



## **IAS Lead Assessor Course Chapter 1 – Introduction**

1

## **Welcome!!**



### **Aims of this Course**

- To provide participants with the tools to conduct assessments conformant to the requirements of ISO/IEC 17011

### **Expected Results of this Course**

- Your ability to plan and conduct effective assessments of a Conformity Assessment Body (CAB = lab, inspection body, certification body).
- Your practice of the assessment skills.

2

## Our Contract (We work for you)



### ■ We owe you:

- ☐ Deference
- ☐ Respect
- ☐ Honesty
- ☐ Some knowledge of the Subject Matter

### ■ We want from you

- ☐ ?

3

## Your Course Objectives



[ngravel@iasonline.org](mailto:ngravel@iasonline.org)

4

## Course Outline – 7 Chapters + Exam



### 1. Introduction

2. Accreditation and Assessment Basics
3. Planning and Conduct of Assessments
4. Meetings and Interviews
5. Writing Assessment Findings
6. Writing Assessment Reports
7. Addressing and Closing out Findings
8. Final Exam

5

## Pre-Requisites



- All participants must have completed one of the following Conformity Assessment Body (CAB) courses prior to taking this course:
  - IAS Understanding ISO/IEC 17025
  - IAS Understanding ISO/IEC 17020
  - IAS Understanding ISO/IEC 17065
- All participants must complete the Pre-Course Quiz prior to taking this course.

6

## Written Materials



The following materials are ready for your use in the printed materials you have been given.

- [Lead Assessor Course Handbook](#)
- [Pre-Course Questionnaire](#)
- [Lead Assessor Course PowerPoint Slides](#)
- [Sample Quality Manual and Procedures](#)
- [Assessor Tool Kit \(Assessment Procedures and Forms\)](#)
- [Final Exam](#)
- [Facilitator Evaluation Form](#)

7

## Course Grading



- Participants who wish to receive a Certificate of Successful Completion must complete all quizzes, participate in the exercises, and obtain 70% on the end-of-course exam.
- Evaluating your facilitator.

8

## Timings for this course



In whatever time zone we operate:

09:00 – 10:30 Training  
 10:30 – 10:45 Break  
 10:45 – 12:00 Training  
 12:00 – 12:30 Lunch  
 12:30 – 14:00 Training  
 14:00 – 14:15 Break  
 14:15 – 16:30 Training

9

## Standards vs Regulations



Approach	Document / Specification	Specifier	Process
Regulatory Approach Mandatory	Regulation	Government	Inspection
Standardisation Approach Voluntary	Voluntary Standard	Market	Conformity Assessment

The green line at the top shows how a government develops a regulation, then specifies its use

The red line at the bottom is an example of how 9001 and 17025 are delivered "by the market, for the market, and from the market".

The yellow line in the middle represents how a government can specify a voluntary standard

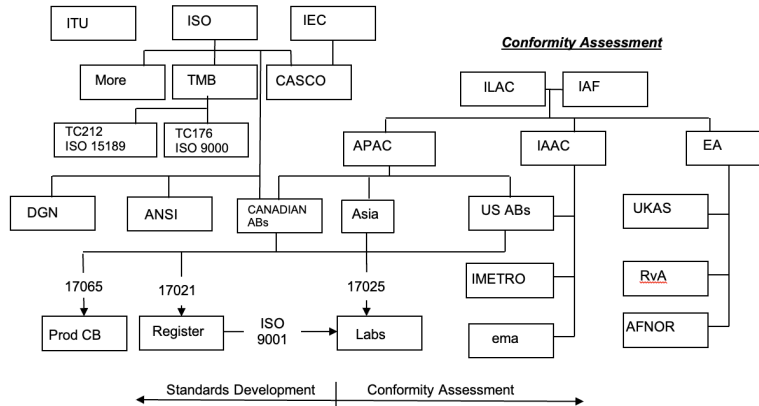
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# Standards & Conformity Assessment



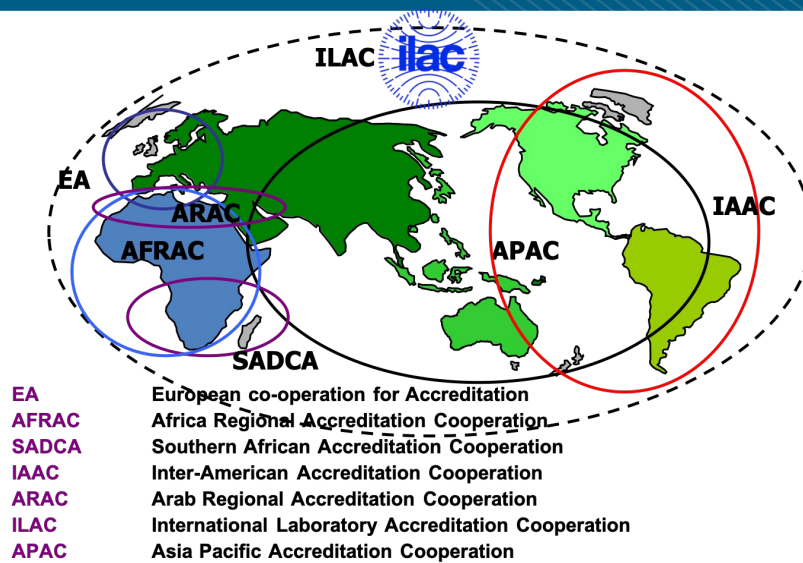
## Standards Development

ISO – International Organisation for Standardisation  
 IEC – International Electrotechnical Commission  
 ITU – International Telecommunications Union  
 TMB – Technical Management Board (of the ISO)  
 CASCO – Conformity Assessment Sub-Committee (of the ISO)



11

# Conformity Assessment Infrastructure



12

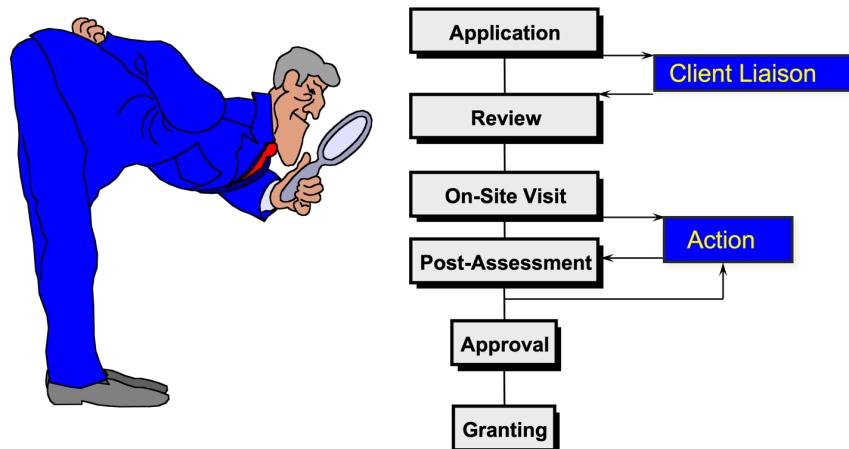
## Course Outline



1. Introduction
- 2. Accreditation and Assessment Basics**
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13

## Assessment Overview



14

## Assessment Philosophy



The best assessments are described as:

***“....the objective comparison of actual conditions to requirements in order to facilitate the CAB’s demonstration of competence and conformance to requirements....”***

Therefore, it is conducted as ...

***“...a technical discussion between peers about a list of things to do.”***

15

## Assessor Approaches



- Assessors, must treat all those assessed with the **utmost respect**.
- Assessors must remember that with power comes responsibility.
- A true assessment is just ***“a technical discussion between technically competent peers about a list of things to do.”***
- The assessor’s primary duty is to **protect the integrity of the accreditation program**. Without such integrity, the program is not worth anything.

16

## Conduct of Assessors – ISO 19011



### The knowledge requirements of assessors:

- assessment principles, procedures and techniques,
- Management system and reference documents,
- Organizational situations,
- Applicable laws, regulations, and other requirements relevant to the discipline,
- Quality-related methods and techniques, and
- Products, including services, and operating processes.

17

## Conduct of Assessors – ISO 19011



### Characteristics required of all assessors.

- |                     |                             |
|---------------------|-----------------------------|
| • Ethical,          | • <b>Decisive,</b>          |
| • Open minded,      | • Self-reliant,             |
| • Diplomatic,       | • Act with fortitude,       |
| • Observant,        | • Open to improvement,      |
| • Perceptive,       | • Culturally sensitive, and |
| • Versatile,        | • Collaborative             |
| • <b>Tenacious,</b> |                             |

18

## Assessor Approaches is Secret #1



Assessor conduct is the **single most important success factor** in the delivery of an assessment. Bad assessor conduct will result in failure of the assessment.

19

## Assessing to the Standard



### **Examine Assessment Procedure in the Assessor Tool Kit**

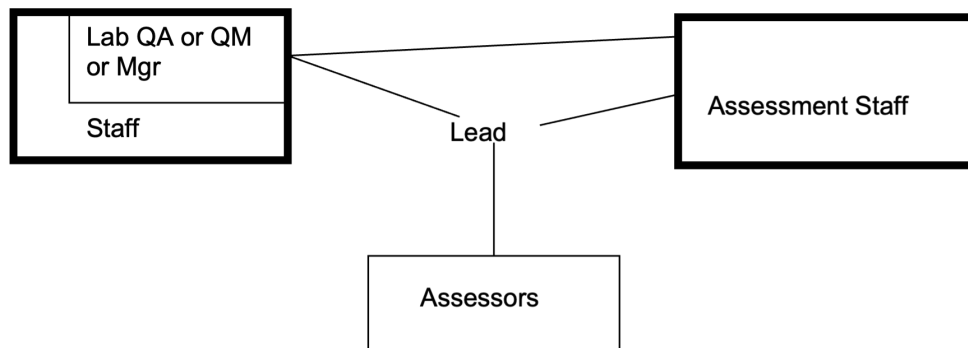
- *Look for demonstrable evidence of conformance/competence*
- *We are not there to tell the CAB what to do!*
- *Seek evidence in documents, charts, equipment, standards, processes, and interviews of people, documenting what you are doing, and doing what you are documenting.*

### **Conformance to the standard**

- *You, based upon your experience, background and education are to judge whether what is shown to you conforms to the Standard (either Checklist or Method Checklist requirement)*

20

## Who works for Whom?



21

## The Best Assessors/Lead Assessors



- Know that they work for everyone else – the AB, the CAB, the CAB staff, and the members of the assessment team.
- Know that there is no glory in their work, so they seek none.
- Know that there is lots of blame for things that go wrong – and they will have to accept all of it and share none of it with their team members.
- Know that success depends on removing impediments that prevent their team members from accomplishing their work and that the team succeeds only when the team members succeed.
- Know that failure is only theirs to bear.
- Believe strongly in this approach and in the responsibilities they have been given.

**if this set of circumstances does not make an lead assessor positively joyful, THEY SHOULD NOT SEEK TO BECOME A LEAD ASSESSOR. They should step aside and let someone else take up those responsibilities.**

22

# Acquisition of Assessment Evidence



## Three types of objective evidence:

- **Reading (document review).** This is done prior to the assessment visit during the document review of CAB policies and procedures. Document review also includes review of records obtained during the onsite assessment.
- **Watching (observation).** This is normally only done during the onsite visit, where a process is examined, and evidence is obtained by noting the execution of the process.
- **Listening (interview).** This is normally done only during the onsite visit and evidence is obtained from the description of processes provided during interviews with CAB staff.

