


<b>Subordinate Standard Program</b>			
<b>Computer Assisted Auditing Techniques (CAAT) Aerospace (AQMS) CB Application for Accreditation</b>			
<b>FA 5025</b>	Authority: Accreditation Manager	Effective: 2016/07/15	

### 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:

AQMS CAAT application fee: \$500 (including AS9100, AS9110 and AS9120 as applicable)

#### **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.jadianonline.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.

## 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
	Refer to Supporting Documents Including Specific Section References	Comment/Response	Comment/Response
1. 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?
			Approved?
	<b>Second Response</b>		Approved?
			Approved?
2. Evidence that CB's audit plan process 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?
			Approved?
	<b>Second Response</b>		Approved?
			Approved?
3. 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?
			Approved?
	<b>Second Response</b>		Approved?
			Approved?
4. Evidence that if CB uses CAAT, it may be considered as partially contributing to total on-site auditor time. Requirement: <a href="#">IAF MD 4, Section 1.2.3</a>	<b>Initial Response</b>		Approved?
			Approved?
	<b>Second Response</b>		Approved?
			Approved?
5. Evidence that audit duration process follows AQMS audit duration and is not reduced by more than 30%. Reduced on-site audit time is not eliminated but shall be allocated to remote audit time using appropriate CAAT. Requirement: <a href="#">AS9104/1 Appendix B</a>	<b>Initial Response</b>		Approved?
			Approved?
	<b>Second Response</b>		Approved?
			Approved?
6. 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. Requirement: <a href="#">IAF MD 4, Section 1.2.4</a>	<b>Initial Response</b>		Approved?
			Approved?
	<b>Second Response</b>		Approved?
			Approved?
	<b>Final Response</b>		

		Approved?
7. 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. Requirement: <a href="#">IAF MD 4, Section 1.2.5</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
8. Evidence that, regardless of use of CAAT, organization shall be physically visited at least annually. Requirement: <a href="#">IAF MD 4, Section 1.2.6</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
9. Evidence that records indicate extent to which CAAT has been used in carrying out audit and certification. Requirement: <a href="#">IAF MD 4, Section 1.2.7</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
10. Evidence of how CAAT will be designed for each certification structure. Note: If CB is using CAAT for single known AQMS client, process can be tailored to that client's certification structure. Requirement: <a href="#">AS9104/1 Appendix B</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
11. Evidence of how the CB's audit report will clearly indicate (a) use of CAAT and (b) amount of the audit duration supported by the CAAT process. Requirement: <a href="#">IAQG OPMT ICOP Resolution 113</a>	<b>Initial Response</b>	
		Approved?
	<b>Second Response</b>	
		Approved?
		Approved?

## Section 4: 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.jadianonline.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 personnel who completed the application:

Name:

Title:

Date:

CB management who reviewed the information and determined that it meets all applicable requirements and application requests prior to submission to ANAB:

Name:

Title:

Date: