

<b>Subordinate Standard Program</b>		
<b>AS9120 Aerospace Distributor CB Application for Accreditation</b>		
<b>FA 5024</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:

Email:

Application fee: \$2,500

### Fees are payable when purchasing application

Application and all supporting documents shall be submitted in English.

Instructions on application process are at <http://anab.org/programs/isoiec-17021/certification-bodies/become-a-cb/>.

Application shall be obtained through ANAB's Enterprise Quality Manager (EQM) database at <http://anab.jadian.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 <http://anab.org/programs/isoiec-17021/certification-bodies/become-a-cb/>.

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.

A CB applying for AS9120 accreditation shall already be QMS accredited by ANAB or in application with ANAB, and shall have been QMS accredited by an IAF MLA AB signatory for at least one year prior to applying for ANAB AS9120 accreditation. A CB applying for AS9120 accreditation shall already be AS9100 accredited by or in application with ANAB. Proof of CB's 12-month accreditation by an IAF MLA signatory AB is to be provided with this application. Acceptable?

Yes  No

All requirements for CB accreditation for AS9120 can be found in AS9104/1, which can be purchased at [www.sae.org](http://www.sae.org).

For details on this ANAB accreditation program, refer to ANAB Accreditation Rule 29 (at <http://anab.org>, under Documents select Accreditation Rules).

## Section 2: Attestation of Restraint Regarding AS9120 Certificate Issuance

Per [AS9104/1, 5.3.h and 6.2](#), by completing this application the applicant CB agrees to refrain from issuing any AQMS standard certificates before a decision to grant accreditation for AQMS certification is made. The applicant CB also agrees to communicate in writing to any applicant or client that AQMS certification cannot be issued until the AB has granted accreditation for the AQMS standard(s).

## Section 3: CB Lead Office Location ([AS9104/1, 5.3.i](#))

Is CB AQMS lead office located outside of the Americas sector? \_\_ Yes \_\_ No [ANAB Reviewer: Contact ANAB Aerospace Program Manager if answer is yes.]

Applicant CB: If you answered yes, please note that IAQG is a global program and has recognized IAF MLA signatory accreditation bodies around the world and possibly in your region. IAQG recommends that you seek accreditation within your region. If this is not possible, you may proceed with this application. Please be advised that ANAB is required to notify the IAQG/ICOP recognized AB(s) in your sector that ANAB has received this application.

## Section 4: AS9120 CB Requirements

Provide evidence that the CB's certification system includes the requirements of AS9104 and AS9014.

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 documentation (including section number) outlining process by which CB ensures a single office location has overall responsibility for implementation of AS9104 series standards.  Requirement: <a href="#">AS9104/1, 5.3.b</a>	<b>First Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
2. Provide evidence in form of CV or résumé that CB lead office has identified competent person(s) responsible for design, development, and maintenance of implementation of AS9104 series standards.  Requirement: <a href="#">AS9104/1, 5.3.b</a>	<b>First Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
3. Provide evidence in form of CV or résumé that CB lead office has identified competent person(s) responsible for conducting and controlling certification activities.  Requirement: <a href="#">AS9104/1, 5.3.c</a>	<b>First Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
4. Provide documentation (including section number) of CB's documented process for ensuring appropriate use of ANAB accreditation mark.	<b>First Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?

Requirement: <a href="#">AS9104/1, 6.3.6</a>	<b>Final Response</b>		Approved?
5. Provide documentation (including section number) of CB's provision for use of ANAB accreditation mark and process for ensuring communication of same to certified clients.  Requirement: <a href="#">AS9104/1, 5.3.6</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
6. Provide evidence in form of CV or résumé that CB's committee for safeguarding impartiality includes person(s) with <i>continuing</i> aviation, space, and/or defense industry involvement.  Requirement: <a href="#">AS9104/1, 6.4</a> , and <a href="#">ISO/IEC 17021-1 5.2.3</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
7. Provide documentation (including section number) of CB's documented process to ensure audit program includes requirements in AS9101, AS9104 series standards, ISO/IEC 17021, and applicable IAF Mandatory Documents.  Requirement: <a href="#">AS9104/1, 6.6</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
8. Provide evidence in form of CV of résumé that CB has person(s) with aviation, space, and/or defense competence involved in certification decisions.  Requirement: <a href="#">AS9104/1, 6.7.a</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
9. Provide documentation (including section number) outlining process by which CB documents decision-making staff competence requirements.  Requirement: <a href="#">AS9104/1, 6.7.b</a> , and <a href="#">ISO/IEC 17021-1, 7.1</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
10. Provide documentation (including section number) outlining process by which CB uses AQMS auditors listed in OASIS who are both competent and authenticated in accordance with requirements.  Requirement: <a href="#">AS9104/1, 6.7.c</a> ; <a href="#">ISO/IEC 17021-1 7.2</a> ; and <a href="#">AS9104/3</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
			Approved?
11. Provide documentation (including section number) outlining process by which CB provides appropriate supplemental education/training (e.g., local regulations, laws) for AQMS auditors authenticated in	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?

other IAQG sector(s). Requirement: <a href="#">AS9104/1, 6.7.c</a> ; <a href="#">ISO/IEC 17021-1 7.2.6</a> ; and <a href="#">AS9104/3</a>	<b>Final Response</b>	
		Approved?
12. Provide documentation (including section number) outlining process by which CB ensures procedures, tools, and techniques in its system for granting, maintaining, reducing, suspending, transferring, and withdrawing certification of audited clients are in accordance with requirements. Requirement: <a href="#">AS9104/1, 6.7.d</a> ; <a href="#">ISO/IEC 17021-1</a> ; and <a href="#">IAF MDs</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
13. Provide documentation (including section number) of CB's process to obtain, review, and implement ICOP scheme resolutions (e.g., IAQG, SMS, CBMC) and supplemental rules affecting operation of CB or AQMS standard certification of clients. Requirement: <a href="#">AS9104/1, 6.7.e</a> ; <a href="#">SR001</a> ; <a href="#">SR002</a> ; and <a href="#">OASIS database</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
14. Provide documentation (including section number) of CB's agreements to allow IAQG members, ABs, and regulatory agencies right of access, and process for ensuring this is contractually extended to CB's clients. Requirement: <a href="#">AS9104/1, 6.7.g, 6.11, 17.3, and 17.4</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
15. Provide documentation (including section number) outlining CB's process to ensure audit data is correctly entered in OASIS. Requirement: <a href="#">AS9104/4, 6.7.h</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
16. Provide documentation (including section number) outlining CB's process to ensure clients have established, identified, and maintained their OASIS database administrators. Requirement: <a href="#">AS9014/1, 6.7.j</a> and <a href="#">8.5.f</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
17. Provide documentation (including section number) of CB's complaint/issue resolution process that conforms to requirements. Requirement: <a href="#">AS9104/1, 6.7.j</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?

		Approved?
18. Provide documentation (including section number) and any supporting evidence to show CB or any part of same legal entity does not have management system consultancy as part of its organization. Requirement: <a href="#">AS9104/1, 6.7.k</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
19. Provide documentation (including section number) and any supporting evidence that CB does not offer or provide quality management system or AQMS consultancy, or conduct internal audits for clients. Requirement: <a href="#">AS9104/1, 6.7.k</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
20. Provide documentation (including section number) outlining process by which CB ensures relevant requirements of standard are part of CB's legally enforceable agreement with each client (organization). Requirement: <a href="#">AS9104/1, 6.7.m</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
21. Provide documentation (including section number) outlining CB's process to ensure classified material or export control requirements related to CB auditor access are disclosed to clients and included in service contract and audit planning activities. Requirement: <a href="#">AS9104/1, 6.11</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
22. Provide documentation (including section number) outlining CB's process to use eligibility criteria for selecting appropriate certification structure (including attainment of client agreement). Requirement: <a href="#">AS9104/1, 8.1.1, 8.1.1.b, and Appendix</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
23. Provide documentation (including section number) outlining process by which CB maintains documented evidence of review and determination of all certification structures. Requirement: <a href="#">AS9104/1, 8.1.3 and Appendix B</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
24. Provide documentation (including section number) outlining process by which CB ensures it forwards complex certification structure information to Other Party Management Team (OPMT) review team prior to stage 2 audit.	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	

Requirement: <a href="#">AS9104/1, 8.1.3 and Appendix B</a>		Approved?
25. Provide documentation (including section number) outlining process by which CB meets audit duration requirements and keeps records demonstrating conformance to established requirements.  Requirement: <a href="#">AS9104/1, 8.2, Appendix B, and Tables 2, 3, and 4</a>	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
	<b>Final Response</b>	Approved?
		Approved?
26. Provide documentation (including section number) outlining process by which CB ensures audit duration calculations are based on an eight-hour audit day.  Requirement: <a href="#">AS9104/1, 8.2.2.e</a>	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
	<b>Final Response</b>	Approved?
		Approved?
27. Provide documentation (including section number) outlining process by which CB ensures all shifts are audited for initial certification and recertification, and that surveillance audit plans cover multiple shifts when activities occur across multiple shifts.  Requirement: <a href="#">AS9104/1, 8.2.2.f</a>	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
	<b>Final Response</b>	Approved?
		Approved?
28. Provide documentation (including section number) outlining process by which CB ensures accountability for auditing multiple shifts appropriately (i.e., longer day cannot reduce required audit duration).  Requirement: <a href="#">AS9104/1, 8.2.2.g</a>	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
	<b>Final Response</b>	Approved?
		Approved?
29. Provide documentation (including section number) outlining process by which CB performs combined and integrated audits.  Requirement: <a href="#">AS9104/1, 8.2.3</a>	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
	<b>Final Response</b>	Approved?
		Approved?
30. Provide documentation (including section number) outlining process by which CB ensures client's (organization's) audit program is defined and made available prior to stage 1 audit.  Requirement: <a href="#">AS9104/1, 8.2.4</a>	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
	<b>Final Response</b>	Approved?
		Approved?
31. Provide documentation (including section number) outlining process by which CB ensures any significant changes (e.g., certification structure), impacting audit duration are reviewed each year to	<b>First Response</b>	Approved?
	<b>Second Response</b>	Approved?
		Approved?

determine any required changes to audit program. Requirement: <a href="#">AS9104/1, 8.2.4</a>	<b>Final Response</b>		Approved?
32. Provide documentation (including section number) outlining process by which CB ensures it performs full initial audit of all requirements for applicable AQMS standard (i.e., AS9100, AS9110, AS9120), when client (organization) is upgrading from ISO 9001. Requirement: <a href="#">AS9104/1, 8.2.5</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
33. Provide documentation (including section number) outlining process by which CB audit teams and their members conform to all relevant requirements contained in AS9101 and AS9104 series standards. Requirement: <a href="#">AS9104/1, 8.3.1</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
34. Provide documentation (including section number) outlining process by which CB ensures its audit team leaders are AEAs as defined in AS9104/3. Requirement: <a href="#">AS9104/1, 8.3.1</a> , and <a href="#">AS9104/3</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
35. Provide documentation (including section number) outlining process requiring all audit team leaders to be AEAs as defined in AS9104/3. Requirement: <a href="#">AS9104/1, 8.3.1</a> , and <a href="#">AS9104/3</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
36. Provide documentation (including section number) outlining process by which CB ensures an audit team leader is present and participates in entire certification cycle. Requirement: <a href="#">AS9104/1, 8.3.2</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
37. Provide documentation (including section number) outlining process by which CB ensures an AEA is on site and actively involved during entire audit and audit team leader is present at one or more sites during all of audit activity. Requirement: <a href="#">AS9104/1, 8.3.3</a>	<b>First Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
38. Provide documentation (including section number) outlining process by which CB ensures appointed	<b>First Response</b>		Approved?
			Approved?

audit team has totality of competencies required to effectively audit client (organization). Requirement: <a href="#">AS9104/1, 8.3.4</a>	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
39. Provide documentation (including section number) outlining process by which if CB uses experts to support audit teams, CB documents how experts are selected and how experts' technical knowledge is assured on continuing basis. Requirement: <a href="#">AS9104/1, 8.3.5</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
40. Provide documentation (including section number) outlining process by which CB ensures same audit team leader is limited to maximum of two consecutive certification cycles at client (organization). Requirement: <a href="#">AS9104/1, 8.3.8</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
41. Provide documentation (including section number) outlining process by which CB ensures NCRs issued during client (organization) audits contain sufficient evidence of conformance to all applicable requirements (e.g., identify applicable criteria, clear statement for the finding, supporting objective evidence). Requirement: <a href="#">AS9104/1, 8.4</a> , and <a href="#">AS9101D</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
42. Provide documentation (including section number) outlining process by which CB ensures no certificates requiring certification decision are issued unless all major and minor NCRs have been contained and satisfactorily corrected with root cause analysis, and corrective action is implemented, reviewed, accepted, and verified. Requirement: <a href="#">AS9104/1, 8.4.b</a> , and <a href="#">AS9101D</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
43. Provide documentation (including section number) outlining process by which CB ensures suspension is initiated when client (organization) fails to re-establish conformance to applicable standards within 60 days from issuance of an NCR. Requirement: <a href="#">AS9104/1, 8.4.d</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
44. Provide documentation (including section number) outlining process by which CB ensures issued audit reports contained in client (organization) files	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	



conform to all applicable requirements. Requirement: <a href="#">AS9104/1, 8.5</a> , and <a href="#">AS9101D</a>		Approved?
	<b>Final Response</b>	
		Approved?
45. Provide documentation (including section number) outlining process by which CB ensures audit team leader provides client (organization) with complete audit report and associated AS9101 forms within two weeks of closing meeting. Requirement: <a href="#">AS9104/1, 8.5.a</a> , and <a href="#">AS9101D, 4.2.3</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
46. Provide documentation (including section number) outlining process by which CB ensures required data is entered into OASIS database within timeframes defined in AS9104/1. Requirement: <a href="#">AS9104/1, 8.5.c</a> and <a href="#">Appendix C</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
47. Provide documentation (including section number) outlining process by which CB ensures contracts with its clients require that certified organizations provide copies of audit report and associated documents/records to their customers and potential customers on request. Requirement: <a href="#">AS9104/1, 8.5.g</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
48. Provide documentation (including section number) outlining process by which CB ensures all issued certificates address requirements and concepts contained in AS9104/1. Requirement: <a href="#">AS9104/1, 8.6</a> and <a href="#">Appendix B</a> ; <a href="#">ISO/IEC 17021-1, 8.2</a> ; and <a href="#">IAF MDs</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
49. Provide documentation (including section number) outlining process by which CB ensures OASIS database is updated within 14 calendar days when client's (organization's) AQMS standard certificate(s) is suspended or withdrawn. Requirement: <a href="#">AS9104/1, 8.7</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
50. Provide documentation (including section number) outlining process by which CB, as accepting CB, ensures all client (organization) transfer requirements are met prior to certificate issuance. Requirement: <a href="#">AS9104/1, 8.8</a> , and <a href="#">IAF MD2</a>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
51. Provide documentation (including section number)	<b>First Response</b>	

<p>outlining process by which CB ensures use of an AB approved process for Advanced Surveillance and Recertification Procedures (ASRP) and all ASRP requirements are met.</p> <p>Requirement: <a href="#">AS9104/1, 8.9</a>, and <a href="#">IAF MD3</a></p>		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
<p>52. Provide documentation (including section number) outlining process by which CB ensures use of an AB approved process for Computer Assisted Auditing Techniques (CAAT) and all CAAT requirements are met.</p> <p>Requirement: <a href="#">AS9104/1, 8.10</a>, and <a href="#">IAF MD4</a></p>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>53. Provide documentation (including section number) outlining process by which CB shares results of AQMS auditor competency issues with responsible AB.</p> <p>Requirement: <a href="#">AS9104/1, 9.c</a></p>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>54. Provide documentation (including section number) outlining process by which CB ensures OASIS database feedback requirements defined in AS9104/1 are met (e.g., administration and timely processing).</p> <p>Requirement: <a href="#">AS9104/1, 14.3</a></p>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>55. Provide documentation (including section number) outlining process by which CB ensures records of AS9104/1 activities are maintained for minimum of six years unless otherwise specified.</p> <p>Requirement: <a href="#">AS9104/1, 17.1</a></p>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>56. Provide documentation (including section number) outlining process by which CB ensures certified organization's data is not shared with organization's competitors.</p> <p>Requirement: <a href="#">AS9104/1, 19.2</a></p>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
<p>57. If CB has issued certificates accredited by another AB prior to ANAB accreditation, provide plan to transition them to ANAB certificates.</p> <p>Requirement: <a href="#">MA 5000, Article 6</a></p>	<b>First Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
	Approved?	

## Section 5: AS9120 Initial Audits

ANAB does not require initial witnessed audits or initial office assessments for AS9120 accreditation, as described in [Accreditation Rule 29](#). Because a CB seeking AS9120 accreditation must already be accredited or an applicant for ANAB AS9100 accreditation, for which an AS9100 stage 1 and stage 2 full-system witnessed audit and an initial office assessment are required, no additional witnessed audit or office assessment is required for AS9120 accreditation.

## Section 6: 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.jadian.com>). Instructions on how to upload the application and supporting evidence to EQM can be found at <http://anab.org/programs/isoiec-17021/certification-bodies/become-a-cb/>.
3. Verify the assessor application, including all required information, has been submitted to RABQSA International (if applicable).
4. The initial (off-site) document review takes approximately two weeks after the reviewer is assigned.
5. 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: