ADMINISTRATIVE PROCESS RULE:
ASSESSMENT ACTIVITIES

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INTRODUCTION

The purpose of the assessment process is to determine the customer’s compliance with the requirements of the applicable accreditation standard(s), ANAB accreditation requirements, and supplemental requirements associated with requested optional programs, and the customer’s technical competence for a declared scope of accreditation. Various assessment activity types are used, both on site and remotely, to evaluate conformance.

REFERENCES

ANAB MA 2100, Accreditation Manual for Laboratory-Related Activities (Non-Forensics)

ASSESSMENT ACTIVITIES

NEW CUSTOMERS

**Introductory Visit (IV):** An IV is an optional assessment activity performed by a lead assessor, typically for one day. The assessor presents and answers general questions regarding the accreditation requirements and assessment process. ANAB assessors are not permitted to provide consultancy. During an IV, the assessor may tour the facilities and identify obvious potential nonconformances. This is an informal educational visit without a formal report or documented findings. No accreditation decision is made.

**Accreditation Assessment Document Review (AADR):** The AADR is a required remote assessment activity to determine if the organization’s quality management system is adequate to permit an initial assessment. A lead assessor performs the AADR. ANAB requests various quality system documents and, upon receipt, assigns a lead assessor to review the documents. The lead assessor provides a recommendation to proceed with the initial assessment.

**Planning Visit (PV):** A PV is an optional assessment activity performed by a lead assessor, typically for one assessment day. This is an opportunity to have one-on-one interface with a lead assessor without formal nonconformities being issued. This is an opportunity to address specific questions or concerns about the accreditation process. ANAB assessors are not permitted to provide consultancy. A PV may provide an opportunity to review nonconformances and opportunities identified during the AADR. A PV may include sample assessment questioning to prepare staff and may identify obvious potential nonconformances.

**Practice Assessment (PA):** A PA is an optional on-site service that is an unofficial accreditation assessment. ANAB conducts an assessment just as it would an actual accreditation assessment, documenting compliance and nonconformities on the forms used for an assessment. ANAB assessors are not permitted to provide consultancy. ANAB provides the customer these assessment records. The customer can undergo a maximum of two practice assessments. Practice assessments have no influence on the accreditation assessment. Assessors assigned to conduct the practice assessment normally do not conduct the accreditation assessment.

**Accreditation Assessment (AA):** The AA is the initial assessment activity for eventually granting accreditation. The AA includes assessment of the entire quality management system to determine
conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. The AA also includes assessment of technical competence covering the entire proposed scope of accreditation. Nonconformities may be issued. An official assessment report is issued. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**Transfer Surveillance Assessment (TSA):** The TSA is an initial assessment activity of an organization currently accredited by another ILAC MRA signatory accreditation body and typically is used to transfer an organization that is currently scheduled for a surveillance assessment. The TSA is a surveillance assessment activity that has a technical focus. The TSA assesses a portion of the quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. The TSA also includes assessment of technical competence covering a portion to include any proposed changes to the current scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**Transfer Reassessment (TRA):** The TRA is an initial on-site assessment activity of an organization currently accredited by another ILAC MRA signatory accreditation body and typically is used to transfer an organization that is currently scheduled for a reassessment. The TRA assesses the entire quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. The TRA also includes assessment of technical competence covering the entire proposed scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**EXISTING CUSTOMERS**

**Reassessment (RA):** The RA is an on-site assessment activity occurring every two years from the AA for renewing a current accreditation. Some existing customers may be on an alternate cycle. The RA assesses the entire quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. The RA also includes assessment of technical competence covering the entire proposed scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**SURVEILLANCE ASSESSMENTS**

A surveillance assessment is an assessment activity typically occurring every two years between AA and RA assessments for confirming and continuing a current accreditation. An Accreditation Manager selects one of several types of surveillance activities based on a number of factors, including but not limited to quality system maturity, stability and competence of the organization, proposed changes to the scope of accreditation, previous assessment results, assessor recommendation, and complaints received concerning the accredited organization.

**Surveillance Assessment (SA1):** The SA1 assesses a portion of the quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation
requirements, and any requirements associated with a supplemental program requested. The SA1 typically is used to accommodate technical witnessing for minor changes to the current scope of accreditation; to confirm implementation of non-technical aspects of corrective action taken resulting from previous assessment activities; or to investigate actions taken resulting from complaints related to non-technical activities. The SA1 also may include assessment of technical competence covering a portion to include any proposed changes to the current scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**Surveillance Assessment (SA2):** The SA2 is an on-site surveillance assessment activity that has a technical focus. The SA2 typically is used to accommodate technical witnessing for major changes or additions to the scope of accreditation; to confirm implementation of technical aspects of corrective action taken resulting from previous assessment activities or unsatisfactory results from proficiency testing or inter-laboratory comparisons; or to investigate actions taken resulting from complaints related to technical activities. The SA2 assesses a portion of the quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. The SA2 also includes assessment of technical competence covering a portion to include any proposed changes to the current scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**Surveillance Desk Assessment (SDA):** The SDA is a remote surveillance activity that has a non-technical focus. The SDA uses teleconferencing and computer-screen-sharing technology to interact with the customer and assess a portion of the quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. Technical witnessing is not conducted and, therefore, only the most minor changes can be made to the scope of accreditation with the prior approval of the Accreditation Manager.

**Surveillance Document Review (SDR):** The SDR is a remote surveillance activity that has a non-technical focus. The SDR focuses on review of customer documentation and records to assess a portion of the quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. Technical witnessing is not conducted and, therefore, only the most minor changes can be made to the scope of accreditation with the prior approval of the Accreditation Manager.

**SPECIAL ACTIVITIES FOR EXISTING CUSTOMERS**

**Site Addition Visit (SAV):** The SAV is a special surveillance assessment activity that has a technical focus with the purpose of granting accreditation to an additional site associated with a currently accredited organization. The SAV assesses a portion of the quality management system to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested. The SAV also includes assessment of technical competence covering a sampling of the proposed scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.
**Scope Expansion (SE):** The SE is a special surveillance assessment activity that has a technical focus with the purpose of expanding the scope of accreditation for a currently accredited organization. The SE assesses portions of the quality management system relating to the scope expansion to determine conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with the supplemental program requested. The SE also includes an assessment of technical competence covering the proposed expansion of the current scope of accreditation. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**Corrective Action Verification (CAV):** The CAV is a special surveillance assessment activity for confirming the implementation of corrective actions taken to resolve nonconformances cited during a recent assessment activity. An Accreditation Manager allocates an appropriate number of assessors based on the quantity and content of the specific nonconforming issues cited.

**Site Witnessing Visit (SWV):** The SWV is a surveillance assessment activity of a satellite facility within a multi-site accreditation. The purpose of the SWV is to verify the technical competence of the site’s technical activities supporting the main site’s scope of accreditation. The SWV may assess portions of the quality management system to verify conformance with the requirements of the accreditation standard, ANAB accreditation requirements, and any requirements associated with a supplemental program requested because of questions raised during witnessing activities. An Accreditation Manager allocates an appropriate number of assessors based on the content of the proposed scope of accreditation.

**REMOTE VIRTUAL ASSESSMENTS**

ANAB may use various technological platforms to perform assessment activities using remote virtual assessment techniques. These techniques may include teleconference, video conferencing, and computer-screen-sharing technology platforms.

**REVISION HISTORY**

<table>
<thead>
<tr>
<th>Revision Level</th>
<th>Revision Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original Release</td>
<td>2017/02/23</td>
<td>Merged legacy ANAB and L-A-B assessment activities into one administrative process rule.</td>
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<tr>
<td>1</td>
<td>2017/04/10</td>
<td>Minor editorial changes prior to uploading to Qualtrax.</td>
</tr>
<tr>
<td>2</td>
<td>2018/05/04</td>
<td>Added sentence about consultancy to paragraphs on Practice Assessment and Planning Visit.</td>
</tr>
<tr>
<td>3</td>
<td>2018/06/29</td>
<td>Removed language from SDR activity stating the assessor does not talk with the customer, as the assessor may interact with the customer for SDR activities. Added section about remote virtual assessments.</td>
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