


Subordinate Standard Program		
AS9100D, AS9110C, and AS9120B		
CB Transition Application		
FA 5036	Authority: Accreditation Manager	Effective: 2016/09/09

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:

Transition application fee: \$625 (additional fees apply if multiple reviews are required or if multiple standards are transitioned)

Application and all supporting documents shall be submitted in English.

Application shall be obtained through ANAB's Enterprise Quality Manager (EQM) database at <http://anab.jadian.com>. Existing EQM users can select Applications, Access to Applications, and follow steps 2 through 4 as for any application process. Select AQMS in the standard dropdown menu under step 2.

This application is for CBs already accredited by ANAB for one or multiple AQMS standards (AS9100, AS9110, AS9120) and ISO 9001:2015, and in the process of or transitioned to ISO/IEC 17021-1 with ANAB.

The CB is required to submit evidence to support its AQMS transition process conforming with IAQG OPMT SR 003 requirements. The CB is expected to consider the consensus of IAF members as documented in IAF ID 9, Transition Planning Guidance for ISO 9001:2015, and Good Practices for ABs and CABs in the Transition to ISO 9001:2015 ("Good Practices").

Section 2: AQMS CB Transition Plan (per IAQG OPMT Resolution SR 003)

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Refer to Supporting Evidence	Comment/Response	Comment/Response
1. Is the CB transitioned to ISO/IEC 17021-1? <input type="checkbox"/> Yes <input type="checkbox"/> No (if no, application will be reviewed but final approval will be held until complete) Requirement: SR 003 4.b.iii Guidance: IAF ID 9	Initial Response		
			Approved?
	Second Response		
			Approved?
2. Provide CB's transition plan including at a minimum: <ul style="list-style-type: none"> • Process for transitioning existing clients to AS9100, AS9110, or AS9120 to meet the deadline of 2018/09/15 • Communication plan with existing clients (including timeline, means of communication, and determination of effectiveness) • Internal changes necessary to implement an effective and efficient transition process • Timeline to deem personnel (including auditors and other relevant personnel) competent to new standards • Revisions in current processes to manage the AQMS certification program Requirement: SR 003 Guidance: IAF ID 9	Initial Response		
			Approved?
	Second Response		
			Approved?
3. Does the CB intend to maintain, add to, or reduce its current AQMS accreditations? If so, identify which accreditations the CB intends to add (initial accreditation application required) or reduce	Initial Response		
			Approved?
	Second Response		
			Approved?
4. Anticipated date by which the CB will begin transition of clients? (keeping in mind the CB shall be transitioned with ANAB prior to conducting audits)	Initial Response		
			Approved?
	Second Response		
			Approved?
		Approved?	

Section 3: AQMS CB Transition Process

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Refer to Supporting Process Including Specific Section References	Comment/Response	Comment/Response
<p>1. Provide processes that were revised to conform with SR 003 and AS9104/1 as it relates to transition.</p> <p>Note: During transition review, ANAB will focus on process revisions for management of AQMS standards transitions. There will be limited review to support processes to manage the AQMS certification program going forward; processes to support the AQMS certification program going forward will be reviewed in detail and evaluated for implementation during office assessments throughout the transition period.</p> <p>Requirement: MA 5000, 3.1.1, and SR 003</p>	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
<p>2. Explain process by which CB will ensure that auditors will be deemed competent for AQMS standards prior to any transition or new certification audit being performed by the auditors, including knowledge of SR 003.</p> <p>Requirement: ISO/IEC 17021-1, 7.1.2, and ISO/IEC TS 17021-3, 5 and SR 003</p>	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
<p>3. Explain process by which CB will ensure that all other relevant personnel will be deemed competent for AQMS requirements prior to any task performed as it relates to transition or new certification activities. Skills and knowledge should be tailored and delivered to all relevant functions of the CB. This includes use of the new OASIS database and knowledge of SR 003.</p> <p>Requirement: ISO/IEC 17021-1, 7.1.2, and ISO/IEC TS 17021-3, 6 and SR 003</p>	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
<p>4. Explain process for managing preliminary visits with clients (e.g., gap analysis, informational visit). If not offering preliminary visits, mark not applicable (NA).</p> <p>Guidance: IAF ID 9, 3 and 4.2.1</p>	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
<p>5. Explain process for audit duration for AQMS transition audits, including separate transition audits</p>	Initial Response		Approved?

and transition audits conducted with a surveillance or recertification audit, and including record retention of calculations. Include process for seeking agreement with client for increased audit duration and for maintaining record of client's agreement. Requirement: ISO/IEC 17021-1, 9.1.4.1 and SR 003 Guidance: IAF ID 9	Second Response		Approved?
	Final Response		Approved?
6. Explain process for managing control of certificates to the new standards, specifically issuing certificates to an AQMS standard only after ANAB management has made the transition decision, the client has been audited, and the CB has made the transition decision. Guidance: IAF ID 9, 4.2.1	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
7. Explain process for managing expiration dates of certifications issued during the transition period to correspond with the end of the three-year ISO 9001:2015 transition period (as some certificates cannot be valid for a full three-year period). Requirement: SR 003 9.p. Guidance: IAF ID 9, 2.1	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
8. Explain process for developing the risk mitigation analysis for managing certifications to AQMS standards that do not have a transition plan by 2017/12/01. Requirement: SR 003 9.g. Guidance: IAF ID 9	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
9. Explain the CB's process and documented information with respect to AQMS certificate transfer from another CB. Requirement: SR 003	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
The following questions are informational only but answers are requested to gauge the ability of the CB to effectively transition the AQMS standards within the allotted timeframe of SR 003.			
10. What is the current number of AQMS certificates issued by the CB?	Response:		
11. What is the expected number of AQMS certificates to be transitioned per SR 003?	Response:		
12. What is the expected date or dates of the audit for	Response:		

the last client to be transitioned?	
13. Current number of AQMS authenticated auditors employed by the CB?	Response:
14. Current number of AQMS authenticated auditors contracted by the CB?	Response:
15. Number of existing AQMS auditors the CB is going to be responsible for training to the new standards (i.e., number of auditors the CB is going to send to sanctioned transition training)?	Response:

Section 4: AQMS CB Transition Evidence

Sample size is specified for each item. ANAB should be able to confirm effective implementation with this sample. Additional evidence will be reviewed and verified for effective implementation during future assessments.

If CB prefers to have evidence reviewed on site (e.g., during an upcoming office assessment), contact the ANAB coordinator and EATL to determine timeframes prior to submitting the application. If an acceptable timeline is not possible, section 4 shall be completed prior to submitting the completed application.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Refer to Supporting Evidence	Comment/Response	Comment/Response
1. Provide evidence, including demonstration of required knowledge, to support the process for auditor competence (item 2 in section 3 above), including evidence of sanctioned transition training. Provide auditor authentication evidence for two auditors or all AQMS auditors, whichever is fewer, for each standard for which CB is accredited. Requirement: SR 003	Initial Response		
			Approved?
	Second Response		
			Approved?
2. Provide evidence, including demonstration of required knowledge, to support the process for personnel competence (item 3 in section 3 above). Provide evidence for at least one certification personnel responsible for transition activity (e.g., application review, audit team and duration determination, report review, certification decision) or all individuals involved with the AQMS certification programs, whichever is fewer. (To maximize the sample reviewed by ANAB, this person should be different than the auditors identified in item 1 above.) Requirement: SR 003	Initial Response		
			Approved?
	Second Response		
			Approved?
3. Provide evidence, including justification, of how audit duration for an AQMS transition audit was determined (item 5 in section 3 above). Include	Initial Response		
			Approved?
	Second Response		

evidence for one transition audit scheduled to be conducted alone and one transition audit scheduled to be conducted with a surveillance or recertification audit, and the client agreement. Requirement: SR 003		Approved?
	Final Response	
		Approved?

Section 5: CB Personnel 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>). Existing EQM users can select Applications, Access to Applications, and follow step 4 as for any application process.
3. The transition (off-site) application review takes approximately two weeks from assignment and will be conducted by the CB's EATL or AQMS technical assessor.
4. The CB can request an office assessment for the evidence review (section 4); please contact ANAB for scheduling.
5. The CB will be notified when the review is complete.
6. Implementation will be verified at the next office assessment and AQMS standard witnessed audit unless additional assessments are required per section 6 below.

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:

Section 6: Additional Assessments (to be completed by ANAB reviewer)

If the CB's transition process, including evidence, cannot be verified during the application review, ANAB's reviewer will recommend additional action (e.g., another application or an office or a witness assessment).

Is the application information, including evidence, sufficient to recommend transition to ANAB management?

If not, include the additional action required and any other relevant detail.

Reviewer Name and Date: