

<b>Base Standard Program</b>			
<b>Security Operations Management Systems CB Application for Accreditation</b>			
<b>FA 5013</b>	Authority: Accreditation Manager	Effective: 2016/12/20	

## 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.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.

The SOMS base accreditation program includes ISO 18788 and ANSI/ASIS PSC.1. The CB can apply initially for both standards for the single application fee of \$5,000. If the CB does not apply for both standards initially and applies for the second standard later, the \$5,000 application fee per standard will apply.

For details on this ANAB accreditation program, refer to [Accreditation Rule 40](#) (at [www.anab.org/](http://www.anab.org/), under Documents select Accreditation Rules).

## Section 2: ISO/IEC 17021 Requirements for CBs Not ISO/IEC 17021-1 Accredited by ANAB

Provide evidence that the CB's certification system includes the requirements of ISO/IEC 17021-1.

**\_\_\_ 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
1. Execute (signed) <a href="#">ANAB CB Applicant Agreement</a> , which can be found in EQM under Reference Documents.  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.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
2. If CB is accredited by another IAF MLA accreditation body signatory, execute and attach <a href="#">AG 5001, CB Agreement for Cooperative Accreditation</a> , which can be found in EQM under Reference Documents.  Requirement: <a href="#">Accreditation Rule 6</a>	<b>Initial Response</b>		Approved? ANAB-specific comments will be included on completed <a href="#">ISO/IEC 17021-1 Requirement Matrix</a>
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
3. Is CB's head office located in Europe? <input type="checkbox"/> Yes <input type="checkbox"/> No Does the local national accreditation body offer accreditation to ISO 18788 and/or ANSI/ASIS PSC.1? <input type="checkbox"/> Yes <input type="checkbox"/> No If you answered Yes to both questions, provide evidence of CB's accreditation by local/national accreditation body (e.g., copy of accreditation certificate).  Requirement: <a href="#">EU Regulation (EC) No 765/2008</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
4. Complete ANAB form <a href="#">FM 5302, CB Key Processes Form</a> , which can be found in EQM under Reference Documents.  Requirement: <a href="#">MA 5000, ANAB Management Systems Accreditation Manual, section 2</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
	<b>Initial Response</b>		Approved?

5. Complete ANAB form <a href="#">FM 5303, CB Profile Form</a> , which can be found in EQM under Reference Documents.  Requirement: <a href="#">MA 5000, section 2</a>	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
6. Update as necessary ANAB form <a href="#">FM 5304, CB Structure</a> , which can be found in EQM under Reference Documents. Any location identified as critical shall be assessed prior to initial accreditation. (Assessment may be conducted by another AB.)  Note: CB was required to complete FM 5304 for step 1 of the application process. If no revisions are required, enter "not applicable" for this item.  Requirement: <a href="#">MA 5000, section 3</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
		Approved?
7. Complete <a href="#">CL 5313, ISO/IEC 17021-1 Requirement Matrix</a> , which can be found in EQM under Reference Documents. Be sure to include copies of all documentation referred to on CL 5313. Column 2 of CL 5313 shall contain sufficient detail to readily locate information within the documentation submitted.	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
8. Complete impartiality analysis of risks related to conflicts of interest arising from provision of certification, including any conflict arising from CB's relationships and identification of any residual risk.  Requirement: ISO/IEC 17021-1, 5.2.3, and <a href="#">ANAB Accreditation Rule 10</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
9. Provide names of members on committee established to safeguard impartiality, including key interest group each person represents.  It is the CB's responsibility to notify ANAB of any changes.  Requirement: <a href="#">ISO/IEC 17021-1, 5.2.3</a> , and <a href="#">PSC.2, 6.2</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
10. Current list of organizations to which CB outsources work associated with management systems certification and associated outsourced activities.  Requirement: <a href="#">ISO/IEC 17021-1, 7.5</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
11. Copy of enforceable arrangements with each outsourced organization.	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	

Requirement: <a href="#">ISO/IEC 17021-1, 7.5.1</a>		Approved?
	<b>Final Response</b>	
		Approved?

### Section 3: SOMS CB Requirements

Indicate standards for which CB is seeking accreditation (mark X at left of each standard that applies):

ANSI/ASIS PSC.1     ISO 18788

Provide evidence of the CB's certification system for ANSI/ASIS PSC.1 and/or ISO 18788.

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 <a href="#">CL 5313, ISO/IEC 17021-1 Requirement Matrix</a> , which can be found in EQM under Reference Documents, with documentation references revised to address this program highlighted. Column 2 of CL 5313 shall contain sufficient detail to readily locate information within the documentation. Also include all documentation referenced that was revised for this program.  Note: Disregard if provided in Section 2 above.	<b>Initial Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
2. Identify CB personnel who have competence for managing program for SOMS certification.  Requirement: <a href="#">ISO/IEC 17021-1, 7.2.1</a>	<b>Initial Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
3. Provide list of SOMS auditors and technical experts CB plans to use, including evidence of their competence.  Requirement: <a href="#">ISO/IEC 17021-1, 7.2.2 and 7.2.4-7.2.7</a>	<b>Initial Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
4. Provide information on group or person who will make decisions relevant to certification for SOMS (including but not limited to initial certification, scope expansions, recertification, and suspension decisions), including evidence of their competence.  Requirement: <a href="#">ISO/IEC 17021-1, 7.2.8</a>	<b>Initial Response</b>		
			Approved?
	<b>Second Response</b>		
			Approved?
	<b>Final Response</b>		
			Approved?

5. Provide information CB provides to clients regarding requirements for SOMS certification. Requirement: <a href="#">ISO/IEC 17021-1, 8.5.1</a>		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	
6. Provide copy of CB's application and legally enforceable client agreement for SOMS. Requirement: <a href="#">ISO/IEC 17021-1, 5.1.2 and 9.1.1</a> , and <a href="#">PSC.2, 5.1</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
7. Provide information about CB's process and group or person responsible for (a) application review, including determination of competencies needed for audit team and certification decisions; (b) appointment of audit team members; and (c) appointment of individuals to make SOMS certification decisions. Requirement: <a href="#">ISO/IEC 17021-1, 9.1.2 and 9.2.2.1.1</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
8. Provide information about CB's process and group or person responsible for determining audit time for SOMS certification audits. Requirement: <a href="#">ISO/IEC 17021-1, 9.1.4</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
9. Provide information about CB's process for determining sampling plan when multi-site sampling is used for multiple sites for SOMS certification audits. Requirement: <a href="#">ISO/IEC 17021-1, 9.1.5</a> , and <a href="#">IAF MD 1</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
10. Provide sample of certification documents for ISO 18788 and/or PSC.1 (e.g., certificate). Include process for establishing dates on certification documents. Requirement: <a href="#">ISO/IEC 17021-1, 8.2</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
11. Indicate how CB will ensure no unaccredited certificates are issued. Requirement: <a href="#">ANAB Accreditation Rule 40, 7.1</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
	<b>Final Response</b>	

12. If CB has issued SOMS certificates (unaccredited or accredited by another AB) prior to accreditation by ANAB, provide plan to transition them to ANAB-accredited certificates. Requirement: <a href="#">MA 5000, Article 6</a>	<b>Initial Response</b>	Approved?
		Approved?
	<b>Second Response</b>	Approved?
		Approved?
13. Provide process for continually communicating and consistently reinforcing expected outcomes with auditors, certification personnel, customers, and other stakeholders. Include how CB ensures effectiveness of the process. Requirement: <a href="#">ANAB Accreditation Rule 40, 6.2</a>	<b>Initial Response</b>	Approved?
		Approved?
	<b>Second Response</b>	Approved?
		Approved?
	<b>Final Response</b>	Approved?

### Section 4: 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>). Instructions on how to upload the application can be found at <http://anab.org/programs/isoiec-17021/certification-bodies/become-a-cb/>.
3. The initial (off-site) document review takes approximately two weeks after the reviewer is assigned.
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: