

ANAB ACCREDITATION MANUAL		
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Accreditation Manual

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FOREWORD

The ANSI-ASQ National Accreditation Board (ANAB) is an accreditation body based in the United States. Headquartered in Milwaukee, Wisconsin, ANAB is financially self-supported and governed by a board of directors representing a cross-section of stakeholders. Policy is established by the board of directors. ANAB exists to serve the conformity assessment needs of business and industry.

ANAB had its roots in the Registrar Accreditation Board (RAB), which was established in 1989 by the American Society for Quality (ASQ). RAB's original mission was to provide accreditation services for ISO 9000 certification bodies (CBs). When RAB was created, it immediately sought to strengthen the U.S. system for accreditation by pursuing a formal relationship with the American National Standards Institute (ANSI). In 1991, ANSI and RAB joined forces to establish the American National Accreditation Program for Registrars of Quality Systems. In 1996, with the release of the ISO 14000 standards, the ANSI-RAB National Accreditation Program (NAP) was formed, replacing the original joint program. ANAB was established January 1, 2005, to take over the accreditation activities previously operated by the ANSI-RAB NAP

In September 2007, ANAB acquired Assured Calibration and Laboratory Accreditation Select Services, LLC (ACLASS), expanding ANAB conformity assessment services to include accreditation of testing and calibration laboratories, inspection bodies, and reference material producers (all under the ACLASS mark).

Under the ANAB mark, the ANSI-ASQ National Accreditation Board accredits management systems CBs. This manual explains the operational activities and responsibilities of ANAB and management systems CBs accredited under the ANAB mark. This manual is a companion document to ISO/IEC 17021, related IAF documents, and ANAB Accreditation Rules. Other activities and responsibilities of ANAB and ANAB-accredited CBs may be described in additional guidelines and administrative documents.

For more information, contact the ANSI-ASQ National Accreditation Board, 600 N. Plankinton Ave., Suite 300, P.O. Box 586, Milwaukee Wisconsin, 53201-0568, USA, telephone 414-347-9858, facsimile 414-298-2509, anab@anab.org, www.anab.org.

Note: All references to ISO, IAF, and ANAB documents and other controlled materials are to the current issues of the documents. Most ANAB documents are accessible free of charge at www.anab.org. IAF documents are accessible free of charge at www.iaf.nu.

DEFINITIONS

Accreditation requirements – In addition to this ANAB Accreditation Manual and applicable ANAB Accreditation Rules, ISO/IEC 17021 and related IAF documents.

Accreditation Rules – Positions taken or policies established on operational issues related to ANAB accreditation of certification schemes (and previously known as Advisories). By reference, Accreditation Rules are incorporated in ANAB documents for CB accreditation programs.

Base certification scheme – A certification scheme for which ANAB offers accreditation that is not based on another scheme (examples of base certification schemes are ISO 9001 QMS, ISO 14001 EMS, OHSMS, and ISO/IEC 27001 ISMS).

Certification scheme – The totality of requirements and processes for assessing conformance and deciding on certification. This includes the standards or other documents that specify the requirements for the object of conformity assessments (such as the requirements of management systems) as well as the other requirements applicable to the organization and the CB.

Closure (of a nonconformity) – Evidence of acceptable correction and corrective action, or an acceptable plan for correction and corrective action plus evidence the plan is being implemented.

Correction – Action to eliminate a detected nonconformity ([ISO 9000:2005, 3.6.6](#)).

Corrective action – Action to eliminate the cause of a detected nonconformity or other undesirable situation. Corrective action is taken to prevent recurrence ([ISO 9000:2005, section 3.6.5](#)).

Enterprise Quality Manager (EQM) – Web-based data system used by ANAB to administer CB accreditation programs. Users (including ANAB personnel and accredited and applicant CBs) can access EQM via ANAB's Web site (www.anab.org).

Executive Assessment Team Leader (EATL) – ANAB assessment team leader assigned to a CB for the accreditation period to manage communication and workflow. The EATL conducts office assessments, manages assessments of CB witnessed audits, investigates complaints, and works directly with the CB on technical questions about the CB's systems. In most cases, the EATL will be reassigned and the CB will be transferred to a new EATL during the reaccreditation office assessment.

Initial assessment – Process of evaluating an applicant CB's suitability for accreditation using such techniques as review of documentation, office assessments, and witnessed CB audits.

International Accreditation Forum (IAF) – World association of conformity assessment accreditation bodies and other bodies interested in conformity assessment in management systems, products, service, personnel, and similar programs. Its primary function is to develop a single worldwide program of conformity assessment that reduces risk for business and its customers by assuring them that accredited certificates can be relied on (www.iaf.nu).

Major nonconformity – Absence of or failure to implement and maintain one or more requirements for accreditation or requirements of the CB's certification system or the CB's management system, which would on the basis of available objective evidence raise significant doubt as to the credibility of the certificates issued by the CB; *or* a number of minor

nonconformities to one or more requirements, which when combined represent a breakdown of the CB's systems; *or* a minor nonconformity previously issued and not addressed effectively.

Minor nonconformity – Observed lapses in the CB's systems that do not represent a breakdown of the CB's systems and do not raise significant doubt with regard to the credibility of any certificates issued by the CB.

Nonconformity (NCR) – Non-fulfillment of a requirement ([ISO 9000:2005, 3.6.2](#), and [ISO 14001:2004, 3.15](#)). Also referred to as a nonconformance.

Office assessment – Systematic and independent evaluation performed at the CB's facility to determine whether the CB's management system for operating a certification system has been and continues to be effectively implemented.

Opportunity for improvement (OFI) – Any finding not classified as a nonconformity or not withdrawn. Any negative finding of a potential nonconformity will be classified as an OFI (see definition of preventive action). There may be OFIs that are not potential nonconformities, and not all OFIs need to be documented using the finding form.

Preventive action – Action to eliminate the cause of a potential nonconformity or other undesirable situation ([ISO 9000:2005, 3.6.4](#), and [ISO 14001:2004, 3.17](#)).

Review of documentation – Process of comparing the requirements embodied in the applicant's certification and management systems documentation with accreditation criteria.

Stage 1 audit – First stage of a two-stage audit conducted by a CB of an organization for management systems certification. The stage 1 audit is for conducting a document review, confirming the organization has conducted an effective aspects analysis, confirming the organization is knowledgeable of legal requirements, and determining the organization's readiness for a stage 2 audit.

Stage 2 audit – Second stage of a two-stage audit conducted by a CB of an organization for management systems certification. The stage 2 audit is to confirm effective implementation of a management system.

Subordinate certification scheme – A certification scheme dependent on a base certification scheme for which ANAB offers accreditation (for example, AS9100 or TL 9000 based on ISO 9001 QMS).

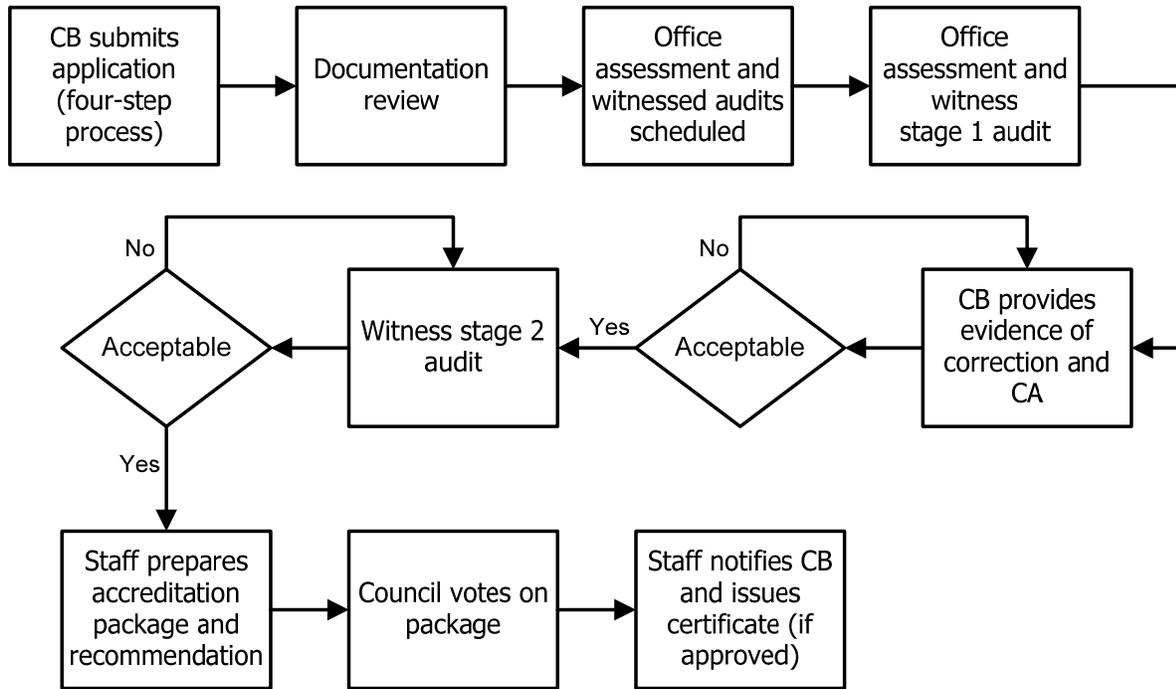
Sub-subordinate certification scheme – A certification scheme dependent on a subordinate certification scheme for which ANAB offers accreditation (for example, AS9120 based on AS9100).

Suspension of accreditation – Temporary restriction of the services a CB may provide within the scope of accreditation. While accreditation for a standard is suspended, a CB may not issue any initial ANAB-accredited certification for that standard (see [Article 16](#)).

Withdrawal (cancellation) of accreditation – Cessation of accreditation. Requires return of the certificate of accreditation, cessation of use of the ANAB mark in any form and any reference to accredited status, withdrawal of accredited certificates, and notification of withdrawal published at www.anab.org and in ANSI *Standards Action* (see [Article 16](#)).

Witnessed CB audit – Witnessing by an ANAB assessment team of a CB's audit team conducting an audit of an organization's management system to the requirements of applicable standards to ascertain the audit team's competence to conduct the audit.

ANAB INITIAL ACCREDITATION PROCESS



ARTICLE 1: APPLICATION FOR ACCREDITATION

- 1.1. Information about the application process, including sample application forms in PDF format, is available on ANAB's Web site (www.anab.org).
- 1.2. Formal application must be made electronically through a Web portal to ANAB's database, Enterprise Quality Manager (EQM).
- 1.3. Step 1 for a new CB is to provide evidence of conforming to base requirements. When the base application is deemed complete and ANAB management staff has reviewed the application to confirm that ANAB is able in terms of policies, scope, competence, and availability of competent assessors and experts to service the CB, ANAB accepts the application and notifies the CB in writing.
- 1.4. Steps 2, 3, and 4 include the CB purchasing and downloading an application for a specific standard (for example, ISO 9001 or AS9100) and subsequently uploading the completed application. For base standards, a public announcement of the CB's application is made in ANSI *Standards Action* with instructions for submitting comments to ANAB during a 30-day comment period. Any comments received shall be acknowledged and responded to by ANAB or the CB, if appropriate.
- 1.5. If at any time during the application process ANAB deems that the CB does not have the potential to meet the accreditation requirements, ANAB shall inform the CB in writing that the application cannot be considered further and of the reason(s) thereof. Application fees are not refunded.
 - 1.5.1. If a CB wishes to re-apply, a new application and application fee shall be required.
- 1.6. The CB must actively pursue initial accreditation by participating in required accreditation activities (for example, providing additional information when requested, responding to requests for corrective action, arranging for office assessments, and arranging for suitable audits for ANAB to witness).
 - 1.6.1. If a CB is unable to achieve accreditation within one year of ANAB's receipt of the application, ANAB may place the CB on "inactive" status (for the specific standard or scope). ANAB will notify the CB of the impending change of status approximately 90 days in advance.
 - 1.6.2. To return to active status for the specific standard or scope, the CB must re-apply, providing any additional documentation ANAB deems necessary. The re-application may include additional fees.

ARTICLE 2: GENERAL REQUIREMENTS FOR ASSESSMENTS

- 2.1. The CB is informed of the identities, employment status, and experience of the reviewer and proposed members of the assessment team, including any technical expert needed, and has the opportunity to raise objections.
 - 2.1.1. If the CB submits an objection in writing concerning any assessment team member, ANAB shall not assign that person to the team if it deems the objection well founded.

- 2.2. The CB shall have enforceable arrangements with organizations being audited for accredited certification to ensure ANAB access to witness the CB's audit team performing an audit at the organization's site.
- 2.3. The CB must notify ANAB when an organization refuses a witnessed audit. If the organization chooses to transfer to another CB to avoid having its audit witnessed, an ANAB-accredited certificate shall not be issued. ANAB will notify IAF member accreditation bodies of such refusals.
- 2.4. During ANAB's witnessing of a CB audit, the ANAB assessor is not authorized to agree to any release of responsibility by the witnessed organization for the safety of the audit teams, and is expected to take immediate action at any time to avoid injury, including leaving the area or the organization if necessary. The ANAB assessor will conform with the safety rules of the organization as made known to the ANAB assessor.
- 2.5. If at any time during ANAB's witnessing of a CB audit the ANAB assessor observes a hazard he or she considers to be an imminent risk of high severity to health and safety, the assessor shall request an immediate caucus with the CB's audit team leader to inform him or her of the hazard, with the expectation that the CB's audit team leader will address the hazard with the organization in accordance with the CB's processes.
- 2.6. The ANAB assessment report and nonconformities (NCRs) about the CB related to noncompliance with statutory or regulatory requirements by the witnessed organization shall be written in terms of the management systems requirements, certification requirements, and accreditation requirements, in consideration of the risk to the organization of disclosure to other parties.
- 2.7. ANAB assessments are administered through EQM.
 - 2.7.1. ANAB staff, accreditation assessors, and the CB are required to maintain assessment information in EQM.
 - 2.7.2. EQM generates an e-mail confirmation to the CB and ANAB's assessment team to confirm the assessment and outline the detail.
 - 2.7.3. The CB shall upload to EQM the pre-assessment documentation required by ANAB by the date indicated in the e-mail confirmation.
 - 2.7.4. ANAB assessment teams prepare and make available to the CB via EQM a report on results of each assessment.
 - 2.7.5. All identified nonconformities shall be documented and entered in EQM.
 - 2.7.6. All responses to nonconformities shall be documented and entered in the appropriate fields in EQM. Evidence of responses shall be attached in EQM.
 - 2.7.7. Evidence of effective implementation of acceptable correction and corrective action must be entered in EQM.

ARTICLE 3: INITIAL ASSESSMENT

- 3.1. Upon accepting an application, ANAB assigns the application to an ANAB accreditation assessment reviewer.

- 3.1.1. If the CB's Executive Assessment Team Leader (EATL) is a qualified assessor for the specific standard then the EATL will be the reviewer. If not, the reviewer will be an assessor qualified for the specific standard.
- 3.1.2. For base standards, ANAB assigns at least one other assessment team member to participate with the assessment team leader at the office assessment and witnessed CB audits.
- 3.1.3. Under the Multilateral Cooperative Accreditation Agreement (MCAA) ANAB may accept full-system office assessments or witnessed audits by an MCAA signatory accreditation body for initial accreditation (provided the CB has signed the Agreement for Cooperative Accreditation) or ANAB may consider joint assessment teams with other accreditation bodies.
 - 3.1.3.1. If ANAB accepts assessments by an MCAA signatory accreditation body, ANAB may conduct abbreviated office assessments or witnessed audits.
- 3.1.4. Initial accreditation assessments of CBs outside the MCAA shall be conducted by ANAB; however, joint assessment teams with other accreditation bodies may be considered by ANAB.
- 3.1.5. Team members shall have no relationships with the applicant that could influence the assessments. Team members are required to keep confidential all knowledge and information obtained about the applicant and its operations.
- 3.2. The assessment team leader reviews and evaluates the applicant's documentation submitted with the application to determine if the requirements for accreditation have been satisfactorily integrated into the applicant's management system and operating procedures. The assessment team leader shall issue a report of the results of the document review. The applicant may be required to provide clarifications and corrections before the accreditation process proceeds.
- 3.3. ANAB and the assessment team leader arrange with the applicant a mutually acceptable schedule for the office assessment(s) and the two stages of the witnessed CB audits. ANAB shall confirm this schedule in writing to the applicant, including a request for details on logistical arrangements, the applicant's audit team qualifications, details of the applicant's audit plan, and any other information required of the applicant to carry out the assessment process. In addition, the applicant is informed of the ANAB plan for the office assessment and the ANAB assessment protocol.
 - 3.3.1. Other locations of the CB are also subject to assessment if they are considered "critical" as defined in the IAF documents on cross frontier accreditation.
 - 3.3.2. Prior to conducting the office assessment for initial accreditation, the applicant shall have conducted a complete internal audit (all elements of the management system) and at least one complete management review.
 - 3.3.3. For witnessed CB audits, ANAB requires that the number of members of the ANAB assessment team equal the number of members on the CB's audit team. A one-person CB audit team is not acceptable for an initial accreditation witnessed CB audit, except for the stage 1 portion of the audit.

- 3.3.4. For initial witnessed CB audits, ANAB shall witness the CB's audit team conducting a stage 1 and stage 2 audit, of an organization's management system to the requirements of applicable standards. It is preferred to witness a CB's stage 1 and stage 2 audits of the same organization in sequence.
- 3.4. The ANAB assessment team conducts the office assessment and witnessed CB audits. For each assessment, the assessment team leader prepares an assessment report including assessment details, discussion of nonconformities issued and concerns identified, and conclusions reached by the assessment team. Nonconformities shall be documented and reported for identified deficiencies that require correction and corrective action by the applicant. Concerns and opportunities for improvement are also identified in the assessment report; however, they do not necessarily require a formal response.
 - 3.4.1. Prior to witnessing the stage 2 portion of the audit, the applicant is to present the ANAB assessment team with evidence of the completed document review and conclusions from the stage 1 portion of the audit.
- 3.5. The assessment team leader uploads a copy of each ANAB assessment report to EQM and the applicant can then access the report via EQM.
- 3.6. Evidence of implementation of acceptable correction and corrective action for all nonconformities is required, in keeping with [Article 13](#) of this procedure, before the initial accreditation decision process is initiated. Acceptance of these responses is based on a review by the ANAB assessment team and appropriate ANAB staff. Follow-up assessments and/or additional assessments may be required. Results of all reviews shall be communicated to the applicant in writing via EQM.
- 3.7. Initial assessments shall occur within the 12-month period preceding the accreditation decision. If any assessment occurred more than 12 months prior to the accreditation decision, ANAB may require a follow-up assessment.
- 3.8. The applicant CB shall have successfully completed the initial accreditation process within one year of the date of acceptance of the application. If the applicant has not done so, ANAB may place the CB on "inactive" status for the specific standard.

ARTICLE 4: INITIAL ACCREDITATION DECISION PROCESS

- 4.1. If the assessment team's conclusions regarding the effectiveness of the certification system are satisfactory and ANAB staff concludes all other requirements have been met, including all nonconformities being closed, ANAB staff prepares an accreditation package for the Accreditation Council. The package consists of a summary of the CB's application information, all nonconformities issued including the CB's response and ANAB's review of the responses, and the ANAB executive review of the initial accreditation activity and recommendation.
 - 4.1.1. Accreditation Council voting is governed by the [ANAB Council Operating Procedure \(PR 1000\)](#).
- 4.2. If the Accreditation Council vote is in favor of initial accreditation, the decision shall be communicated to ANAB staff. Certain conditions may be imposed by the Council in its decision to accredit the applicant. It is the duty of the newly accredited CB to ensure that those conditions are met.

- 4.2.1. ANAB staff shall notify the CB of the favorable decision.
- 4.3. If the Accreditation Council votes against initial accreditation, ANAB staff shall be notified and provided the reason(s) for the decision.
 - 4.3.1. ANAB staff shall notify the CB in writing of the basis of the decision and any next steps on the part of the applicant deemed appropriate. The applicant may appeal the decision in keeping with [Article 17](#).
 - 4.3.2. ANAB fees and audit expenses associated with the accreditation activity performed to date become payable by the unsuccessful applicant.

ARTICLE 5: INITIAL ACCREDITATION

- 5.1. For the first base standard for which a CB is accredited by ANAB, upon receipt of one copy of the Accreditation Agreement duly signed by a company officer on behalf of the CB and payment of any overdue unpaid invoices, ANAB staff shall prepare a certificate of accreditation.
 - 5.1.1. The agreement applies to all ANAB accreditations.
- 5.2. ANAB updates the published list of accredited CBs on ANAB's Web site (www.anab.org).
- 5.3. For accreditation to a base standard, ANAB notifies ANSI of the accreditation for publication in *Standards Action* in keeping with the requirement for public notice.
- 5.4. ANAB shall send the CB the certificate of accreditation and ANAB accreditation mark (see [ANAB Accreditation Rule 4](#)).
- 5.5. The scope of accreditation, issue date, initial accreditation date, and expiration date shall be shown on the certificate, along with CB locations, with critical locations identified and countries in which the CB has issued or is planning to issue ANAB-accredited certifications.

