

## ANSI ACCREDITATION SERVICES



### MANAGEMENT SYSTEM POLICY MANUAL PM-100

Issued by: ANSI Accreditation Services Department  
Approved by: Vice President of Accreditation Services  
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Lane Hallenbeck

## **1.0 PURPOSE, SCOPE AND IMPLEMENTATION**

### **PURPOSE:**

The purpose of this document is to describe the management system and services of the ANSI Accreditation Services Department.

### **SCOPE:**

This document covers all aspects of the ANSI Accreditation Services Management System to ensure that the system meets the requirements of ISO/IEC 17011, thus allowing the ANSI Accreditation Services to achieve international recognition for accreditation of conformity assessment bodies (CABs).

The policies detailed within this document are to be applied to the following programs as a means of providing confidence in accreditation services:

- Accreditation Program for Product Certification Bodies in accordance with ISO/IEC Guide 65 and IAF Guidance on the application of the ISO/IEC Guide 65 as well as the sector programs;
- Accreditation Program for Personnel Certification Bodies in accordance with ANSI/ISO/IEC 17024 and IAF Guidance on the Application of ISO/IEC 17024:2003 – IAF GD 24:2004;
- Accreditation Program for Personnel Certification Bodies in accordance with ANSI-CFP standard implemented in partnership with the Conference for Food Protection (CFP);
- Accreditation Program for Validation/Verification Bodies for Greenhouse Gases in accordance with ISO 14065;
- Accreditation Program for Certificate Programs in accordance with E 2659-09, an American National Standard.

### **IMPLEMENTATION:**

The effective start date for the ANSI Accreditation Services management system was February 2000.

## **2.0 REFERENCES**

- ISO/IEC 17000 – Conformity Assessment – Vocabulary and General Principles
- ISO/IEC 17011 – General Requirements for Assessment and Accreditation of Certification/Registration Bodies
- ISO/IEC Guide 65 – General Requirements for Bodies Operating Product Certification Systems
- ISO/IEC Guide 67 Conformity Assessment – Fundamentals of product certification
- ISO 14065 – Greenhouse gases – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition.
- ANSI/ISO/IEC 17024 – General requirements for bodies operating certification systems of persons

- ISO/IEC 17040 – Conformity Assessment – General requirements for peer assessment of conformity assessment bodies and accreditation bodies
- IAF/ILAC-A5:04/2009 – IAF/ILAC Multi-Lateral Mutual Recognition Arrangements: Application of ISO/IEC 17011:2004
- IAF GD24:2004 IAF Guidance on the Application of ISO/IEC 17024:2003
- IAF Guidance on the application of ISO/IEC Guide 65
- Certification and Related Activities–Assessment and Verification of Conformity To Standards and Technical Specifications (ISO/IEC Publication)
- The ANSI By-Laws and Constitution.

### 3.0 DEFINITIONS

Definitions listed below include those derived from ISO/IEC 17000 and ISO/IEC 17011.

**CONFORMITY ASSESSMENT:** Demonstration that specified requirements relating to a product, process, system, person or body are fulfilled.

**CONFORMITY ASSESSMENT BODY (CAB):** Body which performs conformity assessment services. (In the context of this manual this can be a product or personnel certification body, verification/validation body or a certificate program).

**ACCREDITATION:** Third-party attestation related to a CAB conveying formal demonstration of its competence to carry out specific certification tasks.

**ACCREDITATION BODY LOGO:** Logo used by an accreditation body to identify itself.

**ACCREDITATION CERTIFICATE:** Formal document or a set of documents stating that accreditation has been granted for the defined scope.

**ACCREDITATION SYMBOL:** Symbol issued by an accreditation body to be used by accredited CABs to indicate their accredited status.

**APPEAL:** Request by a CAB for reconsideration of any decision made by the accreditation body related to its accreditation status.

**ASSESSOR:** Person assigned by an accreditation body to perform, along or as part of an assessment team, an assessment of a CAB.

**ASSESSMENT:** Process undertaken by an accreditation body to assess the competence of a CAB, based on particular standard(s) and/or other normative documents and for a defined scope of accreditation

**CERTIFICATION:** Procedure by which a third party gives a statement of conformity to specific requirements for a product, process or service.

**CERTIFICATION SYSTEM:** Set of procedures and resources for carrying out the certification process as per certification scheme and leading to the issuance of a certificate of competence including maintenance.

**COMPLAINT:** Expression of dissatisfaction, other than appeal, by any person or organization, to a CAB or an accreditation body, relating to the activities of that accreditation body or an accredited CAB, where a response is expected.

**LEAD ASSESSOR:** An ANSI qualified assessor who has been further listed by ANSI as fulfilling ANSI Lead Assessor requirements for an accreditation program.