23

# Assessment Behaviors



## Some Good, Some Bad:

- Assessors cannot Express their own Opinions
- Assessors must be Prepared
- Assessors must Avoid Surprising CAB staff
- Assessors can never Tell the CAB what to do (Consulting)

24

## Assessors do not have Opinions



- Assessors do not have opinions. **Opinions have no value in an assessment.**
- If an assessor pushes their opinion on the lab, they should be invited to leave the CAB and the AB staff contacted. Any time someone says: "...In my lab...." they are expressing an opinion.
- An assessment should not be subjective or about anyone's opinion.

25

## Assessors must be Prepared



Once onsite, it is too late to be opening documents and commencing a review of CAB policies and procedures. Preparation **MUST** be completed before this point.

Do a thorough Document Review

26

## Assessors must be Prepared



Assessors must read the requirements of the Checklists (including any technical or Method Checklists) and ask to see the demonstrable evidence that shows how CAB meets the requirements of the standard and other accreditation requirements.

Assessors must know these written requirements before launching into explaining a requirement to the CAB.

27

## Assessors must Avoid Surprises



- People do not appreciate surprises during assessments.
- Don't surprise them!!
- Get agreement at every stage before moving to the next.

**“Every step in the assessment process should be confirmation of agreements made to that point.”**

28

## Consulting versus Assessing



ISO 19011 makes it very clear that auditing and assessing are activities where any advice to the client is considered consulting and is unethical. While we all would like to help when we see a situation that might benefit from our experience, we must be careful of outcomes that may not be obvious to us.

29

## Consulting versus Assessing



- Consultants offer solutions while Assessors obtain objective evidence.
- Providing solutions to CAB personnel while assessing has a number of adverse effects:
  - Diminishes integrity and credibility of the assessment.
  - Solutions are generated by people who do not understand all the ramifications of any one solution and do not work in that lab.
  - Skews assessment findings towards directed solutions.
  - Takes ownership away from the actual owners of the system.

30

## Consulting versus Assessing



- There can be differing opinions on whether the demonstrable evidence meets the requirements.
- Assessors judge whether the demonstrable evidence meets the requirements of the standard
- There can only be only one judgment. The Assessor is the Judge, the CAB has the right to appeal to a higher authority, the AB staff.
- As assessors, you do not have opinions.....

31

## Consulting versus Assessing



- Opinions are arguable
- Judgments are not arguable.
- Judgments are appealable
- Separate the opinion from the person
- Remember, as an assessor you are the judge

32

## Consulting versus Assessing



### Assessors may;

- Discuss the interpretation of the standard
- Discuss **not less than three possible** options of meeting the standard while encouraging them to see others.

### Assessors may NOT;

- Tell the CAB or CAB staff how to meet the standard
- Ask for more than the requirements of the standard

33

## Exercise 1 – Assessor Tool Kit



Each team has already selected one of the following processes to assess:

- SP001 – Continual Improvement procedure (Ref = QM, assessment Doc = SP001)
- SP002 – Feedback procedure (Ref = QM, assessment Doc = SP002)
- SP003 – Internal assessment and Management Review procedure (Ref = QM, assessment Doc = SP003)
- SP004 – Document control and control of records procedure (Ref = QM, assessment Doc = SP004)
- SP006 – Job Hazard Assessment procedure (Ref = QM, assessment Doc = SP006)

34

## Exercise 1 – Assessor Tool Kit



1. You are part of the assessment team that has been assigned to conduct the re-assessment of MOTIVA CAB Inc. using the recently updated Assessor Tool Kit and you to familiarize yourself with its contents.
2. These documents within the Assessor Tool Kit are based on the standard that governs CAB operations and/or an ILAC Policy.

35

## Exercise 1 – Assessor Tool Kit



3. Review all documents, contained in the Assessor Tool Kit, and document the following information for each entry:
  - Objective of the document as described within the document
  - Is the document based on the requirements in a standard or an ILAC Policy
4. Be prepared to discuss your list with the remainder of the group.

36