

Application for accreditation against ISO/IEC 17021-1

Management system certification bodies

Refer to ASL(G)32 and ASL(G)59 for information on becoming accredited

Definitions

Certification: Confirmation, through the provision of objective evidence, that the requirements for a specific management system or standard have been fulfilled through an audit process.

Certification Certificate: A formal document issued by a Certification Body that communicates the scope, criteria, and conclusion of a certification activity.

Accreditation Disclaimer

Accreditation by ASCB applies solely to the Certification Body and its defined scope of accredited activities. Accreditation does not constitute regulatory approval, endorsement, or acceptance of any organization, product, or outcome, nor does it imply acceptance by any authority, regulator, or scheme owner.

Notes on completing this form

1. Please read the form carefully before completing it.
2. Sample certificates or statements supporting your application must be supplied with the completed form.
3. This form may be completed and signed electronically if it is returned from a company email address.
4. An application must be accompanied by a purchase order, or equivalent authorization to invoice, for the application fee.
5. This form is available as a PDF and as a Word document. Please ask for whichever version you prefer.
6. When completed, send this document to the Administration Manager of ASCB at admin@ascb.com.
7. In submitting this application, the applicant recognizes that, if a contract is entered into, it will be on the terms set out in ASL(D)34, the ASCB Master Terms of Service.
8. The normative reference for your accreditation will be ISO/IEC 17021-1, together with the sector-specific requirements that apply to each scheme in your scope.

Section 1(a) Organization details

Name of business *			
Trading style or 'Doing business as' Name *			
Legal status * (Corporation, LLC, Limited Company, Sole Trader, Partnership, Public Limited Company, Other.) Note: The organization must be a legal entity.			
Legal entity information	Registration number:		
	Jurisdiction or country:		
Main address *			
Other locations *			
Forename and surname of principal contact *			
Principal contact email:			
Email for general inquiries *:			
Telephone *:		Mobile *:	
Website *:			
<i>* This information will appear on any public accreditation statement on the ASCB website.</i>			

Section 1(b) Scope of activities: List the management system certification activities for which accreditation is sought. Note: there is a separate application fee for each standard.

Certification standard	Standard name

Section 1(c) History: Please advise if this business has been involved with consultancy in the last two years. If so, please explain how consultancy and certification are to be separated. Please describe how impartiality is safeguarded where certification activities relate to prior consultancy, advisory, or training services.

Section 2 Organizational structure

Title	Name	Years experience
President/Managing Director/CEO		
Certification Manager		
Chair of Impartiality Committee		
Administration Manager		
Audit Manager		
Management Rep. for Quality		

Note 1. Full CV and evidence of skills and competence will be required for the above, and other key persons.

Note 2. Add a separate organization diagram.

Note 3. Please indicate family or similar relationships between the above

Section 3(a) Equity: Please name principal shareholders and % shares held

Position	Name	% Shares

Section 3(b) Revenue streams: Please describe any other significant sources of organizational revenue that support the operation and sustainability of the Certification Body.

	(a) Revenue from quality assurance or similar non-certification activities such as consultancy
	(b) Revenue from other business activity
	(c) Revenue from certification activities that are not accredited.
	(d) Unearned income stream
	(e) No other revenue

Section 4(a) Other CABs: Please advise if, in the last two years, any of the persons named in box 2 above have had a business relationship with any other Conformity Assessment Body that may have lost its accredited status or if your employment with any other Conformity Assessment Body has been terminated. Please state your role in that organization.

Section 4(b) Other CABs: Please advise if any of the persons named in box 2 above have had a business relationship with any other Conformity Assessment Body In any capacity in the last two years. Please state their role in that organization.

Section 4(c) Consultancy declaration: Does the applicant organization provide consultancy, advisory, training, or similar services related to the subject matter of certification activities? If yes, please briefly describe how consultancy or advisory activities are clearly separated from certification activities, including any organizational, procedural, or contractual safeguards in place to protect impartiality.

Section 5 Employment history: Please advise all current (or within two years) business interests or employment, that the persons named in Section 2 have been involved with. If previously employed, please state the reasons for terminating that employment. If relevant include persons not named above.

Position	Name	Current & last two year history
President/Managing Director/CEO		
Certification Manager		
Chair of Impartiality Committee		
Administration Manager		
Audit Manager		
Management Rep' for Quality		
Other senior management (please list)		

Section 6 Reason: Please advise the reasons for seeking ASCB accreditation. (e.g., reputation, technical approach, market awareness, user-friendliness, cost-effectiveness etc.).

