


<b>Subordinate Standard Program</b>			
<b>Advanced Surveillance and Recertification Procedure (ASRP) CB Application for Accreditation</b>			
<b>FA 5032</b>	Authority: Vice President	Effective: 2016/07/15	

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

CB name:

Street address:

City:

State/province:

Postal code:

Country:

Name of person completing application:

Email:

Application fee: \$500 (If CB applies for ASRP for only one standard and later applies for ASRP for another standard, an additional \$500 application fee will apply at time of second ASRP application; e.g., if CB applies for ISO 9001 and later applies for [AS9100](#), a second \$500 application fee will be required with the second application.)

If applying for ASRP for a subordinate standards (e.g., [AS9100](#)), the CB must first be accredited for ASRP for the base standards (e.g., [ISO 9001](#)) or apply concurrently.

### **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.

When a CB applies for ASRP for a specific standard (e.g., [ISO 9001](#), [ISO 14001](#), [TL 9000](#), [AS9100](#)), the CB shall be accredited by ANAB for at least one accreditation cycle (four years) for that standard.

This application is for a CB applying for accreditation to offer ASRP to its clients. Per [Accreditation Rule 1](#) (at [www.anab.org](http://www.anab.org) under Documents select Accreditation Rules), the CB shall seek ANAB approval for each individual client requesting ASRP certification to demonstrate that the CB's documented process conforms to ASRP requirements. Specific information about each client shall be submitted to ANAB under separate cover.

## Section 2: ASRP CB Requirements

Provide evidence that the CB's certification system includes the requirements of ASRP.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Refer to Supporting Documents Including Specific Section References	Comment/Response	Comment/Response
1. Scope of ASRP application. Note: If CB is applying for ASRP for only one standard (e.g., <a href="#">ISO 9001</a> ) and in the future applies for another (e.g., <a href="#">AS9100</a> , <a href="#">ISO 14001</a> ), CB must submit another application and application fee.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
2. Provide evidence that CB has been operating an accredited certification scheme for relevant standard for minimum of one complete accreditation cycle.  Requirement: <a href="#">IAF MD 3, 1.1.a</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
3. Provide evidence that CB is competent to design an ASRP program for each individual organization in relevant management system (in accordance with requirements of <a href="#">ISO 9001 clause 7.3</a> and using the design input criteria mentioned in <a href="#">clause 1.3.2</a> ).  Requirement: <a href="#">IAF MD 3, 1.1.b</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
4. Provide evidence of CB's process for notifying ANAB of all new uses of ASRP for each specific organization.  Requirement: <a href="#">IAF MD 3, 1.3</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
5. CB process to confirm that organization's management system has been in demonstrated conformity with requirements of applicable standard(s) for at least one complete certification cycle including initial, surveillance, and re-assessment audits.  Requirement: <a href="#">IAF MD 3, 1.3.1.a</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?

<p>6. CB process to assure all nonconformities raised during certification cycle immediately prior to use of ASRP shall have been successfully resolved.</p> <p>Requirement: <a href="#">IAF MD 3, 1.3.1.b</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>7. CB process to determine and agree on with client organization suitable performance indicators on which to judge ongoing effectiveness of management system. Process shall ensure that organization is consistently meeting agreed performance targets. For QMS (including applicable subordinate standards), performance indicators shall address at a minimum organization's demonstrated ability to consistently provide product that meets customer and applicable regulatory requirements, and shall incorporate requirements for continual improvement of effectiveness of QMS. For EMS, performance indicators shall address at a minimum organization's demonstrated ability to achieve its environmental policy, objectives, and targets and comply with applicable legal and other requirements related to its environmental aspects, and shall incorporate requirements for continual improvement and prevention of pollution.</p> <p>Requirement: <a href="#">IAF MD 3, 1.3.1.d.i and 1.3.a.d.ii</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>8. CB process to obtain enforceable arrangements with organization to provide access to relevant information. For QMS (including applicable subordinate standards), relevant information is all customer satisfaction data collected or otherwise available. For EMS, relevant information is all relevant communication from external interested parties, and in particular relevant regulatory authorities. Mutually agreed confidentiality policies and procedures shall be applied when it becomes necessary for CB to communicate directly with source of such data to validate data.</p> <p>Requirement: <a href="#">IAF MD 3, 1.3.1.e</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>9. CB process to verify that organization's internal audit process is being managed in accordance with <a href="#">ISO 19011</a>, with particular reference to auditor</p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	

