



ACCREDITATION RULE 31

Issue Date: 2008/12/01

Implementation Date: 2008/12/01

Supersedes (with Accreditation Rule 1, 2008/12/01): Accreditation Rule 1, 2007/12/18

SUBJECT: Application of IAF MD 4:2008 for Computer Assisted Auditing Techniques (CAAT)

APPLIES TO: ANAB Accredited Certification Bodies

PREFACE

The International Accreditation Forum (IAF) has issued IAF MD 4:2008, IAF Use of Computer Assisted Auditing Techniques (CAAT) for Accredited Certification of Management Systems, and ANAB supports certification bodies (CBs) that wish to apply these advanced concepts.

IAF MD 4 specifies the requirements for CAAT and its relationship to ISO/IEC 17021.

CBs are encouraged to review the document "ISO 9001 Auditing Practices Group Guidance on: Auditing Electronic-Based Management Systems (EBMS)." This document and other ISO 9001 Auditing Practices Group papers and presentations can be downloaded from www.iaf.nu and www.iso.org/tc176/ISO9001AuditingPracticesGroup.

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1. Reference Documents (current versions)

- 1.1. ISO/IEC 17021, *Conformity assessment – Requirements for bodies providing audit and certification of management systems*
- 1.2. ISO 19011, *Guidelines for quality and/or environmental management systems auditing*

2. Approval Process

- 2.1. A CB shall document its process for applying CAAT.
- 2.2. Because the methodology and application of CAAT will vary for each CB for each client, depending on the level of advancement of the CB and their client, each application shall be reviewed and approved by a three-person panel of an accreditation committee of the ANAB Accreditation Council prior to the CB undertaking the audit and certification of the client using CAAT.
- 2.2. The CB shall document its proposed CAAT audit program for each client on a case-by-case basis consistent with IAF MD 4 and the level of knowledge, depth of experience in using an electronic management systems, and sophistication of the client's electronic systems.
- 2.3. The CB shall document how the CAAT audit program varies from the existing audit program because of the application of CAAT to the respective client.
- 2.4. The proposal for using CAAT shall be reviewed and accepted by the CB's ANAB Executive Assessment Team Leader (EATL) prior to submission to an accreditation committee of the ANAB Accreditation Council.
- 2.5. The CB and its client shall make a presentation to the appointed ANAB accreditation committee explaining the proposed program and answering any questions at a face-to-face meeting or by electronic means (for example, WebEx, teleconference) as agreed with ANAB staff.

2.6. Immediately following the presentation, the CB and its client will be dismissed and the accreditation committee shall make its decision, which may or may not include conditions, to accept or reject the CAAT program for that CB's client.

2.7. The decision and any conditions imposed by the accreditation committee shall be promptly communicated by ANAB staff to the CB.

3. Maturity of CB Using CAAT

After four successful CAAT submissions to an ANAB accreditation committee, the Accreditation Council may delegate the decision to ANAB staff for all future submissions for the application of CAAT.

4. Industry Sector Programs

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