



**INTERNATIONAL ACCREDITATION SERVICE®**

**IAF MD 20: 2016 - Generic Competence for AB Assessors: Application to ISO/IEC 17011**

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### Introduction



- This MD shall be read in conjunction with ISO/IEC 17011.
- All clauses of ISO/IEC 17011 continue to apply.
- This MD provides supporting criteria to ISO/IEC 17011.
- The objective is to ensure consistent and harmonized application of ISO/IEC 17011 for defining the generic competence for assessors.

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### Scope



- This MD defines the generic competencies for assessors.
- Annex 1 contains the competency profile for Accreditation Body assessors.
- Annex 2 contains additional information to assist in understanding the competency profile.
- The competencies and associated knowledge and skills should be considered by the AB when evaluating assessors or the assessment team.
- AB does not have to have documented evidence of its assessors (or assessment team) meeting every individual competence or all of the knowledge listed.
- If the competencies are considered by the AB, then the AB may consolidate the evidence of conformance (e.g. summary results of an onsite evaluation).
- Most common demonstration methods - interviews, personal interaction and/or during onsite evaluations

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## Terms & Definitions



- **Assessor:** person assigned by an accreditation body to perform, alone or as part of an assessment team, an assessment of a conformity assessment body. The use of the term "assessor" in this document does not require that all of the activities must be conducted by each individual assessor; however, the same competence would be required for the specific task whether it is being performed by the assessor or other AB personnel.
- **Accreditation Body Assessor** is an individual who performs an assessment of a Conformity Assessment Body (CAB) for an Accreditation Body (AB) against an accreditation standard or normative document by reviewing documents and conducting onsite visits and/or observing Conformity Assessment Body (CAB) activities.
- **Competence:** ability to apply knowledge and skills to achieve the intended results.
- **Job Task Analysis:** a documented process for analyzing the tasks performed by individuals in an occupation, as well as the knowledge, skills and abilities (KSAs) required to perform those tasks. Abilities can include physical capabilities such as vision, hearing and mobility

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## AB ASSESSOR COMPETENCE



- The AB shall have assessors or other personnel (e.g. lead assessors, technical officers, programme managers) with competence to perform tasks assigned by the AB.
- The level of competence required should be held within the team as a whole and not by each individual member of the team.
- The AB shall establish and document procedures for selecting, training and formally approving
- The AB shall maintain evaluation records to demonstrate that any assessor competencies identified by the AB have been achieved.
- Annex 2 (informative) contains personal behaviors to be considered during the selection and training process as well as when monitoring the assessor activity.
- Desired personal behaviors that are important for personnel involved in accreditation activities are described in Section D, Foundational Competencies of Annex 2
- When evaluating/monitoring the competence of assessors (or the assessment team) the competency profile in Annex 1, Section B, Generic Assessment Competencies (1-5) shall be considered.

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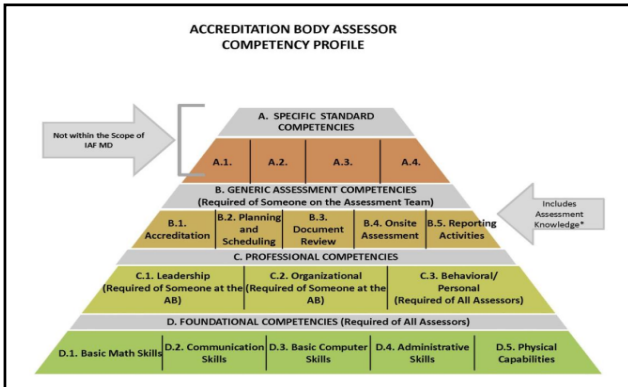
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<b>B. GENERIC ASSESSMENT COMPETENCIES (REQUIRED OF SOMEONE ON THE ASSESSMENT TEAM)</b>	
<b>B.1. Accreditation</b>	<p><b>Knowledge, skills and competencies associated with accreditation</b></p> <ul style="list-style-type: none"> <li>Different types of onsite assessments</li> <li>Different types of organizational structures for CABs</li> <li>Legal entity structures and the types of documents that confirm the legal status of CABs</li> <li>Different management structures</li> <li>Accreditation standards, guidance and mandatory documents / Requirements of accreditation</li> <li>Typical management systems</li> <li>Technical terms associated with scopes assessor is assessing</li> <li>Common understanding of accreditation terms and definitions (Non-conformity (NC), Opportunity for Improvement (OFI), key activity, etc.)</li> </ul>
<b>B.2. Planning and Scheduling</b>	<p><b>Knowledge, skills and competencies associated with planning and scheduling an assessment</b></p> <ul style="list-style-type: none"> <li>Typical assessment team compositions</li> <li>Typical resources required during an assessment</li> <li>Prioritizing assessments by risk areas</li> <li>Creating sampling plans</li> <li>Preparing assessment plans</li> <li>Providing input into the selection of the assessment team</li> <li>Assigning roles and responsibilities for the assessment team</li> </ul>
<b>B.3. Document Review</b>	<p><b>Knowledge, skills and competencies associated with conducting a document review</b></p> <ul style="list-style-type: none"> <li>Reviewing applications for accreditation and identifying appropriate documentation of legal status</li> <li>Determining the documents that will be needed for the assessment</li> <li>Checking the documents for completeness</li> <li>Determining if the documents meet the requirements</li> <li>Establishing investigative lines for the onsite assessment</li> <li>Communicating to the CAB the results of the document review</li> <li>Confirming the CAB's readiness for an onsite assessment</li> <li>Determining if sufficient evidence exists to document conformity</li> </ul>

