EQM under Reference Documents.</p> <p>An electronic signature is acceptable but a typed name is not. If the signature is handwritten, scan the signed document and attach to application electronically.</p> | <b>Initial Response</b>                                             |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
|                                                                                                                                                                                                                                                                                                        | <b>Second Response</b>                                              |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
| <p>2. Completed <a href="#">ISO/IEC 17021 Requirement Matrix</a>, which can be found in EQM under Reference Documents.</p>                                                                                                                                                                             | <b>Initial Response</b>                                             |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?<br>ANAB-specific comments will be included on completed <a href="#">ISO/IEC 17021 Requirement Matrix</a> |
|                                                                                                                                                                                                                                                                                                        | <b>Second Response</b>                                              |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
| <p>3. Completed impartiality analysis of relationships to other parts of the company and to other organizations and/or individuals.</p> <p>Requirement: <a href="#">ANAB Accreditation Rule 10</a></p>                                                                                                 | <b>Initial Response</b>                                             |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
|                                                                                                                                                                                                                                                                                                        | <b>Second Response</b>                                              |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
| <p>4. Evidence that the committee responsible for impartiality reviewed the impartiality analysis (referred to in 3, above).</p> <p>Requirement: <a href="#">ISO/IEC 17021, 6.2</a></p>                                                                                                                | <b>Initial Response</b>                                             |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
|                                                                                                                                                                                                                                                                                                        | <b>Second Response</b>                                              |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
| <p>5. Provide names of members on committee established to safeguard impartiality, including key interest group each person represents.</p> <p>It is the CB's responsibility to notify ANAB of any</p>                                                                                                 | <b>Initial Response</b>                                             |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
|                                                                                                                                                                                                                                                                                                        | <b>Second Response</b>                                              |                  |                                                                                                                    |
|                                                                                                                                                                                                                                                                                                        |                                                                     |                  | Approved?                                                                                                          |
|                                                                                                                                                                                                                                                                                                        | <b>Final Response</b>                                               |                  |                                                                                                                    |

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| changes.<br>Requirement: <a href="#">ISO/IEC 17021, 6.2</a>                                                                                                       |                         |  | Approved? |
| 6. Current list of organizations to which CB outsources work associated with management systems certification.<br>Requirement: <a href="#">ISO/IEC 17021, 7.5</a> | <b>Initial Response</b> |  |           |
|                                                                                                                                                                   |                         |  | Approved? |
|                                                                                                                                                                   | <b>Second Response</b>  |  |           |
|                                                                                                                                                                   |                         |  | Approved? |
| 7. Copy of enforceable arrangements with each organization.<br>Requirement: <a href="#">ISO/IEC 17021, 7.5</a>                                                    | <b>Initial Response</b> |  |           |
|                                                                                                                                                                   |                         |  | Approved? |
|                                                                                                                                                                   | <b>Second Response</b>  |  |           |
|                                                                                                                                                                   |                         |  | Approved? |
|                                                                                                                                                                   | <b>Final Response</b>   |  |           |
|                                                                                                                                                                   |                         |  | Approved? |

### Section 3: SQFI Ethical Sourcing Code CB Requirements

Provide evidence that the CB's certification system includes the requirements of the SQFI Ethical Sourcing Code. The Ethical Sourcing Code program includes all three levels of certification.

| Requirement                                                                                                                                                                                                                                                                                               | To Be Completed by CB                                               |                  | To Be Completed by ANAB |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|------------------|-------------------------|
|                                                                                                                                                                                                                                                                                                           | Refer to Supporting Documents Including Specific Section References | Comment/Response | Comment/Response        |
| 1. Provide revised <a href="#">ISO/IEC 17021 Requirement Matrix, which can be found in EQM under Reference Documents</a> , with document references revised to address this program highlighted. Also include copy of documents that were revised.<br><br>Note: Disregard if provided in Section 2 above. | <b>Initial Response</b>                                             |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |
|                                                                                                                                                                                                                                                                                                           | <b>Second Response</b>                                              |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |
| 2. Provide completed <a href="#">SQFI SE Requirement Matrix</a> . Include copy of all referenced documents.                                                                                                                                                                                               | <b>Initial Response</b>                                             |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |
|                                                                                                                                                                                                                                                                                                           | <b>Second Response</b>                                              |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |
| 3. Provide evidence that CB is licensed by SQFI to conduct SQF Ethical Sourcing audits.<br>Requirement: <a href="#">SQFI Appendix 3, 1.9</a>                                                                                                                                                              | <b>Initial Response</b>                                             |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |
|                                                                                                                                                                                                                                                                                                           | <b>Second Response</b>                                              |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |
| 4. Identify CB personnel who have competence for                                                                                                                                                                                                                                                          | <b>Final Response</b>                                               |                  |                         |
|                                                                                                                                                                                                                                                                                                           |                                                                     |                  | Approved?               |

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|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-----------|
| managing program for SQFI Ethical Sourcing certification.<br>Requirement: <a href="#">ISO/IEC 17021, 7.2.1</a>                                                                                                                                                                                                                                                                           |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Second Response</b>  |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |
| 5. Provide list of SQFI Ethical Sourcing auditors CB plans to use, including evidence of their competence and SQFI registration (when available). Note: The Ethical Sourcing Code program is designed so all auditors are competent to audit at all three levels of certification.<br>Requirement: <a href="#">ISO/IEC 17021, 7.2.2 and 7.2.7, and SQFI SE Standard, Appendix 3, 2.3</a> | <b>Initial Response</b> |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Second Response</b>  |           |
| 6. Provide information on group or person who will make decisions on certification for SQFI Ethical Sourcing, including evidence of their competence.<br>Requirement: <a href="#">ISO/IEC 17021, 7.2.9</a>                                                                                                                                                                               |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Final Response</b>   |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |
| 7. Provide copy of CB's application form and contract (if applicable) for SQFI Ethical Sourcing.<br>Requirement: <a href="#">ISO/IEC 17021, 9.2.1</a>                                                                                                                                                                                                                                    | <b>Initial Response</b> |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Second Response</b>  |           |
| 8. Provide sample of certification documents for SQFI Ethical Sourcing, including certificate.<br>Requirement: <a href="#">ISO/IEC 17021, 8.2.3, and SQFI SE Standard, Appendix 3, 2.2 and 3.4</a>                                                                                                                                                                                       |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Final Response</b>   |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |
| 9. If CB has issued certificates (unaccredited or accredited by another AB) prior to accreditation by ANAB, provide plan to transition them to ANAB-accredited certificates.<br>Requirement: <a href="#">MA 5000, Article 6</a>                                                                                                                                                          | <b>Initial Response</b> |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Second Response</b>  |           |
| 10. Indicate how CB will continually communicate expected outcomes to auditors, customers, and other stakeholders, and how expected outcomes will be incorporated in audits.                                                                                                                                                                                                             |                         | Approved? |
|                                                                                                                                                                                                                                                                                                                                                                                          | <b>Final Response</b>   |           |
|                                                                                                                                                                                                                                                                                                                                                                                          |                         | Approved? |

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|--------------------------------------------------------------|--|-----------|
| Requirement: <a href="#">ANAB Accreditation Rule 46, 7.2</a> |  | Approved? |
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## Section 4: CB Management Endorsement

Submission steps:

1. Verify responses to all questions are complete and all required information (attachments) is included.
2. Upload application to EQM (<http://anab.jadianonline.com>). Instructions on how to upload the application and supporting evidence to EQM can be found at [www.anab.org](http://www.anab.org); under Documents, select Heads Up, and click on issue 72.
3. The initial (off site) document review takes approximately two weeks.
4. The CB will be notified when the review is complete.

CB management who completed the application and determined that the information meets all applicable requirements:

Name:

Title:

Date: