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NAB-MALTA

TECHNICAL GUIDE

ATG02 - Instructions for Assessment Team Members

Revision 5 August 2008

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FOREWORD


It is the policy of the NAB-MALTA to provide its clients with a consistently professional effective accreditation service.

In order to deliver this high level of service it is essential that Assessment Teams display an appropriate level of professionalism, integrity and respect towards the client of the NAB-MALTA at all times during the conduct of each on-site visit.

The Assessment Team members are also required to adhere to the specific points highlighted in this guide when carrying out visits to client of the NAB-MALTA.


An Assessment Team is composed of a Lead Assessor, NAB-MALTA Officer and other Technical Assessors and Expert as may be required.

This guide is complimentary to and must be read in parallel with the applicable assessment guides (for example **ATG01** – Assessment Procedure for Laboratories).


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1. FOR ALL ASSESSMENT TEAM MEMBERS

- 1.1. All Assessor Team members shall follow the principles of auditing outline in Clause 4 of ISO19011 to ensure that an assessment is an effective and reliable tool in support of management policies and control and in providing information on which an organization can act to improve its performance. The principles are:
- Ethical conduct – *the foundation of professionalism*
 - Fair presentation – *the obligation to report truthfully and accurately*
 - Due professional care – *the application of diligence and judgement in auditing*
 - Independence – *the basis for the impartiality of the audit and objectivity of the audit conclusions*
 - Evidence-based approach – *the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process.*
- 1.2. Assessment Team members are required to use only the latest revisions of the NAB-MALTA documents together with the relevant normative documents. NAB-MALTA documents are available on-line at <http://www.nabmalta.org.mt>. However the Assessment Team members should verify with the NAB-MALTA Officers that they have the latest versions of all documents.
- 1.3. Assessment Team Members shall not use or make reference to any documents issued by another accreditation body.
- 1.4. Assessment Team members shall not make reference to the practices adopted by other accreditation bodies in the presence of the NAB-MALTA clients.
- 1.5. Assessment Team members shall ensure that all relevant mandatory normative documents are complied with.
- 1.6. Assessment Team members must ensure that applicant/accredited bodies hold a current set of relevant documents and that they are properly controlled. Assessment Team members must issue a nonconformity where it is found that such documents are not available or are not properly controlled.
- 1.7. Assessment Team members must pay due attention to time management of on-site visits with respect to the visit plan times as specified on form **NABG05**. They shall ensure that time-wasting techniques are not employed by the client and that they focus at all times on the work in hand
- 1.8. Assessment Team members shall keep in mind that the purpose of the visit is to assess the competence of the client to carry out a specific range of activities and not an opportunity to demonstrate to the client the knowledge of the Assessment Team.

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- 1.9. Assessment Team members must behave in a professional manner at all times. The applicant's/accredited body's staff should be involved in discussions held in the presence of the organisation staff and private discussions with the Assessment Team members should be held in private.
- 1.10. Assessment Team members must be aware that they are representing the NAB-MALTA. Where clarification of the NAB-MALTA policy or procedure is required, discussion with the NAB-MALTA shall be held in private.
- 1.8 Assessment Team members shall communicate with the staff of the client in a controlled, friendly and professional manner and shall present the facts with objectivity, honesty and fairness in a clear and precise manner. They shall remain open-minded at all times and remember to both question and listen carefully. They shall present their findings in a calm, factual and tactful manner.
- 1.9 Assessment Team members may give general non-prescriptive advice to the client but shall ensure that this does not cross the line into consultancy. Assessment Team members shall never give personal business cards to the client undergoing the assessment.
- 1.10 In the event of a dispute or a difficult client, Assessment Team members shall endeavour to resolve the issue in a calm courteous manner during the visit and to always provide factual evidence to support their position. Should satisfactory resolution not be achieved Assessment Team members shall document their findings and shall explain to the client the NAB-MALTA's appeal mechanisms.
- 1.11 Assessment Team members shall ensure that mobile phones are switched off during visits. Messages may be checked at lunch and after the completion of the closing meeting.
- 1.12 Assessment Team members shall ensure that after visits all interaction shall be with the NAB-MALTA and direct contact with the client shall not take place without prior approval from the NAB-MALTA.
- 1.13 Assessment Team members shall ensure that desk audit reports reach the NAB-MALTA **by not later than fifteen working days** from receipt of the documentation of the applicant/accredited body from NAB-MALTA.
- 1.14 Assessment Team members shall ensure that responses to nonconformities are properly reviewed and that these are submitted by the client in a timely fashion. They shall return the completed Clearance of Nonconformities Summary Sheet **NABG09** to the NAB-MALTA by **not later than fifteen working days** from receipt.

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- 1.15 Where additional evidence is required for the satisfactory closure of nonconformities, Assessment Team members shall review the evidence provided within 5 working days from the receipt of such evidence.
- 1.16 Assessment Team members shall make efforts to improve their competence and the effectiveness and quality of their services.
- 1.17 Assessment Team members shall comply with the principles laid out in ISO19011 as well as those of the relevant assessment guides.
- 1.18 In line with Clause 7.5 of ISO19011, assessors shall endeavour to continue their professional development and to maintain their auditing ability. Continual professional development can be achieved through means such as additional work experience, training, private study, coaching, attendance at meetings, seminars and conferences or other relevant activities. The continual professional development activities should take into account changes in the needs of the individual and the organization, the practice of auditing, standards and other requirements. Auditors shall also maintain and demonstrate their auditing ability through regular participation in audits relevant to their qualification with NAB-MALTA.
- 1.19 Assessment Team members shall allow NAB-MALTA Officers to benefit from their experience.
- 1.20 Assessment Team members shall keep records of all the assessments undertaken and should be able to demonstrate their continual professional development.
- 1.21 Assessment Team members shall submit the proper information as requested by the Assessor Information Record (**NABQ10**). Should such information not be forthcoming, the assessor will either not be included in the database of assessors or else he will be removed from the database.

2. FOR LABORATORY ACCREDITATION ASSESSORS

- 2.1. Technical Assessors shall review both the scope of accreditation and certificates/test reports issued by the laboratory to ensure the accuracy, consistency and uniformity of units of measurement.
- 2.2. Technical Assessors shall verify that calibration laboratories comply with **EA-4/02** in particular clause 6.3 when issuing calibration certificates.

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- 2.3. Technical Assessors shall ensure that laboratories comply with **MSA ISO/IEC 17025** requirements regarding uncertainty of measurement and issue a nonconformity where this is found not to be the case.
- 2.4. Technical Assessors shall clearly identify the tests that have witnessed.
- 2.5. Technical Assessors shall clearly indicate the in the Summary Report the performance of the laboratory in proficiency testing schemes.

3. REPORTING OF FINDINGS

- 3.1. All findings shall be given a unique number as follows:

CB 01 0107

where

- the two letters (*CB in this case*) will be the initials of the assessor;
- the two numbers (*01 in this case*) will be given successively for each finding;
- the last four numbers will indicate the visit number. For e.g. 0107 represents the first visit in 2007.

4. REFERENCE DOCUMENTS

- 4.1 Guidance documents are available for download from the following websites:


NAB-MALTA: <http://www.nabmalta.org.mt>

EA: <http://www.european-accreditation.org/documents.html>

ILAC: <http://www.ilac.org>

IAF: <http://www.iaf.nu/guidance.asp>

- 4.2 Assessment Team members are to liaise with NAB-MALTA to ensure that they are using the latest revisions of the applicable NAB-MALTA documents.

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5. SUMMARY OF TIMEFRAMES

NAB-MALTA Reference	Issue	Timeframe
ATG02 CL 1.13	Desk audit reports	15 Working days from receipt of the documentation of the applicant/accredited body from NAB-MALTA.
ATG02 CL 1.14	Review Evidence Submitted by CAB	15 Working days from receipt of the documentation of the applicant/accredited body from NAB-MALTA.
ATG02 CL 1.15	Review Additional Evidence Submitted by CAB	5 Working Days from receipt of the documentation of the applicant/accredited body from NAB-MALTA.

END