ARTICLE 6: CERTIFICATES ISSUED PRIOR TO ACCREDITATION

- 6.1. A CB newly accredited by ANAB may issue ANAB-accredited certificates only after formal recognition of accreditation is received from ANAB.
 - 6.1.1. After formal recognition of accreditation is received from ANAB, ANAB-accredited certificates may be issued to the CB's clients for which ANAB assessors witnessed satisfactory audits by the CB for initial accreditation of the CB, and for any of the CB's clients subsequently audited and certified by the CB within the scope of the ANAB accreditation.
 - 6.1.2. Clients certified prior to the witnessed audit(s) for initial accreditation may have their certificates re-issued to include the ANAB mark following a satisfactory surveillance or recertification audit by the CB that is conducted after the date of accreditation.
 - 6.1.3. A CB shall not issue or re-issue a certificate with an ANAB mark bearing an effective date prior to the date the CB attained ANAB accreditation.
- 6.2. An exception to the above is available by formal request to ANAB for CBs previously accredited for the specific standard by an accreditation body that is a signatory to the

IAF Multilateral Recognition Arrangement (MLA). ANAB will evaluate the experience of the CB making this request and will expect permission to make inquiries of the other relevant accreditation bodies. This retrospective evaluation may permit replacing the previously issued certificates with ANAB-accredited certificates.

- 6.3. In any event, ANAB will establish the date after which the CB may issue or re-issue certificates with the ANAB mark.

ARTICLE 7: CONTINUANCE OF ACCREDITATION

- 7.1. ANAB monitors and evaluates the CB's conformity to the accreditation criteria, referenced documents, applicable ANAB Accreditation Rules, and other requirements throughout the term of the accreditation. This includes periodic office assessments to monitor selected requirements and periodic witnessing of CB audit teams conducting management systems audits to applicable standards.
- 7.2. ANAB shall conduct office assessments at approximately six months after initial accreditation to a base standard or 12 months after the initial office assessment, whichever occurs first, and thereafter every 12 months. Office assessments are targeted to be scheduled six months prior to the expiration of accreditation. ANAB reserves the right to conduct unscheduled office assessments at times other than those stated.
- 7.3. ANAB shall witness audits of CB audit teams annually for each base standard or as otherwise stated in the applicable Accreditation Rule for each base standard. ANAB reserves the right to witness additional CB audits if deemed necessary.
 - 7.3.1. ANAB requires annual witnessed audits for each base standard or as otherwise stated in the applicable Accreditation Rule for each base standard in addition to any industry-specific (subordinate or sub-subordinate standard) or scope-extension witnessed audit (if applicable) that may occur. One of the annual witnessed audits (including the stage 1 and 2 certification audits) during the accreditation period may be an industry-specific audit (subordinate standard).
 - 7.3.2. Annual witnessed audits for base standards may be surveillance audits; however, one annual witnessed audit in the accreditation cycle shall evaluate the CB's recertification process and one annual witnessed audit in the accreditation cycle shall evaluate the CB's initial audit (stage 1 and 2) process.
 - 7.3.2.1. To evaluate the CB's initial audit process, ANAB shall witness the CB's audit team conducting a full-system audit, including stages 1 and 2, of an organization's management system to the requirements of the applicable standard. It is preferred to witness a CB's stage 1 and stage 2 audits of the same organization in sequence.
 - 7.3.2.1.1. If a CB does not have any stage 1 and 2 audits for a given base standard during an accreditation cycle, then it shall be sufficient for ANAB to witness the recertification audit for the given accreditation period and ANAB would not witness a stage 1 audit.
 - 7.3.3. The guidelines used for selecting the witnessed audits may include but are not limited to: different technical area each year, audit type, office assessment results, and complaints.

- 7.3.4 ANAB shall witness a CB team (two or more auditors) once during the accreditation period and shall use a two-assessor team.
- 7.4. ANAB shall consider accepting office assessments or witnessed CB audits by other IAF Multilateral Recognition Arrangement (MLA) signatory accreditation bodies and MCAA signatory bodies in lieu of an ANAB assessment or ANAB may consider joint assessment teams with other accreditation bodies.
- 7.5. Other locations of the CB are also subject to assessment as defined in the IAF documents on cross frontier accreditation and [ANAB Accreditation Rule 12](#).
- 7.6. ANAB staff is authorized by the Accreditation Council to make decisions for continued accreditation (within the four-year accreditation period) based on the satisfactory results of annual assessments or satisfactory correction and corrective actions for any nonconformities. Unsatisfactory results may require increased surveillance activity per Article 8, or suspension or withdrawal of accreditation per [Article 16](#).

ARTICLE 8: INCREASED MONITORING OF ACTIVITY

- 8.1. ANAB staff is authorized by the Accreditation Council to increase monitoring of a CB's activity in circumstances where there is reasonable concern about the CB's operations but where suspension or withdrawal of accreditation may not be appropriate. Increased monitoring need not precede suspension or withdrawal.
- 8.2. Any of the following reasons shall be considered for increased monitoring:
 - 8.2.1. Significant organization changes
 - 8.2.2. Increased certification activity
 - 8.2.3. Multiple nonconformities and/or complaints in a specific area (for example but not limited to, audit day calculations or an industry-specific program requirement)
 - 8.2.4. Relationships that cause a real or perceived conflict of interest
 - 8.2.5. Other conditions deemed appropriate
- 8.3. Increased monitoring may include an increase in office assessment and/or witnessed audit activity, depending on the reasons for increasing the frequency.
- 8.4. Monitoring of activity shall return to normal levels when ANAB regains confidence in the CB's system and the CB demonstrates effective control of its system.

ARTICLE 9: RE-ACCREDITATION

- 9.1. For re-accreditation, ANAB shall conduct an office assessment of the CB's full certification system at the head office for each applicable certification scheme at approximately six months prior to the expiration of the accreditation. The office assessment shall include all standards for which the CB is accredited to provide audits and certifications.
 - 9.1.1. Under the Multilateral Cooperative Accreditation Arrangement (MCAA), ANAB may accept full-system office assessments by an MCAA signatory accreditation body for re-accreditation if all objectives of the ANAB assessment are achieved, or ANAB may consider joint assessment teams with other accreditation bodies.

- 9.1.1.1. If ANAB accepts assessments by another MCAA signatory accreditation body, ANAB may conduct an abbreviated office assessment.
 - 9.1.2. Re-accreditation assessments with CBs outside the MCAA shall be conducted by ANAB; however, ANAB may consider joint assessment teams with other accreditation bodies.
 - 9.2. The required witnessing of a CB's initial audit, stages 1 and 2 (as defined in Article 7), may be achieved any time within the accreditation cycle; however, it must be completed prior to re-accreditation.
 - 9.3. Other locations of the CB are subject to re-accreditation assessments as defined in the IAF documents on cross frontier accreditation and [ANAB Accreditation Rule 12](#).
 - 9.4. Before the expiration date of accreditation, ANAB staff shall prepare the CB's re-accreditation package, consisting of a summary of all annual and re-accreditation assessments that have occurred during the period of accreditation and including a summary of the nonconformities and corrective action responses (including correction, root cause analysis, and corrective action) that resulted from these assessments and the status of the nonconformities (for example, open, closed, or verified), summary of complaints, summary of appeals, and the ANAB executive review of re-accreditation activity. This package shall be submitted to the Accreditation Council for the re-accreditation decision.
 - 9.4.1. Accreditation Council voting is governed by the [ANAB Council Operating Procedure \(PR 1000\)](#).
 - 9.5. If the decision by the Accreditation Council for re-accreditation is favorable, ANAB issues a new certificate of accreditation. Certain conditions may be imposed by the Accreditation Council in its decision to re-accredit the CB. It is the duty of the re-accredited CB to ensure that those conditions are met.
 - 9.6. If the decision by the Accreditation Council for re-accreditation is unfavorable, ANAB shall notify the CB in writing of the basis for the Council's decision and any next steps on the part of the CB and ANAB appropriate to initiate suspension or withdrawal of accreditation in keeping with [Article 14](#). The CB may appeal the decision in keeping with Article 17.

ARTICLE 10: EXTENSION OR REDUCTION OF TECHNICAL AREAS

- 10.1. ANAB staff is authorized by the Accreditation Council to make decisions on an extension of technical areas under a management systems standard based on the recommendation of an accreditation assessor/technical expert following the process specified in [ANAB Accreditation Rule 2](#).
- 10.2. ANAB staff is authorized by the Accreditation Council to make decisions on a reduction of technical areas under a management systems standard when there is evidence that the CB no longer possesses the necessary competence for auditing and certification for the technical area.

ARTICLE 11: COMPLAINTS

- 11.1. When a complaint against ANAB is received, ANAB staff shall process it in keeping with ANAB procedures for complaints including, if necessary, the correction and corrective action process. The complaint shall be addressed in writing. Non-confidential information about complaints is at www.anab.org.
- 11.2. A complaint about an accredited CB shall be addressed in accordance with [ANAB Accreditation Rule 28](#).
- 11.3. A complaint about an organization with an accredited certification shall be addressed in accordance with [ANAB Accreditation Rule 28](#).
- 11.4. ANAB shall maintain a record of all complaints received and their resolution. Non-confidential information about complaints is published on ANAB's Web site (www.anab.org).

ARTICLE 12: NONCONFORMITIES

- 12.1. If ANAB determines an accredited CB is not in conformance with accreditation requirements or with its own policies and procedures, ANAB shall give the CB the opportunity to make correction, determine cause, and take corrective action within a period determined by ANAB without prejudice to the right to immediate termination of the Accreditation Agreement.
- 12.2. A nonconformity may result from any assessment or from a complaint if it is supported by objective evidence indicating non-fulfillment of any requirement.
- 12.3. For witnessed CB audits, because the ANAB assessor witnessing a CB audit team is an observer only and cannot actively pursue an assessment trail, a nonconformity cannot be classified prior to discussion with the CB audit team during the closing meeting between ANAB and the CB audit team. The CB audit team may have a reasonable explanation for deciding there was sufficient information to reach its decision of conformity or nonconformity for a given area.
- 12.4. A nonconformity by a CB shall be documented by ANAB and entered into EQM. The three parts of the nonconformity to be documented are (1) the requirement, (2) the statement of finding, and (3) the evidence.
- 12.5. ANAB shall classify any nonconformity as a major nonconformity or minor nonconformity.

ARTICLE 13: CORRECTIVE ACTION

- 13.1. The CB shall respond to any nonconformity via EQM.
- 13.2. There are three parts to the response:
 - 13.2.1. Correction, which may include containment.
 - 13.2.2. Cause. It is necessary to determine the cause to take corrective action. The CB should use an appropriate process, such as root cause analysis or five whys, to determine cause.
 - 13.2.3. Corrective action.

- 13.3. The CB shall upload evidence to EQM corresponding to the appropriate area (correction, cause, or corrective action).
 - 13.4. Within 10 calendar days, the ANAB assessment team leader shall review the response and enter his or her review in EQM.
 - 13.5. ANAB accreditation assessors and staff are authorized by the Accreditation Council to assess whether adequate correction and corrective action have been taken and effectively implemented.
 - 13.6. The review shall include justification for not accepting the response or for accepting the response and closure of the nonconformity.
 - 13.6.1. A nonconformity may be withdrawn with justification.
 - 13.7. If a response is not accepted, the CB shall enter additional responses and supporting documentation in EQM.
 - 13.8. The corrective action process shall be repeated as necessary until the response is accepted and the nonconformity is closed.
 - 13.9. For any nonconformity of an applicant CB related to initial accreditation, initial accreditation shall not be granted until all major and minor nonconformities are closed.
 - 13.10. For any nonconformity of an accredited CB:
 - 13.10.1. For a major nonconformity, the CB shall submit a plan within 30 calendar days from the date of the nonconformity and *satisfactory* evidence of implementation within 60 calendar days from the date of the nonconformity, unless the CB and ANAB agree on a longer period of time. Failure to meet deadlines for responding to a major nonconformity shall result in recommendation for suspension.*
 - 13.10.2. For a minor nonconformity, the CB shall submit a plan within 30 calendar days from the date of the nonconformity and *satisfactory* evidence of implementation within 90 calendar days from the date of the nonconformity. Failure to meet the deadlines for responding to a minor nonconformity shall result in the nonconformity being escalated to a major nonconformity and addressed in accordance with [13.10.1](#).*
- *Note: Timelines do not include additional time for communication between ANAB and the CB if responses are not accepted. It is recommended that the CB provide responses early to allow time for additional reviews if needed. These timelines do not apply while a nonconformity is under appeal.
- 13.11. For re-accreditation, every nonconformity shall be closed prior to the date of expiration of accreditation. Failure to close a nonconformity prior to the date of expiration shall result in a recommendation for a short-term accreditation, suspension, or withdrawal, with justification to support the recommendation.
 - 13.12. During ANAB assessments continued effective implementation of correction and corrective action shall be verified for any nonconformity addressed since the previous assessment.

ARTICLE 14: PUBLIC NOTICE AND INFORMATION

- 14.1. ANSI makes public announcement of the granting, renewal, suspension, and withdrawal of accreditations, based on information provided by ANAB.
- 14.2. ANAB maintains a publicly available directory of ANAB-accredited CBs and information regarding suspensions and withdrawals of accreditation on its Web site (www.anab.org).

ARTICLE 15: FEES

- 15.1. The CB shall pay fees as shown in the current fee schedule.
- 15.2. Payment of all invoices is due 30 days from the date on the invoice.
- 15.3. Within 10 calendar days after the expiration of the due date, ANAB will e-mail a reminder to the CB with a copy of the invoice. At this time, the CB is officially on "financial probation." A CB on financial probation may not:
 - 15.3.1. Apply for extension of the scope of accreditation.
 - 15.3.2. Receive an ANAB-issued certificate for initial accreditation, annual renewal, or re-accreditation.
 - 15.3.3. Apply for accreditation to additional standards.
 - 15.3.4. In addition, ANAB may suspend any such activity that may be under way on behalf of the CB.
- 15.4. While on financial probation, a CB can still issue ANAB-accredited certificates.
- 15.5. If ANAB does not receive payment within 60 calendar days of the invoice date (30 calendar days past the due date), a monthly 2% interest charge will be assessed on the outstanding amount due, backdating to the initial invoice date. This 2% interest per month will continue to accrue until the invoice is paid in full.
- 15.6. ANAB staff is authorized by the ANAB Accreditation Council to suspend a CB's accreditation if an invoice remains unpaid 90 calendar days after the invoice date (60 calendar days past the due date). ANAB will send the CB written notice of the suspension decision.
 - 15.6.1. Possible action could also include withdrawal of accreditation.
- 15.7. A CB may appeal an invoice; however, the invoice shall be paid prior to the due date to avoid financial probation and or suspension as referenced above.
 - 15.7.1. The appeal of an invoice will follow the appeal process outlined in [Article 17](#). If the decision is in favor of the appellant, a credit or refund will be issued, including any interest the CB may have paid.
- 15.8. In case of premature termination of the Accreditation Agreement, a pro-rata payment of the fee for the portion of the accreditation year during which accreditation was in effect is payable in full upon termination.
- 15.9. In keeping with the Accreditation Agreement, ANAB shall have the right to verify accuracy of revenue reported by the CB for the purpose of calculating fees.

ARTICLE 16: SUSPENSION OR WITHDRAWAL OF ACCREDITATION

- 16.1. Suspension of accreditation places restrictions on a CB's ability to continue to offer and provide accredited certification. Suspension can be for the full scope of accreditation of the CB or for specific standards.
 - 16.1.1. While suspended, a CB shall continue to conduct required surveillance and recertification audits and other services necessary to maintain accredited certifications, and may continue to conduct audits for initial certification, but shall not issue any new accredited certifications within the scope of the suspension.
 - 16.1.2. The CB shall within 30 calendar days of notice of suspension provide to ANAB the name, mailing address, telephone number, and e-mail address (as applicable) of every client with an accredited certification within the scope of the suspension.
 - 16.1.3 While suspended, the CB shall pay in advance for any assessments or other services performed by ANAB to maintain accreditation.
- 16.2. Suspension (except for nonpayment) or withdrawal of accreditation is initiated by formal action of a panel of the Accreditation Council and shall be lifted only by formal action of the same panel.
 - 16.2.1. ANAB staff is authorized by the Accreditation Council to suspend a CB's accreditation if an invoice remains unpaid 90 days after the invoice date and suspension may be lifted by ANAB staff upon receipt of payment.
- 16.3. The period of suspension shall not exceed six months unless specifically authorized by the panel of the Accreditation Council. Failure to satisfy the conditions or to remedy the causes of suspension within the specified time period is grounds for initiating withdrawal of accreditation.
- 16.4. Upon lifting suspension, any unaccredited certifications granted by the CB during the suspension shall be accredited only following a satisfactory surveillance audit of the organization by the CB.
- 16.5. Following withdrawal, accreditation shall be granted again only after the CB has again successfully completed both the application process and the initial accreditation process, including payment of all required fees.
- 16.6. Any of the following reasons are considered grounds for suspension or withdrawal:
 - 16.6.1. Failure of the CB to conform with accreditation requirements.
 - 16.6.2. Inability or unwillingness of the CB to ensure conformity of its certified organizations to applicable standards.
 - 16.6.3. Ineffective correction and/or corrective action taken, or corrective action not implemented within a specified time period.
 - 16.6.4. Nonconformity with or failure to execute the ANAB Accreditation Agreement.
 - 16.6.5. Improper use of the certificate of accreditation or the ANAB accreditation mark (see [ANAB Accreditation Rule 4](#)).
 - 16.6.6. Existence of a complaint or a number of complaints indicating the management system of the CB is not being maintained.

- 16.6.7. Failure to meet financial obligations to ANAB.
- 16.6.8. Failure to maintain an effective audit management program in keeping with the current issue of [ISO/IEC 17021](#).
- 16.6.9. Falsification of any nature.
- 16.7. ANAB staff shall ask the chair of the Accreditation Council to appoint a three-member panel of Council members, with one of the members appointed chair, for a suspension or withdrawal hearing. ANAB staff shall submit to the panel a recommendation for suspension or withdrawal with appropriate documentation to support the recommendation. A copy of the recommendation and supporting documentation shall be provided to the CB.
 - 16.7.1. ANAB staff shall schedule the hearing, which may be a face-to-face meeting or teleconference as agreed by the panel, the CB, and ANAB. For face-to-face hearings, the CB will be billed for travel expenses for the panel members.
 - 16.7.2. The CB may submit to the panel documentation contesting or rebutting the recommendation for suspension or withdrawal, in which case the CB shall provide a copy to ANAB staff.
 - 16.7.3. At the hearing, except as otherwise agreed by all parties, the CB shall first have 30 minutes to present its position to the panel. Next, ANAB shall have 30 minutes to present its position. After a question-and-answer period and any rebuttals, the panel shall convene in private and reach its decision.
 - 16.7.4. Within three calendar days or as otherwise agreed by all parties, the chair of the panel shall communicate the decision of the panel to the CB and ANAB.
 - 16.7.5. Within three calendar days of the decision of the panel, ANAB staff shall notify the CB of suspension or withdrawal in writing by certified mail/return receipt or by other means for documenting receipt. The notice of suspension or withdrawal shall inform the CB of the effective date of suspension or withdrawal and shall include a clear statement of the reason(s) for the suspension or withdrawal. ANAB shall make public notice of the suspension or withdrawal in ANSI *Standards Action* and on ANAB's Web site (www.anab.org).
- 16.8. Upon receipt of notice of withdrawal of accreditation, the CB shall:
 - 16.8.1 Provide to ANAB within five calendar days a list of and contact information for all clients affected.
 - 16.8.2 Provide to ANAB within five calendar days for review and approval the notice the CB intends to provide to its certified and applicant clients of (1) withdrawal or cancellation of ANAB accreditation, (2) the requirement for the client to return the ANAB accredited certificate (as applicable), and (3) the process to transfer to another ANAB accredited CB.
 - 16.8.3 Send the notification to its certified and applicant clients within 15 calendar days.
 - 16.8.4 Make every reasonable effort to withdraw any ANAB-accredited certificate within 90 calendar days.
- 16.9. ANAB may contact the CB's certified and applicant clients directly to fulfill the expectations in [16.8](#) in the event the CB fails to fulfill its obligations.

- 16.10. A record of suspensions and withdrawals of accreditation shall be maintained on ANAB's Web site (www.anab.org). The name and location of each CB whose accreditation has been suspended or withdrawn shall be posted with the effective date(s) and explanation(s) of why the CB's accreditation has been suspended or withdrawn (that is, financial, voluntary, or failure to conform with requirements).

ARTICLE 17: APPEAL PROCESS

- 17.1. A CB may appeal any decision or action taken by ANAB.
- 17.1.1. A CB may appeal an ANAB invoice; however, the invoice shall be paid in full prior to the due date to avoid financial probation and/or suspension.
- 17.1.1.1. The appeal of an invoice shall follow the appeal process as outlined in this Article.
- 17.1.1.2. If the decision is in favor of the appellant, a credit or refund will be issued.
- 17.2. The ANAB appeal process has two levels: Level 1 appeals are heard by a panel of ANAB staff or assessors and level 2 by a panel of the Accreditation Council. The main decision-making body is the Accreditation Council.
- 17.2.1. Level 1 appeals are heard by a panel of three consisting of staff and/or accreditation assessors not involved in the audit. This is normally the level applied to any appeal of an assessment nonconformity. An exception is an appeal of any major nonconformity from an initial or re-accreditation assessment, which shall be heard by an appeals panel of Council members.
- 17.2.2. Level 2 appeals are made to the Accreditation Council and heard by a panel of three members of the Council. This is the first level for any appeal of an accreditation decision or any other decision of the Accreditation Council. It is also the second level of appeal if either party (the appellant or ANAB) is not satisfied with the decision made by the level 1 appeal panel.
- 17.3. An appeal shall be lodged in writing no later than 30 days after notification to the CB of the decision or action, or whenever the appropriate appeal panel may reasonably assume the decision or measure in question to be known to the appellant.
- 17.4. Appeals shall be lodged in EQM and are to include appropriate substantiation for the appellant's position.
- 17.5. A panel of three members is appointed, with one of the three members appointed chair. For level 1, the panel members are appointed by the ANAB vice president or manager of accreditation. For level 2, the panel members are appointed by the chair of the Accreditation Council. The appellant and ANAB shall be informed of the members of the panel and have an opportunity to object to the selection(s).
- 17.6. Appeals are not legal proceedings. Therefore, ANAB shall be notified at least 10 calendar days in advance if an appellant intends to have legal counsel present to ensure ANAB has sufficient advance notice so that it can also have legal counsel present.
- 17.7. The appeal shall be heard within 60 days unless otherwise agreed by all parties.
- 17.8. Unless otherwise agreed in advance, the appeals hearing shall be conducted as follows:

- 17.8.1. Introductions
- 17.8.2. Presentation by the appellant, limited to 30 minutes
- 17.8.3. Presentation by ANAB, limited to 30 minutes
- 17.8.4. Rebuttals, limited to 10 minutes for each party
- 17.8.5. Questions by the panel
- 17.8.6. Closing of the hearing, at which the chair shall:
 - 17.8.6.1. Make a formal projection regarding the expected time frame for communicating the documented final decision (normally not to exceed two weeks).
 - 17.8.6.2. Inform all parties that the appeal may be escalated to the next level of appeal within 30 days of receipt of the panel decision.
 - 17.8.6.3. Dismiss the parties.
- 17.8.7. Following the hearing, the panel members will deliberate without any involvement by the appellant or ANAB.
- 17.8.8. The chair shall document the panel's decision and send it concurrently to the designated representatives of the appellant and ANAB.
 - 17.8.8.1. The appeal panel's decision will be documented. However, any notes made by panel members in preparing for the appeal, during the hearing, or during the subsequent deliberations will not be maintained.
- 17.9. If a level 2 decision by an appeal panel of the Council is unfavorable to the appellant, the appellant may lodge a final (level 3) appeal in writing to ANAB. ANAB shall immediately transmit this letter to the designated responsible ANSI staff for timely consideration and action by the ANSI Appeals Board. The process is described in the ANSI Appeals Board Operating Procedures.
 - 17.9.1. ANSI shall communicate the decision of the ANSI Appeals Board to the appellant and ANAB.

ARTICLE 18: CONFIDENTIALITY AND DISCLOSURE OF INFORMATION

- 18.1. Contact information submitted by the CB with its application is considered public information and is publicly available on ANAB's Web site (www.anab.org).
- 18.2. All other information ANAB acquires in relation to ANAB accreditation activities, except for accreditation information that is required to be made public and that made publicly available by the CB, is treated as confidential by all ANAB staff, agents, councils, and committees, and any contractors or subcontractors.
- 18.3. Such information shall not be disclosed to any unauthorized party without the written consent of the CB, except where the law requires that such information be disclosed. When ANAB is required by law to release such information, the CB shall be informed of the information provided.
 - 18.3.1. ANAB may provide access to confidential information to the International Accreditation Forum (IAF), Inter-American Accreditation Cooperation (IAAC),

Pacific Accreditation Cooperation (PAC), European Cooperation for Accreditation (EA), or Southern African Development Community in Accreditation (SADCA) peer evaluators or other oversight bodies (such as the aerospace OEMs for AS9100, AS9120, AS9110, or AS9003 or the telecommunications industry for TL 9000) who have signed appropriate agreements to not disclose confidential information as required by specific schemes.

ARTICLE 19: APPROVAL AND REVISION OF ACCREDITATION REQUIREMENTS

- 19.1. This Accreditation Manual and ANAB Accreditation Rules shall be reviewed and approved by the Accreditation Council. The Accreditation Council will determine the date on which the Accreditation Manual and/or Accreditation Rules and revisions thereof shall take effect.
- 19.2. ANAB shall submit proposals regarding this Accreditation Manual and/or Accreditation Rules to the Accreditation Council for approval to seek stakeholder and public comment.
- 19.3. Following approval by the Accreditation Council for stakeholder and public comment, ANAB shall post a public Web ballot and submit like notice to ANSI for publication in *Standards Action*. (ANSI responds to any substantive comments received in response to publication in *Standards Action* in coordination with ANAB and the Accreditation Council.)
- 19.4. ANAB shall consider any comments received and submit a final proposal to the Accreditation Council for approval.
- 19.5. Following approval by the Accreditation Council, the Accreditation Manual and/or Accreditation Rules, or revisions thereof, shall be posted on ANAB's Web site (www.anab.org) and publicly announced by ANSI.
- 19.6. When the Accreditation Manual and/or Accreditation Rules are revised, ANAB shall immediately notify client CBs. ANAB shall specify a schedule for monitoring CB actions to achieve conformity to the revised accreditation requirements. The date by which the changes are to be implemented shall be specified.
- 19.7. When external documents (such as ISO/IEC standards or guides and IAF documents) relating to certification and/or accreditation requirements are published or revised, ANAB shall immediately notify the Accreditation Council and client CBs. ANAB shall specify a schedule for monitoring CB actions to achieve conformity to such new and/or revised accreditation requirements. The date by which the changes are to be implemented shall be specified.

Appendix 1

**ANSI-ASQ NATIONAL ACCREDITATION BOARD
ACCREDITATION AGREEMENT FOR BODIES PROVIDING ASSESSMENT AND
CERTIFICATION OF MANAGEMENT SYSTEMS**



ANAB ACCREDITATION AGREEMENT FOR BODIES PROVIDING ASSESSMENT AND CERTIFICATION OF MANAGEMENT SYSTEMS

This agreement is dated as of *[insert date]* by and between the ANSI-ASQ National Accreditation Board, having its principal office at Milwaukee, Wisconsin, USA, hereinafter called the ANAB, and *[insert name of certification/registration body]*, operating its certification activity at *[insert city, state, country]*, hereinafter called the CB.

RECITAL

ANAB has accepted the CB as an applicant for accreditation; therefore, ANAB and the CB desire to enter into this Accreditation Agreement.

AGREEMENTS

In consideration of the Recital and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties agree as follows:

ARTICLE 1: ACCREDITATION REQUIREMENTS

- 1.1. The accreditation requirements for a CB for management systems are stated in the following documents, as applicable: [ISO/IEC 17021](#), the ANAB Accreditation Manual, and applicable ANAB Accreditation Rules.