**MANAGEMENT SYSTEM:** System to establish policy and objectives and to achieve those objectives. (Note: A management system of an organization may include different management systems, such as a quality management system, a financial management system, or an environmental management system.)

**QUALITY MANAGEMENT SYSTEM:** Management System to direct and control an organization with regard to quality.

**SYSTEM:** Set of interrelated or interacting elements.

**TECHNICAL EXPERT:** Any individual who is generally accepted by ANSI as being competent in a specific subject area(s).

**VERIFICATION/VALIDATION BODY:** Body that performs validations or verifications of GHG assertions in accordance with ISO 14065. **NOTE:** A validation or verification body may be an individual

**EDUCATION/TRAINING CERTIFICATE PROGRAM** – A non-degree-granting education or training program consisting of a learning event or series of events designed to educate or train individuals to achieve specified learning outcomes within a defined scope and a system designed to ensure individuals receive a certificate only after verification of successful completion of all program requisites and an evaluation of learner attainment of intended learning outcomes.

## **4.0 ANSI ACCREDITATION SERVICES MANAGEMENT SYSTEM POLICY MANUAL**

This documented management system includes this (PM-100) management system manual (1<sup>st</sup> tier) which addresses all the relevant requirements of ISO/IEC 17011. This management system policy manual does not directly reference by number all ANSI internal documents. The Management System Policy Manual describes the management system of ANSI Accreditation Services and its implementation at all locations of the organization. It provides the ANSI Mission, Quality Policy and Objectives including a broad description of its management system and what is to be implemented.

## **5.0 ANSI ACCREDITATION SERVICES – QUALITY POLICY AND OBJECTIVES**

The main purpose of ANSI Accreditation Services is to accredit CABs' competence as prescribed in recognized international Standards/Guides, other applicable normative documents and specific ANSI requirements in accordance with the requirements of ISO/IEC 17011.

ANSI Accreditation Services continually strives toward excellence in pursuit of the ANSI mission: “To enhance both the competitiveness of U.S. business and the U.S. quality of life by promoting and facilitating voluntary consensus standards and conformity assessment systems, and safeguarding their integrity.”

Accreditation Services Quality Policy and Objectives:

- Comply with ISO/IEC 17011
- Continually Improve

The President of ANSI delegates to the Vice President of Accreditation Services the responsibility to implement the ANSI Accreditation Services Quality Policy and Objectives.

All members of the staff and members of the accreditation committees shall be aware of the policies set out in this manual and any other approved procedures as related to their areas of responsibility.

ANSI participates in international accreditation forums and multilateral recognition agreement as appropriate.

## **6.0 LEGAL BASIS**

ANSI is a 501(C3) not-for-profit corporation organized in accordance with New York Not-for-Profit Corporation Law (“NPCL”) and its own Constitution and By-laws. The American National Standards Institute, incorporated in the state of New York, is a private, not-for-profit federation serving the standards and accreditation needs of its diverse constituencies. Since ANSI is a not-for-profit federation with members, the owners of the legal entity are the members.

## **7.0 FINANCIAL RESOURCES TO SUPPORT ACCREDITATION SERVICES**

ANSI Accreditation Services are supported by the fees charged for services provided in the process of accreditation of CABs, as well as sponsorships and attendance fees generated by conferences and workshops.

Fees are recommended and are subject to reevaluation by the appropriate program accreditation committee in collaboration with the Director of Accreditation Services, Program Directors and approved by the Vice President, Accreditation Services. Appropriate ANSI staff is responsible for ensuring that all applicants and accredited organizations are charged according to the documented fee structure and invoices are paid on a timely basis.

Failure to pay fees will result in an accreditation action and may be the basis for accreditation being withdrawn.

Costs associated with participation in recognition agreements are paid by ANSI.

The financial stability of ANSI to maintain the accreditation programs can be demonstrated by the results of the Annual Audited Financial Report and the activities defined in the current ANSI Budget.

## **8.0 ORGANIZATION**

### **8.1 ANSI-GENERAL DESCRIPTION**

ANSI promotes the use of U.S. standards internationally, advocates U.S. policy and technical positions in international and regional standards organizations, and encourages the adoption of international standards as national standards where these meet the needs of the user community.

ANSI is the sole U.S. representative and dues-paying member of the two major non-treaty international standards organizations, the International Organization for Standardization (ISO), and, via the U.S. National Committee (USNC), the International Electrotechnical Commission (IEC).

Limitations. In seeking to fulfill the purposes set forth in Section 1.02 of ANSI By-Laws, the Institute itself shall neither develop standards nor engage in conformity assessment. Current scope of accreditation services is limited to:

- Product certification bodies;
- Personnel certification bodies;
- Validation/verification bodies;
- Education/training certificate programs.

