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IAS Lead Assessor Course

Chapter 2 – Planning and Conduct of Assessments

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Course Outline



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

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Assessment Processes



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1. Prior to the Assessment
2. Planning and Conduct of the Assessment
3. Post Assessment Activities

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Prior to the Assessment



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Assessment packages – See assessment package included Separately

Pre Assessment activities to prepare the assessor

- Document Review
- Checklists
- Getting Agreement

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Assessment Packages



- *Assessment Report* (AF05) of the previous assessment (if applicable and provided by the AB)
- Record on CAB's Participation in PT (as appropriate and provided by the CAB)
- Requested Scope of Accreditation (AF02 for Testing and AF03 for Calibration and provided by the AB)
- CAB Quality Documentation (provided by the CAB)
- CAB Quality Procedures (provided by the CAB)
- CAB Technical and Test/Calibration Procedures (provided by the CAB)

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Document Review



DOCUMENT REVIEW IS THE
SINGLE MOST IMPORTANT
ASSESSOR ACTIVITY PRIOR TO
AN ASSESSMENT

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Document Review



- Conduct a thorough **Document Review** of all CAB policy and procedure documents to determine CAB conformance to the applicable standard, and accreditation body (ILAC) requirements and allow the assessor to develop their own understanding of the processes that exist in the CAB.
- Document review also serves the purpose of not wasting assessment time. CAB staff is already very familiar with their own processes, but the assessors are not. It is the assessor who needs to become familiar with these documents and doing so prior to the assessment provides a better understanding of CAB processes and saves onsite time.

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Document Review



Document review is also called a **system audit** and it is primarily aimed at allowing the assessor to:

- Determine the **level of conformance** of the CAB policy and procedure documents prior to the actual onsite visit,
- Gain familiarity with the **documents that govern** the CAB processes, and
- Understand the **processes** used by the CAB.

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Preparing and Using Checklists



There are two main objectives in using checklists:

- They document the minimum line of inquiry required to establish conformance (or not) of a process, and
- They create a clear and visible line of inquiry for both the assessor and the CAB staff.

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Preparing and Using Checklists



- Assessors establish their lines of inquiry, investigation, and examination.
- Simply taking a copy of a procedure through an organisation and asking questions “off the cuff” is a waste of time.
- It does not make the line of inquiry clear to those being assessed and it does not promote a systematic approach to assessing.
- All assessors must prepare appropriate checklists to guide their search for objective evidence of conformance. Most Accreditation Bodies require the use of their checklists.

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Using Checklists



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- Does the process conform to requirements?
- Does it demonstrate competence in the required conformity assessment discipline?
- Is it well implemented?
- Are there records of implementation?
- Is it effective?
- Does it allow for improvement?
- How is it measured?
- How does it affect the ability of the CAB to produce technically valid results or make technically valid decisions?

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Checklists in the Assessor Tool Kit



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Sample checklists for use during the document review are provided in Tabs 4 and 5 of the **Assessor Tool Kit**. These include:

- ISO/IEC 17025-*General Requirements for the competence of testing and calibration laboratories*
- AF07 *Test and Measurement Checklist* (4 copies)

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Getting Agreement



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

This always makes the assessment process more enjoyable and rewarding for all involved.

Obtain agreement regarding scope, logistics, assessment timings, and related activities.

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Exercise 2 – Document Review



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1. You are part of the assessment team that has been assigned to conduct the re-assessment of MOTIVA CAB Inc. You have been sent the Sample Assessment Package to review.
2. You are to conduct document reviews for the MOTIVA CAB Inc quality system and **ONLY ONE** test procedure attached to the Sample Assessment Package.

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Exercise 2 – Document Review



3. Test procedures are provided in the “02-MOTIVA TEST Procedures” folder for Physical/Mechanical, electrical, and chemistry, tests in the following folders:
 - 02-01 Chemistry
 - 02-02 Electrical
 - 02-03 Physical/Mechanical
4. Select the CAB test procedure that is closest to your area of expertise.

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Exercise 2 – Document Review



5. You are to use "AF04 Assessment Checklist for 17025" to conduct the document review of the MOTIVA Quality Manual.
6. You are to use "AF07 Test and Measurement Checklist" to conduct the document review of the MOTIVA Test procedure you have selected.

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Exercise 2 – Document Review



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7. Be prepared to answer quiz questions on your document review of both the Quality Manual and the Test Procedure.
8. Stop the Video here and take the two quizzes.

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Planning and Conduct of Assessments



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See “AS02 Assessment Procedure” in the **Assessor Tool Kit**

- Opening meeting
- Tour of facilities
- Interview of key staff
- Assessment of specific tests
- Preparation of report
- Closing meeting

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Conducting the Opening meeting



The on-site assessment commences with an opening meeting involving the top management of the CAB to:

- confirm the objectives of the assessment and the scope of testing and calibration activities to be covered;
- confirm the assessment plan, including witnessing of testing and calibration
- make arrangement for reporting the outcomes of the assessment in the form of both the individual findings and summary report.

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Opening meeting Agenda



Agenda

1. Introduction and thanks,
2. Confirm scope of testing and/or calibration covered by the CAB application,
3. Confirm purpose of the assessment and the functions of the assessment team, and confirmation that CAB staff understand the assessment procedure,
4. Confirm assessment methods, document review, interview and observation
5. Review CAB responses to findings raised in any previous assessment,
6. Review role of CAB representatives in the assessment,
7. Determine closing meeting time and venue,
8. Review assessor adherence to confidentiality,
9. Confirm logistics issues during the assessment,
10. Confirm assessment process, working hours, lunch breaks, offsite travel arrangements,
11. Respond to questions.
12. Depart for Tour of Facilities

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1. Introduction and Thanks



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Start EVERY meeting during an assessment with “Thanks for allowing this meeting...”

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2. Confirm Desired Scope of Accreditation



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Confirm the range conformity assessment activities (testing, calibration, inspection, certification schemes) covered by the CAB application in their desired scope of accreditation

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3. Assessment Schedule / Plan



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1. Agreement on the planned approach
2. Respond to necessary adjustments to the plan
3. Confirm arrangements for logistics and resources
4. Confirm arrangements and timings for subsequent meetings
5. Confirm arrangements for the end of the assessment

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4. Assessment Methods



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- Clearly explain investigation activities
- Be open about the process and emphasise its transparency
- Tell them you are there to **“record as much evidence of conformance and competence as possible”** and ask if they can help the team do that.

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5. CAB responses to previous assessment



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1. Confirm closure of all findings from previous assessments
2. May involve discussion of root causes of previous findings
3. Determine if similar issues have arisen since closure of previous findings.

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6. Role of CAB representatives



Confirm importance of CAB representative(s) participation in the assessment to ensure success of the assessment process. They will help deconflict issues.

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7. Closing meeting time and venue



1. Confirm the expected time and venue of the closing meeting.
2. Invite all CAB staff to participate.

8. Assessor maintenance of confidentiality



1. Confirm the rules followed by all assessors to maintain confidentiality
2. Refer to "AB05 Confidentiality and Impartiality."

9. Logistics during the assessment



1. Confirm logistics already agreed
2. Determine any logistics issues not covered by agreements made to date
3. Get consensus on meeting these new challenges

10. Assessment working hours, breaks, travel



1. Confirm assessment hours already agreed
2. Confirm breaks already agreed
3. Confirm any offsite travel already agreed
4. Determine any new issues, and resolve with consensus

11. Respond to Questions



1. Be prepared to handle questions from the CAB staff
2. Focus on the transparency of the approach

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12. Tour of Facilities



This is a required activity for every assessment team.

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Assessment of Specific CAB Activities



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- The activities are those listed on the CAB's requested scope of accreditation.
- This is a requirement of all assessments
- Use AF07 for this process (same checklist used during document review), to record observations during the assessment.

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Interviews with Staff



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- Gather evidence of staff competence and their implementation of the CAB management system
- Use AF04 and AF07 for this process (same checklists used during document review), to record observations during the assessment.

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Recording Observations



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- Gather evidence of CAB conformance, competence, and implementation of their management system.
- Observations are not findings until the team meeting. Until then, they are only observations
- Use AF04 and AF07 for this activity (same checklists used during document review), to record observations during the assessment.

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Writing the Report



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- An Assessment Report has only two requirements:
 - Fair and accurate description of the CAB system, and
 - Fair and accurate description of the assessment
- Contains sufficient evidence to support the conclusions of the report.
- Writing of the assessment report is covered in detail in Chapters 4 and 5 of this course.

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Closing Meeting



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All on-site assessment activities end with a closing meeting. This meeting is much like the opening meeting. The agenda for this meeting is contained in “AS02-Assessment Procedure” in the **Assessor Tool Kit**.

The Lead Assessor chairs this meeting.

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Closing Meeting



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Closing Meeting Agenda

- Thank the CAB,
- Explain the classification of findings
- Confirm the recommended CAB scope of accreditation,
- Confirm confidentiality by the assessment team and the accreditation body,
- Describe the AB requirements for responses to findings
- Describe the AB disputes and appeals procedure
- Present all the findings and ensure that they are fully understood,
- Inform the CAB on any team recommendations to the AB for accreditation
- Respond to questions Close the meeting

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Team Post Assessment Activities



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- See “AS02 Assessment Procedure” in the **Assessor Tool Kit**
- It is a good idea for the team to meet together after the assessment and go over what went right and what went wrong – so as to improve the AB’s assessment processes.

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Exercise 3 – Planning an Assessment



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You are part of the assessment team that has been assigned to conduct the **re-assessment** of MOTIVA CAB Inc. ABC staff have recently sent you the Sample Assessment Package provided separately. This sample contains some associated procedures, the most recent assessment report, and the requested scope of accreditation for this re-assessment.

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Exercise 3 – Planning an Assessment



You are to accomplish the following:

1. You are to create a re-assessment schedule using the forms contained in "AF01-Assessment Schedule" of the **Assessor Tool Kit**.
2. You are to reach agreement on a schedule for the re-assessment of MOTIVA CAB Inc., to meet the following requirements:
 - Plan for the assessment of all the tests listed in the re-assessment package
 - Create the entire schedule using "AF01-Assessment Schedule" of the **Assessor Tool Kit**.
3. Obtain agreement from the CAB, on the approach to be used.

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Exercise 3 – Planning an Assessment



Start the Onsite Visit by Reaching Agreement with the CAB

The final step in preparing for the assessment is to establish agreement on the resources that will be required to support it. The CAB normally provides these but establishing agreement on their provision is the responsibility of the assessor/lead assessor.

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