

Validation Report Job Task Analysis (JTA)

Accreditation Body Assessor

Submitted to:
The International Accreditation
Forum



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Executive Summary

The International Accreditation Forum (IAF) is the world association of Conformity Assessment Accreditation Bodies and other bodies interested in conformity assessment in the fields of management systems, products, services, personnel and other similar programs of conformity assessment. In 2009, the IAF Assessor Competency Working Group decided to undertake a Job/Task Analysis (JTA) to identify the tasks, knowledge, skills and attributes (KSAs) required of Accreditation Body (AB) Assessors. This activity was conducted based on the belief that a JTA was the first step in developing standardized AB Assessors. And standardized, consistent AB Assessors is an important component to successful Multi-Lateral Agreements (MLAs) in various areas including Certification of Persons.

Professional Testing Inc., (an Orlando, Florida, USA based assessment development and maintenance company) voluntarily conducted the Job Task Analyses (JTA) study in 2010 followed by a survey validation study of the results of the JTA conducted in 2010 through 2011. Results were presented to IAF at the fall 2010 meeting and at the spring 2011 meeting of the IAF where the results were finalized.

This report reflects the results of the JTA and subsequent validation study.

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Introduction

During an annual meeting of the International Accreditation Forum held in 2008, it was determined that a Job/Task Analysis (JTA) study should be conducted to identify the tasks and associated knowledge, skills and attributes (KSAs) for Accreditation Body (AB) Assessors. Presentations were made to various IAF stakeholder groups at the meetings held in Mumbai, India and Vancouver, BC, Canada.

This report describes the JTA process, the survey validation study, and the results of the JTA study for AB Assessors.

Background

The IAF Assessor Competency Working Group (WG) was tasked with developing the competence criteria for AB Assessors. It was decided by the WG to conduct a full JTA study.

Job/Task analysis (JTA) (also known as job analysis, task analysis, practice analysis or role delineation) is a process or procedure for analyzing the tasks performed by individuals in an occupation, as well as the knowledge, skills, and abilities (KSAs) required to perform those tasks. Specifically, JTAs can be defined as “any systematic procedure for collecting and analyzing job-related information to meet a particular purpose” (Raymond, 2001, p. 372).

JTAs can be used for multiple purposes including, but not limited to, job description, job classification, job evaluation, performance appraisal, training, worker mobility, workforce planning, efficiency, safety, and legal and quasi-legal requirements (Brannick, Levine, & Morgeson, 2007). JTAs are traditionally used by secondary and post-secondary educators, business or industry trainers, government or military trainers, and test developers. The specific type of job information collected for a JTA is determined by the purpose for which the information will be used. The IAF identified several potential uses for the results of the JTA including:



- Developing a list of KSAs that could be shared with IAF member ABs for use in evaluating Assessors.
- Developing learning objectives and training materials to educate AB assessors.
- Providing an example to CABs as to how a scheme should be developed by first identifying the important components to be measured.

Based on the identified potential uses, it was determined that the best method for conducting the JTA would be a method which would identify domains, tasks, and associated KSAs and would serve as a foundation for the development of learning objectives. This would facilitate the potential development of training curricula and programs for AB Assessors. The method selected was a modified version of the DACUM method. DACUM, an acronym for **D**eveloping **A** **C**urricul**U**M, is a JTA process that analyzes a job role or a profession systematically. DACUM has proven to be a very effective method of quickly determining, at relatively low cost, the competencies or tasks that must be performed by persons employed in a given job or occupational area. The profile chart that results from the DACUM analysis is a detailed and graphic portrayal of the skills or competencies involved in the occupation being studied. The DACUM analysis can be used as a basis for various aspects of an education/training or certification program including curriculum development, student learning, training needs assessments, worker performance evaluations, and competency test development.

DACUM operates on the following three premises: (1) expert workers are better able to describe/define their job than anyone else, (2) any job can be effectively and sufficiently described in terms of the tasks that successful workers in that occupation perform, and (3) all tasks have direct implications for the knowledge and attitudes that workers must have in order to perform the tasks correctly.

Should the results of the JTA ever be used to develop certification examinations to evaluate the competence of AB Assessors, the method used (DACUM) and the resulting content will be sufficient for scrutiny against best practices and industry standards. Should a certification examination ever be developed, the use of the DACUM Process to define the content domain

will serve to establish the content validity of any certification examinations developed for AB Assessors. Content validity refers to the extent to which the content covered by an examination overlaps with the important components (KSAs) of a job.

The IAF determined that the following process would be used to conduct the AB Assessor JTA:

- A profile of the types of Subject Matter Experts who should be selected to serve on the JTA committee would be developed.
- ABs would be asked to submit recommendations for SMEs to serve.
- The IAF Assessor Working Group (WG) would select SMEs based on the profile developed.
- A location, date and time for the DACUM JTA meeting would be developed.
- The DACUM JTA meeting would be conducted facilitated by a measurement expert from Professional Testing Inc.
- The results of the DACUM JTA meeting would be shared with the IAF.
- The results of the DACUM Meeting would then be validated using an online validation survey.
- The results of the survey would be tabulated and reported back to the IAF.
- The results of the JTA and survey would be used to develop learning objectives.
- All materials, the DACUM JTA, the Survey Results, the Final Report, and the Learning Objectives would be shared with IAF, ABs and the industry for use in developing curriculum and training programs for Assessors.

JTA Study Methodology

The JTA study methodology followed industry standard practices for conducting a JTA. This included the following activities:

- Selecting the JTA participants
- Conducting the JTA meeting
- Conducting a JTA validation survey
- Reviewing the results of the study

Each of these activities is further described in the following sections.

JTA SME Participants

A well-defined JTA should include the participation of a representative group of subject-matter experts (SMEs) who reflect the diversity within the job. Diversity refers to regional or job context factors and to SME factors such as experience, gender and race/ethnicity.

Demonstration of content validity is accomplished through the judgments of SMEs. The process is enhanced, when feasible, by the inclusion of large numbers of SMEs who represent the diversity of the relevant areas of expertise.

A carefully chosen group of about 8-12 experts from the occupational area form the DACUM committee. Committee members are recruited directly from business, industry, or the professions. The committee works under the guidance of a facilitator for three days to develop the DACUM chart. Modified small-group brainstorming techniques are used to obtain the collective expertise and consensus of the committee.

The IAF identified the following criteria for selection of the SMEs for the AB Assessor JTA committee:

- Assessors with the following characteristics
 - Experience with 17020
 - Experience with 17021
 - Experience with 17024
 - Experience with 15189
 - Experience with 17065 – Guide 65
 - Experience with 14065
 - Experience with 17025
 - Lead Assessor
 - Non-Lead Assessor
 - 0-5 Years of Experience
 - 5-10 Years of Experience

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- More than 10 Years of Experience
- Trainer of Assessors
- Representatives from ABs with the following characteristics
 - Manages accreditation process
 - Makes accreditation decision
- Representatives of a Conformity Assessment Body (CAB) with the following characteristics
 - Interfaces with ABs across many standards
 - Interfaces with ABs across one standard
 - Manager of the Assessment Process
- Representatives from IAF/ILAC End User Group (Industry or Regulatory)
- Regional Representation ensuring SMEs from
 - Asia/Pacific
 - Europe
 - Americas
 - Africa
 - Developing Regions
 - Developed Regions
- Personal qualities including
 - Under age 40
 - Over age 40
 - Female
 - Male
- Educational representation including someone with
 - Less than a university degree
 - More than an university degree

To facilitate the process of selecting a representative committee a matrix was developed.

Group		Region						Personal Qualities				University Education	
		Asia/Pacific	Europe	Americas	Africa	Developing	Developed	Under 40	Older than 40	Male	Female	Less than	More than
Assessors (7 total)													
	Experience with 17020												
	Experience with 17021												
	Experience with 17024												



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Group		Region					Personal Qualities				University Education		
		Asia/Pacific	Europe	Americas	Africa	Developing	Developed	Under 40	Older than 40	Male	Female	Less than	More than
	Experience with 15189												
	Experience with 17065 – Guide 65												
	Experience with 14065												
	Experience with 17025												
	Lead Assessor												
	Non-Lead Assessor												
	0-5 Years of Experience												
	5-10 Years of Experience												
	More than 10 Years of Experience												
	Trainer of Assessors												
AB Representatives (5 total)													
	Manages accreditation process												
	Makes accreditation decision												
CAB Representatives (5 total)													
	Interfaces with ABs across many standards												
	Interfaces with ABs across one standard												
	Manager of the Assessment Process												
Others (3 total)													
	From IAF/ILAC End User Group (Industry or Regulatory)												

The goal was to select individuals who met multiple criteria such that a committee of 8 to 12 SMEs would complete the matrix. A nominations letter was developed and sent to all AB members of IAF. A copy of the nominations letter appears in Appendix A.

Once seated, the DACUM committee would be carefully guided through each of the following steps by the facilitator:

- Orientation



- Review of job or occupational area
- Identification of duties (general areas of job responsibility)
- Identification of specific tasks performed in each of the duties
- Review and refinement of task statements
- Sequencing of task statements
- Identification of steps associated with each task
- Identification of worker traits and attitudes; general skills and knowledge; and tools, equipment, supplies, and materials needed
- Other options, as desired

The DACUM Philosophy:

- Expert workers can describe and define their jobs more accurately than anyone else
- One of the most effective ways to define a job is to describe the tasks that expert workers perform
- All jobs can be effectively and sufficiently described in the terms of the tasks that successful workers perform
- All tasks, in order to be performed correctly, demand certain knowledge, skills, tools, and worker behaviors (attitudes)

JTA Meeting

The DACUM JTA meeting began with an introduction and orientation to the DACUM process. The JTA committee was provided with a description of the DACUM method and why it was being utilized in this instance. The JTA committee was also provided with the definition of a duty and a task statement. The facilitator then illustrated the difference between the two with examples, specifically a homeowner and a homemaker. The panel was offered time to practice creating sample duty and task statements. Once the panel had a grasp on how to create duty and task statements, presentations shifted to a discussion on their own

specific job titles. This information was compiled into a comprehensive list for the entire group and displayed on the wall. The information was left on the wall to remind the participants what it is that they do and to verify that each job task was captured somewhere in the task list for AB Assessors.

The next step in the DACUM process was to identify duty areas. The participants identified duty (domain) areas and the facilitators wrote the duty areas onto large index cards and placed the duty areas on the wall for the whole group to see. Once the duty areas were identified, the panel identified the tasks that belonged to each duty area. After all the tasks were identified, they were sequentially ordered and entered onto an Excel spreadsheet. At the end of day one, the facilitator reviewed what the panel had identified as their job titles.

On the second and third days, the facilitator projected an Excel spreadsheet with the duty areas and corresponding task statements. Looking at the task list, the facilitator asked the participants to identify the knowledge, skills and abilities, and tools, equipment, and resources required to perform each task. This process continued until all tasks were completed with steps, KSAs and tools/equipment/resources.

JTA Validation Survey

Upon completion of the DACUM focus group meeting, a survey was developed to validate the tasks identified during the DACUM focus group meeting. The IAF Assessor Competency WG was consulted throughout the survey development stages. The survey was reviewed prior to sending it out for response to:

- Review the drafted task statements
- Review the scales used to rate the task statements
- Review the published job analysis survey
- Identify and select survey participants
- Send survey notices

It was determined that the survey link would be sent to all ABs and they would be asked to pass the survey on to their assessors. A copy of the final survey appears in Appendix C.

Development of Demographic Questions for the Online Validation Survey

An important step in developing the online validation survey is to identify key demographic questions to ensure the representativeness of survey respondents and help evaluate possible threats to the validity of survey responses. Each participant was to respond to the demographic questions listed below:

- What is the predominant country in which you work or in which the Accreditation Body you work for is located?
- What Accreditation Body do you predominantly work for?
- What type of programs do you participate in? Please select all that apply
- What is the number of years of experience you have in the predominate program?
- How many assessments have you conducted in the predominant program?
- What role do you perform regarding Accreditation Body Assessments? (Check all that apply)
- What is your gender?
- What is your age?

A copy of the final survey appears in Appendix C.

Development of Task Rating Scales for the Online Validation Survey

Following identification of the demographic questions, the rating scales which survey participants used to rate the tasks performed by AB Assessors were developed. There were 142 task statements identified during the JTA meeting. There are multiple models of rating scales used in job analyses; however, for the purposes of this study, three survey scales were used: task frequency, importance and who performs the task. Task frequency was chosen because as identified in Newman, Slaughter, & Taranath, 1999, those tasks that are performed more often should have a higher emphasis placed on them. Task importance was chosen because it is the most common scale used when evaluating tasks (Newman et al., 1999). The frequency and importance rating scales are illustrated below:

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Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?
100% of the time	Very important
99% to 75% of the time	Important
74% to 50% of the time	Seldom Important
49% to 25% of the time	Not Important
Never	

An overall rating scale was calculated using the formula illustrated below:

$$\text{Overall rating scale} = 2 * \text{Importance} + \text{Frequency}$$

The overall rating scale was used to identify any tasks that may need to be removed due to low ratings.

Additionally, a third scale was used to identify who performs the identified task. The scale is illustrated below:

Who performs this task?

Lead Assessor only

Both Assessor and Lead Assessor

Others

This rating scale was added due to the belief that some tasks may have been added that are common to some Assessors but not others depending upon the size of the AB. For example, in smaller ABs, the Assessor may do everything identified but in larger ABs, the AB staff may do some of the tasks.

Administration of the Online Validation Survey

Professional Testing used an internet survey software system to develop the survey. The number of respondents sent the survey link is not known. Survey links were sent to all IAF-member ABs and were asked to pass the survey link on to their Assessors. Several of the ABs requested permission to translate the survey into other languages and were granted permission.

In a few known instances where the respondents surveyed did not have access to internet capable computers via their home, employment, or public library paper copies of the survey were distributed to respondents with results hand entered into the software. Any computer with a web browser and a web connection could be used to access the survey.

Survey Closure and Tabulation

The survey was launched (opened for responses) in July of 2010 and closed in October of 2012 to allow time to tabulate results for presentation to the IAF at the annual meeting held in Shanghai, China. Approximately 900 responses were received to the survey. The results were tabulated and presented to IAF WG on Assessor Competency and to the Technical Committee.

JTA Validation Survey Re-Launch

During the presentation of the survey results to the Technical Committee, concern was expressed that sufficient time was not allowed for response to the validation survey. Stakeholders commented that the summer months are vacation months for some cultures and so the survey was not responded to. Additionally, there was concern expressed that the results did not reflect a true picture and a request was made to re-launch the survey for a second round in an attempt to gain additional responses. To increase the responses and, in particular, to gain additional responses from the European Region, the survey was re-launched in November of 2010 and closed in February of 2011. ABs were asked again to send out the survey for additional responses.

The survey was closed in February of 2011 in preparation for presentation to the IAF at their Spring meeting.

Post-Survey Review Meeting

Following completion of the second survey validation study, members of the IAF Assessor WG met in Epsom, England to review the results from the study. Meeting participants reviewed the demographic information of survey respondents to verify that an appropriate audience had responded to the survey. The IAF Assessor WG agreed that respondents well represented all major constituents identified as stakeholders. Additionally, the IAF Assessor WG reviewed all tasks flagged for having low frequency and importance or borderline low frequency or importance ratings to determine if any of these tasks should be dropped from the content outline. Finally, the IAF Assessor WG reviewed the list of “missing” tasks that were suggested by survey respondents to determine if content was missed during the JTA study that should be added to the content outline.

Results

Results of the JTA Meeting

A DACUM JTA meeting for AB Assessors was held January 26-28, 2010 in Mexico City, Mexico. Hosted by the Entidad Mexicana De Acreditacion (ema) the meeting was facilitated by Dr. Cynthia D. Woodley, a member of the staff of Professional Testing Inc. A group of nineteen (19) SMES were carefully selected and met to perform a DACUM JTA, identify the duties, tasks, steps and associated knowledge skills and attributes (KSAs), and to develop a content outline for AB Assessors.

Participants in the JTA Meeting were:

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Moslem Barrak Certification Senior Manager TUNAC Tunisia	Kihong Kim Deputy General Manager Korea Testing & Research Institute (KTR) Seoul, Korea	Roy Swift Director Personnel Certification ANSI Washington DC, USA
Pierre Boileau, MSc. Manager, Climate Change Canadian Standards Association Ottawa, Ontario, Canada	Christinah Leballo SANAS Senior Manager: Testing Certification and BBBEE South African National Accreditation System (SANAS) Pretoria, South Africa	Takashi Tanaka Program Manager JAB Tokyo, Japan
Mike Byron Global Technical Manager SGS Cheshire, United Kingdom	Johanna Acuna Loria Laboratory Accreditation Coordinator Ente Costarricense de Accreditation (ECA) San Jose, Costa Rica	Peter Ungor CEO A2LA Maryland, USA
Fabian Hernandez Colotla Enginer Mexican Accreditation Entity (EMA) Mexico City, Mexico	Veronica Garcia Malo Senior Manager, Technical and Foreign Affairs Mexico City, Mexico	Ma Ke Xian Director of International Cooperation CNAS China Beijing, China
Henk A. Deckers Assessor Department RvA Utrecht, Netherlands	Enrique Marco Chairman of the PRU-SC European Organization for Quality (EOQ) Madrid, Spain	Natalija Jovicic Zaric Deputy Director Accreditation Board of Serbia, ATS Belgrade, Republic of Serbia
Whilhelmina M. Erna Laboratory Assessor Philippine Accreditation Office (PAO) Makati City, Philippines	Bertha C. Munguia Assessor A2LA Mexico City, Mexico	Fu Zhigao Assessor Manager CNAS Beijing, China
Franco Gattafoni Assessor/Inspector Accredia Italy Milan, Italy	Phil Shaw Accreditation Manager UKAS Middlesex, United Kingdom	Observer David Cox President Professional Testing Inc. Orlando, Florida, US

The job description for an AB Assessor as defined by the DACUM JTA committee as follows:

An **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.

The complete DACUM JTA Chart resulting from the DACUM focus group meeting appears in Appendix B. The DACUM JTA Chart contains the job description for Assessors as well as the following information:

- Content outline
- List of specialized knowledge required by AB Assessors
- List of calculations required by AB Assessors
- List of basic measurement required by AB Assessors
- List of generic communication skills required by AB Assessors
- Specific communication and other skills required by AB Assessors
- Attitudes and Attributes required of AB Assessors
- List of physical conditions required of AB Assessors, and
- A complete DACUM Chart listing the duties (domains), tasks and steps listed with the enablers linked to each of the tasks so the relationship between tasks and underlying enablers is illustrated.

The complete DACUM Chart may be found in Appendix B. Additionally a content outline was developed from the DACUM Chart. The Content Outline appears in Appendix C.

JTA Validation Survey

Response Rate and Demographics of Respondents

It is not known the number of individuals who were asked to respond to the survey. However, over 1200 AB Assessors and related personnel responded to the survey. This is believed to be a phenomenal response rate. Review of the demographics by the IAF Assessor Competency WG found the responses to reflect an appropriate balance of respondents.

The background and demographic portions of the survey help in determining the representativeness of the survey respondents. Of the 1225 participants who responded to the

survey, survey respondents represented over 56 different countries with an additional 52 respondents indicating they represented multiple countries. It was determined that this reflects a representative population as far as geographic regions.. Table 1 below contains the responses to the geographic question.

Table 1 – Countries Represented by Respondents					
Answer Options	Response Percent	Response Count	Answer Options	Response Percent	Response Count
Albania	0.1%	1	Luxembourg	0.5%	6
Argentina	0.3%	4	Malaysia	2.0%	24
Australia	0.6%	7	Mauritias	0.6%	7
Austria	0.1%	1	Mexico	3.6%	44
Belgium	0.2%	2	Netherlands	0.6%	7
Brazil	15.9%	195	New Zealand	0.2%	2
Canada	6.8%	83	Norway	0.2%	2
China	0.6%	7	Pakistan	0.1%	1
Chinese Taipei	0.1%	1	Peru	0.1%	1
Colombia	0.2%	2	Poland	5.7%	70
Costa Rica	0.7%	9	Portugal	1.5%	18
Croatia	1.1%	13	Romania	0.6%	7
Czech Republic	0.7%	8	Singapore	0.2%	3
Egypt	0.2%	2	Slovakia	0.3%	4
Finland	0.5%	6	Slovenia	1.6%	20
France	4.1%	50	South Africa	8.2%	100
Germany	6.1%	75	Sweden	0.3%	4
Guatemala	1.0%	12	Switzerland	0.1%	1
Hong Kong	0.1%	1	Taiwan	0.1%	1
India	0.6%	7	Thailand	0.6%	7
Indonesia	0.2%	2	The Philippines	1.1%	14
Isreal	0.4%	5	Tunisian	0.6%	7
Italy	10.1%	124	Turkey	0.1%	1
Jamaica	0.1%	1	United Arab Emirates	0.6%	7
Japan	2.0%	25	United Kingdom	0.2%	3
Jordan	0.9%	11	United States	12.1%	148
Kenya	0.1%	1	Multiple Countries	4.2%	52

Table 1 – Countries Represented by Respondents					
Answer Options	Response Percent	Response Count	Answer Options	Response Percent	Response Count
Korea	0.4%	5	Blank or uninterpretable	0.4%	5
Lithuania	0.1%	1	answered question		1225

The top countries responding to the survey were as follows:

- Brazil - 15.9% (195)
- United States – 12.1% (148)
- Italy – 10.1% (124)
- South Africa – 8.2% (100)
- Canada – 6.8% (83)
- Germany- 6.1% (75)
- Poland – 5.7% (70)
- France – 4.1% (50)
- Mexico – 3.6% (44)
- Japan – 2.0% (25)

In addition to reviewing the country of origin for the respondents, the data was consolidated for review by regions. It was felt that region level data might provide a more accurate representation than by country. The largest response (34%, n=423) was from the European Region. North and South America were 2nd and 3rd respectively in responses. Table 2 provides information regarding the regions represented by the respondents.

Table 2 – Regions Represented by Respondents		
Region	Response Percent	Response Count
Africa	10%	117

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Table 2 – Regions Represented by Respondents		
Region	Response Percent	Response Count
Asia	11%	131
Europe	34%	423
North America	23%	276
South America	18%	223
Multiple or No Response	4%	55
Total	100%	1225

Respondents were asked what AB they worked for. There were 60 ABs represented plus there was an additional 210 Write-in responses under "Other". Table 3 below shows the ABs represented by the respondents.

Table 3 – ABs represented by Respondents					
Answer Options	Percent	Count	Answer Options	Percent	Count
A2LA: American Association for Laboratory Accreditation	2.9%	31	JIPDEC: Japan Information Processing Development Corporation - Information Management Systems Promotion Center (JIPDEC IMSPC)	0.5%	5
ACCLASS: ANSI-ASQ National Accreditation Board	0.3%	3	KAB: Korea Accreditation Board	0.4%	4
ACCREDIA: Italian Accreditation Body	12.0%	129	KAN: Accreditation Body of Indonesia (Komite Akreditasi Nasional)	0.2%	2
ANAB: American National Standards Institute - American Society for Quality National Accreditation Board LLC	1.2%	13	KAS: Korea Accreditation System	0.0%	0
ANSI: American National Standards Institute	9.0%	96	MAURITAS: Mauritias Accreditation Service	0.6%	6
BoA: Bureau of Accreditation (Vietnam)	0.1%	1	NA: Norwegian Accreditation	0.2%	2



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Table 3 – ABs represented by Respondents					
Answer Options	Percent	Count	Answer Options	Percent	Count
BELAC: Belgian Accreditation Structure	0.0%	0	NABCB: National Accreditation Board for Certification Bodies (India)	0.1%	1
BMWFJ: Federal Ministry for Economy, Family and Youth (Austria)	0.1%	1	NAC: National Accreditation Council of Thailand, The Office of	0.7%	7
CAI: Czech Accreditation Institute, (Ceský Institut pro Akreditaci, o.p.s.)	0.7%	8	OAA: Organismo Argentino de Acreditacion (Argentina)	0.4%	4
CNAS: China National Accreditation Service for Conformity Assessment	0.4%	4	Oficina Guatemalteca de Acreditación	1.0%	11
COFRAC: Comite Francais d'Accreditation (France)	5.0%	54	OLAS: Luxembourg Office of Accreditation	0.8%	9
DA: Directorate of Accreditation (Albania)	0.2%	2	ONAC: Colombia National Accreditation Body	0.2%	2
DAC: Dubai Accreditation Center (United Arab Emirates)	0.8%	9	PAO: Philippine Accreditation Office	1.3%	14
DANAK: Danish Accreditation	0.0%	0	PCA: Polish Centre for Accreditation	6.1%	65
DAkKS: German Accreditation	7.2%	77	PNAC: Pakistan National Accreditation Council	0.1%	1
ECA: Costa Rican Accreditation Entity	1.2%	13	RENAR: Romanian Accreditation Association (Asociatia de Acreditare din Romania)	0.7%	8
EMA: Mexican Accreditation Entity, (Entidad Mexicana de Acreditacion)	4.1%	44	RvA: Dutch Accreditation Council (Raad Voor Accreditatie)	0.8%	9
ENAC: Entidad Nacional de Acreditacion (Spain)	0.0%	0	SA: Slovenska Akreditacija (Slovenia)	2.4%	26
EGAC: Egyptian Accreditation Council	0.2%	2	SAC: Singapore Accreditation Council	0.3%	3
ESYD: Hellenic Accreditation System S.A. (Greece)	0.0%	0	SANAS: South African National Accreditation System	9.5%	102
FINAS: Finnish Accreditation Service	0.6%	6	SAS: State Secretariat for Economic Affairs (SECO), Swiss Accreditation Service	0.1%	1



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Table 3 – ABs represented by Respondents					
Answer Options	Percent	Count	Answer Options	Percent	Count
HKAS: Hong Kong Accreditation Service	0.1%	1	SCC: Standards Council of Canada	0.9%	10
IAS: Iran Accreditation System	0.0%	0	SNAS: Slovak National Accreditation Service (Slovakia)	0.4%	4
INAB: Irish National Accreditation Board	0.0%	0	Standards Malaysia: Department of Standards Malaysia	2.2%	24
INDECOPI: National Institute for the Defense of Competition and Protection of Intellectual Property (Peru)	0.2%	2	SWEDAC: Swedish Board for Accreditation and Conformity Assessment	0.4%	4
INMETRO: National Institute of Metrology, Standardization and Industrial Quality (Brazil)	18.3%	196	TAF: Taiwan Accreditation Foundation (Chinese Taipei)	0.1%	1
INN: Instituto Nacional de Normalizacion (Chile)	0.0%	0	TUNAC: Tunisian Accreditation Council (Conseil National d'Accréditation, CNA)	0.7%	7
IPAC: Portuguese Institute for Accreditation	1.8%	19	TURKAK: Turkish Accreditation Agency	0.1%	1
JAB: Japan Accreditation Board for Conformity Assessment	1.3%	14	UKAS: United Kingdom Accreditation Service	0.3%	3
JAS-ANZ: Joint Accreditation System of Australia and New Zealand	1.0%	11	Other (please specify)		210
JASC: Japan Accreditation System for Product Certification Bodies of JIS Mark	0.0%	0	<i>answered question</i>		1072

Respondents were asked what type of programs they assessed. The majority of the respondents (66%, n=688) worked in Management systems assessment followed by Inspection and Product. Table 4 below illustrates the responses regarding type of program worked in:

Table 4 – Type of Program Respondents Work in		
Answer Options	Response Percent	Response Count



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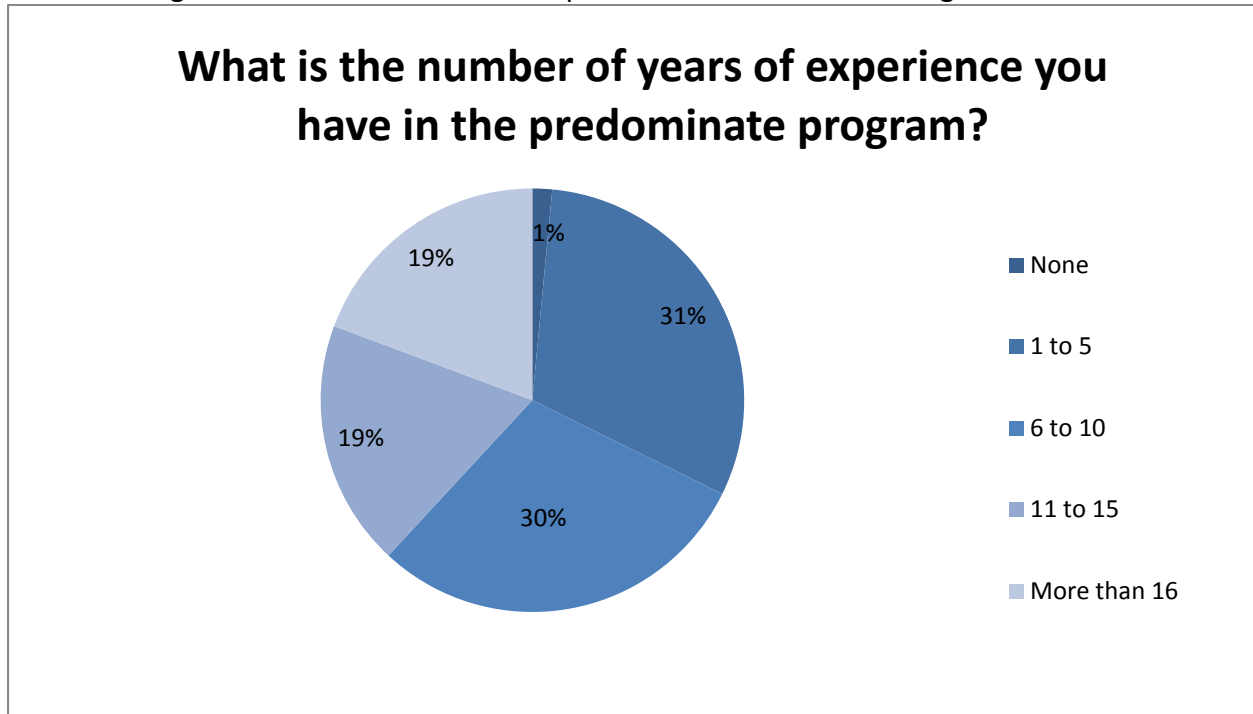
Management systems	66.2%	688
Inspection	39.0%	406
Product	30.8%	320
Personnel	19.5%	203
Greenhouse Gas	4.4%	46
Laboratories	17.5%	182
Other (please specify)		146
<i>answered question</i>		1040
<i>skipped question</i>		220

Respondents were asked to report the number of years of experience they have in their predominate program. The majority of the respondents (60%) had 1 to 5 years of experience or 6 to 10 years of experience. This data shows that most Assessors are fairly new to the field (less than 10 years of experience). Table 5 below contains the results of this demographic question:

Table 5 – Number of years of Experience in the Predominant Program		
Answer Options	Response Percent	Response Count
None	1.5%	18
1 to 5	30.8%	369
6 to 10	29.6%	355
11 to 15	18.8%	226
More than 16	19.3%	231
<i>answered question</i>		1199
<i>skipped question</i>		61

Figure 1 below illustrates the number of years of experience in the predominant program:

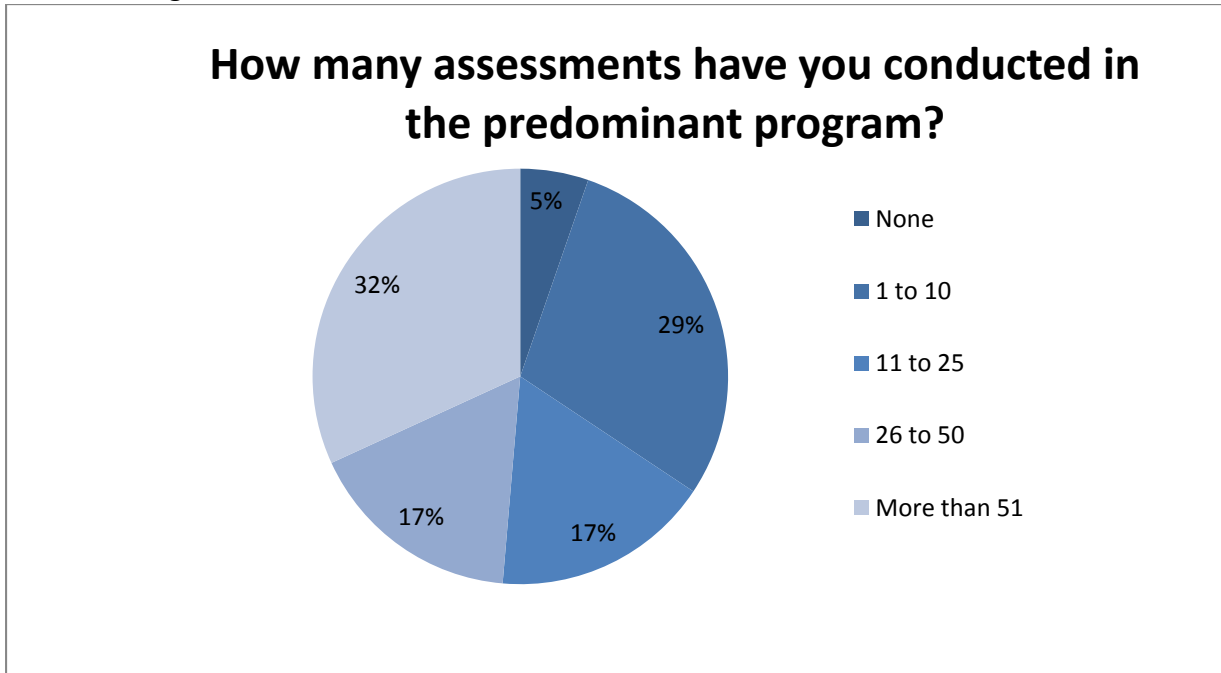
Figure 1 - Number of Years of Experience in Predominant Program



Respondents were asked the number of assessments they had conducted. The majority of respondents (31%) had conducted more than 51 assessments. Table 6 contains the responses and Figure 2 illustrates the responses:

Table 6 – Number of assessments conducted in the predominant program		
Answer Options	Response Percent	Response Count
None	5.3%	63
1 to 10	29.0%	342
11 to 25	17.0%	201
26 to 50	16.8%	198
More than 51	31.8%	375
<i>answered question</i>		1179
<i>skipped question</i>		81

Figure 2 - Number of Assessments Conducted



The respondents were asked what role they served. The majority of the respondents (66%, n=745) were currently a Lead Assessor or Assessor. This is good because they are the target audience for this credential.

Table 7 – Roles Performed		
Answer Options	Response Percent	Response Count
Current Lead Assessor	34.1%	384
Current Assessor	32.1%	361
Assessor Manager	7.3%	82
Accreditation Body Staff	16.7%	188
Contract Assessor (not permanent AB staff)	30.2%	340
Contract Lead Assessor (not permanent AB staff)	19.6%	220
Accreditation Body Client (CAB)	13.2%	148
Scheme Owner	1.8%	20
Other (please specify)		100
<i>answered question</i>		1125
<i>skipped question</i>		135

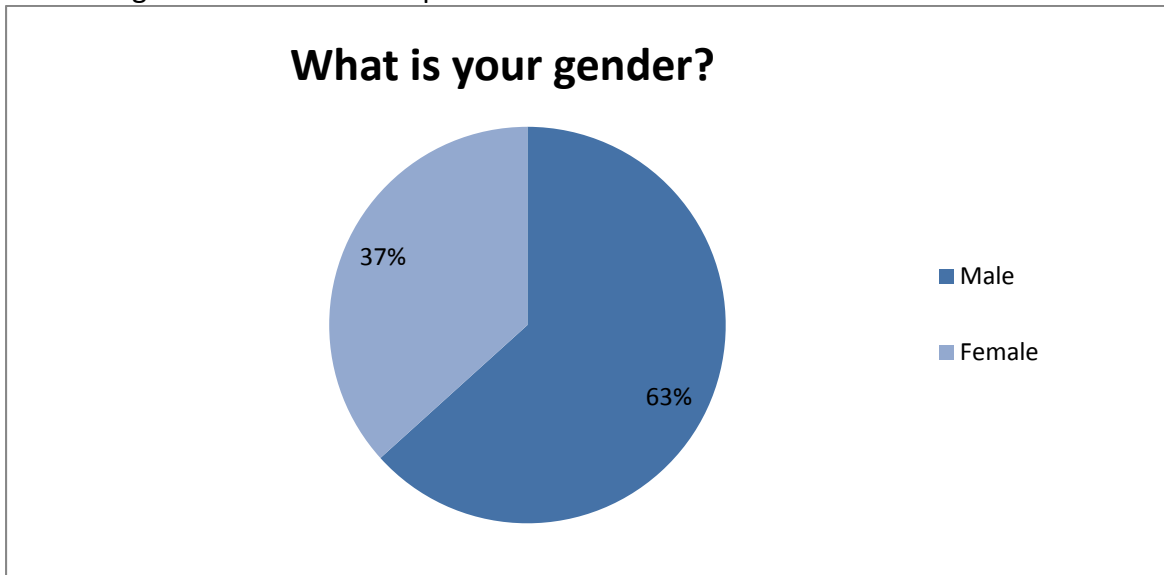
Of the respondents who reported “other”, the write-in responses were:

- Accreditation Committee Member (6)
- Quality Manager (5)
- Current Lead Verifier
- CB Staff (2)
- Technical Advisor (27)
- Scheme Owner (1)
- Case Officer (1)
- Test Laboratory Inspector (2)
- Contract Scope Specialist (1)

The respondents were asked to report their gender. The field of assessment/auditing is clearly a male-dominated field. Over 63% of the respondents are male. Table 8 contains the responses to this question and Figure 3 illustrates the responses:

Table 8 – Gender of Respondents		
Answer Options	Response Percent	Response Count
Male	63.3%	753
Female	36.7%	437
<i>answered question</i>		1190
<i>skipped question</i>		70

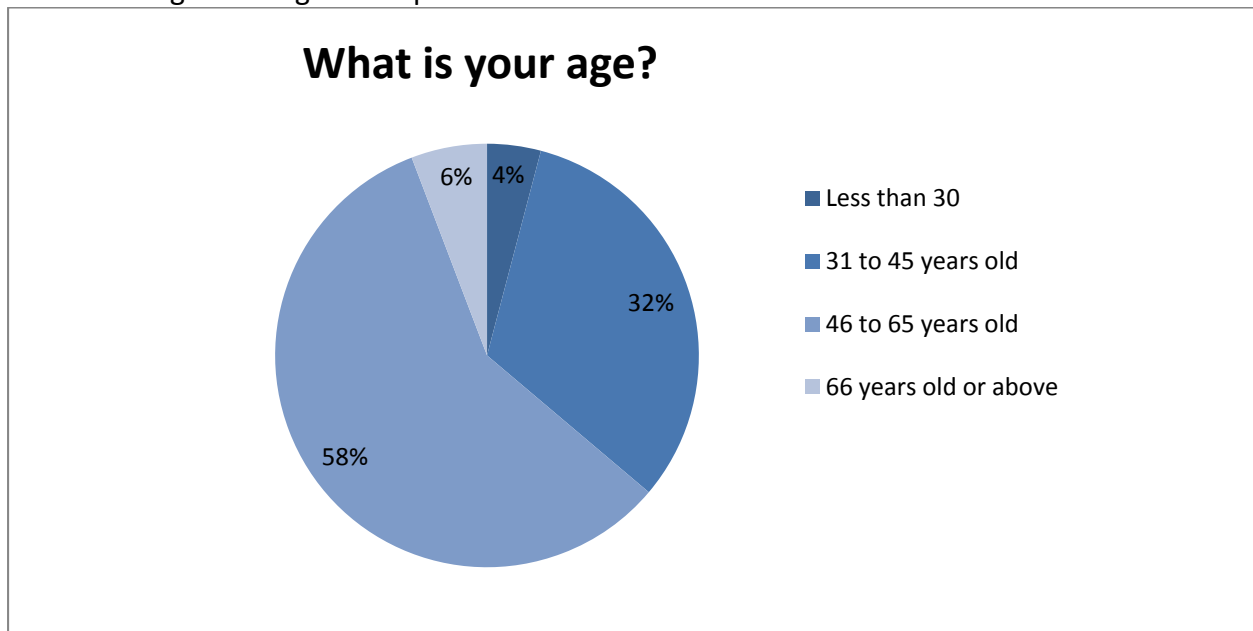
Figure 3 - Gender of Respondents



The respondents were asked what their age is. The majority of respondents are between 46 and 65 years of age. This means that the Assessor/Auditor population is an aging population. Table 9 contains the responses to this question and Figure 4 illustrates the responses:

Table 9 – Age of Respondents		
Answer Options	Response Percent	Response Count
Less than 30	4.1%	49
31 to 45 years old	32.1%	385
46 to 65 years old	58.1%	697
66 years old or above	5.8%	69
<i>answered question</i>		1200
<i>skipped question</i>		60

Figure 4 - Age of Respondents



Cross Tabulations and Statistically Significant Differences in Responses

Review of the task rating responses by demographic data resulted in several interesting correlations. Statistically significant differences in the way the tasks were rated were reported back to the IAF Assessor WG and the IAF Technical Committee.

Tasks responses were reviewed to see if there were any differences in ratings of the tasks based on the region in which the respondent worked. The most statistically significant differences were between respondents in the following regions:

- Europe and Africa
- Africa and North America
- Europe and North American
- North American and South America

The most significant regional differences were between Europe and North America and these were across all domains (99 of the 142 task statements). Following are the tasks with statistically significant regional differences

- Identify other resource needs for the assessment (Importance and Frequency)
- Write OFIs (Frequency)
- Prepare the assessment report (Importance)
- Obtain written acknowledgement of the NCs (Importance)

Tasks response correlations were reviewed for statistically significant **program** differences. This means difference in responses by respondents based on the types of programs that the respondent works in. Overall there were fewer differences based on programs worked in than differences based in regions worked. The main differences seem to be between Certification for Persons and other Programs as illustrated below. Each of the correlations below lists the number of tasks that were responded to significantly differently:

- Lab and Personnel (17 tasks)
- Inspection and Personnel (12 tasks)
- Management systems and Personnel (8 tasks)
- Product and Personnel (8 tasks)

The tasks with statistically significant responses based on the program in which the respondents work are listed below:

- Review CAB documents (Frequency)
- Check CAB documents for completeness (Frequency)
- Ask for further documentation (Frequency and Importance)

- Analyze the CAB processes (Frequency)
- Grade NC (Frequency)
- Review and Finalize the OFIs (Importance)

Responses were reviewed for statistically significant different responses based on years of experience. The most statistically significant differences in responses to frequency and importance of tasks was with the group of respondents who reported no experience. Specifically, the greatest differences were between the responses of those with over 16 years of experience and no experience. The next significant differences were between 1-5 years of experience and more than 16 years of experience. Thus it can be concluded that experience is a factor in perception of the importance and frequency of the tasks.

The responses were reviewed to determine if there were any statistically significant differences in responses based on **Role** Differences. Lead Assessor responses were compared to Assessor responses and all Assessor responses were compared to AB staff responses. Few statistically significant differences were found.

Survey Validation Conclusions

The results of the Survey Validation Study were presented twice to the IAF Assessor WG and the IAF Technical Committee. The following were agreed to by the IAF:

- Overall, it was an excellent response rate for survey research
- The demographic responses indicate that the right group was reached with the survey.
- Overall, there was international agreement that the tasks identified by the JTA Committee are indeed the tasks performed by AB assessors.

Additionally, based on the results of the ratings, it was determined that one task should be deleted from the task list/content outline. The following will be deleted:

- Re-introduce all assessment team and CAB participants

The survey results validates the job analysis study conducted in Mexico City.

Missing Tasks

The survey respondents identified items they felt were missing from the DACUM JTA study. Following are the tasks identified by survey respondents (note: the following list has not been edited for grammar. They are reported as written):

- In "Types of program participation" have not been considered Test and Medical laboratories as default programs.
- Issue of accreditation certificate
- Decision making process
- Communication skills in negotiating negative responses from CB.
- Witnessing activities
- Communicate the overall process AB to the CAB
- Some words about how the AB ensures that the assessors are competent to perform the technical portions of the assessment.
- Dealing with potential conflict.
- About testing and medical laboratories, a lot of questions are specific only for lead assessors (and/or others) and not for technical assessors: then, the importance of this part of assessment is lost.
- Interpreting standards for laboratories, even if guidance documents are available.
- specific questions on technical assessor (and effective assessor and not only an expert) that is a role important for ACCREDIA in laboratory audit
- Getting experience from activities different from acting as AB auditor, such as acting as consultant, teacher, CAB auditor: these activities may enrich the experience and/or create conflicts of interest.
- Review panel
- Supervisor
- Monitoring
- It's important to say that the technical expert role wasn't consider in the survey or it isn't evident. The other hand, when added the assessor is part of AB staff for example "case officer" could have some confusing tasks.
- Feedback to standard owners
- Travel arrangements
- Timeliness of CB communication ie Assignments, contract, etc

- One point that was important to include in this survey was if the team has different process to prepare for the assessment if the team would be witness by the AB of by regional or international cooperation.
- Calibration and Testing Labs
- Remaining flexible to adjust to circumstances that arise during an a document review AND an onsite and adjusting the plans/timelines to them was stated but maybe could be stated a bit more all through the process.
- Other important tasks:
 - Determine the length of the audit (man-day).
 - Apply appropriate techniques of auditing (ex.: auditing for processes)
- Lead assessors mentor and train new assessors and assessors who would like to learn to become a lead assessor.
- Activities relating to the Witness Assessments - Planning, communication with the assessor to be witnessed, behavior during the witness, feedback to the assessor evaluated, communication with the CAB's client, etc
- You have to note expression about auditees.
- Schedule surveillance visits
- collect information on CAB's performance in between assessments as part of surveillance
- Check the use of accreditation symbols
- The job related by a specialist
- Calibration
- Testing and calibration laboratory assessment related tasks.
- It would be interesting to take into account the case officer, who receives the application and review the scope. By the way it would be interesting to take in mind the personnel who take part of accreditation decision.
- Conclusions that are NOT part of the assessment report.
- Recommendations made at different steps of the process.
- The deadlines of handing-in of the reports
- The preservation of competences of the assessors
- How many extra time the assessors spend writing reports.
- Communication between the assessors and the accrediting board--what if the AB disagrees with findings from assessors? What happens if AB sites a non-conformity the assessors did not cite--how are these interaction handled? What if assessors disagree about a finding--how are such disagreements resolved?

- Conduct of witness assessments
- The ones related with Accounting
- Assessor training - qualification
- I believe that should be included about technical specialist.
- Technical performance (laboratory testing or sampling)-very important-assessor-about 80 % of the time
- Decision making process sometimes requires assessors to be involved especially when an AB does not have technical expertise in those areas.
- Assessors do not receive feedback from the accreditation body about their performance, competency, whether they are doing a good job, etc
- Conditions under which an assessment is aborted.
- The survey should be candidate specific (Technical Assessor functions,duties and responsibilities)
- Assessment and reporting of witness audits
- Assessment of new certification schemes regarding accreditation aspects
- Development and implementation of new accreditation activities/ services
- How the LA deals with difficult clients?
- deepening technical verification
- Not sure of meaning.
- Technical Experts/Assessors who have expertise on the various certification schemes and unique responsibilities
- Interpretation of standards annexes of standardizing or informative goal

Based on the review of all of the above “write-in” suggestions of missing tasks two tasks were identified as missing. The following two tasks were added:

- Differentiate critical locations from critical processes for sampling purposes
- Determine if an assessment should be aborted

Final Task List and Content Outline

Based on the results of the JTA meeting and the survey-validation following is the final Content Outline and Task List for AB Assessors: m the survey validation (column labeled Survey).

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Table 10 – Final Content Outline		
Duties/Tasks/Steps		
A		Planning Assessment Activities
	1	Determine and/or Confirm Assessment Resource Needs
	a	Compare scope and competency needs
	b	Identify what the assessment team competency should be
	c	Review the need for technical experts
	d	Provide input into the selection of the assessment team
	e	Review the site locations
	f	Establish if special equipment or other special needs (security, etc.) are required
	g	Determine other resource needs (computers, materials, food, etc.)
	h	Obtain templates, checklists, questionnaires, standards, and forms appropriate to the scope of accreditation
	2	Create the Assessment Plan
	a	Develop the assessment methodology and/or strategy
	b	Assign activities to assessment team according to the qualifications and competencies
	c	Assign roles and responsibilities
	d	Plan witness assessment
	e	Plan the agenda/schedule for the onsite assessment
	f	Review the logistics
	g	Create sampling plan (analyze or assess risk to decide where to look and what to look at)
	h	Consider results of any previous assessments/effectiveness of corrective action implementation
	i	Plan assessment team meetings
	j	Obtain agreement from the conformity assessment body on the assessment plan
	k	Plan travel arrangements
	l	Differentiate critical locations from critical processes for sampling purposes
B		Conducting a Document Review
	1	Review the Accreditation Application
	a	Identify key contact at CAB (communication channels)
	b	Review the scope of accreditation
	c	Review the application for legal status
	d	Review the organizational structure of the CAB
	e	Determine locations (one site, multi-site) based on key activities
	f	Identify related bodies
	g	Clarify the assessment scope (if needed)
	h	Determine which activities will be assessed
	i	Review activities to determine if object of accreditation
	2	Assess Conformity Assessment Body Documents
	a	Determine documents needed
	b	Obtain CAB documents
	c	Check CAB documents for completeness
	d	Review CAB documents
	e	Ask for further documentation and/or clarification
	f	Analyze the Conformity Assessment Body Processes (management, technical, administrative, etc.)
	g	Determine if the CAB documents meet the requirements
	h	Establish investigative lines for onsite assessment
	i	Communicate to the Conformity Assessment Body the Results of the Document Review

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Table 10 – Final Content Outline		
Duties/Tasks/Steps		
	j	Conduct follow-up reviews (if required)
	k	Confirm Readiness for Onsite Assessment
C		Conducting an Onsite Assessment (Office, Witness, Inspection, Surveillance, Re-accreditation)
	1	Conduct an Opening Meeting
	a	Confirm assessment plan
	b	Confirm scope of accreditation
	c	Adapt the assessment plans based on circumstances
	d	State the purpose of the criteria that will be used for the assessment
	e	Confirm confidentiality
	f	Present the assessment team/CAB personnel
	g	Establish the official channels of communication
	h	Confirm the method of reporting
	i	Ask for escorts (safety issues, etc.)
	j	Present an explanation of the assessment methodology
	k	Request summary presentation of the CAB
	l	Complete an attendance list
	m	Explain that the assessment is a sampling process (not everything was reviewed)
	2	Assess the competence of the CAB against accreditation requirements
	a	Sample conformity assessment body processes and records
	b	Observe conformity assessment body processes
	c	Review files and records
	d	Conduct interviews
	e	Assess management systems and controls
	f	Conduct witness assessments
	g	Extend sampling in case of non-conformity
	h	Create working papers, take notes, complete checklist, create records to document objective evidence gathered
	i	Determine if requirements have been met
	j	Evaluate conformity assessment body against document review findings
	k	Assess technical requirements
	l	Write Conformity Assessment Body Non-Conformities
	m	Write Conformity Assessment Body Opportunities for Improvement
	n	Grade Non-Conformity Findings (if required)
	o	Communicate preliminary findings to Conformity Assessment Body
	p	Coaching the trainee assessor
	q	Determine if an assessment should be aborted
	3	Conduct Preparatory Meetings
	a	Gather team members together
	b	Review roles and responsibilities for closing meeting
	c	Analyze the findings
	d	Achieve consensus of the team on findings
	e	Confirm completion of the assessment plan
	f	Confirm assessment objectives were met
	g	Compare the findings with the requirements
	h	Manage and solve conflicts in the team
	i	Review and finalize the non-conformities

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Table 10 – Final Content Outline		
Duties/Tasks/Steps		
	j	Write opportunities for improvement (as appropriate)
	k	Prepare report
	l	Agree approach for closing meeting
4		Conduct a Closing Meeting
	a	Present and review findings (non-conformities and/or opportunities for improvement)
	b	Confirm the objectives of the assessment have been met
	c	Re-confirm the scope for accreditation
	d	Provide positive feedback
	e	Thank the participants
	f	Explain the next steps (appeal procedures, post-assessment processes, final decision schedule/timeline, potential follow-up assessments, etc.)
	g	Re-confirm confidentiality
	h	Obtain written acknowledgement of the non-conformities
	i	Complete the attendance list
	j	Explain that the assessment is a sampling process (not everything was reviewed)
5		Create a Written Assessment Report (draft, final, interim, summary, etc.) (Can be done at any time according to AB procedures)
	a	Obtain input from the assessment team
	b	Describe findings against the accreditation standard (non-conformities, opportunities for improvement, etc.)
	c	Incorporate comments of competence and conformity
	d	Describe the final assessment conclusions
	e	Judge the effectiveness of the corrective action (when required)
	f	Revise the report as necessary
D		Conducting Post Onsite and Reporting Activities
1		Communicate with the Accreditation Body
	a	Deliver assessment report
	b	Communicate information regarding non-conformity resolution timing
	c	Communicate other information to the AB
	d	Evaluate other team members (if required)
	e	Inform the AB of any non-conformities in which the CAB did not agree
	f	Inform the AB of any unusual circumstances that occurred during the assessment
	g	Clarify unusual or unclear wording to the AB
	h	Respond to questions from AB decision makers (if required)
2		Verify the Effectiveness of the Corrective Actions
	a	Interact with the Conformity Assessment Body
	b	Resolve Problems with the Conformity Assessment Body
	c	Review Corrective Actions for Appropriateness including root cause analysis
	d	Provide Feedback Regarding the Corrective Action Plan
	e	Determine what the requirements for verification of the effectiveness of the corrective actions will be (documentation, onsite re-visit, follow-up visit, next surveillance, etc.)
	f	Determine if corrective actions are sufficient and appropriate
	g	Verify the effectiveness of the implementation of the corrective actions
E		Developing Professional Competence (knowledge, skills and abilities)
1		Demonstrate Professional Behaviors
	a	Refrains from selling one's own consulting services during an assessment
	b	Demonstrates punctuality by adhering to time commitments



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Table 10 – Final Content Outline		
Duties/Tasks/Steps		
	c	Dresses appropriately for the assessment (consistent with the staff of the CAB)
	d	Does not take sides (stays neutral) during dis-agreements
	e	Displays respect for others (does not make disparaging or demeaning comments, takes into account the expert opinions of other assessors)
	f	Refrains from disagreeing with other assessment team members in front of the CAB
	g	Displays courtesy by being polite to the members of the CAB
	h	Does not make negative comments about the Accreditation Body
	i	Resists undue influence from others (is not intimidated by someone to make an incorrect or inaccurate decision)
	j	Maintains a professional level of skepticism appropriate for assessment
	k	Refrains from monopolizing the conversation and telling of "old stories from the past"
	l	Does not make negative comments about the CAB's personnel
	m	Avoids opinions and personal biases and sticks to the facts (can support with objective evidence)
	n	Adheres to the agreed upon agenda
	o	Maintains confidentiality by not revealing or repeating confidential information
	p	Does not direct the CAB to a particular corrective action
	q	Does not recommend consultants (friends, co-workers, etc.)
	r	Does not fail to declare a known or potential conflict of interest
	s	Avoids acceptance of favors or gifts (acceptable value to be determined by individual Abs)
	t	Does not abuse alcohol or use drugs
	u	Does not accept assignments that are outside of one's area of expertise
	v	Communicates findings on an on-going bases (does not to surprise anyone with the findings)
	w	Does not lose temper and remains calm during the assessment
	x	Does not conduct personal business (phone calls, etc.) during the assessment
2		Continue Professional Skills Development
	a	Continue Professional Education based on assessments and/or needs
	b	Respond to assessment feedback (self, formal, CAB feedback, peer review, being monitored, etc.)
	c	Participate in Accreditation Body Assessor Harmonization Meeting/webinars/sessions/other activities
	d	Provide input in the development and maintenance of AB accreditation policies, procedures, etc.
	e	Maintain currency of technical knowledge (update training, etc.)

Final List of Knowledge for AB Assessors

Following is the final list of knowledge for AB Assessors:

Table 11 – Final List of Specific Knowledge for AB Assessors	
Acceptable evidence (sufficiency and appropriateness)	Management systems processes
Accreditation requirements	Nonconformity grading
Accreditation standards	Opening meetings
Appropriate documentation of findings	Organizing effective meetings
Assessable activities versus non-assessable activities	Personnel evaluation methods



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Table 11 – Final List of Specific Knowledge for AB Assessors	
Assessment methods	Post assessment timelines
Assessment plans	Preparing assessment plans
Assessment principles	Preparing assessment reports
Assessment reporting processes	Prioritizing assessments by risk areas
Assessment reports and reporting techniques	Proper etiquette
Attendance list requirements	Proper methods for documenting and writing NCs and OFIs
Audit techniques	Report writing
Available continuing education programs	Requirements of accreditation
Basic human behavior	Requirements of standards assessing to
Certification criteria	Resources for continuing education
Closing meetings	Sampling techniques
Coaching assessor trainees	Technical areas
Common understanding of accreditation terms requiring professional judgment	Technical aspects of the scope
Confidentiality agreements	Technical information
Confidentiality requirements for assessments	Technical terms associated with various scopes
Conflict of interests in organizational structures and relationships (related bodies, outsourced work, etc.)	Techniques for analyzing assessment findings
Deficiencies, needs and/or requirements for continuing education	Techniques for conducting an opening meeting
Definition of a nonconformity and definition of an opportunity for improvement	Techniques for delivering positive and negative findings
Definition of key activities	Techniques for explaining findings
Different management structures	Types of documents that confirm the legal status of conformity assessment bodies (CABs)
Different management systems	Typical assessment appeals procedures
Different organizational structures for conformity assessment bodies (CABs)	Typical assessment team composition
Different types of onsite assessments (witness, office, scheduled)	Typical auditing processes
Different types of organizational structures for conformity assessment bodies (CABs)	Typical corrective action procedures
Documentation techniques	Typical documents (templates, checklists, questionnaires, forms, etc) needed for assessments
Emerging competency requirements	Typical management systems
Evidence to document conformity	Typical methods to mitigate conflicts of interest
Human behavior	Typical nonconformity resolution procedures
Interviewing techniques	Typical post assessment processes
Knowledge of accreditation standards, guidance and mandatory documents	Typical resources required during assessments
Language barriers (different languages, dialects, accents, etc.)	Various assessment methodologies to obtain evidence
Legal entity structures	Various assessment methods
Legal requirements	Various local cultures
Legal requirements for conformity assessment bodies (CABs)	Various organizational structures within legal entities
Local cultures	Various roles for assessment team members
Local terminology use consistent with normative documents	Writing non-conformities



Professional Testing

Next Steps

The IAF Assessor WG identified the following activities as the next steps:

- Competency Profile
- Learning Objectives (training)
- Sample Content Outline for Scheme (evaluation)
- Determine use by IAF (official document, workshop, etc.)
- Implications for peer review
- Release of document to agencies outside of IAF
- Development of program specific task lists

Each of these is further described in the following sections.

Competency Profile

This activity will be discussed during the Spring 2012 IAF meeting. This activity has not been conducted yet.

Learning Objectives

Learning objectives have been developed from each of the task statements. These learning objectives may be used as the first step to develop curriculum and training programs. These learning objectives appear in Appendix E.

Sample Content Outline for Scheme (evaluation)

This activity will be discussed during the Spring 2012 IAF meeting. This activity has not been conducted yet.

Determine use by IAF (official document, workshop, etc.)

This activity will be discussed during the Spring 2012 IAF meeting. This activity has not been conducted yet.

Implications for peer review

This activity will be discussed during the Spring 2012 IAF meeting. This activity has not been conducted yet.

Release of document to agencies outside of IAF

This activity will be discussed during the Spring 2012 IAF meeting. This activity has not been conducted yet.

Development of program specific task lists

This activity will be discussed during the Spring 2012 IAF meeting. This activity has not been conducted yet.

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Appendix A: JTA Committee Nomination Letter



Job Analysis Report for Accreditation Body (AB) Assessor
International Accreditation Forum

Dear IAF members:

The IAF task force on Competence of Accreditation Assessors met at the IAF Annual meeting in Vancouver, BC. At this meeting, it was determined that a Job Analysis would be conducted to identify the Core (generic) competencies all assessor should possess to be an AB assessor. This meeting will be held January 28-30, 2010 (three full days). Based on geographic locations of the individuals selected, the meeting will be conducted in either Mexico City, London or Hong Kong.

The first step in this process is to select a diverse representative sample of AB assessors and others throughout the world. This diversity will contribute to the validity of the process and the end product of assessor competencies. In order to achieve this diversity, we are asking you to nominate individuals who you feel would be able to participate in this type of process.

At our task force meeting, a matrix was created that will be used to select around 20 individuals to participate in the job analysis. As you will note, we are looking for AB assessors, AB staff, representatives of conformity assessment bodies, and other individuals that are involved in regulatory activities or end users. The matrix is attached so you can look at the specific criteria we will be using to select individuals.

Although there is no limit on how many individuals you can nominate, it should be noted that the individuals selected will need to be funded by your organization or another source. These individuals will also need to have fluent English skills because of the criticality of being able to articulate the knowledge and skills needed for a competent assessor.

The deadline for nominations is December 1, 2009. Please send your nominations to Victor Rico at ANSI vrico@ansi.org. The nomination should include a brief resume and a cover letter indicating how the individual you are nominating fulfills one or more of the characteristics in the matrix.

If you have any questions about the nominations process, please contact Phil Shaw at UKAS phil.shaw@ukas.com or Roy Swift at ANSI rswift@ansi.org.

Appendix B: Copy of Original DACUM JTA Chart



DACUM CHART
JOB TASK ANALYSIS

For

INTERNATIONAL
ACCREDITATION FORUM
(IAF)

ACCREDITATION BODY
ASSESSOR
(Generic Competencies)

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Accreditation Body Assessor

Job Description:

An 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.

Duties/Tasks/Steps	
A	Planning Assessment Activities
1	Determine and/or Confirm Assessment Resource Needs
2	Create the Assessment Plan
B	Conducting a Document Review
1	Review the Accreditation Application
2	Assess Conformity Assessment Body (CAB) Documents
C	Conducting an Onsite Assessment (Office, Witness, Inspection, Surveillance, Re-accreditation)
1	Conduct an Opening Meeting
2	Assess the competence of the conformity assessment body (CAB) against accreditation requirements
3	Conduct Preparatory Meetings
4	Conduct a Closing Meeting
5	Create a Written Assessment Report (draft, final, interim, summary, etc.) (Can be done at any time according to AB procedures)
D	Conducting Post Onsite and Reporting Activities
1	Communicate with the Accreditation Body
2	Verify the Effectiveness of the Corrective Actions
E	Developing Professional Competence (knowledge, skills and abilities)
1	Demonstrate Professional Behaviors
2	Continue Professional Skills Development

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Professional Testing Inc. would also like to thank the staff at Entidad Mexicana De Acreditacion (ema) in Mexico City, Mexico including Maria Jose Mesen Arias.

Specific Knowledge Required of Accreditation Body (AB) Assessors

Specific Knowledge	
Acceptable evidence (sufficiency and appropriateness)	Management systems processes
Accreditation requirements	Nonconformity grading
Accreditation standards	Opening meetings
Appropriate documentation of findings	Organizing effective meetings
Assessable activities versus non-assessable activities	Personnel evaluation methods
Assessment methods	Post assessment timelines
Assessment plans	Preparing assessment plans
Assessment principles	Preparing assessment reports
Assessment reporting processes	Prioritizing assessments by risk areas
Assessment reports and reporting techniques	Proper etiquette
Attendance list requirements	Proper methods for documenting and writing NCs and OFIs
Audit techniques	Report writing
Available continuing education programs	Requirements of accreditation
Basic human behavior	Requirements of standards assessing to
Certification criteria	Resources for continuing education
Closing meetings	Sampling techniques
Coaching assessor trainees	Technical areas
Common understanding of accreditation terms requiring professional judgment	Technical aspects of the scope
Confidentiality agreements	Technical information
Confidentiality requirements for assessments	Technical terms associated with various scopes
Conflict of interests in organizational structures and relationships (related bodies, outsourced work, etc.)	Techniques for analyzing assessment findings
Deficiencies, needs and/or requirements for continuing education	Techniques for conducting an opening meeting
Definition of a nonconformity and definition of an opportunity for improvement	Techniques for delivering positive and negative findings
Definition of key activities	Techniques for explaining findings
Different management structures	Types of documents that confirm the legal status of conformity assessment bodies (CABs)
Different management systems	Typical assessment appeals procedures
Different organizational structures for conformity assessment bodies (CABs)	Typical assessment team composition
Different types of onsite assessments (witness, office, scheduled)	Typical auditing processes
Different types of organizational structures for conformity assessment bodies (CABs)	Typical corrective action procedures
Documentation techniques	Typical documents (templates, checklists, questionnaires, forms, etc) needed for assessments
Emerging competency requirements	Typical management systems
Evidence to document conformity	Typical methods to mitigate conflicts of interest
Human behavior	Typical nonconformity resolution procedures
Interviewing techniques	Typical post assessment processes
Knowledge of accreditation standards, guidance and mandatory documents	Typical resources required during assessments
Language barriers (different languages, dialects, accents, etc.)	Various assessment methodologies to obtain evidence
Legal entity structures	Various assessment methods
Legal requirements	Various local cultures
Legal requirements for conformity assessment bodies (CABs)	Various organizational structures within legal entities
Local cultures	Various roles for assessment team members
Local terminology use consistent with normative documents	Writing non-conformities

General Calculation and Measurement Knowledge and General Communication Skills Required
(Rank Ordered by Importance)

Knowledge	
Calculations	
1	Collect information to solve a problem
2	Compare numbers
3	Figure averages
4	Make rough estimates
5	Perform simple math operations of addition
6	Perform simple math operations of subtraction
7	Perform simple math operations of multiplication
8	Transfer number sequences from a source to a column
9	Use a calculator
10	Perform simple math operations of division

Basic Measurement	
1	Estimate and approximate measurements
2	Read, interpret, and use size-scale relationships
3	Record measurements, using appropriate unit notations (feet, yards, etc.)
4	Read measurements taken with common measuring tools
5	Read and apply coefficient measurements indicated in a table or chart
6	Find distances and directions on land maps
7	Convert measurements from one unit to another (English to Metric, etc.)
8	Use tools to measure quantities and solve problems involving measurements
9	Read and use the scale of a drawing

Communications	
1	Ask questions
2	Communicate with co-workers and/or business people verbally (face-to-face)
3	Communicate with co-workers and/or business people in writing (letters, memos)
4	Summarize information
5	Write reports
6	Communicate with co-workers and/or business people verbally (telephone, radio)
7	Evaluate solutions
8	Explain procedures
9	Communicate using the vocabulary/terminology of a related trade
10	Listen
11	Present to others
12	Write words and numbers legibly
13	Read flowcharts
14	Read information from tables and graphs (bar, circle, etc.)
15	Evaluate options/alternatives
16	Apply assertiveness
17	Participate in brainstorming
18	Read and interpret directions found on labels, packages, or instruction sheets
19	Research information
20	Speak to large groups
21	Read and follow a map, chart, plan, etc.
22	Read and follow directions found in equipment manuals and code books
23	Read statistical data
24	Follow oral job instructions
25	Find information in references (Machinery handbook, tap/drill charts, etc.)
26	Read drawings and specifications sheets
27	Compare names
28	Find information in catalogs
29	Read codes (building codes, electrical codes, standards, etc.)

Specific Skills Required of Accreditation Body (AB) Assessors

Specific Communication and Other Skills
Analyzing information
Clearly explaining information
Communicating effectively regardless of language barriers
Completing tasks (reports) in a timely manner
Comprehensive writing
Computer use
Concize writing
Conflict resolution
Consensus building
Convincing others
Dealing with hostile and aggressive people
Decision making
Delivering negative message that facilitates a positive action
Drawing appropriate conclusions
Drawing conclusions and making judgments from objective evidence
Explaining information
Formulating questions
Interpersonal communication
Interpersonal relationships
Leadership
Learning new information
Listening
Maintaining control
Meeting management
Negotiation
Nonverbal communication
Note-taking
Observation
Organization
Planning
Presentations
Presenting rational for decisions
Problem solving
Providing a rationale for decisions
Questioning techniques
Reading
Reading comprehension
Reasoning
Reporting accurately and objectively
Self study
Stress management
Synthesizing information
Time management
Verbal communication
Working in teams
Written communication

Attitudes/Attributes Required of Accreditation Body (AB) Assessors

Attitudes/Attributes	
Ability to focus	Integrity
Ability to reason	Lack of prejudice (bias)
Accurate/precise	Leader
Adaptable/flexible	Leadership
Agreeable	Manage stress/pressure
Analytical	Meticulous
Appropriate dresser	Multi-tasker
Attention to detail	Neat
Caring	Neutral
Common sense	Non-aggressive
Concentration	Objective
Conciseness	Open-minded to change
Confident	Organized
Confidential	Patience
Conscientious	Perceptive
Convicted	Perceptive
Cooperative	Perseverance
Cooperativeness	Persistent
Courteous	Personal hygiene
Creative	Persuasiveness
Critical thinker	Physical stamina
Culturally sensitive	Positive attitude
Customer focused	Pride in job
Customer oriented	Professionalism
Dependable	Prompt
Detail oriented	Punctual
Diligent	Quality focused
Diplomatic	Respectful
Discreet	Responsible/accountable
Eager to learn new things	Safety conscious
Empathetic	Self confident
Enthusiasm	Self-control
Ethical	Self-discipline
Fair	Self-esteem
Focused	Self-motivated
Free of substance abuse	Sensitive to thoughts of others
Friendly	Social skills
Goal-oriented	Tactful
Good judgment	Team player
Good listener	Tenacious
Good memory	Timeliness
Good time manager	Tolerant
Helpful	Trustworthy
Honest	Willingness to consider alternative ideas or points of view that achieve the same results
Impartial	Willingness to learn
Independent	Work efficiently (resources)
Industrious	Work efficiently (time)
Initiative	Work in teams
Integrity	Work within one's Expertise
	Works well with other people

Physical Capabilities Required of Accreditation Body (AB) Assessors

Physical Conditions
Arm/Hand Use - An Assessor Must be Able To:
Write or type at a fast speed
Feel size, shape and temperature or texture of objects with the hands (if applicable)
Senses - An Assessor Must be Able To:
Talk - Communicate in some manner
Hear speech
Working Conditions - An Assessor Must be Able To:
Work inside
Work outside
Work in confined spaces (if applicable)

Duties/Tasks/Steps		
A		Planning Assessment Activities
	1	Determine and/or Confirm Assessment Resource Needs
	a	Compare scope and competency needs for the assessment
	b	Identify the competencies required of the assessment team
	c	Identify needs for technical experts for the assessment
	d	Provide input into the selection of the assessment team
	e	Review the assessment site locations
	f	Determine special equipment or other special needs (security, etc.) requirements for the assessment
	g	Identify other resource needs (computers, materials, food, etc.) for the assessment
	h	Obtain templates, checklists, questionnaires, standards, and forms appropriate to the scope of accreditation
	2	Create the Assessment Plan
	a	Develop the assessment methodology and/or strategy
	b	Assign activities to the assessment team according to the qualifications and competencies
	c	Assign roles and responsibilities for the assessment team
	d	Plan the witness assessment
	e	Plan the agenda/schedule for the onsite assessment
	f	Review the logistics for the assessment
	g	Create sampling plan (analyze or assess risk to decide where to look and what to look at) for the assessment
	h	Consider results of any previous assessments/effectiveness of any corrective action implementation
	i	Plan assessment team meetings
	j	Obtain agreement from the conformity assessment body (CAB) on the assessment plan
	k	Plan travel arrangements
B		Conducting a Document Review
	1	Review the Accreditation Application
	a	Identify key contacts at the conformity assessment body (CAB) (communication channels)
	b	Review the scope of accreditation
	c	Review the application for documentation of legal status
	d	Review the organizational structure of the conformity assessment body (CAB)
	e	Determine critical locations (one site, multi-site) based on key activities
	f	Identify any related bodies
	g	Clarify the assessment scope (if needed)
	h	Determine which activities will be assessed
	i	Review activities to determine if object of accreditation

General Knowledge	Communication and Other Skills	Attributes	References, Documents and Information
Typical assessment team composition	Negotiation	Detail oriented	Accreditation body (AB) criteria
Typical auditing processes	Planning		Available qualified assessors
Typical documents (templates, checklists, questionnaires, forms, etc) needed for assessments	Problem solving		Location of appropriate documents
Typical resources required during assessments	Verbal communication		Logistics of the site visit
			Management systems of the conformity assessment body (CAB)
			Skills of the technical experts
			Technical issues of the scope
Certification criteria	Interpersonal relationships	Culturally sensitive	Accreditation body (AB) criteria
Definition of key activities	Leadership	Customer focused	Certification scheme of the conformity assessment body (CAB)
Different types of onsite assessments (witness, office, scheduled)	Negotiation	Objective	Conformity assessment body (CAB) management system procedures and technical procedures
Different types of organizational structures for conformity assessment bodies (CABs)	Organization	Organized	ISO/IAF/ILAC documents
Knowledge of accreditation standards, guidance and mandatory documents	Problem solving	Patience	National Standards
Prioritizing assessments by risk areas	Time management	Perceptive	Process of the conformity assessment body (CAB) that is being assessed
Typical management systems	Verbal communication	Willingness to consider alternative ideas or points of view that achieve the same results	Scope of the conformity assessment body (CAB)
Various assessment methodologies to obtain evidence	Written communication	Works well with other people	Technical area
Assessable activities versus non-assessable activities	Decision making	Ability to focus	Accreditation body (AB) criteria
Different management structures	Formulating questions	Analytical	Accreditation body (AB) procedures
Different organizational structures for conformity assessment bodies (CABs)	Questioning techniques	Detail oriented	Applicable legal requirements
Legal entity structures	Reading comprehension	Good memory	Regulation requirements of the conformity assessment body (CAB) and the accreditation body (AB)
Requirements of standards assessing to	Synthesizing information		Technical knowledge of the scope
Technical terms associated with various scopes	Verbal communication		
	Written communication		

Duties/Tasks/Steps		
2		Assess Conformity Assessment Body (CAB) Documents
	a	Determine documents needed for assessment
	b	Obtain conformity assessment body (CAB) documents
	c	Check conformity assessment body (CAB) documents for completeness
	d	Review conformity assessment body (CAB) documents
	e	Ask for further documentation and/or clarification
	f	Analyze the conformity assessment body (CAB) Processes (management, technical, administrative, etc.)
	g	Determine if the conformity assessment body (CAB) documents meet the requirements
	h	Establish investigative lines for onsite assessment
	i	Communicate to the conformity assessment body (CAB) the results of the document review
	j	Conduct follow-up reviews (if required)
	k	Confirm readiness for onsite assessment
C		Conducting an Onsite Assessment (Office, Witness, Inspection, Surveillance, Re-accreditation)
	1	Conduct an Opening Meeting
	a	Confirm the assessment plan with the conformity assessment body (CAB)
	b	Confirm the scope of accreditation with the conformity assessment body (CAB)
	c	Adapt the assessment plans based on circumstances
	d	State the purpose of the criteria that will be used for the assessment
	e	Reaffirm the confidentiality of the assessment process
	f	Present the assessment team to the conformity assessment body (CAB) personnel
	g	Establish the official channels of communication
	h	Confirm the method of reporting the assessment results
	i	Ask for escorts (for safety reasons, etc.)
	j	Present an explanation of the assessment methodology
	k	Request a summary presentation of the conformity assessment body (CAB)
	l	Complete an attendance list
	m	Explain that the assessment is a sampling process (not everything will be reviewed)

General Knowledge	Communication and Other Skills	Attributes	References, Documents and Information
Accreditation standards	Communicating effectively regardless of language barriers	Attention to detail	Standard for conformity assessment body (CAB) activities (product, inspection, testing, laboratories, etc.)
Conflict of interests in organizational structures and relationships (related bodies, outsourced work, etc.)	Note-taking	Objective	
Evidence to document conformity	Reading comprehension	Patience	
Types of documents that confirm the legal status of conformity assessment bodies (CABs)	Synthesizing information	Perceptiveness	
Typical methods to mitigate conflicts of interest	Verbal communication	Willingness to consider alternative ideas or points of view that achieve the same results	
Various organizational structures within legal entities	Written communication		
Assessment reporting processes	Conflict resolution	Appropriate dress	Accreditation body (AB) procedures
Attendance list requirements	Presentations	Culturally sensitive	Conformity assessment body (CAB) processes
Confidentiality requirements for assessments	Time management	Diplomatic	
Human behavior	Verbal communication	Perceptive	
Language barriers (different languages, dialects, accents, etc.)		Respectful	
Legal requirements for conformity assessment bodies (CABs)		Self-confident	
Opening meetings		Timeliness	
Preparing assessment plans			
Proper etiquette			
Requirements of accreditation			
Techniques for conducting an opening meeting			
Techniques for delivering positive and negative findings			
Various assessment methods			
Various local cultures			

Duties/Tasks/Steps		
2	Assess the competence of the conformity assessment body (CAB) against accreditation requirements	
	a	Sample the conformity assessment body (CAB) processes
	b	Sample the conformity assessment body (CAB) records
	c	Observe the conformity assessment body (CAB) processes
	d	Review the conformity assessment body (CAB) files and records
	e	Conduct interviews of persons associated with the conformity assessment body (CAB)
	f	Assess the conformity assessment body (CAB) management systems and controls
	g	Conduct witness assessments
	h	Extend sampling in cases of nonconformity
	i	Document objective evidence gathered (create working papers, take notes, complete checklist, create records, etc.)
	j	Determine if requirements have been met
	k	Evaluate the conformity assessment body (CAB) against document review findings
	l	Assess technical requirements
	m	Write conformity assessment body (CAB) nonconformities (NCs)
	n	Write conformity assessment body (CAB) opportunities for improvement (OFIs)
	o	Grade nonconformity findings (if required)
	p	Communicate preliminary findings to the conformity assessment body (CAB)
	q	Coach assessor trainees during the assessment process
3	Conduct Preparatory Meetings	
	a	Gather assessment team members together
	b	Review roles and responsibilities for the assessment closing meeting
	c	Analyze the assessment findings
	d	Achieve consensus by the team on the assessment findings
	e	Confirm completion of the assessment plan
	f	Confirm assessment objectives were met
	g	Compare the findings with the requirements
	h	Manage and solve conflicts in the assessment team
	i	Review and finalize the conformity assessment body (CAB) non-conformities
	j	Review and finalize the opportunities for improvement (as appropriate)
	k	Prepare the assessment report
	l	Agree on the approach for closing meeting with the assessment team

General Knowledge	Communication and Other Skills	Attributes	References, Documents and Information
Acceptable evidence (sufficiency and appropriateness)	Conflict resolution	Cooperative	Accreditation body (AB) procedures
Audit techniques	Convincing others	Ethical	ISO/IAF/ILAC documents
Coaching assessor trainees	Decision-making	Leadership	Legal documents
Common understanding of accreditation terms requiring professional judgment	Delivering negative message that facilitates a positive action	Organized	National Standards
Definition of a nonconformity and definition of an opportunity for improvement	Drawing appropriate conclusions	Patience	
Documentation techniques	Drawing conclusions and making judgments from objective evidence	Perseverance	
Interviewing techniques	Explaining information	Persistence	
Management systems processes	Listening	Persuasiveness	
Nonconformity grading	Maintaining control	Positive attitude	
Proper methods for documenting and writing nonconformities and opportunities for improvements	Nonverbal communication	Responsible	
Sampling techniques	Observation	Tactfulness	
Technical areas	Presentations	Tenacious	
Techniques for delivering positive and negative findings	Reasoning	Trustworthy	
	Stress management		
	Working in teams		
	Written communication		
Acceptable evidence (sufficiency and appropriateness)	Computer use	Ability to reason	Accrediting body (AB) requirements
Assessment plans	Conflict resolution	Analytical	
Closing meetings	Consensus building	Diligent	
Organizing effective meetings	Listening	Diplomatic	
Preparing assessment reports	Meeting management	Good judgment	
Techniques for analyzing assessment findings	Verbal communication	Leadership	
Techniques for explaining findings	Written communication	Respectful	
Various roles for assessment team members		Tactfulness	
Writing non-conformities			

		Duties/Tasks/Steps
4		Conduct a Closing Meeting
	a	Present and review findings (non-conformities and/or opportunities for improvement)
	b	Confirm the objectives of the assessment have been met
	c	Re-confirm the scope for accreditation
	d	Provide positive feedback
	e	Thank the participants
	f	Explain the next steps (appeal procedures, post-assessment processes, final decision schedule/timeline, potential follow-up assessments, etc.)
	g	Re-confirm confidentiality
	h	Obtain written acknowledgement of the non-conformities
	i	Re-introduce all assessment team and conformity assessment body (CAB) participants
	j	Complete the attendance list
	k	Re-explain that the assessment is a sampling process (not everything was reviewed)
5		Create a Written Assessment Report (draft, final, interim, summary, etc.) (Can be done at any time according to AB procedures)
	a	Obtain input from the assessment team
	b	Describe findings against the accreditation standard (non-conformities, opportunities for improvement, etc.)
	c	Incorporate comments of competence and conformity
	d	Describe the final assessment conclusions
	e	Judge the effectiveness of the corrective action (when required)
	f	Revise the report as necessary
D		Conducting Post Onsite and Reporting Activities
1		Communicate with the Accreditation Body
	a	Deliver the assessment report
	b	Communicate information regarding nonconformity resolution timing
	c	Communicate other information to the accreditation body (AB)
	d	Evaluate other assessment team members (if required)
	e	Inform the accreditation body (AB) of any non-conformities in which the conformity assessment body (CAB) did not agree
	f	Inform the accreditation body (AB) of any unusual circumstances that occurred during the assessment
	g	Clarify any unusual or unclear wording in reports to the accreditation body (AB)
	h	Respond to questions from the accreditation body (AB) decision makers (if required)
2		Verify the Effectiveness of the Corrective Actions
	a	Interact with the conformity assessment body (CAB)
	b	Resolve problems with the conformity assessment body (CAB)
	c	Review corrective actions for appropriateness including root cause analysis
	d	Provide feedback regarding the corrective action plan
	e	Determine what the requirements for verification of the effectiveness of the corrective actions will be (documentation, onsite re-visit, follow-up visit, next surveillance, etc.)
	f	Determine if corrective actions are sufficient and appropriate
	g	Verify the effectiveness of the implementation of the corrective actions

General Knowledge	Communication and Other Skills	Attributes	References, Documents and Information
Assessment methods	Conflict resolution	Concentration	Accreditation body (AB) procedures
Basic human behavior	Dealing with hostile and aggressive people	Convicted	ISO/IAF/ILAC documents
Language barriers (different languages, dialects, accents, etc.)	Decision making	Culturally sensitive	Legal requirements
Legal requirements	Interpersonal communication	Diplomatic	National Standards
Local cultures	Leadership	Empathetic	Technical requirements
Post assessment timelines	Listening	Good judgment	
Requirements of accreditation	Maintaining control	Impartial	
Techniques for delivering positive and negative findings	Meeting management	Integrity	
Typical assessment appeals procedures	Negotiation	Leadership	
Typical post assessment processes	Nonverbal communication	Objective	
	Organization	Positive attitude	
	Presentations	Respectful	
	Problem solving	Self Confident	
	Stress management	Tenacious	
	Time management	Tolerant	
	Verbal communication		
Accreditation requirements	Completing tasks (reports) in a timely manner	Attention to detail	Accreditation body (AB) procedures
Appropriate documentation of findings	Comprehensive writing	Good judgment	ISO/IAF/ILAC documents
Assessment reports and reporting techniques	Computer use	Organized	National Standards
Local terminology use consistent with normative documents	Concize writing		
Report writing	Drawing appropriate conclusions		
Technical aspects of the scope	Reporting accurately and objectively		
	Synthesizing information		
Personnel evaluation methods	Clearly explaining information	Cooperativeness	ISO/IAF/ILAC documents
Typical nonconformity resolution procedures	Computer use	Diplomatic	National Standards
	Presentations	Objective	
	Providing a rationale for decisions	Tactfulness	
	Time management		
	Verbal communication		
	Written communication		
Assessment methods	Analyzing information	Conciseness	Accreditation body (AB) procedures
Different management systems	Presenting rational for decisions	Diplomatic	ISO/IAF/ILAC Documents
Language barriers (different languages, dialects, accents, etc.)	Problem solving	Good judgment	National Standards
Legal requirements	Verbal communication	Patience	
Local cultures	Written communication	Tactfulness	
Requirements of accreditation			
Technical information			
Typical corrective action procedures			

Duties/Tasks/Steps		
E		Developing Professional Competence (knowledge, skills and abilities)
	1	Demonstrate Professional Behaviors
	a	Refrains from selling one's own consulting services during an assessment
	b	Demonstrates punctuality by adhering to time commitments
	c	Dresses appropriately for the assessment (consistent with the staff of the conformity assessment body (CAB))
	d	Remains neutral (does not take sides) during disagreements among assessment participants
	e	Displays respect for others (does not make disparaging or demeaning comments, takes into account the expert opinions of other assessors)
	f	Refrains from disagreeing with other assessment team members in front of the conformity assessment body (CAB)
	g	Displays courtesy by being polite to the members of the conformity assessment body (CAB)
	h	Refrains from negative comments about the accreditation body (AB)
	i	Resists undue influence from others (demonstrates one is not intimidated by someone to make an incorrect or inaccurate decision)
	j	Maintains a professional level of skepticism appropriate for assessments
	k	Refrains from monopolizing the conversation and telling of "old stories from the past"
	l	Does not make negative comments about the conformity assessment body's (CAB's) personnel
	m	Avoids opinions and personal biases and sticks to the facts (can support conclusions with objective evidence)
	n	Adheres to the agreed upon agenda
	o	Maintains confidentiality by not revealing or repeating confidential information
	p	Does not direct the conformity assessment body (CAB) to a particular corrective action
	q	Does not recommend consultants (friends, co-workers, etc.)
	r	Does not fail to declare a known or potential conflict of interest
	s	Avoids acceptance of favors or gifts (acceptable value to be determined by individual accreditation bodies (ABs))
	t	Does not abuse alcohol or use drugs
	u	Does not accept assignments that are outside of one's area of expertise
	v	Communicates findings on an on-going bases (does not surprise anyone with the findings)
	w	Does not lose temper and remains calm during the assessment
	x	Does not conduct personal business (phone calls, etc.) during the assessment
	2	Continue Professional Skills Development
	a	Continue professional education and training based on assessments and/or needs
	b	Respond to assessment feedback (self, formal, conformity assessment body (CAB) feedback, peer review, being monitored, etc.)
	c	Participate in accreditation body (AB) assessor harmonization meetings, webinars, sessions, and other activities
	d	Provide input in the development and maintenance of accreditation body (AB) accreditation policies, procedures, etc.
	e	Maintain currency of technical knowledge (update training, etc.)

Accreditation Body (AB) Assessor Job/Task Analysis

General Knowledge	Communication and Other Skills	Attributes	References, Documents and Information
Assessment principles		Agreeable	ISO 19011
Confidentiality agreements		Confidential	
		Conscientious	
		Courteous	
		Detail oriented	
		Discreet	
		Ethical	
		Fair	
		Impartial	
		Independent	
		Neutral	
		Positive attitude	
		Professionalism	
		Prompt	
		Respectful	
		Work within one's Expertise	
Available continuing education programs	Computer use	Good memory	Training programs
Deficiencies, needs and/or requirements for continuing education	Learning new information	Willingness to learn	New competency requirements from the accreditation body (AB)
Emerging competency requirements	Reading		
Resources for continuing education	Self study		

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Appendix C: Copy of JTA Validation Survey



Welcome!

This survey is 9 pages long. Completing the survey should take approximately 30 minutes.

If you do not have time to complete the survey in one sitting, you can stop and complete the survey later (provided you use the same computer and have cookies enabled on that computer). The survey will resume where you stopped.

Your responses will be kept confidential, and we appreciate your assistance. If you have any difficulty responding to this survey, please contact us at acadle@proftesting.com or call (800) 330-3776.

To begin the survey, click on the Next button below.

These are demographic questions.

What is the predominant country in which you work or in which the Accreditation Body you work for is located?

Other (please specify)

What Accreditation Body do you predominantly work for?

Other (please specify)

What type of programs do you participate in? Please select all that apply

- management systems
- inspection
- product
- personnel
- greenhouse gas

Other (please specify)

What is the number of years of experience you have in the predominate program?

- none
- 1 to 5
- 6 to 10
- 11 to 15
- More than 16

How many assessments have you conducted in the predominant program?

- none
- 1 to 10
- 11 to 25
- 26 to 50
- More than 51

What role do you perform regarding Accreditation Body Assessments? (Check all that apply)

- Current Lead Assessor
- Current Assessor
- Assessor Manager
- Accreditation Body Staff
- Contract Assessor (not permanent AB staff)
- Contract Lead Assessor (not permanent AB staff)
- Accreditation Body Client (CAB)
- Scheme Owner

Other (please specify)

What is your gender?

- Male
- Female

What is your age?

- Less than 30
- 31 to 45 years old
- 46 to 65 years old
- 66 years old or above

In the following pages, you will be asked to think about tasks that an assessor does and to indicate the frequency with which you perform each task. Then, considering the same task statement, you will be asked to indicate how important it is in your job to know how to do each of these tasks. Finally, you will be asked to indicate whether the task is performed by the lead assessor, both assessors or others. To respond click the drop down menu and select your response.

All of the tasks on this page relate to planning assessment activities.

When you determine and/or confirm resource needs as part of planning assessment activities, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Compare scope and competency needs for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Identify the competencies required of the assessment team	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Identify needs for technical experts for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Provide input into the selection of the assessment team	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review the assessment site locations	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine special equipment or other special needs (security, etc.) requirements for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Identify other resource needs (computers, materials, food, etc.) for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Obtain templates, checklists, questionnaires, standards, and forms appropriate to the scope of accreditation	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

When you create the assessment plan as part of planning assessment activities, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Develop the assessment methodology and/or strategy	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Assign activities to the assessment team according to the qualifications and competencies	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Assign roles and responsibilities for the assessment team	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Plan the witness assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Plan the agenda/schedule for the onsite assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review the logistics for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Create sampling plan (analyze or assess risk and critical processes to decide where to look and what to look at) for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Consider results of any previous assessments/effectiveness of any corrective action implementation	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Plan assessment team meetings	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Obtain agreement from the conformity assessment body (CAB) on the assessment plan	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Plan travel arrangements	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

All of the tasks on this page relate to conducting a document review.

When you review the accreditation application as part of conducting a document review, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Identify key contacts at the conformity assessment body (CAB) (communication channels)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review the scope of accreditation	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review the application for documentation of legal status	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review the organizational structure of the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine critical locations (one site, multi-site) based on key activities	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Identify any related bodies	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Clarify the assessment scope (if needed)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine which activities will be assessed	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review activities to determine if object of accreditation	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

When you assess conformity assessment body (CAB) documents as part of conducting a document review, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Determine documents needed for assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Obtain conformity assessment body (CAB) documents	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Check conformity assessment body (CAB) documents for completeness	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review conformity assessment body (CAB) documents	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Ask for further documentation and/or clarification	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Analyze the conformity assessment body (CAB) Processes (management, technical, administrative, etc.)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine if the conformity assessment body (CAB) documents meet the requirements	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Establish investigative lines for onsite assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Communicate to the conformity assessment body (CAB) the results of the document review	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Conduct follow-up reviews (if required)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Confirm readiness for onsite assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

All of the tasks on this page relate to conducting an onsite assessment such as office, witness, inspection, surveillance, and re-accreditation assessments.

When conducting an opening meeting as part of conducting an onsite assessment, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Confirm the assessment plan with the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Confirm the scope of accreditation with the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Adapt the assessment plans based on circumstances	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
State the purpose of the criteria that will be used for the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Reaffirm the confidentiality of the assessment process	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Present the assessment team to the conformity assessment body (CAB) personnel	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Establish the official channels of communication	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Confirm the method of reporting the assessment results	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Ask for escorts (for safety reasons, etc.)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Present an explanation of the assessment methodology	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Request a summary presentation of the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Complete an attendance list	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Explain that the assessment is a sampling process (not everything will be reviewed)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

When assessing the competence of the conformity assessment body (CAB) against accreditation requirements as part of conducting an onsite assessment, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Sample the conformity assessment body (CAB) processes	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Sample the conformity assessment body (CAB) records	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Observe the conformity assessment body (CAB) processes	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review the conformity assessment body (CAB) files and records	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Conduct interviews of persons associated with the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Assess the conformity assessment body (CAB) management systems and controls	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Conduct witness assessments	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Extend sampling in cases of nonconformity	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Document objective evidence gathered (create working papers, take notes, complete checklist, create records, etc.)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine if requirements have been met	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Evaluate the conformity assessment body (CAB) against document review findings	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Assess technical requirements	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Write conformity assessment body (CAB) nonconformities (NCs)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Write conformity assessment body (CAB) opportunities for improvement (OFIs)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Grade nonconformity findings (if required)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Communicate preliminary findings to the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Coach assessor trainees during the assessment process	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

All of the tasks on this page relate to conducting an onsite assessment such as office, witness, inspection, surveillance, and re-accreditation assessments.

When you conduct preparatory meetings as part of conducting an onsite assessment, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Gather assessment team members together	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review roles and responsibilities for the assessment closing meeting	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Analyze the assessment findings	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Achieve consensus by the team on the assessment findings	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Confirm completion of the assessment plan	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Confirm assessment objectives were met	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Compare the findings with the requirements	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Manage and solve conflicts in the assessment team	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review and finalize the conformity assessment body (CAB) non-conformities	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review and finalize the opportunities for improvement (as appropriate)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Prepare the assessment report	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Agree on the approach for closing meeting with the assessment team	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

When you conduct a closing meeting as part of conducting an onsite assessment, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Present and review findings (non-conformities and/or opportunities for improvement)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Confirm the objectives of the assessment have been met	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Re-confirm the scope for accreditation	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Provide positive feedback	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Thank the participants	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Explain the next steps (appeal procedures, post-assessment processes, final decision schedule/timeline, potential follow-up assessments, etc.)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Re-confirm confidentiality	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Obtain written acknowledgement of the non-conformities	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Re-introduce all assessment team and conformity assessment body (CAB) participants	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Complete the attendance list	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Re-explain that the assessment is a sampling process (not everything was reviewed)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

When you create a written assessment report such as a draft, final, interim, or summary, report as part of conducting an onsite assessment, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Obtain input from the assessment team	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Describe findings against the accreditation standard (non-conformities, opportunities for improvement, etc.)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Incorporate comments of competence and conformity	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Describe the final assessment conclusions	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Judge the effectiveness of the corrective action (when required)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Revise the report as necessary	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

All of the tasks on this page relate to conducting post onsite activities and reporting activities.

When you communicate with the accreditation body as part of conducting post onsite and reporting activities, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Deliver the assessment report	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Communicate information regarding nonconformity resolution timing	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Communicate other information to the accreditation body (AB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Evaluate other assessment team members (if required)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Inform the accreditation body (AB) of any non-conformities in which the conformity assessment body (CAB) did not agree	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Inform the accreditation body (AB) of any unusual circumstances that occurred during the assessment	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Clarify any unusual or unclear wording in reports to the accreditation body (AB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Respond to questions from the accreditation body (AB) decision makers (if required)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

When you verify the effectiveness of the corrective actions as part of conducting post onsite and reporting activities, please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Interact with the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Resolve problems with the conformity assessment body (CAB)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Review corrective actions for appropriateness including root cause analysis	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Provide feedback regarding the corrective action plan	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine what the requirements for verification of the effectiveness of the corrective actions will be (documentation, onsite re-visit, follow-up visit, next surveillance, etc.)	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Determine if corrective actions are sufficient and appropriate	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>
Verify the effectiveness of the implementation of the corrective actions	<input type="text" value="6"/>	<input type="text" value="6"/>	<input type="text" value="6"/>

All of the tasks on this page relate to developing professional competence (knowledge, skills and abilities).

When you demonstrate professional behaviors as part of developing professional competence (knowledge, skills and abilities), please indicate how important these tasks are to you as an assessor.

Importance - How important is this task to the overall successful performance of the assessor?

Refrains from selling one's own consulting services during an assessment	<input type="text" value="6"/>
Demonstrates punctuality by adhering to time commitments	<input type="text" value="6"/>
Dressess appropriately for the assessment (consistent with the staff of the conformity assessment body (CAB))	<input type="text" value="6"/>
Remains neutral (does not take sides) during disagreements among assessment participants	<input type="text" value="6"/>
Displays respect for others (does not make disparaging or demeaning comments, takes into account the expert opinions of other assessors)	<input type="text" value="6"/>
Refrains from disagreeing with other assessment team members in front of the conformity assessment body (CAB)	<input type="text" value="6"/>
Displays courtesy by being polite to the members of the conformity assessment body (CAB)	<input type="text" value="6"/>
Refrains from negative comments about the accreditation body (AB)	<input type="text" value="6"/>
Resists undue influence from others (demonstrates one is not intimidated by someone to make an incorrect or inaccurate decision)	<input type="text" value="6"/>
Maintains a professional level of skepticism appropriate for assessments	<input type="text" value="6"/>
Refrains from monopolizing the conversation and telling of "old stories from the past"	<input type="text" value="6"/>
Does not make negative comments about the conformity assessment body's (CAB's) personnel	<input type="text" value="6"/>
Avoids opinions and personal biases and sticks to the facts (can support conclusions with objective evidence)	<input type="text" value="6"/>
Adheres to the agreed upon agenda	<input type="text" value="6"/>
Maintains confidentiality by not revealing or repeating confidential information	<input type="text" value="6"/>
Does not direct the conformity assessment body (CAB) to a particular corrective action	<input type="text" value="6"/>
Does not recommend consultants (friends, co-workers, etc.)	<input type="text" value="6"/>
Does not fail to declare a known or potential conflict of interest	<input type="text" value="6"/>
Avoids acceptance of favors or gifts (acceptable value to be determined by individual accreditation bodies (ABs))	<input type="text" value="6"/>
Does not abuse alcohol or use drugs	<input type="text" value="6"/>
Does not accept assignments that are outside of one's area of expertise	<input type="text" value="6"/>
Communicates findings on an on-going bases (does not surprise anyone with the findings)	<input type="text" value="6"/>
Does not lose temper and remains calm during the assessment	<input type="text" value="6"/>

Does not conduct personal business (phone calls, etc.) during the assessment

6

When you continue professional skills development as part of developing professional competence (knowledge, skills and abilities), please indicate how frequently you perform each task, how important these tasks are to you as an assessor and who performs the task.

	Frequency - Considering all of the assessments that you perform, how often do you perform this task?	Importance - How important is this task to the overall successful performance of the assessor?	Who performs this task?
Continue professional education and training based on assessments and/or needs	6	6	6
Respond to assessment feedback (self, formal, conformity assessment body (CAB) feedback, peer review, being monitored, etc.)	6	6	6
Participate in accreditation body (AB) assessor harmonization meetings, webinars, sessions, and other activities	6	6	6
Provide input in the development and maintenance of accreditation body (AB) accreditation policies, procedures, etc.	6	6	6
Maintain currency of technical knowledge (update training, etc.)	6	6	6

Are there any job related tasks that are missing from this survey?

No

Yes

If yes, what?

	5
	6

Is there anything that we did not include in this survey that should have been included?

No

Yes

If yes, what?

	5
	6

Thank you! We appreciate your input!

You have completed the survey, and we really appreciate the time you have taken to share your job with us!

Appendix D: Copy of Draft Content Outline



Accreditation Body (AB) Assessor Specifications and Content Outline

Job Description: An 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.

Domains/Tasks
Domain 1: Planning Assessment Activities
Task 1: Determine and/or Confirm Assessment Resource Needs
Task 2: Create the Assessment Plan
Domain II: Conducting a Document Review
Task 1: Review the Accreditation Application
Task 2: Assess the Conformity Assessment Body (CAB) Documents
Domain III: Conducting an Onsite Assessment (Office, Witness, Inspection, Surveillance, Re-accreditation)
Task 1: Conduct an opening Meeting
Task 2: Assess the Competence of the Conformity Assessment Body (CAB) against Accreditation Requirements
Task 3: Conduct Preparatory Meetings
Task 4: Conduct a Closing Meeting
Task 5: Create a Written Assessment Report (draft, final, interim, summary, etc.)
Domain IV: Conducting Post Onsite and Reporting Activities
Task 1: Communicate with the Accreditation Body (AB)
Task 2: Verify the Effectiveness of the Corrective Actions
Domain V: Developing Professional Competence (knowledge, skills and abilities)
Task 1: Demonstrate Professional Behaviors
Task 2: Continue Professional Skill Development

Accreditation Body (AB) Assessor Content Outline

DOMAIN 1: PLANNING ASSESSMENT ACTIVITIES

Task 1: Determine and/or Confirm Assessment Resource Needs

Ability to:

- Compare scope and competency needs for the assessment
- Identify the competencies required of the assessment team
- Identify needs for technical experts for the assessment
- Provide input into the selection of the assessment team
- Review the assessment site locations
- Determine special equipment or other special needs (security, etc.) requirements for the assessment
- Identify other resource needs (computers, materials, food, etc.) for the assessment
- Obtain templates, checklists, questionnaires, standards, and forms appropriate to the scope of accreditation

Knowledge of:

- Typical assessment team compositions
- Typical auditing processes
- Typical documents needed for assessments (templates, checklists, questionnaires, forms, etc)
- Typical resources required during assessments

Skill in:

- Negotiation
- Planning
- Problem Solving
- Verbal Communication

Task 2: Create the Assessment Plan

Ability to:

- Develop the assessment methodology and/or strategy
- Assign activities to the assessment team according to the qualifications and competencies
- Assign roles and responsibilities for the assessment team
- Plan the witness assessment
- Plan the agenda/schedule for the onsite assessment
- Review the logistics for the assessment
- Create sampling plan (analyze or assess risk to decide where to look and what to look at) for the assessment
- Consider results of any previous assessments/effectiveness of any corrective action implementation
- Plan assessment team meetings

-
- Obtain agreement from the conformity assessment body (CAB) on the assessment plan
 - Plan travel arrangements
-

Knowledge of:

- Certification criteria
 - Definition of key activities
 - Different types of onsite assessments (witness, office, scheduled)
 - Different types of organizational structures for conformity assessment bodies (CABs)
 - Accreditation standards, guidance and mandatory documents
 - Prioritizing assessments by risk areas
 - Typical management systems
 - Various assessment methodologies to obtain evidence
-

Skill in:

- Interpersonal Relationships
 - Leadership
 - Negotiation
 - Organization
 - Problem solving
 - Time management
 - Verbal communication
 - Written communication
-

DOMAIN II: CONDUCTING A DOCUMENT REVIEW

Task 1: Review the Accreditation Application

Ability to:

- Identify key contacts at the conformity assessment body (CAB) (communication channels)
 - Review the scope of accreditation
 - Review the application for documentation of legal status
 - Review the organizational structure of the conformity assessment body (CAB)
 - Determine critical locations (one site, multi-site) based on key activities
 - Identify any related bodies
 - Clarify the assessment scope (if needed)
 - Determine which activities will be assessed
 - Review activities to determine if object of accreditation
-

Knowledge of:

- Assessable activities versus non-assessable activities
 - Different management structures
 - Different organizational structures for conformity assessment bodies (CABs)
 - Legal entity structures
 - Requirements of standards assessing against
-

-
-
- Technical terms associated with various scopes

Skill in:

- Decision making
- Formulating questions
- Questioning techniques
- Reading comprehension
- Synthesizing information
- Verbal communication
- Written communication

Task 2: Assess Conformity Assessment Body (CAB) Documents

Ability to:

- Determine documents needed for assessment
- Obtain conformity assessment body (CAB) documents
- Check conformity assessment body (CAB) documents for completeness
- Review conformity assessment body (CAB) documents
- Ask for further documentation and/or clarification
- Analyze the conformity assessment body (CAB) Processes (management, technical, administrative, etc.)
- Determine if the conformity assessment body (CAB) documents meet the requirements
- Establish investigative lines for onsite assessment
- Communicate to the conformity assessment body (CAB) the results of the document review
- Conduct follow-up reviews (if required)
- Confirm readiness for onsite assessment

Knowledge of:

- Accreditation standards
- Conflict of interests in organizational structures and relationships (related bodies, outsourced work, etc.)
- Evidence to document conformity
- Types of documents that confirm the legal status of conformity assessment bodies (CABs)
- Typical methods to mitigate conflicts of interest
- Various organizational structures within legal entities

Skill in:

- Communicating effectively regardless of language barriers
- Note-taking
- Reading comprehension
- Synthesizing information
- Verbal communication
- Written communication

DOMAIN III: CONDUCTING AN ONSITE ASSESSMENT (OFFICE, WITNESS, INSPECTION, SURVEILLANCE, RE-ACCREDITATION)

Task 1: Conduct an Opening Meeting

Ability to:

- Confirm the assessment plan with the conformity assessment body (CAB)
- Confirm the scope of accreditation with the conformity assessment body (CAB)
- Adapt the assessment plans based on circumstances
- State the purpose of the criteria that will be used for the assessment
- Reaffirm the confidentiality of the assessment process
- Present the assessment team to the conformity assessment body (CAB) personnel
- Establish the official channels of communication
- Confirm the method of reporting the assessment results
- Ask for escorts (for safety reasons, etc.)
- Present an explanation of the assessment methodology
- Request a summary presentation of the conformity assessment body (CAB)
- Complete an attendance list
- Explain that the assessment is a sampling process (not everything will be reviewed)

Knowledge of:

- Assessment reporting processes
- Attendance list requirements
- Confidentiality requirements for assessments
- Human behavior
- Language barriers (different languages, dialects, accents, etc.)
- Legal requirements for conformity assessment bodies (CABs)
- Opening meetings
- Preparing assessment plans
- Proper etiquette
- Requirements of accreditation
- Techniques for conducting an opening meeting
- Techniques for delivering positive and negative findings
- Various assessment methods
- Various local cultures

Skill in:

- Conflict resolution
- Presentations
- Time management
- Verbal communication

Task 2: Assess the competence of the conformity assessment body (CAB) against accreditation requirements

Ability to:

- Sample the conformity assessment body (CAB) processes
- Sample the conformity assessment body (CAB) records
- Observe the conformity assessment body (CAB) processes
- Review the conformity assessment body (CAB) files and records
- Conduct interviews of persons associated with the conformity assessment body (CAB)
- Assess the conformity assessment body (CAB) management systems and controls
- Conduct witness assessments
- Extend sampling in cases of nonconformity
- Document objective evidence gathered (create working papers, take notes, complete checklist, create records, etc.)
- Determine if requirements have been met
- Evaluate the conformity assessment body (CAB) against document review findings
- Assess technical requirements
- Write conformity assessment body (CAB) nonconformities (NCs)
- Write conformity assessment body (CAB) opportunities for improvement (OFIs)
- Grade nonconformity findings (if required)
- Communicate preliminary findings to the conformity assessment body (CAB)
- Coach assessor trainees during the assessment process

Knowledge of:

- Acceptable evidence (sufficiency and appropriateness)
- Audit techniques
- Coaching assessor trainees
- Common understanding of accreditation terms requiring professional judgment
- Definition of a nonconformity and definition of an opportunity for improvement
- Documentation techniques
- Interviewing techniques
- Management systems processes
- Nonconformity grading
- Proper methods for documenting and writing nonconformities and opportunities for improvements
- Sampling techniques
- Technical areas
- Techniques for delivering positive and negative findings

Skill in:

- Conflict resolution
 - Convincing others
 - Decision-making
-

- Delivering negative message that facilitates a positive action
- Drawing appropriate conclusions
- Drawing conclusions and making judgments from objective evidence
- Explaining information
- Listening
- Maintaining control
- Nonverbal communication
- Observation
- Presentations
- Reasoning
- Stress management
- Working in teams
- Written communication

Task 3: Conduct Preparatory Meetings

Ability to:

- Gather assessment team members together
- Review roles and responsibilities for the assessment closing meeting
- Analyze the assessment findings
- Achieve consensus by the team on the assessment findings
- Confirm completion of the assessment plan
- Confirm assessment objectives were met
- Compare the findings with the requirements
- Manage and solve conflicts in the assessment team
- Review and finalize the conformity assessment body (CAB) non-conformities
- Review and finalize the opportunities for improvement (as appropriate)
- Prepare the assessment report
- Agree on the approach for closing meeting with the assessment team

Knowledge of:

- Acceptable evidence (sufficiency and appropriateness)
- Assessment plans
- Closing meetings
- Organizing effective meetings
- Preparing assessment reports
- Techniques for analyzing assessment findings
- Techniques for explaining findings
- Various roles for assessment team members
- Writing non-conformities

Skill in:

- Computer use
- Conflict resolution
- Consensus building

-
-
- Listening
 - Meeting management
 - Verbal communication
 - Written communication
-

Task 4: Conduct a Closing Meeting

Ability to:

- Present and review findings (non-conformities and/or opportunities for improvement)
 - Confirm the objectives of the assessment have been met
 - Re-confirm the scope for accreditation
 - Provide positive feedback
 - Thank the participants
 - Explain the next steps (appeal procedures, post-assessment processes, final decision schedule/timeline, potential follow-up assessments, etc.)
 - Re-confirm confidentiality
 - Obtain written acknowledgement of the non-conformities
 - Re-introduce all assessment team and conformity assessment body (CAB) participants
 - Complete the attendance list
 - Re-explain that the assessment is a sampling process (not everything was reviewed)
-

Knowledge of:

- Assessment methods
 - Basic human behavior
 - Language barriers (different languages, dialects, accents, etc.)
 - Legal requirements
 - Local cultures
 - Post assessment timelines
 - Requirements of accreditation
 - Techniques for delivering positive and negative findings
 - Typical assessment appeals procedures
 - Typical post assessment processes
-

Skill in:

- Conflict resolution
 - Dealing with hostile and aggressive people
 - Decision making
 - Interpersonal communication
 - Leadership
 - Listening
 - Maintaining control
 - Meeting management
 - Negotiation
-

- Nonverbal communication
- Organization
- Presentations
- Problem solving
- Stress management
- Time management
- Verbal communication

Task 5: Create a Written Assessment Report (draft, final, interim, summary, etc.)

Ability to:

- Obtain input from the assessment team
- Describe findings against the accreditation standard (non-conformities, opportunities for improvement, etc.)
- Incorporate comments of competence and conformity
- Describe the final assessment conclusions
- Judge the effectiveness of the corrective action (when required)
- Revise the report as necessary

Knowledge of:

- Accreditation requirements
- Appropriate documentation of findings
- Assessment reports and reporting techniques
- Local terminology use consistent with normative documents
- Report writing
- Technical aspects of the scope

Skill in:

- Completing tasks (reports) in a timely manner
- Comprehensive writing
- Computer use
- Concise writing
- Drawing appropriate conclusions
- Reporting accurately and objectively
- Synthesizing information

DOMAIN IV: CONDUCTING POST ONSITE AND REPORTING ACTIVITIES

Task 1: Communicate with the Accreditation Body

Ability to:

- Deliver the assessment report
- Communicate information regarding nonconformity resolution timing
- Communicate other information to the accreditation body (AB)
- Evaluate other assessment team members (if required)
- Inform the accreditation body (AB) of any non-conformities in which the conformity

assessment body (CAB) did not agree

- Inform the accreditation body (AB) of any unusual circumstances that occurred during the assessment
- Clarify any unusual or unclear wording in reports to the accreditation body (AB)
- Respond to questions from the accreditation body (AB) decision makers (if required)

Knowledge of:

- Personnel evaluation methods
- Typical nonconformity resolution procedures

Skill in:

- Clearly explaining information
- Computer use
- Presentations
- Providing a rationale for decisions
- Time management
- Verbal communication
- Written communication

Task 2: Verify the Effectiveness of the Corrective Actions

Ability to:

- Interact with the conformity assessment body (CAB)
- Resolve problems with the conformity assessment body (CAB)
- Review corrective actions for appropriateness including root cause analysis
- Provide feedback regarding the corrective action plan
- Determine what the requirements for verification of the effectiveness of the corrective actions will be (documentation, onsite re-visit, follow-up visit, next surveillance, etc.)
- Determine if corrective actions are sufficient and appropriate
- Verify the effectiveness of the implementation of the corrective actions

Knowledge of:

- Assessment methods
- Different management systems
- Language barriers (different languages, dialects, accents, etc.)
- Legal requirements
- Local cultures
- Requirements of accreditation
- Technical information
- Typical corrective action procedures

Skill in:

- Analyzing information
- Presenting rationale for decisions
- Problem solving
- Verbal communication

-
- Written communication

DOMAIN V: DEVELOPING PROFESSIONAL COMPETENCE (KNOWLEDGE, SKILLS AND ABILITIES)

Task 1: Demonstrate Professional Behaviors

Observable professional behaviors:

- Refrains from selling one's own consulting services during an assessment
- Demonstrates punctuality by adhering to time commitments
- Dresses appropriately for the assessment (consistent with the staff of the conformity assessment body (CAB))
- Remains neutral (does not take sides) during disagreements among assessment participants
- Displays respect for others (does not make disparaging or demeaning comments, takes into account the expert opinions of other assessors)
- Refrains from disagreeing with other assessment team members in front of the conformity assessment body (CAB)
- Displays courtesy by being polite to the members of the conformity assessment body (CAB)
- Refrains from negative comments about the accreditation body (AB)
- Resists undue influence from others (demonstrates one is not intimidated by someone to make an incorrect or inaccurate decision)
- Maintains a professional level of skepticism appropriate for assessments
- Refrains from monopolizing the conversation and telling of "old stories from the past"
- Does not make negative comments about the conformity assessment body's (CAB's) personnel
- Avoids opinions and personal biases and sticks to the facts (can support conclusions with objective evidence)
- Adheres to the agreed upon agenda
- Maintains confidentiality by not revealing or repeating confidential information
- Does not direct the conformity assessment body (CAB) to a particular corrective action
- Does not recommend consultants (friends, co-workers, etc.)
- Does not fail to declare a known or potential conflict of interest
- Avoids acceptance of favors or gifts (acceptable value to be determined by individual accreditation bodies (ABs))
- Does not abuse alcohol or use drugs
- Does not accept assignments that are outside of one's area of expertise
- Communicates findings on an on-going bases (does not surprise anyone with the findings)
- Does not lose temper and remains calm during the assessment

-
- Does not conduct personal business (phone calls, etc.) during the assessment
-

Knowledge of:

- Assessment principles
 - Confidentiality agreements
-

Task 2: Continue Professional Skills Development

Ability to:

- Continue professional education and training based on assessments and/or needs
 - Respond to assessment feedback (self, formal, conformity assessment body (CAB) feedback, peer review, being monitored, etc.)
 - Participate in accreditation body (AB) assessor harmonization meetings, webinars, sessions, and other activities
 - Provide input in the development and maintenance of accreditation body (AB) accreditation policies, procedures, etc.
 - Maintain currency of technical knowledge (update training, etc.)
-

Knowledge of:

- Available continuing education programs
 - Deficiencies, needs and/or requirements for continuing education
 - Emerging competency requirements
 - Resources for continuing education
-

Skill in:

- Computer use
 - Learning new information
 - Reading
 - Self study
-

Appendix E: Learning Objectives



Behavioral/Learning Objectives for Assessor Training

Based on the Results of the Assessor JTA (Job/Task Analysis)

1. DOMAIN 1: PLANNING ASSESSMENT ACTIVITIES

- 1.1. Given an assessment, the Assessor will be able to compare scope and competency needs for the assessment in order to determine the assessment resource needs.
- 1.2. Given an assessment, the Assessor will be able to identify the competencies required of the assessment team.
- 1.3. Given an assessment, the Assessor will be able to identify when technical experts will be needed for the assessment.
- 1.4. Given an assessment, the Assessor will be able to demonstrate an ability to provide input into the selection of the assessment team.
- 1.5. Given an assessment, the Assessor will be able to determine any assessment resource needs by reviewing the assessment sites and locations.
- 1.6. Given an assessment, the Assessor will be able to determine special equipment or other special needs (security, etc.) required for the assessment.
- 1.7. Given an assessment, the Assessor will be able to identify other resource needs (computers, materials, food, etc.) for the assessment.
- 1.8. The Assessor will be able to demonstrate the ability to obtain templates, checklists, questionnaires, standards, and forms appropriate to the scope of accreditation by describing how and where these items will be secured.
- 1.9. Given an assessment, the Assessor will be able to describe typical assessment team compositions.
- 1.10. The Assessor will be able to describe typical auditing processes.
- 1.11. The Assessor will be able to describe typical documents needed for assessments (templates, checklists, questionnaires, forms, etc).
- 1.12. The Assessor will be able to describe typical resources required during assessments.
- 1.13. The Assessor will be able to demonstrate negotiation skills appropriate for planning an assessment.
- 1.14. Given an assessment, the Assessor will be able to develop an assessment methodology and/or strategy
- 1.15. Given an assessment, the Assessor will be able to assign activities to the assessment team according to the qualifications and competencies.
- 1.16. Given an assessment, the Assessor will be able to assign roles and responsibilities for the members of the assessment team as appropriate.
- 1.17. Given an assessment, the Assessor will be able to plan a witness assessment by developing a witness assessment plan.
- 1.18. Given an assessment, the Assessor will be able to create an agenda/schedule for the onsite assessment.
- 1.19. The Assessor will demonstrate the ability to review the logistics for the assessment by adequately describing them.
- 1.20. Given an assessment, the Assessor will be able to create sampling plan (analyze or assess risk to decide where to look and what to look at) for the assessment.
- 1.21. The Assessor will be able to describe why it is important to consider results of any previous assessments/effectiveness of any corrective action implementation.
- 1.22. The Assessor will be able to demonstrate the ability to plan assessment team meetings by describing what will occur during the meetings.

- 1.23. The Assessor will be able to explain how to best obtain agreement from the conformity assessment body (CAB) on the assessment plan.
- 1.24. The Assessor will be able to describe how to plan travel arrangements for an assessment.
- 1.25. The Assessor will be able to demonstrate knowledge of typical criteria required for certification.
- 1.26. Given an Assessment, the Assessor will be able to define the key activities of the body being assessed.
- 1.27. The Assessor will be able to describe the different types of onsite assessments (witness, office, scheduled).
- 1.28. The Assessor will be able to describe different types of organizational structures for conformity assessment bodies (CABs).
- 1.29. The Assessor will be able to demonstrate knowledge of accreditation standards, guidance and mandatory documents associated with assessing CABs.
- 1.30. Given a list of risks associated with an assessment, the Assessor will be able to prioritize assessments by risk areas.
- 1.31. The Assessor will be able to demonstrate knowledge of typical management systems.
- 1.32. The Assessor will be able to demonstrate knowledge of various assessment methodologies to obtain evidence.

2. DOMAIN II: CONDUCTING A DOCUMENT REVIEW

- 2.1. Given an assessment, the Assessor will be able to identify key contacts at the conformity assessment body (CAB) (communication channels).
- 2.2. Given an assessment, the Assessor will be able to review and describe the scope of accreditation.
- 2.3. Given an assessment, the Assessor will be able to review the application and identify appropriate documentation of legal status.
- 2.4. Given an assessment, the Assessor will be able to review and describe the organizational structure of the conformity assessment body (CAB).
- 2.5. Given an assessment, the Assessor will be able to identify critical locations (one site, multi-site) based on key activities.
- 2.6. Given an assessment, the Assessor will be able to identify related bodies.
- 2.7. Given an assessment, the Assessor will be able to clarify the assessment scope.
- 2.8. Given an assessment, the Assessor will be able to determine which activities will be assessed.
- 2.9. Given an assessment, the Assessor will be able to identify which activities being conducted by the CAB should be the object of accreditation.
- 2.10. The Assessor will be able to identify assessable activities versus non-assessable activities.
- 2.11. The Assessor will be able to explain different management structures.
- 2.12. The Assessor will be able to demonstrate knowledge of different common organizational structures for conformity assessment bodies (CABs).
- 2.13. The Assessor will be able to demonstrate knowledge of common legal entity structures.
- 2.14. The Assessor will be able to demonstrate knowledge of the requirements of the standards against which the Assessor is assessing.
- 2.15. The Assessor will be able to demonstrate knowledge of the technical terms associated with various scopes.
- 2.16. Given an assessment, the Assessor will be able to determine documents needed for the assessment.
- 2.17. The Assessor will be able to describe the best method for obtaining conformity assessment body (CAB) documents.
- 2.18. Given a set of conformity assessment body (CAB) documents, the Assessor will be able to check the documents for completeness.

- 2.19. Given a set of conformity assessment body (CAB) documents, the Assessor will be able to describe how to review the documents (what he/she is looking for).
- 2.20. The Assessor will be able to describe how and when the assessor should ask for further documentation and/or clarification.
- 2.21. The Assessor will be able to describe how to analyze the conformity assessment body (CAB) Processes (management, technical, administrative, etc.) by reviewing the CAB documents.
- 2.22. Given a set of conformity assessment body (CAB) documents, the Assessor will be able to determine if the documents meet the requirements.
- 2.23. Given an assessment, the Assessor will be able to establish investigative lines for the onsite assessment.
- 2.24. The Assessor will be able to describe how to communicate to the conformity assessment body (CAB) the results of the document review.
- 2.25. The Assessor will be able to demonstrate knowledge of how and when to conduct follow-up reviews.
- 2.26. Give an set of conformity assessment body (CAB) documents the Assessor will be able to confirm the CAB's readiness for and onsite assessment.
- 2.27. The Assessor will be able to demonstrate knowledge of accreditation standards.
- 2.28. The Assessor will be able to describe typical examples of conflict of interests in organizational structures and relationships (related bodies, outsourced work, etc.).
- 2.29. The Assessor will be able to evaluate conformity assessment body (CAB) documents and determine if sufficient evidence exists to document conformity.
- 2.30. The Assessor will be able to describe the types of documents that confirm the legal status of conformity assessment bodies (CABs).
- 2.31. The Assessor will be able to demonstrate knowledge of typical methods to mitigate conflicts of interest.
- 2.32. The Assessor will be able to demonstrate knowledge of the variety of typical organizational structures within legal entities.
3. **DOMAIN III: CONDUCTING AN ONSITE ASSESSMENT (OFFICE, WITNESS, INSPECTION, SURVEILLANCE, RE-ACCREDITATION)**
 - 3.1. The Assessor will be able to describe how to confirm the assessment plan with the conformity assessment body (CAB).
 - 3.2. The Assessor will be able to describe how to confirm the scope of accreditation with the conformity assessment body (CAB).
 - 3.3. Given an assessment, the Assessor will be able to demonstrate the ability to adapt the assessment plans based on circumstances.
 - 3.4. Given an assessment, the Assessor will be able to state the purpose of the criteria that will be used for the assessment.
 - 3.5. The Assessor will be able to describe how to reaffirm the confidentiality of the assessment process.
 - 3.6. The Assessor will be able to describe how to present the assessment team to the conformity assessment body (CAB) personnel.
 - 3.7. The Assessor will be able to describe typical methods for establishing the official channels of communication.
 - 3.8. The Assessor will be able to describe the importance of confirming the method of reporting the assessment results to the conformity assessment body (CAB).
 - 3.9. Given an assessment, the Assessor will be able to identify when he/she should ask for escorts (for safety reasons, etc.).
 - 3.10. Given an assessment, the Assessor will be able to present an explanation of the assessment methodology selected.

- 3.11. The Assessor will be able to describe why and how to request a summary presentation from the conformity assessment body (CAB).
- 3.12. The Assessor will be able to describe why and how to complete an attendance list.
- 3.13. The Assessor will be able to demonstrate knowledge of why and how to explain that the assessment is a sampling process (not everything will be reviewed).
- 3.14. The Assessor will be able to demonstrate knowledge of assessment reporting processes.
- 3.15. The Assessor will be able to demonstrate knowledge of attendance list requirements.
- 3.16. The Assessor will be able to demonstrate knowledge of the confidentiality requirements for assessments.
- 3.17. The Assessor will be able to demonstrate knowledge of typical human behavior characteristics.
- 3.18. The Assessor will be able to describe the issues associated with and the strategies for coping with language barriers (different languages, dialects, accents, etc.).
- 3.19. The Assessor will be able to demonstrate knowledge of the legal requirements for conformity assessment bodies (CABs).
- 3.20. The Assessor will be able to demonstrate knowledge of the content of and procedures for conducting an opening meeting.
- 3.21. The Assessor will be able to describe how to prepare assessment plans including what should be in one and how one is developed.
- 3.22. The Assessor will be able to describe what would be proper etiquette for an assessment including what would not be acceptable behavior for an assessor.
- 3.23. The Assessor will be able to demonstrate knowledge of the requirements of accreditation.
- 3.24. The Assessor will be able to demonstrate knowledge of the various techniques for conducting an opening meeting.
- 3.25. The Assessor will be able to demonstrate knowledge of the various techniques for delivering positive and negative findings.
- 3.26. The Assessor will be able to demonstrate knowledge of the characteristics of various assessment methods.
- 3.27. The Assessor will be able to demonstrate knowledge of how local cultures can impact an assessment.
- 3.28. Given an assessment, the Assessor will be able to describe how to sample the conformity assessment body (CAB) processes.
- 3.29. Given an assessment, the Assessor will be able to describe how to sample the conformity assessment body (CAB) records.
- 3.30. Given an assessment, the Assessor will be able to describe how to observe the conformity assessment body (CAB) processes.
- 3.31. Given an assessment, the Assessor will be able to describe how to review the conformity assessment body (CAB) files and records.
- 3.32. Given an assessment, the Assessor will be able to describe how to conduct interviews of persons associated with the conformity assessment body (CAB).
- 3.33. Given an assessment, the Assessor will be able to describe how to assess the conformity assessment body (CAB) management systems and controls.
- 3.34. Given an assessment, the Assessor will be able to describe how to conduct witness assessments.
- 3.35. Given an assessment, the Assessor will be able to identify when there is a need to extend sampling in cases of nonconformity.
- 3.36. Given an assessment, the Assessor will be able to describe how to document objective evidence gathered (create working papers, take notes, complete checklist, create records, etc.).
- 3.37. Given an assessment, the Assessor will be able to determine if requirements have been met.

- 3.38. Given an assessment, the Assessor will be able to evaluate the conformity assessment body (CAB) against document review findings.
- 3.39. Given an assessment and given the results of the assessment by the technical expert, the Assessor will be able to assess technical requirements.
- 3.40. The Assessor will be able to write conformity assessment body (CAB) nonconformities (NCs) according to accepted, industry-standards.
- 3.41. The Assessor will be able to write conformity assessment body (CAB) opportunities for improvement (OFIs) according to accepted, industry standards.
- 3.42. The Assessor will be able to grade nonconformity findings (if required) according to accepted, industry standards.
- 3.43. Given an assessment, the Assessor will be able to identify and describe how to communicate preliminary findings to the conformity assessment body (CAB).
- 3.44. The Assessor will be able to describe how to coach assessor trainees during the assessment process.
- 3.45. The Assessor will be able to identify what is acceptable evidence (sufficiency and appropriateness) of conformance against a standard.
- 3.46. The Assessor will be able to demonstrate knowledge of audit techniques.
- 3.47. The Assessor will be able to demonstrate knowledge of how to coach assessor trainees.
- 3.48. The Assessor will be able to demonstrate a common understanding of accreditation terms requiring professional judgment.
- 3.49. The Assessor will be able to define a “nonconformity” (NC) and define an “opportunity for improvement” (OFI).
- 3.50. The Assessor will be able to demonstrate knowledge of acceptable documentation techniques.
- 3.51. The Assessor will be able to demonstrate knowledge of common interviewing techniques.
- 3.52. The Assessor will be able to demonstrate knowledge of management systems processes.
- 3.53. The Assessor will be able to demonstrate knowledge of how to grade nonconformities.
- 3.54. The Assessor will be able to demonstrate knowledge of proper methods for documenting and writing nonconformities and opportunities for improvements.
- 3.55. The Assessor will be able to demonstrate knowledge of sampling techniques.
- 3.56. The Assessor will be able to identify what are technical areas and when technical expertise is needed.
- 3.57. The Assessor will be able to demonstrate knowledge of techniques for delivering positive and negative findings.
- 3.58. The Assessor will be able to describe the importance of gathering assessment team members together.
- 3.59. The Assessor will be able to describe how to review roles and responsibilities for the assessment closing meeting.
- 3.60. Given an assessment, the Assessor will be able to analyze the assessment findings.
- 3.61. Given an assessment and an assessment team, the Assessor will be able to describe how to achieve consensus by the team on the assessment findings.
- 3.62. Given an assessment, the Assessor will be able to confirm completion of the assessment plan.
- 3.63. Given an assessment, the Assessor will be able to confirm assessment objectives were met.
- 3.64. Given an assessment and the data associated with the assessment, the Assessor will be able to compare the findings with the requirements.
- 3.65. The Assessor will be able to describe how to manage and solve conflicts in the assessment team.
- 3.66. Given findings from an assessment, the Assessor will be able to review and finalize the conformity assessment body (CAB) non-conformities.
- 3.67. Given findings from an assessment, the Assessor will be able to review and finalize the opportunities for improvement (as appropriate).

- 3.68. Given findings from an assessment, the Assessor will be able to prepare the assessment report.
- 3.69. The Assessor will be able to describe how to reach agreement on the approach for closing meeting with an assessment team
- 3.70. The Assessor will be able to identify what is acceptable evidence (sufficiency and appropriateness).
- 3.71. The Assessor will be able to demonstrate knowledge of the components of a closing meeting.
- 3.72. The Assessor will be able to describe how to organize effective closing meetings.
- 3.73. The Assessor will be able to demonstrate knowledge of how to prepare assessment reports.
- 3.74. The Assessor will be able to demonstrate knowledge of techniques for analyzing assessment findings.
- 3.75. The Assessor will be able to demonstrate knowledge of techniques for explaining findings
- 3.76. The Assessor will be able to demonstrate knowledge of how to identify and select various roles for assessment team members.
- 3.77. The Assessor will be able to demonstrate knowledge of writing non-conformities.
- 3.78. Given the results of an assessment, the Assessor will be able to present and review the findings (non-conformities and/or opportunities for improvement).
- 3.79. Given an assessment plan and the result of the assessment, the Assessor will be able to confirm the objectives of the assessment have been met.
- 3.80. The Assessor will be able to describe techniques for providing positive feedback.
- 3.81. The Assessor will be able identify the importance of thanking the participants in the assessment.
- 3.82. The Assessor will be able to explain the next steps (appeal procedures, post-assessment processes, final decision schedule/timeline, potential follow-up assessments, etc.) that follow the completion of an assessment.
- 3.83. The Assessor will be able to describe the importance of re-confirming confidentiality.
- 3.84. The Assessor will be able to describe why it is important to obtain written acknowledgement of the non-conformities.
- 3.85. The Assessor will be able to identify the components of a closing meeting and why each component is important.
- 3.86. The Assessor will be able to identify one of the components of a closing meeting is to re-introduce all assessment team and conformity assessment body (CAB) participants.
- 3.87. The Assessor will be able to identify completion of the attendance list as a component of the closing meeting.
- 3.88. The Assessor will be able to identify the re-explain that the assessment is a sampling process (not everything was reviewed) as a component of a closing meeting.
- 3.89. The Assessor will be able to demonstrate knowledge of various assessment methods.
- 3.90. The Assessor will be able to demonstrate knowledge of basic human behavior.
- 3.91. The Assessor will be able to demonstrate knowledge of how language barriers (different languages, dialects, accents, etc.) affect assessments.
- 3.92. The Assessor will be able to demonstrate knowledge of legal requirements associated with assessments.
- 3.93. The Assessor will be able to demonstrate knowledge of how local cultures impact assessments.
- 3.94. The Assessor will be able to demonstrate knowledge of post assessment timelines.
- 3.95. The Assessor will be able to demonstrate knowledge of techniques for delivering positive and negative findings.
- 3.96. The Assessor will be able to demonstrate knowledge of typical assessment appeals procedures.
- 3.97. The Assessor will be able to demonstrate knowledge of typical post assessment processes.
- 3.98. The Assessor will be able to describe processes for obtaining input from the assessment team.

- 3.99. Given an assessment and the findings from the assessment, the Assessor will be able to describe findings against the accreditation standard (non-conformities, opportunities for improvement, etc.).
- 3.100. Given an assessment and the data from the assessment, the Assessor will be able to describe the findings in a way that incorporates comments of competence and conformity.
- 3.101. Given an assessment and the data from the assessment, the Assessor will be able to describe the final assessment conclusions.
- 3.102. Given an assessment, the findings from the assessment and the proposed corrective actions, the Assessor will be able to judge the effectiveness of the corrective action (when required).
- 3.103. The Assessor will be able to describe the conditions under which the report should be revised.
- 3.104. The Assessor will be able to describe what constitutes appropriate documentation of findings.
- 3.105. The Assessor will be able to demonstrate knowledge of assessment reports and reporting techniques.
- 3.106. The Assessor will be able to demonstrate knowledge of local terminology use that is consistent with normative documents.
- 3.107. The Assessor will be able to demonstrate knowledge of report writing.

4. **DOMAIN IV: CONDUCTING POST ONSITE AND REPORTING ACTIVITIES**

- 4.1. The Assessor will be able to describe the process associated with delivering the assessment report.
- 4.2. The Assessor will be able to describe the process to communicate information regarding nonconformity resolution timing.
- 4.3. The Assessor will be able to describe the process to communicate other information to the accreditation body (AB)
- 4.4. Given data on the performance of assessment team members, the Assessor will be able to evaluate other assessment team members (if required)
- 4.5. The Assessor will be able to describe the process to inform the accreditation body (AB) of any non-conformities in which the conformity assessment body (CAB) did not agree
- 4.6. The Assessor will be able to describe the process to inform the accreditation body (AB) of any unusual circumstances that occurred during the assessment
- 4.7. The Assessor will be able to describe the process for clarifying any unusual or unclear wording in reports to the accreditation body (AB)
- 4.8. The Assessor will be able to respond to questions from the accreditation body (AB) decision makers (if required).
- 4.9. The Assessor will be able to demonstrate knowledge of personnel evaluation methods.
- 4.10. The Assessor will be able to demonstrate knowledge of typical nonconformity resolution procedures.
- 4.11. The Assessor will be able to demonstrate the ability to interact with the conformity assessment body (CAB).
- 4.12. The Assessor will be able to describe strategies to resolve problems with the conformity assessment body (CAB).
- 4.13. Given the results from an assessment and the proposed corrective actions, the Assessor will be able to review corrective actions for appropriateness including root cause analysis.
- 4.14. The Assessor will be able to demonstrate knowledge of providing feedback regarding the corrective action plan
- 4.15. Given an assessment, non-conformities, and corrective actions, the Assessor will be able to determine what the requirements for verification of the effectiveness of the corrective actions will be (documentation, onsite re-visit, follow-up visit, next surveillance, etc.)
- 4.16. Given an assessment, non-conformities, and corrective actions, the Assessor will be able to determine if corrective actions are sufficient and appropriate.

- 4.17. Given an assessment, non-conformities, and corrective actions, the Assessor will be able to verify the effectiveness of the implementation of the corrective actions.
- 4.18. The Assessor will be able to demonstrate knowledge of various assessment methods.
- 4.19. The Assessor will be able to demonstrate knowledge of different management systems.
- 4.20. The Assessor will be able to demonstrate knowledge of typical corrective action procedures.

5. DOMAIN V: DEVELOPING PROFESSIONAL COMPETENCE (KNOWLEDGE, SKILLS AND ABILITIES)

- 5.1. The Assessor will be able to explain why it is important that assessors refrain from selling their own consulting services during an assessment.
- 5.2. The Assessor will be able to explain why it is important that assessors demonstrate punctuality by adhering to time commitments.
- 5.3. The Assessor will be able to explain why it is important that assessors dress appropriately for the assessment (consistent with the staff of the conformity assessment body (CAB)).
- 5.4. The Assessor will be able to explain why it is important that assessors remain neutral (does not take sides) during disagreements among assessment participants.
- 5.5. The Assessor will be able to explain why it is important that assessors display respect for others (does not make disparaging or demeaning comments, takes into account the expert opinions of other assessors).
- 5.6. The Assessor will be able to explain why it is important that assessors refrain from disagreeing with other assessment team members in front of the conformity assessment body (CAB).
- 5.7. The Assessor will be able to explain why it is important that assessors display courtesy by being polite to the members of the conformity assessment body (CAB).
- 5.8. The Assessor will be able to explain why it is important that assessors refrain from negative comments about the accreditation body (AB).
- 5.9. The Assessor will be able to explain why it is important that assessors resist undue influence from others (demonstrates one is not intimidated by someone to make an incorrect or inaccurate decision).
- 5.10. The Assessor will be able to explain why it is important that assessors maintain a professional level of skepticism appropriate for assessments.
- 5.11. The Assessor will be able to explain why it is important that assessors refrain from monopolizing the conversation and refrain from telling "old stories from the past".
- 5.12. The Assessor will be able to explain why it is important that assessors do not make negative comments about the conformity assessment body's (CAB's) personnel.
- 5.13. The Assessor will be able to explain why it is important that assessors avoid opinions and personal biases and sticks to the facts (can support conclusions with objective evidence).
- 5.14. The Assessor will be able to explain why it is important that assessors adhere to the agreed upon agenda.
- 5.15. The Assessor will be able to explain why it is important that assessors maintain confidentiality by not revealing or repeating confidential information.
- 5.16. The Assessor will be able to explain why it is important that assessors do not direct the conformity assessment body (CAB) to a particular corrective action.
- 5.17. The Assessor will be able to explain why it is important that assessors do not recommend consultants (friends, co-workers, etc.).
- 5.18. The Assessor will be able to explain why it is important that assessors do not fail to declare a known or potential conflict of interest.
- 5.19. The Assessor will be able to explain why it is important that assessors avoid acceptance of favors or gifts (acceptable value to be determined by individual accreditation bodies (ABs)).
- 5.20. The Assessor will be able to explain why it is important that assessors do not abuse alcohol or use drugs.

- 5.21. The Assessor will be able to explain why it is important that assessors do not accept assignments that are outside of their area of expertise.
- 5.22. The Assessor will be able to explain why it is important that assessors communicate findings on an on-going bases (does not surprise anyone with the findings).
- 5.23. The Assessor will be able to explain why it is important that assessors do not lose their tempers and remain calm during the assessment.
- 5.24. The Assessor will be able to explain why it is important that assessors do not conduct personal business (phone calls, etc.) during the assessment.
- 5.25. The Assessor will be able to demonstrate knowledge of assessment principles.
- 5.26. The Assessor will be able to demonstrate knowledge of confidentiality agreements.
- 5.27. The Assessor will be able to explain why it is important to continue professional education and training based on assessments and/or needs.
- 5.28. The Assessor will be able to explain why it is important to respond to assessment feedback (self, formal, conformity assessment body (CAB) feedback, peer review, being monitored, etc.).
- 5.29. The Assessor will be able to explain why it is important to participate in accreditation body (AB) assessor harmonization meetings, webinars, sessions, and other activities.
- 5.30. The Assessor will be able to explain why it is important to provide input in the development and maintenance of accreditation body (AB) accreditation policies, procedures, etc.
- 5.31. The Assessor will be able to explain why it is important to maintain the currency of technical knowledge (update training, etc.).
- 5.32. The Assessor will be able to demonstrate a awareness of their own deficiencies, needs and/or requirements for continuing education.