The purposes and general description of ANSI is given in the ANSI Constitution and By-Laws.

ANSI has a Board of Directors that is elected from its members. Among other duties the Board is responsible for appointing its respective officers. The duties and obligations of the Board members are outlined in the ANSI Constitution and By-Laws.

The management of ANSI is the responsibility of the staff under the direction of the President. An organizational chart of the ANSI Accreditation Services roles and relationships can be found in Annex A of this document.

The Conformity Assessment Policy Committee is responsible for broad-based policy and position decisions on national, regional and international conformity assessment issues.

The responsibilities for each staff member are described in their Job Descriptions. The ANSI Staff, under the direction of the Vice President for Accreditation Services, is responsible for ensuring that appropriate policies of the management system are implemented and maintained. The Program Directors are responsible for ensuring that the documented and implemented system is in compliance with national and international requirements and the appropriate procedures are developed in support of the policies. The Director of Accreditation Services has operations responsibility to ensure the management system is implemented in accordance with the policy and procedures. It is the responsibility of each ANSI Accreditation Services staff member to ensure that the policies and procedures contained within the documented management system are adhered to at all times.

ANSI Vice President of Accreditation Services is responsible for the creation and transmittals of an accreditation certificate to a successful organization after all the necessary official accreditation actions and authorizations have been recorded.

## **8.2 ANSI ACCREDITATION SERVICES PROGRAMS**

ANSI's Accreditation Programs are voluntary and open to any organization regardless of size of the applicant organization, its membership or the number of organizations already accredited by ANSI.

ANSI's Accreditation Programs are established to provide the marketplace (including consumers, government and industry) with confidence in the competence of third party product/personnel certification programs, validation/verification bodies and certificate programs.

ANSI's accreditation programs are designed to:

- 1) be independent and objective;
- 2) provide systematic, standardized and consistent accreditation services for CABs;
- 3) meet user/consumer needs for accreditation with emphasis on public protection;
- 4) harmonize domestic and international accreditation activities;
- 5) be a tool that facilitates continual improvement.

The accreditation committees assist the ANSI Staff in the development of policies, strategies and provide the independent objective decisions on accreditation status.

Decisions concerning the granting, maintaining, extending, reducing, suspending and withdrawing of accreditation are made by the appropriate accreditation committee. The composition of the accreditation committees is outlined in the program-specific policy documents. The ANSI Vice President of Accreditation Services is responsible for ensuring that all committees have the necessary expertise and impartiality. Approval of accreditation committee members is the responsibility of the Conformity Assessment Policy Committee (CAPC).

## **8.3 STRUCTURE**

The ANSI Accreditation Services Department is structured in accordance with the ANSI By-Laws and is headed by Vice President, Accreditation Services. The Vice President reports to the ANSI President and CEO.

This organizational structure is intended to provide for maximum impartiality, to enable the participation of all concerned parties and is implemented accordingly.

## **8.4 RELATED BODIES**

There are two related bodies associated with the ANSI Accreditation Services:

- ANAB – ANSI-ASQ National Accreditation Board, LLC
- CFP – Conference for Food Protection

The ANAB is a registered legal entity (a Limited Liability Company) that is owned in equal parts by ANSI and the American Society for Quality (ASQ). The ANAB, located in Milwaukee, Wisconsin, is an independent accreditor of ISO 9001 and ISO 14001 management systems certification bodies, inspection bodies, laboratories and reference material producers. ANSI receives a licensing fee from ANAB for use of the ANSI brand name, and the ANSI Vice President of Accreditation Services represents ANSI as an ex-officio member of the ANAB

Board of Directors. ASQ concurrently is an ANSI member and ANSI accredited standards developer. Although there are multiple common customers between the ANAB and ANSI, their respective program operations are separate.

The CFP is a 501(c3) not-for-profit organization, including primary stakeholders such as the US Food and Drug Administration (FDA), the Center for Disease Control (CDC) and food industry organizations that has recognized ANSI as its specified accreditor of bodies certifying Food Protection Managers to standards developed and owned by the Conference for Food Protection.

## **9.0 DEFINITION OF FUNCTIONS**

### **9.1 ANSI MISSION**

ANSI's mission is to enhance both the global competitiveness of U.S. business and the U.S. quality of life by promoting and facilitating voluntary consensus standards and conformity assessment systems and safeguarding their integrity.

### **9.2 CONFORMITY ASSESSMENT POLICY COMMITTEE (CAPC)**

This committee is responsible for broad-based policy and position decisions on national, regional and international conformity assessment issues except as otherwise delegated by the Board of Directors of ANSI. "ANSI's Role in Conformity Assessment" is further defined in Board of Directors Policy Document BoD 412/ExCo 329.

### **9.3 ACCREDITATION COMMITTEE (ACC)**

The Accreditation Committee functions are described in ANSI-ACP-CA-003.

### **9.4 PERSONNEL CERTIFICATION ACCREDITATION COMMITTEE (PCAC)**

The Personnel Certification Accreditation Committee functions are described in ANSI-PCAC-CA-503.

### **9.5 ANSI-CONFERENCE FOR FOOD PROTECTION (CFP) PERSONNEL CERTIFICATION ACCREDITATION COMMITTEE (ACAC)**

The ANSI-CFP Personnel Certification Committee functions are described in ANSI-ACAC-CA-803 and delineated in a formal Agreement between ANSI and CFP.

### **9.6 GREENHOUSE GAS VERIFICATION / VALIDATION ACCREDITATION COMMITTEE (GVAC)**

The functions of this Committee are described in the committee Terms of Reference Document.

## **9.7 CERTIFICATE ACCREDITATION PROGRAM - ACCREDITATION COMMITTEE (CAPAC)**

The functions of this Committee are described in the committee Terms of Reference Document.

## **9.8 ANSI FINANCE COMMITTEE**

The Finance Committee is composed of members of the ANSI Board of Directors appointed by the Chairman of this Board with the approval of the ANSI Board of Directors. The Finance Committee maintains a continuing review of the financial affairs of the Institute and makes appropriate recommendations to the ANSI Board of Directors or to the Executive Committee of this Board and shall report to the ANSI Board of Directors at each meeting of this Board. The responsibilities of the Finance Committee include, but are not limited to, the following:

- a) reviewing and providing a recommendation to the Board for the annual budget and the business plan proposed by the President;
- b) authorizing investment policy;
- c) authorizing acceptable accounting and disbursement procedures for all funds under jurisdiction by the Institute;
- d) requiring an annual audit by a certified public accountant;
- e) arranging at Institute's expense for the bonding of appropriate personnel of the Institute.

## **9.9 FINANCE DEPARTMENT**

The responsibilities of the Finance Department, under the auspices of the Chief Financial Officer, Vice President, Finance, Administration and Human Resources, include, but are not limited to, the following:

- 1) assuming overall responsibility for the financial management of the Institute;
- 2) assistance to managers/directors in attainment of budgets;
- 3) ensuring the annual audit of the Institute in accordance with the Board decisions;
- 4) ensuring the timely and adequate reporting of financial matters to the ANSI Board;
- 5) ensuring that proper bookkeeping procedures are followed;
- 6) monitoring financial results and comparison to budgets and forecasts;
- 7) monitoring and reporting financial results related to the Accreditation Services.

## **9.10 HUMAN RESOURCES DEPARTMENT**

Human Resources at ANSI functions under the auspices of its Director of Human Resources and encompasses employee hiring and orientation, salary and benefits administration, human resources filings and forms, employee policy administration including education assistance program, performance appraisal administration, administration of such matters as reduction in force, communications to staff, and complaints and issues raised by staff.

## **9.11 INFORMATION TECHNOLOGY DEPARTMENT**

The department supports and provides the organization with technical expertise in the planning, selection and implementation of its computer, telecommunications, and office systems.

## **9.12 ACCREDITATION SERVICES DEPARTMENT**

The department supervises the execution of policies, strategies and programs related to accreditation services activities. It is also responsible for promoting an effective public/private sector partnership involving voluntary accreditation, coordinating ANSI's activities with federal and state government agencies and private sector organizations, and achieving ANSI's accreditation services goals. The functions of the department are to:

- Accredit CABs;
- Communicate/Educate stakeholders regarding the benefits/value of accreditation;
- Provide input to ISO/CASCO regarding new or revised Conformity Assessment Documents and to the International Accreditation Forum (IAF) and regional accreditation cooperation (IAAC and PAC) regarding accreditation documents;
- Participate in international conferences/meetings to learn new information, exchange information and continually move toward harmonization with other accrediting bodies.

## **9.13 INTERNATIONAL CONFORMITY ASSESSMENT COMMITTEE (ICAC)**

The International Conformity Assessment Committee is responsible for the U.S. participation in the International Organization for Standardization (ISO) Council Committee on Conformity Assessment (CASCO).

