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NAB-MALTA

TECHNICAL GUIDE

ATG30 - Instructions for NAB-MALTA
Assessment Team Members

Policy of the NAB-MALTA

Revision 3 June 2021

				NATIONAL ACCREDITATION BOARD -MALTA NAB-MALTA POLICY (MANDATORY)		ATG 30	
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FOREWORD

It is the policy of the NAB-MALTA to provide clients with a consistently professional accreditation service. In order to deliver this high level of service it is essential that each member of an Assessment Team displays an appropriate level of professionalism, integrity and respect towards our clients at all times.


This policy is complimentary to and must be read in parallel with other relevant and applicable NAB-MALTA documents.

SCOPE OF PUBLICATION

This publication sets the policy of the NAB-MALTA about the conduct of Assessment Team Members during assessment activities. It also set the timeframes by which replies are to be provided.


Note: Assessment Team Members include the Team Leader, NAB-MALTA Officer/s and any other Technical Assessors and Experts.

This is a Mandatory Document

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1. FOR ALL ASSESSMENT TEAM MEMBERS

- 1.1. All Assessment Team members shall follow the principles of auditing outline in Clause 4 of EN ISO/IEC 19011 to ensure that an assessment is an effective and reliable tool in support of management policies and control and in providing information on which a Conformity Assessment Body (CAB) can act to improve its performance. The principles are:
- Integrity – the foundation of professionalism
 - Fair presentation – the obligation to report truthfully and accurately
 - Due professional care – the application of diligence and judgement in auditing
 - Confidentiality – security of information
 - 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.
 - Risk-based approach – an audit approach that considers risks and opportunities.
- 1.2. Assessment Team members are required to use only the latest revisions of the NAB-MALTA documents **and** relevant normative documents. NAB-MALTA policies and guidelines are available on-line at <http://www.nabmalta.org.mt>. However, it shall be the responsibility of the Assessment Team members to ascertain with the NAB-MALTA Officers that they have the latest versions of all documents including any reporting templates.
- 1.3. Assessment Team Members shall not use or make reference to any documents issued by other organisations including other accreditation bodies unless there is a formal and written approval by the Director.
- 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. Nevertheless, they are encouraged to share such practices in private with the NAB-MALTA Officer/s accompanying them.
- 1.5. Assessment Team members shall ensure that all relevant mandatory normative documents as defined in **ATG18** are complied with.
- 1.6. Assessment Team members shall pay due attention to time management of assessments with respect to the assessment plan times as specified on **NABG05** and as instructed by the Team


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Leader. They shall ensure that time-wasting techniques are not employed by the CAB and that they focus at all times on the work in hand.

- 1.7. Assessment Team members shall keep in mind that the purpose of the assessment is to assess the competence of the CAB to carry out a specific range of activities and not an opportunity to demonstrate the knowledge of the Assessment Team to the CAB.
- 1.8. Assessment Team members shall behave in a professional manner at all times. Any arguments between members of the Assessment Team shall be held in private and in the presence of the Team Leader.
- 1.9. Assessment Team members shall 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 Officer shall be held in private.
- 1.10. In the event of a dispute or a difficult CAB, Assessment Team members shall endeavour to resolve the issue in a calm courteous manner during the assessment and to always provide factual evidence to support their position. **Should satisfactory resolution not be achieved Assessment Team members shall document their findings. The Team Leader shall then decide on the next actions** which may include contacting the Director or explaining the NAB-MALTA's appeal mechanisms to the CAB, where necessary.
- 1.11. Assessment Team members shall communicate with the staff of the CAB 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.
- 1.12. Assessment Team members may give general non-prescriptive advice to the CAB but shall ensure that this does not cross the line into consultancy.
- 1.13. Assessment Team members shall never give personal business cards to the CAB.
- 1.14. Assessment Team members shall ensure that mobile phones are used very discreetly during assessments. Checking of messages or use of phones during active interviewing or during discussions is prohibited. Messages may be checked during breaks and after the completion of the closing meeting.

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- 1.15 Assessment Team members shall ensure that all interaction shall be with the NAB-MALTA. **Direct contact with the CAB shall not take place without prior written approval from the NAB-MALTA.**
- 1.16 Assessment Team members shall ensure that **document and record** review reports reach the NAB-MALTA **by not later than fifteen working days** from receipt of the documentation of the CAB from NAB-MALTA.
- 1.17 Assessment Team members shall ensure that their contribution to the **Assessment Summary Report (NABG08)** reaches the NAB-MALTA **by not later than five working days** from the date of the closing meeting **of the assessment**.
- 1.18 Assessment Team members shall ensure that responses to findings are properly reviewed and that the objective evidence submitted by the CAB is sufficient. They shall return their comments on the **Status of Findings** sheet (**NABG14**) to the NAB-MALTA by **not later than ten working days** from receipt.
- 1.19 Where additional evidence is required for the satisfactory closure of a finding, Assessment Team members shall review the additional evidence provided **within 5 working days** from the receipt of such evidence.
- 1.20 Assessment Team members shall provide feedback to the NAB-MALTA by submitting an **Assessors Feedback Form (NABG25)** following an assessment visit **by not later than five working days** from the date of the closing meeting of the assessment, as requested by the NAB-MALTA Officer.
- 1.21 Assessment Team members shall make efforts to improve their competence and the effectiveness and quality of their services.
- 1.22 In line with Clause 7.6 of EN ISO 19011, 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. Assessors shall also maintain and demonstrate their auditing ability through regular participation in audits relevant to their qualification with NAB-MALTA. They shall be able to demonstrate their continual professional development.

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- 1.23 Assessment Team members shall keep sufficient records of all the assessments undertaken to ensure a proper trail of the assessment, especially in cases where the Team Leader might request additional information either for inclusion in the summary report or for clarifications requested either by the Director or the Board. **All data of the 3 assessments previous to a reassessment is to be deleted once an accreditation cycle is closed (i.e. following the date of the decision by the Board on a reassessment).**
- 1.24 Assessment Team members shall submit the information as requested by the Assessor Information Record (**NABQ10**) at the necessary frequency as stipulated by the NAB-MALTA. The NAB-MALTA may request additional objective evidence as proof of competence. Should such information not be forthcoming, the Assessor/Expert will either not be included in the database of assessors or else be removed from the database.
- 1.25 Assessors working with other National Accreditation Bodies shall endeavour to submit proof of their qualification with such other bodies. Such proof shall clearly indicate the areas of competence for which the assessor/expert has been qualified.
- 1.26 Assessment Team Members shall be subject to monitoring by the NAB-MALTA.
- 1.27 Non-compliance with this document may lead to the withdrawal of the assessor/expert from the NAB-MALTA dataset and the ending of the agreement.**
- 1.28 Assessment team members are to immediately inform the NAB-MALTA about any deviations to the timeframes herein.**

2. ADDITIONAL ASPECTS FOR TECHNICAL ASSESSORS/EXPERTS

- 2.1. Technical Assessors and Experts shall review both the scope of accreditation and a sample of the certificates and reports issued by the CAB.
- 2.2. Technical Assessors and Experts shall provide all the necessary details for compiling of the summary report and shall clearly identify the **conformity assessment activities** that have been witnessed.
- 2.3.** For laboratories, the Technical Assessors and Experts shall clearly indicate the performance of in proficiency testing schemes or interlaboratory comparisons.

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3. REPORTING OF FINDINGS

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

CB 01 0121

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 2021.

3.2 The final findings list shall be co-ordinated by the Team Leader. The Team Leader, having an overview of the reporting from each assessor/expert, may decide to group findings.

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/>

4.2 Assessment Team members are to liaise with the NAB-MALTA Officers 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
ATG30 CL 1.16	Document and record review reports	15 working days from receipt of the documentation of the applicant/accredited body from NAB-MALTA.
ATG30 CL 1.17	Contribution to Assessment Summary Report	5 working days from the date of closing meeting.
ATG30 CL 1.18	Review Evidence Submitted by CAB	10 working days from receipt of the documentation of the applicant/accredited body from NAB-MALTA.
ATG30 CL 1.19	Review Additional Evidence Submitted by CAB	5 working days from receipt of the documentation of the applicant/accredited body from NAB-MALTA.
ATG30 CL 1.20	Assessor Feedback	5 working days from the date of closing meeting.

END