Preface A - Preparation

Please take the following steps before you begin this application for accreditation as a Third Party Assessment Organization (3PAO) to ensure an effective application process. Note: All documents referenced in this application can be accessed by using the “Quick Find” link located on the home page at www.A2LA.org or by contacting A2LA Headquarters at 301 644 3248.

1. Obtain and read a copy of the A2LA R301- General Requirements: Accreditation of ISO/IEC 17020 Inspection Bodies, A2LA R311: Specific Requirements: Federal Risk and Authorization Management Program (FedRAMP) and the A2LA P101 – Rules for Making Reference to A2LA Accredited Status. This will help to ensure a basic understanding of the accreditation process and the general criteria for accreditation. Your organization will be evaluated against these requirements and all requirements/policies referenced in the A2LA R301- General Requirements: Accreditation of ISO/IEC 17020 Inspection Bodies and A2LA R311- Specific Requirements: Federal Risk and Authorization Management Program (FedRAMP) documents.


3. Provide A2LA with a completed form F326 - Ownership Confirmation - ISO-IEC 17020 to confirm that you have an official copy of ISO/IEC 17020 we can then send you the ISO/IEC 17020 Assessor Checklist.


6. Perform a management review in accordance with section 8.5 of ISO/IEC 17020:2012 and document the results.

7. Read the policies found in the “Policies” section (Preface B) of this application.

Preface B - Policies

A. A2LA Confidentiality Policy: See R301- General Requirements: Accreditation of ISO/IEC 17020 Inspection Bodies, Part C, Section XVIII. Please place a checkmark in the appropriate block.

1. I authorize A2LA to release information regarding our application status. ☐

2. I do not authorize A2LA to release information regarding our application status. Note: All information provided as part of the FedRAMP program will be shared with FedRAMP. ☐

B. Language Policy: All documentation must be provided in English and the assessment conducted in English. An appropriate English translation of pertinent documentation must be provided as well as a translator, if needed, to facilitate the on-site assessment. Refer to R301- General Requirements: Accreditation of ISO/IEC 17020 Inspection Bodies, Part C, Section I.
### Part I. Application Information

**A. 3PAO’s Name, Physical Location** (as it will appear on your Scope of Accreditation and the A2LA website) and **Contact Information** (see Part III of this document for an explanation of Authorized Representative responsibilities).

<table>
<thead>
<tr>
<th>3PAO Name:</th>
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<tbody>
<tr>
<td>Street Address:</td>
</tr>
<tr>
<td>City:</td>
</tr>
<tr>
<td>State:</td>
</tr>
<tr>
<td>Zip Code:</td>
</tr>
<tr>
<td>Country (if other than U.S.A.):</td>
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</tbody>
</table>

**Authorized Representative’s Name:** Mr. ☐, Mrs. ☐, Ms. ☐, Dr. ☐

**Authorized Representative’s Title:**

**Telephone Number:**

**Fax Number:**

**Email Address**: *Note updates to A2LA Policies will be transmitted to enrolled and accredited organizations via email whenever possible.*

**B. 3PAO’s Website Address** (enter the web site address of your organization. If you do not want your web site listed on A2LA’s website check the appropriate box below).

Website address

http://

1. I authorize A2LA to include a link to my website on the A2LA website. ☐

2. I do not authorize A2LA to include a link to my website on the A2LA website. ☐

**C. Other Addresses** (if different from the 3PAO’s physical location address).

<table>
<thead>
<tr>
<th>Mailing Address</th>
<th>Billing Address</th>
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D. 3PAO’s Accounts Payable Information

<table>
<thead>
<tr>
<th>Contact Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephone Number:</td>
</tr>
<tr>
<td>Fax Number:</td>
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<tr>
<td>Email Address:</td>
</tr>
</tbody>
</table>

Branch organization status; please refer to [P106 - Branch System Policy](#) for additional information on branch systems.

1. Main Organization (Main 3PAO)
2. Branch Organization (Branch 3PAO)
3. If applying as a branch organization, please indicate the A2LA Master Code of main organization: __________

Note 1. Only select the Branch Organization box if the main 3PAO application has already been received at A2LA.

Note 2. A separate application must be completed for each branch 3PAO.

**Part II. 3PAO Technical Information**

**A. Type of 3PAO**

3PAO Type (as defined in ISO/IEC 17020 clause 4.1.6), please check one:

- [ ] Type A: Does not provide any additional IT security services and only provides “third party” 3PAO inspections to any interested third party;
- [ ] Type C: Does provide additional IT security consulting services and provides 3PAO inceptions to any interested third party.
C. 3PAO Personnel

1. Number of inspectors enveloped under this accreditation: ____

List all technical personnel responsible for performing each of the types of inspections, technologies, methods or processes for which accreditation is sought as well as which inspection(s) each has been fully trained and authorized to perform. Indicate all methods or processes that are performed in the field (whether exclusively or occasionally). The following matrix may be used, with additional sheets attached as needed; alternatively you may attach your organization’s inspection authorization matrix:

<table>
<thead>
<tr>
<th>TYPES/ METHODS OF INSPECTION</th>
<th>PERSONNEL:</th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g., J. Doe</td>
<td></td>
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<tr>
<td>e.g. NIST SP 800-53A</td>
<td>X</td>
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</table>

☐ Or, inspection authorization matrix attached.
D. Demonstration of Technical Competence and Capability

Please provide the following information as evidence to demonstrate technical competence and capability consistent with FedRAMP program’s technical requirements.

NOTE: These documents should be uploaded through the CAB Portal https://www.a2la.org/labs/login.cfm. 3PAO’s will receive their login information after the application form has been received and reviewed by A2LA staff.

Please use 12 pt. font size, 8½” by 11” page size, and 1 inch margin to respond to the sections below. Pages must be numbered. Please use the appropriate FedRAMP templates located on the FedRAMP website at www.fedramp.gov.

1. Sample System Security Plan (SSP) [FedRAMP SSP template + <=20 additional pages based on populate template] *

Develop a sample System Security Plan (SSP) for an applicant-selected, cloud-based information system, drawing upon a system the applicant has either previously assessed or an equivalent experimental system. The applicant selected system shall be for a SaaS cloud service model (the applicant may choose the cloud deployment model [i.e., private, public, hybrid, or community]) that is categorized as moderate-impact and, at a minimum, is capable of implementing the following FedRAMP security controls:

a. AC-2 Account Management with control enhancements (1), (2), (3), (4), (7);
b. AC-17 Remote Access with control enhancements (1), (2), (3), (4), (5), (7), (8);
c. AU-2 Auditable Events with control enhancements (3), (4);
d. CM-6 Configuration Settings with control enhancements (1), (3);
e. CP-9 Information System Backup with control enhancements (1), (3);
f. IR-4 Incident Handling with control enhancement (1);
g. RA-5 Vulnerability Scanning with control enhancements (1), (2), (3), (6), (9);
h. SC-9 Transmission Confidentiality with control enhancement (1); and
i. SI-2 Flaw Remediation with control enhancement (2).

*The applicant is required to provide an example of an SSP using the FedRAMP template to demonstrate its capability in developing and executing an effective Security Assessment Plan (SAP). Although the applicant is not being evaluated on the capability to develop SSP’s, the SSP should be of sufficient detail covering the above security controls to enable the applicant to develop a full and complete SAP.
2. Security Assessment Plan (SAP) [extended** FedRAMP assessment procedure templates + <=20 additional pages based on FedRAMP template]

Provide a complete SAP for the system, using the applicant-developed sample SSP above. The plan shall include all of the security controls (a-i) described above. Refer to NIST SP 800-53A rev. 1 for guidance on developing a security assessment plan. The plan shall use the set of FedRAMP assessment procedures for security controls (a-i) above that are posted on the website www.FedRAMP.gov. The applicant's assessment procedures must be tailored to address considerations that are specific to a SaaS cloud service model and applicant-selected deployment model.

**The FedRAMP assessment procedures are expected to be extended as appropriate to accommodate assessment of system-specific security control implementation technologies and practices described in the applicant-developed SSP.

3. Assessment Procedure Evidence and Findings

Provide documented evidence and findings from simulated execution of the SAP above. Documented evidence and findings shall be recorded in the blank information blocks in the FedRAMP-provided abbreviated assessment procedure templates. The blank information blocks are located in the:

a. Assessment Case, Action Step, Evidence (assessment details and observations to support findings) column, and the Rating (NS, PS, FS, or N/A) column; and


The Assessment Evidence and Findings must include several examples of potential assessment results that range from fully satisfied to varying degrees of severity of other than satisfied that could be expected from execution of the SAP. The assessment results must include, as a minimum, two (2) examples that are judged to be of the category of "other than satisfied" (e.g., NS, PS, or N/A) for each security control (a-i) above.

The completed Assessment Procedure templates, with the documented assessment evidence and findings, shall be returned for each assessed security control and associated enhancement as supporting information for the Security Assessment Report.


Provide a complete SAR based on the assessment evidence and findings above, from simulated execution of the SAP. A FedRAMP SAR template is available on the website www.FedRAMP.gov.
## Part III. Conditions for Accreditation

In order to apply for accreditation, the applicant’s AUTHORIZED REPRESENTATIVE and the AUTHORIZED DEPUTY REPRESENTATIVE must agree to the A2LA R102 - Conditions for Accreditation and must attest that all statements made on the application are correct to the best of his/her knowledge and belief. An accredited organization’s AUTHORIZED REPRESENTATIVE and AUTHORIZED DEPUTY REPRESENTATIVE is an official who represents the 3PAO in all matters related to maintaining A2LA accreditation. This official is A2LA's primary point of contact with the 3PAO. An Accredited Organization’s Authorized Representative shall be in a position of authority to ensure that the 3PAO complies with the A2LA criteria.

Furthermore, this representative is responsible for ensuring that all of the relevant conditions for accreditation are met as of the date this document is signed and that a complete internal audit (and management review) has been conducted by the 3PAO in accordance with their documented procedure and pre-determined schedule. During the on-site assessment, the assessor(s) will examine records and documentation to verify compliance with these Conditions for Accreditation.

**As the applicant Organization’s Authorized Representative and Deputy Authorized Representative, I agree to the above conditions for accreditation. I attest that all statements made on this application are correct to the best of my knowledge and belief.**

### 1. AUTHORIZED REPRESENTATIVE

<table>
<thead>
<tr>
<th>Authorized Representative Signature (from page 2, Part I, section A)</th>
<th>Today’s Date</th>
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### 2. DEPUTY AUTHORIZED REPRESENTATIVE

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<tr>
<th>Deputy Authorized Representative Printed Name</th>
<th>Deputy Authorized Representative Title</th>
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<th>Deputy Authorized Representative Signature</th>
<th>Today’s Date</th>
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Part IV. Accreditation Fee Descriptions

**Initial Application Fee:** A one-time fee for the first facility and for each additional facility. This fee is non-refundable.

**Annual Fee:** Although accreditation is granted for two years, payment of a yearly Annual Fee is required to continue accreditation into the second year. There is a discount per 3PAO for two to five facilities and also for more than one field; and a greater discount per 3PAO for six or more facilities, but only if an Authorized Representative centrally coordinates the applications and fee payments for all 3PAOs. There is also a discount off the recurring annual fee (for Main 3PAO only), once accredited, for those organizations that have purchased an organizational membership with A2LA.

**Assessor Deposit:** An Assessor Deposit is required per initial application. The 3PAO will be billed (or refunded) the difference between the actual cost of the assessment and the amount of this deposit. Accreditation will not be granted until all fees are paid. Actual costs are computed based on:

- Total Assessment Time per 8-hour day per assessor;
- Travel (airfare, rental car, or private auto at the IRS allowable rate from the assessor’s location);
- Accommodations & Miscellaneous (hotel, meals*, parking, calls, etc.).

*Meals are based on A2LA per diem of $35 per day. International per diem is based on the U.S. Department of State most recently published rates. Travel days where work is not performed will be 50% of the per diem rate.

The assessor deposit is only a partial payment of the assessment costs and it is likely that the actual assessor charges will exceed the deposit amount. **Variable factors such as the 3PAO’s size, desired scope of accreditation, documentation structure and adequacy of its preparation for the assessment as well as the costs of assessor travel and lodging will impact on the actual accrued assessment costs.**

3PAO: An assessment of one 3PAO can take from 2 to 5 days with additional time taken for preparation and report writing. Travel time is billed at one half the assessment rate. It is to the 3PAO’s advantage to be prepared and to help prepare the assessors beforehand. If any part of the management system documentation is not sent to assessors beforehand, assessors will need additional time at the 3PAO. If the scope of accreditation changes significantly as the assessment progresses, assessors will also need more time. If there are significant deficiencies, assessor follow-up time may be charged. A2LA audits the expenses and pays assessors. **Do not pay assessors directly. Do, however, check the assessor’s written estimate of assessment costs.**

**Refund Policy:** The A2LA application fee is non-refundable. If an organization withdraws the application before completion of the assessment, it may apply for a refund of up to 50 % of the A2LA annual fee(s), the entire program specific surcharge and the balance of the unexpended assessor deposit. There will be no refund of annual fees after the assessment has been completed. Refunds of any balance remaining on the assessor deposit will be made at the time of the accreditation decision. Any withdrawal or refund request must be in writing.
**Payment Options:** A2LA accepts checks, VISA / MasterCard / Discover / American Express, electronic transfers and ACH transactions. If your organization utilizes Purchase Orders/Contracts please place a checkmark in the box. Be sure to include the purchase order/contract with the application. An invoice will be provided by A2LA for payment. If you elect to make payment with VISA or MasterCard, contact the Financial Services Department at 301-644-3248 or visit our website at [www.A2LA.org](http://www.A2LA.org).

If your 3PAO utilizes Purchase Orders/Contracts check here. ☐

To determine the assessment costs associated with your 3PAO, please complete and submit an A2LA F119 – Estimate Request Form or contact A2LA at sales@A2LA.org or 301 644 3204.

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**Have you ever received an estimate for the costs of A2LA accreditation?**

Yes ☐ No ☐

If yes, when, and under what MASTER CODE?

**Date:**

**MASTER CODE:**
Part V. Supporting Information

The following checklist can be used to review your application package prior to submission to A2LA. Completion of the required items is necessary for the efficient processing of your application. Delays may occur if clarification or additional information is needed. Before submitting your application to A2LA, please be sure you have read and done the following:

- Read R301 - General Requirements: Accreditation of ISO/IEC 17020 Inspection Bodies, R311 - Specific Requirements: Federal Risk and Authorization Management Program (FedRAMP) and other referenced requirement and policy documents to ensure a basic understanding of the accreditation process.
- Complete all sections of this application.
- Read, understood, signed and returned the R102 - Conditions for Accreditation (Part III of this application).
- Read, understood, signed and returned the F311a – FedRAMP 3PAO Consent Agreement.
- Submit this application form and F311a – FedRAMP 3PAO Consent Agreement to A2LA to start the application process with A2LA.

Please complete and submit only the noted forms above, after receiving your application A2LA will review it and provide your organization with your login information. Please submit the rest of the information through the CAB Portal by logging in at https://www.a2la.org/labs/login.cfm

- Submit an organization chart.
- If the 3PAO is part of a larger organization and/or involved in activities other than the performance of inspections, enclosed a chart of its position and reporting relationships within that organization.
- Submit a completed C301 - General Checklist – ISO/IEC 17020 Inspection Body Accreditation Program. Note: due to copyright restrictions this checklist is NOT available on our website. Please contact A2LA to obtain a copy of this checklist.
- Submit a copy of the 3PAO’s current uncontrolled quality manual, operating procedures and work instructions.
- Submit the inspector witnessing plan as required in R301, section VII.
- Submit a completed abbreviated Sample System Security Plan.
- Submit a completed System Assessment Plan.
- Assessment procedure evidence and findings as outlined in Part II section D item 3.
- Submit a completed Security Assessment Report.

L:\Forms\F311 – Application for Accreditation: FedRAMP Third Party Assessment Organizations
Part VI. Survey

A. Please indicate your reason(s) for pursuing accreditation with A2LA.

B. Please indicate how you heard about A2LA (e.g. tradeshow, trade magazine, colleague, website, presentations, etc.), and identify any A2LA Staff Members that assisted you with this application.

C. Please list all current and/or past accreditations with any other accreditation body, accreditation/recognition with a government agency, or additional supplier audits.

Part VII. Mailing Instructions

Please return the entire application, along with the requested supporting documentation and payment of fees to:

The American Association for Laboratory Accreditation
5301 Buckeystown Pike, Suite 350
Frederick, MD 21704

Please direct all questions regarding this application to our office at 301 644 3239.

You may also email your application to info@a2la.org

END OF APPLICATION
## DOCUMENT REVISION HISTORY

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<thead>
<tr>
<th>Date</th>
<th>Description</th>
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