


SUBORDINATE STANDARD PROGRAM		
COMPUTER ASSISTED AUDITING TECHNIQUES (CAAT) CB APPLICATION FOR ACCREDITATION		
AUTHORITY: ACCREDITATION MANAGER	EFFECTIVE DATE: 02 JUNE 2009	DOCUMENT NUMBER: FA 2020.01

SECTION 1 – CB’s Name, Contact Information and Processing Fees

CB’s Name		
Address		
City	State/Province	Postal Code
Country		
Name of individual completing the application:		E-mail:
<p>CAAT Application Fee \$500.00 - <i>If CB is applying for both CAAT (ISO 9001 and ISO 14001) at the same time, the application fee is \$500.00. If the CB is only applying for one standard and later decides to apply for the other standard, an additional \$500.00 application fee will apply.</i></p> <p><i>Fees are payable when purchasing the application.</i></p>		

1. The application, along with all supporting documents, shall be submitted in English.
2. For instructions on the application process, see ANAB’s web site at www.anab.org and select Applications.
3. This application shall be obtained through ANAB’s database, Enterprise Quality Manager (EQM), <http://anab.remoteauditor.com> for electronic completion (including all supporting evidence) and submitted to ANAB via EQM.
 - a. Instructions on how to obtain and upload the application in EQM can be found on ANAB’s Web site at www.anab.org, select Heads Up, Heads Up 72, EQM CB reference material.
4. If the completed application is not accepted by ANAB after three reviews, the application will be declined.
 - a. After 60-days the CB may re-apply (including application fees).
5. A CB applying for CAAT (ISO 9001) and/or CAAT (ISO 14001) ANAB accreditation shall already be EMS or QMS accredited by ANAB or in application with ANAB.
6. This application is for a CB applying for accreditation to offer CAAT to their clients; however, per Accreditation Rule 31 (available at www.anab.org, 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 has been modified to include the requirements of CAAT.

	REQUIREMENT	TO BE COMPLETED BY CB		TO BE COMPLETED BY ANAB
		Reference to supporting document(s) (Please include specific section references)	Comment/Response	Comment/Response
1.	Scope of the CAAT Application <i>Note - If the CB is only applying for one CAAT standard (e.g. CAAT (ISO 9001)) and in the future decides to apply for the other (e.g. CAAT (ISO 14001)) another application will need to be completed including the application fee.</i>	Initial Response		
		<input type="checkbox"/> CAAT (ISO 9001) <input type="checkbox"/> CAAT (ISO 14001) <input type="checkbox"/> Both		Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
2.	Evidence that CB has mutual agreement with its client on acceptable information security measures. Requirement: IAF MD 4, section 1.1	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
3.	In addition to the requirements of ISO/IEC 17021, clause 9.1.2, provide evidence that CB's audit plan identifies any computer-assisted auditing techniques that will be utilized. Requirement: IAF MD 4, section 1.2.1	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
4.	In addition to the requirements of ISO/IEC 17021, clause 9.1.3, provide evidence that specific attention is given to the auditors' ability to understand and utilize the information technologies employed by the client organization to manage its management system processes. Requirement: IAF MD 4, section 1.2.2	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Final Response		

	REQUIREMENT	TO BE COMPLETED BY CB		TO BE COMPLETED BY ANAB
		Reference to supporting document(s) (Please include specific section references)	Comment/Response	Comment/Response
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
5.	In addition to the requirements of ISO/IEC 17021, clause 9.1.4, provide evidence that if CB uses CAAT, it may be considered as partially contributing to the total on-site auditor time. If remote auditing activities represent more than 30% of the planned on-site auditor time, provide justification of the audit plan and obtain specific approval from ANAB prior to its implementation. Requirement: IAF MD 4, section 1.2.3	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Final Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
6.	In addition to the requirements of ISO/IEC 17021, clause 9.1.10, provide evidence that audit reports indicate the extent to which CAAT has been used in carrying out the audit, and how it contributes to audit effectiveness and efficiency. Requirement: IAF MD 4, section 1.2.4	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Final Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
7.	In addition to the requirements of ISO/IEC 17021, clause 9.2.2.1 (a), provide evidence that when CB is proposing to use CAAT for part of the audit, the application review includes verification that the client organization has the necessary infrastructure to support this approach. Requirement: IAF MD 4, section 1.2.5	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Final Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
8.	In addition to the requirements of ISO/IEC 17021, clause 9.3.2.2, provide evidence that, regardless of the use of CAAT, the CB's organization shall be physically visited at least annually. Requirement: IAF MD 4, section 1.2.6	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Final Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>

	REQUIREMENT	TO BE COMPLETED BY CB		TO BE COMPLETED BY ANAB
		Reference to supporting document(s) <i>(Please include specific section references)</i>	Comment/Response	Comment/Response
9.	In addition to the requirements of ISO/IEC 17021, clause 9.9.2, provide evidence that records indicate the extent to which CAAT has been used in carrying out the audit and certification. Requirement: IAF MD 4, section 1.2.7	Initial Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Second Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>
		Final Response		
				Approved? Yes <input type="checkbox"/> No <input type="checkbox"/>

SECTION 3 – CB Management Endorsement

Steps to submission:

1. Verify all questions are complete.
2. Verify all required information (attachments) is included.
3. Upload the application into EQM, <http://anab.remoteauditor.com>
 - 3.1. Instructions on how to upload the application and supporting evidence in EQM can be found on ANAB's Web site at www.anab.org, select Heads Up, Heads Up 72, EQM CB reference material. (same as industry sector applications)
4. The initial document review (off-site) will take approximately two weeks.
5. The CB will be notified once the review is complete.

CB Management that completed the application and determined the information to meet all applicable requirements.

Name _____
 Title _____
 Date _____