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## IAS Lead Assessor Course Chapter 4 – Assessment Findings

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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 Findings



Findings come from two activities:

- Document review (System Audit)
- Onsite assessment (Conformance Audit)

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## Assessment Findings



Every finding has three required elements:

- A statement of the requirement,
- A statement of the condition observed, and
- A reference to the evidence that supports the comparison of these two.

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## Evidence Supports Findings



Three sources of objective evidence:

Review of reference documents, CAB documents and records,

- Requirements in the governing ISO standard and other AB requirements
- CAB documents and onsite records

Interview of CAB staff, and

Observation of CAB processes.

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## Scope of Evidence



Try and select evidence from:

- Some recent records
- Some not-so-recent records, and
- Some records from shortly after the last assessment

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## Types of Findings - NCs



**Non-Conformances:** Any condition which is contrary to a stated specification, standard, procedure, policy, or instruction

- Major Non-Conformance wherein the condition adversely affects the ability of the CAB to produce valid conformity assessment results or make valid decisions.
- Minor Non-Conformance wherein the condition does not adversely affect the ability of the CAB to produce valid conformity assessment results or make valid decisions.

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## Types of Findings - PNCs



**Potential Non-Conformance:** Any condition that may result in a non-conformance against the standard, AB requirements, the CAB's own procedures.

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## Types of Findings - OFIs



**Opportunity for Improvement:** A condition that may allow the CAB to more easily or more efficiently meet the requirements of the standard or other specification or enhance processes within the CAB.

Opportunities for improvement are not to force an opinion onto the CAB staff.

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## Exercise 6 – Writing Findings



You are part of the re-assessment team that has been assigned to conduct the re-assessment of MOTIVA CAB Inc. You are now writing the report. During the conduct of the re-assessment of some methods, you encountered the conditions listed in Section 8.5.2 of the Course Handbook. You are now required to classify findings from any two of these observations.

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## Exercise 6 – Writing Findings



You are to accomplish the following:

- You are to write one finding using AF07-Assessment Finding Form from the Assessor Tool Kit.