Section 7 Integrity and disclosure: Please disclose any information relating to the individuals named in Sections 2, 3(a), and 5 that may be relevant to ASCB when reviewing and adjudicating this application. This includes matters that could reasonably affect independence, impartiality, competence, or confidence in the organization's certification activities, such as regulatory, legal, financial, governance, or professional disciplinary issues. Disclosure enables ASCB to assess risk and determine whether additional safeguards or conditions are required. Failure to disclose relevant information at the time of application may affect the assessment outcome or result in additional review if such information becomes known at a later stage.

Section 8 Past performance: Please advise any outstanding matter related to non-conformity within your organization, including complaints regarding your services or certificates. Please report if any government, local authority or professional body has ever investigated your organization or any persons named above.

Section 9 General

9.1 We confirm that our organization has established, or is in the process of establishing, a management system appropriate for a Certification Body operating in accordance with ISO/IEC 17021-1.	Yes / No
If not yet fully implemented, please state when it will be ready:	
9.2 We acknowledge that submission of this application and payment of any non-refundable fees do not guarantee that accreditation will be granted or maintained.	Yes / No
9.3 We confirm that we have disclosed any current or recent associations with consultancy, advisory, or training activities that may relate to our certification activities, and have described how impartiality is safeguarded.	Yes / No
9.4 Please state how long the organization has been operating as a Certification Body:	
9.5 We confirm that evidence of our legal entity status has been provided with this application.	Yes / No
9.6 Please advise how you became aware of ASCB:	
9.7 Please advise whether you have previously worked with any ASCB-accredited organization.	Yes / No
If yes, please state who?	

Section 10 Confirmation

I confirm that, in order to be accredited by ASCB, our organization:

- (a) accepts that the document review and examination of evidence begins only once the initial administration fee has been paid, and that this fee is not refundable.
- (b) accepts that ASCB will make continuing enquiries into the organization and the individuals named in this application, on technical, professional, and ethical lines.
- (c) may be required to receive a visit by ASCB officers to verify the substance of the documents supplied and our arrangements.
- (d) may be required to have its conformity assessment activities witnessed at a client site.
- (e) has read the ongoing obligations set out in ASL(D)34, the ASCB Master Terms of Service, and its applicable schedule, including surveillance, travel and accommodation at cost, and the registration of certificates on IRQAO, and accepts that those terms govern them rather than this form.

Print name	
Position (job title)	
Signature	
Date	

Section 11 Resume: To assist us, please give a brief and concise résumé of your organization. State each type of service offered on a separate line, listing relevant standards you may observe. Attach a copy of the standards if they are unlikely to be recognized nationally. Indicate how long you have been trading. If a start-up, demonstrate previous experience or attach a CV.

Use continuation sheets if necessary

Section 12 Documentation register: This next section is often completed incorrectly. Please read it carefully. The documents listed below usually provide enough evidence for document review. You must make sure that each document shows compliance with the relevant ISO/IEC 17021-1 clause(s). For each document, complete the Applicant's Document Name and Applicant's Document Number fields. This shows how your documents meet the ISO/IEC 17021-1 requirements. ASCB may ask for additional documents or evidence during the assessment. You do not need to use the same document titles shown in this register. However, your documents must perform the same purpose or function. All documents must be uploaded to the ASCB secure registry before an accreditation decision can be made.

Document	Applicant's document name	Applicant's document number	Type	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause
Appeals Procedure			P	9.7.1					
Attendance list			F	9.4.7.1					
Audit Plan			F	9.2.1.1/2	9.2.3.1	9.2.3.3	9.3.1.2.2	9.4.1	
Audit report			F	9.1.4.3	9.3.1.2.3	9.4.7.1	9.4.8.1/2		
Auditor Contract			F	7.3					
Certificate & schedules.			F	8.2.1	A sample certificate should be included with this application				
Certification Procedure			P	9.5.1.1	9.5.2				
Client contract			F	5.1.2	8.3.4	8.4.2	8.5.2		
Client process / audit procedure			P	9.1.3.1/2	9.1.4.1	9.2.1.1/2	9.2.3.3	9.3.1.2.2	9.4.1
Client Records			F	9.1.1					
Complaints Procedure			P	9.8.5					
Conflict of Interest procedure			P	5.2.2	5.2.3				
Control of remote offices procedure and risk assessment.			P	6.2.1					
Copy of Legal document establishing the certifier as a separate legal entity.			F	5.1.1	A copy of proof of legal status to be provided with this application				
Data and records control procedure			P	8.4.7	9.9.4	10.2.4			
Document control procedure			P	10.2.3					
Human Resource / Personnel procedure			P	7.1.1 - 3	7.2.5	7.2.8 - 10	Annex D		
Impartiality Policy			P	5.2.2	5.2.13				
Impartiality risk / threat procedure			P	5.2.13					
Information / communication procedure			P	8.1.1	8.4.2	8.5.2			
Initial Financial Risk Assessment			F	5.3.1/2					

