SUBJECT: Application of IAF MD 3 for Advanced Surveillance and Recertification Procedures (ASRP)

APPLIES TO: ANAB-Accredited Certification Bodies

PREFACE
ANAB supports certification bodies (CBs) that wish to apply IAF MD 3 for ASRP.

ACCREDITATION RULE
1. Reference Documents (current versions unless specified)
   1.1. IAF MD 3, Advanced Surveillance and Recertification Procedures (ASRP)
   1.2. ISO/IEC 17021 or ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems (depending on where the CB is in the transition process – see ANAB Accreditation Rule 50)
2. Prerequisites
   2.1. The CB must be accredited by ANAB.
3. Approval Process
   3.1. Because the methodology and application of ASRP will vary for each CB for each client, depending on the level of advancement of the CB and its client, a three-member panel of an accreditation committee of the ANAB Accreditation Council initially shall review and approve each application prior to first use.
   3.2. The CB shall document its proposed ASRP audit program for each client on a case-by-case basis consistent with the requirements of IAF MD 3.
   3.3. The CB shall document how the ASRP audit program varies from the existing audit program because of the application of ASRP to the respective client.
   3.4. The CB’s ANAB Executive Assessment Team Leader (EATL) shall review and accept the CB’s ASRP proposal prior to submission to the panel.
   3.5. The CB and its client shall make a presentation to the panel to explain the proposed program and answer any questions at a face-to-face meeting or by electronic means (for example, WebEx or teleconference) as agreed with ANAB staff.
   3.6. Immediately following the presentation, the panel will dismiss the CB and its client, and the panel shall make its decision, which may or may not include conditions, to accept or reject the ASRP program for that CB’s client.
   3.7. ANAB staff shall promptly communicate the decision and any conditions imposed by the panel to the CB.
4. Maturity of CB Using ASRP
   4.1. Following three successful submissions to a panel, the CB may request that all future submissions for the application of ASRP be submitted to the CB’s EATL and staff, rather than a panel, for approval. ANAB staff will discuss with and seek the approval of the Accreditation Council to proceed with the expedited process.
5. Industry Sector Programs

5.1. The ASRP process shall not be used for any industry sector program unless the industry group has specifically stated it may be used for its program.

6. Transfer of ASRP Certification

6.1. Transfers of ASRP certifications are not allowed because of the unique nature of an ASRP program and the need for the CB to understand and have confidence in the client’s ASRP system.