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<b>B.4. Onsite Assessment</b>	<p><b>Knowledge, skills and competencies associated with assessment (including onsite assessment)</b></p> <ul style="list-style-type: none"> <li>Achieving consensus of the team on findings</li> <li>Adapting assessment plans based on circumstances</li> <li>Analyzing assessment findings (including identifying and reviewing findings)</li> <li>Assessing management systems and controls</li> <li>Assessing technical requirements</li> <li>Assessing the CAB against accreditation requirements</li> <li>Communicating preliminary findings to CAB</li> <li>Competence in coaching the trainee assessor</li> <li>Conducting closing meetings</li> <li>Conducting interviews</li> <li>Conducting opening meetings</li> <li>Conducting pre-assessment meetings</li> <li>Conducting witness assessments</li> <li>Confirming assessment plans</li> <li>Confirming completion of the assessment plan</li> <li>Confirming the methods of reporting</li> <li>Confirming the objectives of the assessment were met</li> <li>Confirming the scope of accreditation</li> <li>Create records to document objective evidence gathered</li> <li>Creating working papers, notes and completing checklists</li> <li>Describing the final assessment conclusions</li> <li>Determining if requirements have been met</li> <li>Establishing the official channels of communication</li> <li>Explaining that the assessment is a sampling process (not everything was reviewed)</li> <li>Explaining the next steps (appeal procedures, post-assessment processes, final decision schedule/timeline, potential follow-up assessments, etc.)</li> <li>Extending sampling in case of NC</li> <li>Grading findings (if required)</li> </ul>
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	<ul style="list-style-type: none"> <li>How to confirm confidentiality of the process</li> <li>How to determine if an assessment should be aborted</li> <li>How to thank the participants</li> <li>Identifying criteria that will be used for the assessment</li> <li>Identifying technical areas and when additional expertise is needed</li> <li>Judging the effectiveness of corrective actions (when required)</li> <li>Managing and solving conflicts in the team</li> <li>Observing CAB processes</li> <li>Obtaining written acknowledgement of the NC</li> <li>Prepare reports</li> <li>Presenting an explanation of the assessment methodology</li> <li>Presenting and reviewing findings (NCs and/or OFIs)</li> <li>Presenting the assessment team/CAB personnel</li> <li>Reviewing and finalizing the NCs</li> <li>Reviewing team member roles and responsibilities for closing meeting</li> <li>Reviewing the CAB files and records</li> <li>Sampling CAB processes and records (protocols and AB criteria)</li> <li>Techniques for providing positive feedback</li> <li>When to ask for escorts (safety issues, etc.)</li> <li>Writing CAB NCs and OFIs</li> </ul>
<b>B.5. Reporting Activities</b>	<p><b>Knowledge, skills and competencies associated with reporting activities</b></p> <ul style="list-style-type: none"> <li>Evaluating assessment team members</li> <li>Demonstrating knowledge of personnel evaluation methods</li> <li>Producing a clear and concise report that reflects the assessment and the findings</li> <li>Creating a report on the performance (and conformance) of the CAB with reference to the accreditation criteria</li> <li>Reporting conclusions and recommendations of the assessment that reflect the overall assessment and report content</li> </ul>

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	Self control/self discipline – does not lose temper and remains calm during assessments Tolerant – displays fairness and objectivity towards others whose opinions and practices differ from one's own Open minded - ability to evaluate alternative solutions and a willingness to consider alternative ideas or points of view to achieve the same results Willingness to learn Works well with other people Participates in professional skill development (professional education, assessor harmonization meetings, and the development of AB policies and procedures) Resists undue influence from others (demonstrates one is not intimidated by someone to make an incorrect or inaccurate decision) Knowledge of typical human behavior characteristics (ability to read the audience) Adaptability – ability to adapt assessment plans based on circumstances
<b>D. FOUNDATIONAL COMPETENCIES (FOR ALL ASSESSORS)</b>	
<b>D.1. Basic Math Skills</b>	Perform simple math operations relevant to calculation of audit days/time and assessment days/time, multi-site sampling and creating sampling plans Collect information to solve a problem Compare numbers Basic understanding of finances Make rough estimates Perform simple math operations of addition, subtraction, multiplication and division Ability to use a calculator
<b>D.2. Communication Skills</b>	Written communication skills (concise writing skills, comprehensive writing and reporting skills) Verbal communication skills (communicating effectively regardless of language barriers, ability to explain information)

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	Observation techniques Questioning techniques Listening techniques Interpersonal communication skills Reading comprehension skills Ability to analyze and synthesize information
<b>D.3. Basic Computer Skills</b>	Basic computer literacy Keyboarding skills
<b>D.4. Administrative Skills</b>	Note-taking Organized Detail oriented/attention to detail Time management Timeliness/prompt/punctual
<b>D.5. Physical Capabilities*</b>	Feel size, shape and temperature or texture of objects with hands (if applicable) Write or type at a fast speed Talk or communicate in some manner Hear speech Personal hygiene/appropriate dress/dresses appropriately for the assessment (consistent with the staff of the CAB) Physical stamina Can work inside and outside Can work in confined spaces (if applicable)

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Thank you!

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