Document	Applicant's document name	Applicant's document number	Type	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause	ISO/IEC 17021-1 Clause
Internal Audit Procedure			F	10.2.6.1					
Management Review Procedure			P	10.2.5.1	10.3.4				
Management Review Records			P	10.2.5.3					
Manual			F	10.2.1	10.2.2	10.3.1			
Non-conformance and Corrective action procedures			P	10.2.7					
Ongoing financial risk assessment			F	5.3.2					
Operations control procedure			P	6.2.2					
Organization chart Job Descriptions, authorities and responsibilities			F, P	6.1.1	6.1.4				
Outsourcing procedure			P	7.5.1	7.5.4				
Personnel records			F	7.4					
Staff Confidentiality agreement (Internal and external)			F	8.4.1					
Staff declaration of impartiality per contract.			F	5.2.13					
Suspension / withdrawal procedure			P	9.6.5.1					
Use of Marks & Logos contracts/instructions			P	8.3.1	8.3.2	8.3.3			

Section 13 Subcontracting: Please describe your subcontracting arrangements, including any evaluation, testing, inspection, audit, or examination activity that is subcontracted, and how subcontractors are selected, controlled, and monitored. State "none" if you do not subcontract.

Section 14 Consent: The persons named in this application, and any contact details you give for them, are personal data. Do you consent to ASCB holding and processing those details for the purposes of assessing and administering your accreditation, and to publishing the organization name and contact details you have marked as public? Where the applicant is a sole trader, or where a personal email address or mobile number is given, please confirm the individual has agreed.

Section 15 Scope and volume: Please give the figures below, which ASCB uses to prepare your quotation.

Number of management system standards you are applying to certify against:

Expected number of certificates issued per year:

Section 16 Checks

1	Have you signed the confirmation section 10?	Yes / No
2	Proof of legal entity status or commercial license has been provided.	Yes / No
3	A sample management system certificate (for example, ISO 9001) has been provided.	Yes / No
4	Authorization to make payment of ASCB invoices has been provided, or a purchase order has been submitted.	Yes / No
5	Current CVs or competence profiles have been provided for all persons named in Section 2 and 5.	Yes / No
6	All sections of this application form have been completed. Where a section is not applicable, it has been clearly marked "N/A."	Yes / No
7	The ASCB Applicant Self-Review Form ASL(F)80 has been completed and submitted.	Yes / No

Notes

- Applications that are incomplete may be returned without review.
- Supporting documents must be submitted along with this application form.
- Additional information or evidence may be requested during the assessment process.

Further guidance

Receipts/invoices will be sent upon request.

This form will be returned if all sections are not appropriately completed.

Any section not applicable should be struck through and initialled.

Refer to ASL(G)29 for information on becoming accredited.

Refer to ASL(G)32 for information on our authority.

Next steps

Please send this form and any supporting documents to: admin@ascb.com

For further guidance, contact us via:

T: 00 1 302 310 5048

E: admin@ascb.com

URL: www.ascb.com

Accreditation Service for Certifying Bodies LLC, 8 The Green,
Dover,
DE 19901,
United States

Terms of engagement

The terms on which ASCB provides accreditation are set out in ASL(D)34, the ASCB Master Terms of Service. They are not reproduced here, so that there is one controlled version.

A specimen copy is published at www.ascb.com under "How do I apply?" and is available on request at any stage. ASCB reviews your application and, if it is accepted, issues the contract for signature. An invoice is raised once the signed contract has been accepted.

This form is an application. It does not vary the terms on which ASCB provides accreditation. Those terms are set out in ASL(D)34 and the schedule for your CAB type, and they govern.