ARTICLE 2: GENERAL RIGHTS AND OBLIGATIONS

- 2.1. The CB agrees to continually fulfill the requirements for accreditation by ANAB. The CB agrees to conform with changes to requirements for accreditation in accordance with the transition time periods as duly announced by ANAB.
- 2.2. The CB agrees to maintain the requested information in ANAB's database.
- 2.3. In its written agreement with each certified organization, the CB shall require its client to commit to continually fulfill the requirements for certification of its management system, and to changes to requirements for certification in accordance with the transition periods as duly announced by the CB.
- 2.4. The CB is granted the right for the term of this agreement and subject to the obligations described in [2.1](#) and [2.2](#):
 - To apply the ANAB accreditation mark and the words "ANAB-Accredited CB" on all documents which relate to the accredited certification.
 - To authorize each organization under its accredited certification system in its written agreement with that organization only so long as the organization continues to operate in conformance with its certified management system to apply the ANAB accreditation mark with the CB's own mark only on those organization documents that relate to the certified management system, and not on a product or in any way which could imply product, process, or service certification.

- 2.4.1. The latest version of [ANAB Accreditation Rule 4](#), Conditions for the Use of the ANAB Name and Accreditation Mark, which contains further provisions to this effect, is accessible at www.anab.org and incorporated herein by reference.
- 2.5. The CB agrees to notify ANAB without delay of significant changes in the CB which relate to its accreditation by ANAB, including the following changes to its:
- Legal, commercial, ownership, or organizational status.
 - Organization, top management, and key personnel.
 - Main policies.
 - Resources and premises.
 - Scope of accreditation.
 - Other matters that may affect the ability of the CB to fulfill requirements for accreditation.

ARTICLE 3: ASSESSMENTS

- 3.1. The CB agrees to cooperate and provide assistance, including access to all premises, information, documents, and records, necessary to enable ANAB to verify fulfillment of requirements for accreditation.
- 3.2. The CB agrees to provide access to documents providing insight on the level of independence and impartiality of the CB with regard to any relationship with other bodies.
- 3.3. The CB agrees to cooperate and provide assistance in arranging witnessing of CB audit teams conducting audits, as requested by ANAB.
- 3.4. If required, the CB shall grant ANAB the right to verify the competence of persons to whom and organizations to which work related to ANAB-accredited certification has been outsourced.

ARTICLE 4: COMPLAINTS AND APPEALS

- 4.1. The CB shall upon request make available to ANAB all complaints and appeals about its accredited certification system and their resolution, which may include correction and corrective action relative to the CB's certification programs.

ARTICLE 5: PUBLICITY

- 5.1. For the term of this agreement, the CB may use the ANAB accreditation mark for the management systems certification stated on the certificate of accreditation. [ANAB Accreditation Rule 4](#), Conditions for the Use of the ANAB Name and Accreditation Mark, contains further provisions to this effect, which are incorporated herein by reference.
- 5.2. The CB agrees, upon notification by ANAB, to withdraw or rectify to the satisfaction of ANAB misleading or incorrect behavior, notification, or publication with regard to its ANAB accreditation.
- 5.3. For the term of this agreement, the CB may reproduce any certificate of accreditation issued by ANAB with any schedules thereto and the final reports, but only the entire reports, issued by ANAB.

ARTICLE 6: OBLIGATIONS OF ANAB

- 6.1. ANAB agrees to make publicly available information about the current status of accreditation granted to the CB, including the following:

- Name and address of the CB
 - Dates of granting accreditation and expiration date
 - Scope of accreditation
- 6.2. ANAB agrees to provide the CB information about international arrangements ANAB has with regard to accreditation.
- 6.3. ANAB agrees to give due notice of any changes to its requirements for accreditation and of the transition period by which the CB shall conform to the new requirements.
- 6.4. During the process of accreditation, ANAB will have access to and obtain information that is confidential or proprietary to the CB or its clients. ANAB shall take reasonable measures to ensure that any ANAB participant, including staff, agents, and members of its board of directors, councils, and committees, and any contactors or subcontractors, keep confidential all information that has come to their knowledge through the accreditation process, with the exception of the accreditation information made publicly available by ANAB and information made publicly available by the CB or its clients. ANAB shall make use of an external expert only if such an expert has signed a confidentiality agreement.
- 6.4.1. The CB agrees that ANAB may provide access to confidential information to IAF, IAAC, PAC, EA, or SADCA peer evaluators or other oversight bodies (such as the aerospace OEMs for AS9100, AS9120, AS9110, or AS9003 or the telecommunications industry for TL 9000) that have signed appropriate agreements to not disclose confidential information as required by specific schemes.

ARTICLE 7: ANNUAL FEE

- 7.1. The CB shall pay ANAB fees for accreditation in accordance with the current fee schedule, which is available from ANAB upon request.
- 7.2. Payment of the fees specified in 7.1 shall be made within 30 calendar days following each invoice.
- 7.3. The CB agrees that ANAB shall have at all reasonable times and upon at least 14 days notice to the CB access to the CB's books and records that were generated or created during the two-year period immediately preceding such inspection to verify the accuracy of the CB's computations of the fees due to ANAB. In no event, however, shall ANAB have the right to conduct more than one such inspection during any twelve-month period. Except as necessary in the enforcement of ANAB's rights, ANAB and its designees shall hold in strict confidence all documents and information obtained during any such inspection.

ARTICLE 8: TERM AND TERMINATION

- 8.1. This Accreditation Agreement shall continue in force unless terminated by either party. Except as provided in 8.2 and 8.6, this Accreditation Agreement may be terminated only upon three months prior written notice, in accordance with 8.4.
- 8.2. Notwithstanding the provisions of 8.1, if one of the parties has materially breached one or more of its obligations or the provisions under this agreement or the other agreements or documents referenced herein, the non-breaching party has the right to terminate this agreement immediately upon prior written notice in accordance with 8.4.

- 8.3. In case of termination, the existing obligations of the CB and ANAB will remain in force, as will commitments to third parties. The obligation of ANAB to maintain confidentiality will remain in force despite termination of the agreement.
- 8.4. Written notice of termination, specifying the reason(s) therefore and the date of termination, shall be sent to the other party by registered mail/return receipt requested or by other means to confirm receipt.
- 8.5. The CB may appeal in writing the termination of the agreement by ANAB within 30 days after receipt of the termination notice, according to the procedure described in [Article 17](#) of the Accreditation Manual.
- 8.6. If ANAB modifies the standard Accreditation Agreement, ANAB may terminate the present Accreditation Agreement and at the same time offer a new Accreditation Agreement.

ARTICLE 9: LEGAL ACTION AND LIABILITY

- 9.1. ANAB and the CB agree to not take any legal action against the other without first giving five calendar days written notice of such party's intention to institute legal action.
- 9.2. The CB hereby releases and agrees to indemnify and hold harmless ANAB and its directors, employees, and agents from any losses, damages, claims, liability, causes of actions or demands, and all costs and expenses incidental thereto (including costs of defense, settlement, and reasonable attorney's fees) made at any time by any party arising out of, resulting from, or in any way relating to the accreditation services provided by ANAB to the CB, except such losses, damages, claims, liability, or causes of actions or demands arising exclusively from the gross negligence or willful misconduct of ANAB or its directors, officers, employees, or agents.
- 9.3. The CB shall have arrangements to cover liabilities arising from its operations and/or activities that specifically include these obligations in its scope of coverage, or shall show evidence of appropriate self-insurance.

Thus drawn up in duplicate and signed:

For ANAB:

Signature: _____

Name: _____

Title: _____

For the CB:

Signature: _____

Name: _____

Title: _____

(Depending on the CB's procedures, the signatures of several persons may be required.)