9.13.1 The purposes of ISO/CASCO are to:

- a) study means of assessing the conformity of products, processes, services and quality systems to appropriate standards or other technical specifications;
- b) prepare international guides and international standards relating to the practice of testing, inspection and certification of products, processes and services and to the assessment of management systems, testing laboratories, inspection bodies, certification bodies, accreditation bodies and their operation and acceptance;
- c) promote mutual recognition and acceptance of national and regional conformity assessment systems, and the appropriate use of international standards for testing, inspection, certification, assessment and related purposes.

## **10.0 RESPONSIBILITIES AND AUTHORITY**

The ANSI accreditation programs are identified in the Purpose, Section (1.02 (7)) and Institute Program Oversight Committees, Section 6.09, 6.12 and 6.14 of the ANSI By-Laws. The By-laws state one of the purposes of the Institute, “To establish, promulgate, and administer procedures and criteria for accreditation of conformity assessment programs and to encourage organizations to prepare and submit such programs for accreditation by the Institute.”

Specific responsibilities are defined in documented procedures describing the management system and job descriptions for each staff position within ANSI. The official job descriptions are on file with the Human Resources NYC office.

## **11.0 ANSI ACCREDITATION SERVICES PROGRAM MANAGEMENT SYSTEM**

### **11.1 DESCRIPTION OF THE MANAGEMENT SYSTEM**

The ultimate purpose of the Management System of ANSI Accreditation Service Programs is to ensure that all organizations accredited by ANSI are accredited in accordance with national and/or internationally recognized Standards/Guides, and are regarded as being competent to provide services at levels acceptable to the consumer.

The Management System of ANSI Accreditation Services Programs is designed to implement the ANSI policy in a cost-effective manner, utilizing resources, facilities and manpower to the best advantage.

The ANSI Accreditation Services Management System is made up of the integration of the ANSI staff, CAPC, accreditation committees and accredited organizations and this documented Management System Policy Manual. This Policy Manual complies with the requirements of ISO/IEC 17011.

### **11.2 DOCUMENTATION**

#### **11.2.1 Description of the Management System Documentation**

ANSI Conformity Assessment Programs Management System documentation is made up of:

- a) the ANSI By-Laws;
- b) (this) Management System Policy Manual PM-100;
- c) ANSI policies and procedures as appropriate;
- d) policies governing each accreditation program;
- e) records associated with the accreditation process;
- f) program procedures and forms;
- g) personnel and training records.

#### **11.2.2 Accreditation Documents**

Policy, procedures, and requirements documents are publicly available. These documents are controlled by the ANSI document control system. It is the responsibility of each accredited organization to ensure that they have the most recent issue of appropriate requirements. When documents are changed, the proper notification is given to ensure the accredited body has enough time to meet any new requirements that may be mandated.

ANSI will notify appropriated stakeholders of any significant changes in ANSI documentation pertinent to the accreditation processes.

### **11.3 RESPONSIBILITIES FOR QUALITY**

The ANSI Vice President, Accreditation Services is responsible for the development, implementation and maintenance of the ANSI Accreditation Services Management System.

The ANSI Program Directors and Director of Accreditation Services are further empowered by the Vice President of Accreditation Services to ensure that all elements of the Management System described in this Policy Manual are implemented and comply with the principles and best practices of accreditation defined in the ISO/IEC 17011.

The Vice President, Accreditation Services conducts the Management Review of the Management System in accordance with ANSI internal procedure for Management Review. The Director of Accreditation Services, in collaboration with the Program Directors is responsible for the annual internal audits of the Management System in accordance with ANSI internal procedure.

## **12.0 DOCUMENT CONTROL**

ANSI maintains documented procedures to control all documents and data that relate to accreditation activities. All controlled documents are managed as accordance with the established internal procedures that define the controls needed in such areas as approving documents for adequacy prior to issue, review, updating and re-approval of documents as needed, prevention of the unintended use of obsolete documents and safeguarding the confidentiality of documents where relevant. Documents are available to personnel, contractors, assessors and experts of the accreditation body, CABs and the general public as appropriate.

The documents are controlled online electronically in the “VINTARA” platform and describe the accreditation processes that include the policies, procedures and operations of the programs.

## **13.0 INITIAL APPLICATION REVIEW AND AGREEMENT**

Throughout the application, ANSI reviews the submitted information to ensure that:

- 1) the application is adequately defined and documented;
- 2) basic requirements have been met for entering the accreditation process;
- 3) ANSI has the capability to meet the requested scope and requirements.

Program agreements and if applicable, non-disclosure agreements are signed by the Vice President, Accreditation Services (or a designated ANSI representative) and the authorized representative of the applicant. These program agreements contain the ANSI accreditation requirements, specific descriptive information regarding the applicant, and the scope of their accreditation. These agreements are kept on file until the agreement is terminated.

### **13.1 AGREEMENT AMENDMENTS**

Amendments to the agreement are identified, reviewed, approved and communicated to all concerned parties according to documented internal ANSI procedures. Records of amendment reviews are maintained.

Whenever significant changes occur that affect the agreement, the accredited CAB is required to formally notify ANSI. These changes include, but are not limited to, the following:

- 1) legal, commercial, ownership, name or organizational status;
- 2) top management and key personnel;
- 3) main policies;
- 4) physical relocation;
- 5) acquisition of another organization;
- 6) reduction, suspension or expansions of the accreditation scope;
- 7) other such matters that may affect the ability of the CAB to fulfill accreditation requirements.

Upon receipt of the notification of change, the agreement is reviewed and amended.

### **13.2 ACCESS TO RECORDS OF APPEALS AND COMPLAINTS**

ANSI requests that the applicants and accredited CAB make available to ANSI the records (except for any privileged records) and processes used in the decisions/actions taken on any complaints, appeals and disputes related to activities conducted by them. This is part of the all assessments conducted by ANSI.

## **14.0 CONTRACT ASSESSORS**

Where appropriate, ANSI contracts with, and utilizes assessors and technical experts in the assessment and evaluation (respectively) of the capabilities of a CAB. These assessors and technical experts acting on behalf of ANSI agree to act in accordance with ANSI procedures and rules of operation.

ANSI reviews and monitors the performance of contract assessors on a regular basis in accordance with ANSI internal procedures.

Contracted assessors are required to meet specific qualifications and satisfactorily complete initial and annual training under ANSI procedures.

## **15.0 COMPLAINTS AND APPEALS**

It is the policy of all ANSI Accreditation Programs to fully investigate and document all incoming complaints that are determined to be relevant and credible irrespective of their source. ANSI views complaints as a potential opportunity for improvement.

Appeals may be lodged by any party materially interested in, or affected by decision of the accreditation committees. Appeals are handled in accordance with ANSI's documented internal procedures and the appellant is notified of the outcome in a timely manner as well as informed of the options.

## **16.0 NON-CONFORMITIES**

Non-conformity (a.k.a. a “finding” or a “problem”) is non-fulfillment of a specified requirement. Non-conformities may be identified/reported through internal or external sources, such as internal audits, documentation/data receipt process, accreditation review process, assessor review panel, management reviews, international/regional peer evaluations, the NIST/NVCASE program and employee awareness. It is the responsibility of all employees of ANSI to initiate action to prevent the occurrence of any non-conformities relating to the accreditation process and the management system.

Client-identified non-conformities should be considered a customer complaint and handled according to the complaint process. Other items identified by external sources, including the accreditation committee may be handled within the procedures for corrective actions. After investigation, appeals may result in a non-conformity and the initiation of a corrective action process.

ANSI internal procedures provide the means for identifying and documenting an internal non-conforming process including determining the root causes of nonconformity, the plan for corrective action, authorized personnel involved, actions taken, review the effectiveness of the corrective and preventive action as well as the records to be maintained.

## **17.0 CORRECTIVE AND PREVENTIVE ACTION**

An opportunity for improvement is used in the internal audit process to identify an area where there is weak evidence of compliance with the relevant requirements, yet a non-conformity is not warranted. This does not mandate corrective action.

## **18.0 CORRECTIVE AND PREVENTIVE ACTION**

ANSI’s internal procedures address identification of existing and potential nonconformities and their causes, determining and implementing the actions needed, recording results of actions taken and reviewing the effectiveness of the actions taken.

## **19.0 QUALITY RECORDS**

ANSI maintains a documented procedure detailing the identification, collecting, indexing, accessing, filing, storing, maintaining, and disposing of records resulting from the ANSI accreditation programs. A record is a document stating results achieved or providing evidence of activities performed in the ANSI accreditation process.

All quality records shall be legible, stored and maintained in such a way that they are readily retrievable. Storage facilities are provided to prevent damage, deterioration, or loss. Quality records will be retained for a period of at least five years. All electronically stored data is being backed up on a daily basis.

Files may not be removed from the ANSI office without the permission of the responsible Program Director or Director of Accreditation Services. Access to all specific accreditation files is restricted. Only authorized individuals are given access. Access to all other records is consistent with the relevant confidentiality arrangements.

## **20.0 INTERNAL AUDIT AND MANAGEMENT REVIEW**

To ensure that the ANSI Accreditation Services Management System is being implemented according to the specified requirements, internal audits and management reviews shall be performed annually to verify the implementation of the ANSI Accreditation Services Quality Policy. Resulting internal audit reports are sufficient in depth and traceability for management review and peer evaluators to be able to make judgment on the effectiveness of the audit. Internal audits are conducted by personnel other than Accreditation Services staff.

Each aspect of the ANSI Accreditation Services Management System is subject to periodic reviews.

Management reviews are chaired by the Vice President of Accreditation Services and are attended by the Program Directors and the Director of Accreditation Services. If available, the Chairs of accreditation committees and other relevant interested parties are invited to provide input into the management review process. Management review shall include the following:

- results of audits;
- results of peer evaluation;
- participation in international activities;
- feedback from interested parties;
- new areas of accreditation;
- trends in nonconformities;
- status of preventive and corrective actions;
- follow-up actions;
- fulfillment of objectives;
- changes that could affect the management system;
- appeals;
- analysis of complaints.

Outputs from the management review shall include the following:

- Improvement of the management system and its processes;
- Improvement of services and accreditation process in conformity with the relevant standards and expectations of interested parties;
- Need for resources;
- Defining or redefining of policies, goals and objectives;
- A judgment regarding the management system's continuing adequacy and effectiveness in satisfying the relevant requirements, including ISO/IEC 17011 and the stated policies and objectives.

## **21.0 PRINCIPLES AND PRACTICES**

ANSI Accreditation Services' principles and practices include:

- a) impartiality during the accreditation process and decision-making;
- b) compensation for services offered by ANSI bearing its financial support in mind;
- c) limiting the requirements, evaluations and decisions on accreditation offered by ANSI to those specifically related to the scope of the requested services;
- d) sole responsibility for decisions relating to its accreditation activities.

ANSI Accreditation Services' principles and practices exclude:

- e) provision of consulting or similar services, directly or indirectly related to ANSI Accreditation Services Programs;
- f) discrimination, under any pretext, with respect to the organizations which apply for services offered by ANSI Accreditation Services Programs;
- g) restriction of the access of organizations interested in the services offered by ANSI, through any improper inhibiting conditions, including:
  - (1) undue financial conditions;
  - (2) size of the applicant body;
  - (3) number of bodies already accredited by ANSI;
  - (4) demands or affiliations of any entity;
  - (5) any other improper inhibiting conditions.
- h) provision of services that ANSI accredits as the organizations to perform;

## **22.0 ACCREDITATION**

ANSI is non-discriminatory towards all organizations in accreditation assessments and decisions. Impartiality and non-discrimination in accreditation is addressed throughout various ANSI documents.

Persons engaged in work for ANSI are required to provide assurance that they are under no undesirable pressures of any kind (financial, commercial, personal, etc.) that could affect their judgment or results of their work. All accreditation services staff are required to sign a confidentiality and conflict of interest form prior to beginning their employment at ANSI. ANSI shall sanction any staff member who is found not to comply with these procedures. ANSI will immediately cease working with organizations found to contravene the above.

### **22.1 ACCREDITATION PROCESS**

Accreditation by ANSI Accreditation Services Programs provides assurance of the competence of an organization to perform the activities for which it is accredited.

### **22.2 ACCREDITATION CERTIFICATE AND SYMBOL**

The conditions and requirements for the use of accreditation certificates and the accreditation symbol by accredited organizations have been specified in ANSI procedures. The accreditation symbols are registered with the US Patent and Trademark Office. This registration is maintained according to the laws governing accreditation marks in the United States.

### **22.3 CHANGE IN THE ACCREDITATION REQUIREMENTS**

ANSI shall inform the accredited CAB of any changes in the accreditation requirements in a timely manner. The timeframe for the accredited bodies to implement the new requirements shall be defined by ANSI in conjunction with the accredited bodies and other appropriate stakeholders such as government agencies. ANSI

must set a deadline for all accredited bodies to conform to the new requirements. A process is put in place to document evidence that the accredited bodies have conformed to the new requirements.

## **22.4 EXTENSION OF SCOPE OF ACCREDITATION SERVICES**

Prior to implementing any new program, ANSI, in accordance with the established procedure, formally considers the following:

- analysis of its present competence, suitability of extension, resources in the new field;
- access to expertise from other external sources;
- need for new application or guidance documents;
- initial selection and training of assessors;
- training accreditation body's staff in the new field.

## **23.0 ACCREDITATION BODY PERSONNEL**

ANSI establishes and maintains the resources needed to provide initial assessment, surveillance, re-assessment and continuing assessment services as needed by the clients. This includes access to a sufficient number of assessors, including lead assessors and experts to cover all of its activities.

Job descriptions defining levels of competence, responsibilities and authority levels are available for all positions and are the basis for recruiting new personnel.

Records are maintained on all employees outlining their current qualifications, experience and training status. Through the ANSI performance appraisal system, staff have their performance reviewed against their responsibilities and agreed upon annual objectives. The performance appraisal is one of the tools used to determine training needs and ensure the continuing competence of the staff.

ANSI assessors are closely familiar with all ANSI Accreditation Services program documentation. Files are maintained on all ANSI Accreditation Services Program assessors. Records include the following:

- name and address;
- position held in any other organization;
- educational qualifications and professional status;
- work experience;
- training in management systems, assessment and auditing procedures;
- competence for specific assessment tasks;
- experience in assessment and results of their regular monitoring.

Assessors shall comply with ANSI accreditation assessor qualification procedures. Initial and on-going annual training must be documented to ensure the assessors continue to demonstrate the necessary competencies to fulfill their accreditation assignments. The assessor performance is monitored on an on-going basis, at least once every three years, to assure there is sufficient supporting evidence that the assessor is continuing to perform competently.

ANSI lead assessors are authorized to organize and direct assessments, report findings and evaluate proposed corrective actions or corrective action plans. ANSI provides the assessment team with up-to-date assessment

instructions and all relevant information on accreditation arrangements and procedures. This information is provided in adherence with the internally controlled assessor manuals.

All personnel commit themselves formally by a signature or equivalent to comply with the rules defined by the accreditation body. The commitment considers aspects relating to confidentiality and independence from commercial and other interests and any existing or prior association with CABs to be assessed.

## **24.0 STAFF TRAINING**

ANSI will employ only highly qualified and proficient personnel and assessors. ANSI will provide all staff with the necessary training to ensure that they have the skills to perform their tasks. ANSI assessors participate in meetings and workshops on accreditation. ANSI maintains and updates files for each staff member, as appropriate.

Staff files contain records of the staff member's qualifications, experience, training, and participation in assessment and annual performance evaluation. ANSI maintains files of each assessor, lead assessor and technical experts detailing their training records and their assessment records.

Documented procedures detailing the methods used to train, qualify and evaluate performance of assessors have been established. Assessor training programs correspond to the requirements of the ISO/IEC 17011, ISO/IEC Guide 65, ISO/IEC 17024, ISO 14065 and appropriate requirements specified by regulatory agencies (federal, state and local) or scheme owners where appropriate. Additionally, the assessment of training consider all activities related to the ANSI Accreditation Services programs.

Personnel are assigned on the basis of appropriate education, training and/or experience, as required. New employees of ANSI receive orientation to introduce and familiarize them with ANSI and its services, management systems and procedures.

ANSI assessor meetings are held as required to promote the exchange of ideas and information in line with the objectives of the ANSI Accreditation Services programs.

In order to maintain a standard of assessment compatible with that of mutual recognition partners, ANSI arranges assessor workshops with participation by assessors from peer accreditation bodies.

## **25.0 SECURITY, CONFIDENTIALITY, AND CONFLICT OF INTEREST**

ANSI maintains high level of confidentiality in its operations. Client files, including contracting information, are maintained in a secure file room within the work area, with access controlled by staff, and are locked when the work area is unoccupied.

All ANSI Accreditation Services personnel, including subcontracted employees, assessors and accreditation committee members sign current statement of confidentiality and conflict of interest forms.

ANSI Accreditation Services utilizes ANSICA, an online portal which is a recordkeeping and process tracking tool. Access to this source of information is restricted to the appropriate personnel through the use of password protection and other online security features.

## **26.0 LIABILITY**

ANSI does not accept liability for mistakes made by accredited bodies or any mistakes that may possibly occur on the certificate or report issued by ANSI accredited bodies. ANSI agreements contain a disclaimer that indemnifies the liability of ANSI. All applicants are required to sign such an agreement as a requirement for accreditation.

ANSI maintains valid liability insurance policy for the purpose of conducting accreditation. The original insurance policy is administered by the ANSI General Counsel and a copy is kept in the Department of Accreditation Services.

No member of the ANSI Board, any accreditation committee or any employee of ANSI, acting in good faith shall be personally liable for any results of ANSI decisions or actions.

## **27.0 HANDLING, STORING, PACKAGING, PRESERVING, AND DELIVERING DOCUMENTATION**

ANSI Accreditation Services Programs maintains documented procedures designed to ensure the effective handling, storing, packaging, preserving, and delivering of “tangible” deliverables and the supporting materials resulting from its accreditation program. Since these deliverables (and supporting materials) issued by ANSI consist of documentation, all aspects of the handling, storing, and preserving activities are covered by the procedures for controlling records. Since ANSI utilizes common and express mail couriers for the delivery of accreditation services, the packaging and delivery requirements of these service providers have been adopted. When items are hand delivered by ANSI staff, similar requirements apply.

## ANNEX A: ANSI ACCREDITATION SERVICES ORGANIZATIONAL CHART