<p>competence defined in clause 7. Internal audit process shall be sufficiently coordinated and integrated to provide an evaluation of management system as a whole, not only performance of individual components.</p> <p>Requirement: <a href="#">IAF MD 3, 1.3.1.f</a></p>		Approved?
	<b>Final Response</b>	
		Approved?
<p>10. Evidence that CB has process for obtaining contractually enforceable arrangements to enable it to increase scope, frequency, and duration of audits in event of deterioration of organization's ability to meet agreed performance targets.</p> <p>Requirement: <a href="#">IAF MD3, 1.3.1.g</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>11. In addition to organization-specific input criteria, design of each individual ASRP shall include (a) frequency and duration of CB audits shall be sufficient to allow CB to conform to IAF MD 3 and (b) for each proposed use of ASRP, CB shall determine base level (non-ASRP) auditor time using relevant <a href="#">IAF MD 5</a> and, if applicable, <a href="#">IAF MD 1</a> for sampling of multi-sites. If CB plans an individual ASRP program that reduces auditor time to less than 70% of this base level, CB shall justify reduction and seek approval from ANAB prior to implementation.</p> <p>Requirement: <a href="#">IAF MD 3, 1.3.2.a</a> and <a href="#">IAF MD 1</a> and <a href="#">IAF MD 5</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>12. In addition to organization-specific input criteria, design of each individual ASRP shall include: In addition to auditing a statistically significant number of samples of organization's management system processes to confirm adequacy and effectiveness of internal audit process, CB shall continue to carry out the following activities at each on-site surveillance and reassessment visit <i>at a minimum</i> (with other activities defined by ASRP): (a) interview top management and management representative; (b) evaluate management review inputs and outputs, including a verification of organization's ability to meet agreed performance targets; (c) review internal audit process, including procedures and records of internal audits and competence of internal auditors; and (d) review corrective and preventive action plans and verify their effective implementation.</p>	<b>Final Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>12. In addition to organization-specific input criteria, design of each individual ASRP shall include: In addition to auditing a statistically significant number of samples of organization's management system processes to confirm adequacy and effectiveness of internal audit process, CB shall continue to carry out the following activities at each on-site surveillance and reassessment visit <i>at a minimum</i> (with other activities defined by ASRP): (a) interview top management and management representative; (b) evaluate management review inputs and outputs, including a verification of organization's ability to meet agreed performance targets; (c) review internal audit process, including procedures and records of internal audits and competence of internal auditors; and (d) review corrective and preventive action plans and verify their effective implementation.</p>	<b>Final Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?

Requirement: <a href="#">IAF MD 3, 1.3.2.b</a>			
13. In addition to organization-specific input criteria, design of each individual ASRP shall include: CB shall ensure that all requirements for accredited certification (including requirements of <a href="#">ISO/IEC 17021</a> and any applicable sector scheme) continue to be met.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
Requirement: <a href="#">IAF MD 3, 1.3.2.c</a>			
14. CB must assure that design output for each application of CB's ASRP program includes extent to which CB will use organization's internal audit and management review processes to complement CB's activities.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
Requirement: <a href="#">IAF MD 3, 1.4.a</a>			
15. CB must assure that design output for each application of CB's ASRP program includes criteria for witnessing organization's internal audits, including sampling of both auditors and processes to be audited.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
Requirement: <a href="#">IAF MD 3, 1.4.b</a>			
16. CB must assure that design output for each application of CB's ASRP program includes criteria for accepting and monitoring competence of organization's internal auditors and method of reporting internal audit results.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
Requirement: <a href="#">IAF MD 3, 1.4.c</a>			
17. CB must assure that design output for each application of CB's ASRP program includes criteria for ongoing adjustments to audit program, taking into account organization's demonstrated ability over time to meet agreed performance targets.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
Requirement: <a href="#">IAF MD 3, 1.4.d</a>			
18. CB must assure that design output for each application of CB's ASRP program includes components of management system that will necessarily be audited by CB at each surveillance and recertification audit (see clause 1.3.2.b).	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
Requirement: <a href="#">IAF MD 3, 1.4.e</a>			
19. CB must assure that design output for each application of CB's ASRP program includes specific	<b>Initial Response</b>		Approved?
			Approved?

CB auditor competence criteria and, where applicable, technical expert competence criteria Requirement: <a href="#">IAF MD 3, 1.4.f</a>	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
20. Provide evidence that normal certificate issuance process and certificate template is to be used for ASRP certification (i.e., CB will not differentiate between ASRP and non-ASRP methodologies on certificates it issues.) Requirement: <a href="#">IAF MD 3, 1.5</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
21. If application is for subordinate standard, provide evidence that all additional requirements of industry sector group have been addressed. (If application is for <a href="#">ISO 9001</a> and/or <a href="#">ISO 14001</a> , mark "NA.") Requirement: <a href="#">TL 9000</a> or <a href="#">AS9104/1</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?

### Section 3: ASRP CB Requirements for Subordinate Standards

Provide evidence that the CB's certification system includes ASRP requirements if applying for ASRP for AQMS and/or TL 9000.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Refer to Supporting Documents Including Specific Section References	Comment/Response	Comment/Response
1. For AQMS, provide evidence of how ASRP will be designed for each certification structure. Note: If CB is using ASRP for single known AQMS client, process can be tailored to that client's certification structure. Requirement: <a href="#">AS9104/1 Appendix B</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
2. For AQMS, in addition to requirements of item 11 in section 2 above, provide evidence that audit duration process follows AQMS audit duration and is not reduced by more than 30%. Requirement: <a href="#">AS9104/1 Table 2 and 8.9.b</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
3. For AQMS, in addition to requirements of item 7 in section 2 above, provide evidence that agreed performance indicators are evaluated in accordance with IAF MD 3 and add additional audits and/or audit days at problematic sites that over time fail to meet agreed performance targets. Increased audit time shall be added to time calculated for each	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?

certification structure. Requirement: <a href="#">AS9104/1 8.2.2.m</a>			
---	--	--	--

#### **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 personnel who completed the application:

Name:

Title:

Date:

CB management who reviewed the information and determined that it meets all applicable requirements and application requests prior to submission to ANAB:

Name:

Title:

Date: