

<b>Extension of Scope Program</b>		
<b>Computer Assisted Auditing Techniques (CAAT) CB Application for Accreditation</b>		
AUTHORITY: Accreditation Manager	EFFECTIVE DATE: 02 November 2010	DOCUMENT NUMBER: <b>FA 2020.02</b>

## Section 1: CB Name, Contact Information, and Processing Fees

CB name:

Street address:

City:

State/province:

Postal code:

Country:

Name of person completing application:

E-mail:

CAAT application fee: \$500 (If CB applies for CAAT for only ISO 9001 or ISO 14001 and later applies for CAAT for the other standard, an additional \$500 application fee will apply at time of second CAAT application.)

### **Fees are payable when purchasing application**

Application and all supporting documents shall be submitted in English.

Instructions on application process are at [www.anab.org](http://www.anab.org); click on Become a Certification Body.

Application shall be obtained through ANAB's Enterprise Quality Manager (EQM) database at <http://anab.remoteauditor.com> and completed electronically (including submission of all supporting evidence) and submitted to ANAB via EQM. Instructions on how to obtain and upload the application in EQM can be found at [www.anab.org](http://www.anab.org); under Documents, select Heads Up and click on issue 72.

If the completed application is not accepted by ANAB after three reviews, the application will be declined. The CB may re-apply (including payment of application fees) after 60 days.

A CB applying for CAAT for ISO 9001 accreditation shall be QMS accredited by ANAB for at least one accreditation cycle (four years). A CB applying for CAAT for ISO 14001 accreditation shall be EMS accredited by ANAB for at least one accreditation cycle (four years).

This application is for a CB applying for accreditation to offer CAAT to its clients. Per [Accreditation Rule 31](#) (available at [www.anab.org](http://www.anab.org) under Documents select Accreditation Rules), the CB shall seek approval by ANAB for each individual client requesting CAAT certification to demonstrate that the CB's documented process conforms to the CAAT requirements. Specific information about each client shall be submitted to ANAB under separate cover.

## Section 2: CAAT CB Requirements

Provide evidence that the CB's certification system includes the requirements of CAAT.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Reference to Supporting Document(s) Including Specific Section References	Comment/Response	Comment/Response
1. Scope of CAAT application. Note: If CB is applying for CAAT for only one standard (e.g., ISO 9001) and in the future applies for the other (e.g., ISO 14001) CB must submit another application and application fee.	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
2. Evidence that CB has mutual agreement with its client on acceptable information security measures. Requirement: <a href="#">IAF MD 4, Section 1.1</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
3. In addition to requirements of <a href="#">ISO/IEC 17021, clause 9.1.2</a> , provide evidence that CB's audit plan identifies any computer-assisted auditing techniques that will be used. Requirement: <a href="#">IAF MD 4, Section 1.2.1</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
4. In addition to requirements of <a href="#">ISO/IEC 17021, clause 9.1.3</a> , provide evidence that specific attention is given to auditors' ability to understand and use information technologies employed by client organization to manage its management system processes. Requirement: <a href="#">IAF MD 4, Section 1.2.2</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
5. In addition to requirements of <a href="#">ISO/IEC 17021, clause 9.1.4</a> , provide evidence that if CB uses CAAT, it may be considered as partially contributing to total on-site auditor time. If remote auditing activities represent more than 30% of planned on-site auditor time, provide justification of audit plan and obtain specific approval from ANAB prior to its implementation. Requirement: <a href="#">IAF MD 4, Section 1.2.3</a>	<b>Initial Response</b>		Approved?
	<b>Second Response</b>		Approved?
	<b>Final Response</b>		Approved?
6. In addition to requirements of <a href="#">ISO/IEC 17021,</a>	<b>Initial Response</b>		

<p><a href="#">clause 9.1.10</a>, provide evidence that audit reports indicate extent to which CAAT has been used in carrying out audit and how it contributes to audit effectiveness and efficiency.</p> <p>Requirement: <a href="#">IAF MD 4, Section 1.2.4</a></p>		Approved?
	<b>Second Response</b>	
		Approved?
<p>7. In addition to requirements of <a href="#">ISO/IEC 17021, clause 9.2.2.1(a)</a>, provide evidence that when CB proposes to use CAAT for part of audit, application review includes verification that client organization has necessary infrastructure to support this approach.</p> <p>Requirement: <a href="#">IAF MD 4, Section 1.2.5</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
<p>8. In addition to requirements of <a href="#">ISO/IEC 17021, clause 9.3.2.2</a>, provide evidence that, regardless of use of CAAT, organization shall be physically visited at least annually.</p> <p>Requirement: <a href="#">IAF MD 4, Section 1.2.6</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
<p>9. In addition to requirements of <a href="#">ISO/IEC 17021, clause 9.2.2</a>, provide evidence that records indicate extent to which CAAT has been used in carrying out audit and certification.</p> <p>Requirement: <a href="#">IAF MD 4, Section 1.2.7</a></p>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?

### Section 3: CB Management Endorsement

Submission steps:

1. Verify responses to all questions are complete and all required information (attachments) is included.
2. Upload application to EQM (<http://anab.remoteauditor.com>). Instructions on how to upload the application and supporting evidence to EQM can be found at [www.anab.org](http://www.anab.org); under Documents, select Heads Up and click on issue 72.
3. The initial (off site) document review takes approximately two weeks.
4. The CB will be notified when the review is complete.

CB management who completed the application and determined that the information meets all applicable requirements:

Name:

Title:

Date: