



ACCREDITATION RULE 37
Issue Date: 2010/09/22
Implementation Date: 2010/09/22
Supersedes: New

SUBJECT: Accreditation Program for Private Sector Preparedness Voluntary Certification

APPLIES TO: ANAB-Accredited and Applicant Certification Bodies

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for becoming accredited to offer certification for Private Sector Preparedness Voluntary Certification (PS-Prep™).

ACCREDITATION RULE

1. Requirement Documents (current versions)

- 1.1. ASIS SPC.1, BS 25999-2, and/or NFPA 1600
- 1.2. ISO/IEC 17021, *Conformity assessment – Requirements for bodies providing audit and certification of management systems*
- 1.3. ISO 19011, *Guidelines for quality and/or environmental management systems auditing*
- 1.4. MA 6000, ANAB Accreditation Manual

2. Prerequisites

- 2.1. An applicant CB must have been or be judged conformant to ISO/IEC 17021.

3. Application Process

- 3.1. The PS-Prep application in .pdf format can be obtained for informational use at www.anab.org; under "Documents" click on "Applications" and then click on the link for "PS-Prep Application."
- 3.2. When the CB is ready to apply for PS-Prep accreditation, the application process outlined at www.anab.org/certification-bodies/become-a-certification-body.aspx must be completed via ANAB's Enterprise Quality Manager (EQM) database.
 - 3.2.1. If a CB wishes to be accredited for ASIS SPC-1, BS 25999-2, and/or NFPA 1600 the CB must complete an application for each standard.
 - 3.2.2. A CB may apply for one, two, or all three standards.

4. Initial Assessment Process

- 4.1. An ANAB accreditation assessor shall conduct a full documentation review. This documentation review must be completed successfully before proceeding with any on-site assessments.
- 4.2. For each standard (ASIS SPC.1, BS 25999-2, and/or NFPA 1600) the CB must submit documentation that provides evidence of competencies for its auditors, decision makers, and other staff.
- 4.3. After the documentation review is completed, the CB shall work with ANAB to schedule an initial witnessed audit at an organization seeking PS-Prep certification (for one of the standards). ANAB shall witness the stage 1 and stage 2 portions of the audit.
 - 4.3.1. The stage 2 audit shall be conducted by a team of at least two auditors of the CB.

- 4.3.2. The ANAB assessment team shall have the same number of members as the CB audit team.
- 4.4. An initial office assessment is required.
5. Initial Accreditation
 - 5.1. The PS-Prep accreditation period shall be a four-year period.
 - 5.2. If the CB is already accredited by ANAB for another standard, the initial PS-Prep accreditation period shall coincide with the CB's current accreditation period.
6. Maintaining Accreditation
 - 6.1. ANAB shall witness at a minimum one on-site audit per year for this program. The specific PS-Prep standard used as this annual audit and the CB audit team members observed are at ANAB's discretion.
 - 6.1.1. Annual witnessed audits 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.
 - 6.2. ANAB will perform a PS-Prep-related office assessment in conjunction with its normally scheduled annual office assessment.
 - 6.3. The PS-Prep re-accreditation office assessment will be held in conjunction with the normally scheduled re-accreditation office assessment.
7. Accreditation Market Surveillance Assessments of Certification Activities
 - 7.1. ANAB will perform periodic market surveillance assessments of a sample of organizations holding an ANAB-accredited certificate for one of the three standards for this program.
 - 7.2. These sampling assessments are to confirm the validity of the certification.
 - 7.3. These sampling assessments will be used to evaluate the organization's PS-Prep system from a high-level perspective.
 - 7.4. The organization will be provided a minimum of five business days' notice regarding the assessment.
 - 7.5. The CB will be provided no advance notice of the assessment but will be provided a summary of the assessment results.
 - 7.6. Neither the CB nor the organization will be invoiced for this market surveillance assessment through December 2011.
8. Personnel Competencies
 - 8.1. The competence criteria referenced in this section shall be established such that the threshold of success and consequences of failing to meet criteria are fully understood by all affected parties.
 - 8.2. Auditors
 - 8.2.1. The CB shall ensure that its auditors have successfully completed a training course that includes an examination to assess the knowledge required to audit to the standard(s) (including ASIS SPC.1, BS 25999-2, and/or NFPA 1600 and Appendix 1 of this Accreditation Rule) that has been certified by a national or international auditor training course provider approval body.
 - 8.2.1.1. An ANS/ASTM E2659-accredited certificate program for the appropriate standard(s) would fulfill this requirement.
 - 8.2.1.2. An auditor certified under an ISO/IEC 17024-accredited auditor certification program for the appropriate standard(s) would also fulfill this requirement.

8.2.2. The CB shall ensure that each audit team for this program has demonstrated the ability to make sound judgments when auditing an organization's policies and processes.

8.2.2.1. The CB shall take into account the entirety of Appendix 1 of this Accreditation Rule when performing its competency needs analysis for its auditors.

8.2.2.2. The CB shall consider each PS-Prep standard individually when performing its competency needs analysis and document and document the resulting evidence of competency individually by auditor and by each standard.

8.3. Program management

8.3.1. The CB shall establish measurable competence criteria for the PS-Prep program manager or person responsible for oversight of the PS-Prep certification activities.

8.3.2. The measurable criteria shall include minimum skills and knowledge.

8.3.3. Each measurable criterion shall be reviewed and updated as needed at least once during each accreditation period.

8.4. Decision makers

8.4.1. The CB shall ensure that its decision-makers have successfully completed a training course that includes an examination to assess the knowledge required to audit to the standard(s) (including ASIS SPC.1, BS 25999-2, and/or NFPA 1600 and Appendix 1 of this Accreditation Rule) that has been certified by a national or international auditor training course provider approval body.

8.4.1.1. An ANS/ASTM E2659-accredited certificate program for the appropriate standard(s) would fulfill this requirement.

8.4.1.2. A decision maker certified under an ISO/IEC 17024-accredited auditor certification program for the appropriate standard(s) would also fulfill this requirement.

9. Additional Requirements

9.1. The CB shall make enforceable arrangements with its PS-Prep clients to ensure accessibility by ANAB representatives to conduct market surveillance assessments.

9.2. CBs shall meet ISO 28003 requirements listed in paragraphs 7.4.1, 7.4.2, 7.4.3., and 8.5.

9.3. The CB shall populate ANAB's EQM database with required PS-Prep client information a minimum of once per quarter. This information will be used for a publicly available database of certified organizations.



APPENDIX 1
ACCREDITATION RULE 37
Issue Date: 2010/09/22
Implementation Date: 201009/22
Supersedes: New

This appendix provides certification bodies (CB) the means by which they can perform a competency needs analysis for its audit team members. This appendix cannot be neutral with regard to standards, as one standard may require a different range of competencies than another standard. The CB is fully expected during its competency needs analysis to consider each auditor individually and each standard as a standalone document on which to base an auditor's needs analysis. Maintained records of the needs analysis for each auditor will reflect this requirement.

This appendix is written in a format similar to the manner in which each standard is organized although due to some differences headings or subject-matter may be out of order.

The following competencies are not an exhaustive listing for audit team members and the CB is fully expected to identify additional and appropriate competencies for all affected personnel during its competency needs analysis.

General

The CB's audit team members shall have demonstrated the competence to:

- Understand the terminology used within the standards.
- Understand the industry in which the audit is occurring and the ability to apply that understanding to that industry sector.
- Evaluate the appropriate level of connectivity or relationship of the standard's requirements to the organization's culture.
- Perform management system process auditing and the associated planning, implementation, operating, and monitoring process cycle as employed by the organization.
- Evaluate the requirements of the standard or standards being audited by the audit team member and how such requirements should be applied by the organization.
- Evaluate the appropriate level of how the organization fits into an enterprise-wide system if part of a larger entity.
- Understand the purpose of documents specified or referenced by the standard or standards being audited.
- Understand the application of documents required by laws and regulations.
- Understand the application of laws and regulations for the organization's industry sector.

Planning

The CB's audit team members shall have demonstrated the competence to:

- Evaluate that an organization has an effective process for risk assessment and impact analysis to address man-made, natural, or technological hazards that have the potential to threaten life, damage property, or interrupt or disrupt operations in the geographical areas and industry sectors in which the organization operates.
- Understand the internal and external context of the organization.
- Understand the needs of external agencies, customers, and other interested stakeholders with regard to the organization's system.
- Understand the impact of the organization's policy, scope, and objectives on its operations and whether or not they have been taken into account during planning stages.
- Understand if the organization's personnel competency requirements are appropriate to the policy, scope, and objectives.

Implementation/Operation

The CB's audit team members shall have demonstrated the competence to:

- Evaluate that an organization's risk strategies to adaptively, proactively, and reactively address minimization of both the likelihood and consequences of disruptive events are appropriate.
- Understand techniques used to develop and implement the system.
- Evaluate the level to which the organization has planned, organized, directed, and managed its system.
- Determine whether strategies are consistent with management policy and stated goals and objectives as well as potential risks.
- Determine whether the availability and capability of resources can deal with identified or potential hazards.
- Understand the laws and regulations requiring prevention and risk mitigation programs.
- Understand the prevention and risk mitigation strategies for the industry sectors to be audited.
- Determine whether the system includes implemented strategies commensurate with the frequency of identified hazards and the potential severity of impacts.

Monitoring and Evaluation

The CB's audit team members shall have demonstrated the competence to:

- Review training, drill, and exercise records to determine whether the monitoring program has achieved program goals and objectives and required capabilities have been established.
- Comprehend whether or not the monitoring and evaluation activities are appropriate for the organization and the industry sector in which it operates.

Review

The CB's audit team members shall have demonstrated the competence to:

- Comprehend whether the review, preventive and corrective action, and continual improvement activities are commensurate with the organization's goals and objectives.
- Comprehend whether review activities are commensurate with the geographical location and industry sector in which the organization operated.