



D05-02d9

REMOTE ASSESSMENT

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1 PURPOSE

The purpose of this Annex to D05-02 is to determine the procedure for planning and conducting assessment – in part or in full – remotely, when on-site assessment is not possible or applicable, and to lay down the related tasks or responsibilities of the assessor team members.

2 TERMS USED

Information & Communication Technology (ICT) – Technology that serves gathering, storing, retrieving, processing, analysing, and transmitting information. It includes software and hardware such as smart phones, PDAs, laptops, desktop computers, drones, video cameras, transmission technology, artificial intelligence devices, etc.

Remote assessment – Assessment of the physical location and/or virtual site (i.e. online environment, (e.g. cloud environment) allowing conformity assessment body's personnel to execute processes) using information and communication technologies.

3 GENERAL INSTRUCTIONS

The procedure can be used for assessing all types of conformity assessment bodies (CABs) and for all types of assessments, with exceptions stated in the document S03.

Remote assessment follows, *mutatis mutandis*, all the steps of usual assessment as indicated in the procedure D05-02 and its annexes. In carrying out horizontal and vertical assessment, the same techniques shall be used as in on-site assessment (e.g. interviewing auditee's representatives, reviewing documents and records, witnessing the performance of activities from the scope of accreditation), with the difference being in that their implementation shall be adequately combined and adapted to the specific circumstances regarding the possibility of access to documents and records, and to the available ways of remote communication with the aim of ensuring all information necessary to carry out assessment in the complete scope needed, and to replace on-site assessment.

When conducting remote assessment, the assessment techniques mentioned above shall be adapted in the following ways:

- Interviewing the auditee's representatives shall be carried out via video conference using a device that allows the transmission of images and sound (e.g. smart phone/computer/tablet). In the same way the opening and closing meeting as well as interim meetings of the assessor team shall be carried out.
- Reviewing the documents/records shall be carried out via video conference using a device that allows the transmission of images and sound and exchanging or sharing of information via screen. The documents/records shall be exchanged by email or via clouds (e.g. using the SA Cloud: <https://nextcloud.slo-akreditacija.net/index.php/login>). When the client allows it, the use of remote access to the client's information system is also possible.
- Witnessing of the performance of activities from the scope of accreditation shall be implemented using a device that allows real time transmission of images and sound (e.g. via video conference, using a drone). When this is not possible or practical, the auditee shall record the performance of the activity and send the recording to the assessor prior to the assessment.

4 DESCRIPTION OF PROCEDURE

4.1 Activities preceding remote assessment

4.1.1 Remote assessment planning

In remote assessment, the lead assessor must be more involved in assessment planning, and partly also in its organisation, than in on-site assessment. This requires more intense communication with the coordinator, and usually also with other members of the assessor team. When planning the assessment, the lead assessor shall also consult (if necessary) the manager of the relevant accreditation sector. The lead assessor shall debrief the coordinator on any direct communications with the members of the assessor team, the sector manager and the client's representatives.

The lead assessor shall make sure that an appropriate way and scope of implementation of the assessment is agreed with all members of the assessor team (i.e., what individual member of the team is supposed to carry out by reviewing the documents and what by using a video link; which parts of assessment shall nevertheless be conducted on-site, and how long it will take; how the planned witnessing of the performance of activities from the scope of accreditation will be carried out: via video conference, by viewing the recording, by physical presence of the assessor). When necessary, the assessment shall be divided into several parts with the assessors/experts assessing several consecutive or separate days.

4.1.2 Documentation for preparing remote assessment

In order to ensure all vital documents and records before the assessment, the client shall normally be required to provide, in addition to the standard set of documents, also additional documents and records. These are needed when prior review (e.g. of more comprehensive records) would ensure more efficient assessment, in particular when the information needs cross-checking, or when there is risk of the information not being readily and quickly accessible during the assessment.

Each member of the assessor team shall communicate to the coordinator the set of additional documents and records according to the planned purpose, manner and scope (e.g. according to the selected elements of requirements as well as selected methods/procedures for a comprehensive assessment; according to the planned vertical assessments to verify the efficiency of actions from previous assessment) of remote assessment, according to the specific circumstances of the client, and also taking into account the possibilities of access to documentation and its provision. The assessors shall consult about this the lead assessor, when necessary. The assessors shall only require the documents that they intend to review within the scope of the assessment. The assessors shall communicate their requirements for additional documentation and records to the coordinator in a timely manner. The lead assessor shall be familiar with the requirements of other members of the assessor team, and coordinate them, when necessary. The lead assessor shall see to it that the requirements are communicated to the auditee in an understandable way, that they are harmonized and not exaggerated.

The set of additionally required documents may include, as applicable:

- a list of all employees who perform the activities from the accredited scope;
- a list of key personnel and their substitutes;
- training plan for the current year and implementation of previous plan;
- a list of equipment used to perform the accredited activity;



- the manner and evidence of ensuring metrological traceability;
- a list of all important changes (e.g. in personnel, equipment, performance of the accredited activities...) since previous assessment, and records of controlling them (e.g. for changes in personnel, provide training programmes and records of their implementation);
- records of last management review carried out (minutes/report and proposed actions/improvements, input data or reports);
- records of last internal audit carried out (audit plan/programme, individual auditors' records, reports, records of nonconformities found/proposals of improvements and their treatment);
- records of handling nonconformities from previous assessment (root cause analysis, actions, checking action implementation, assessment of the effectiveness);
- a list of all nonconformities/improvements identified and addressed in the period since previous assessment;
- risk control records;
- records of handling complaints/appeals received in the period since previous assessment;
- data on the accredited conformity assessment activities performed in individual fields (e.g. in the form of a list of reports, certificates, and the like, issued), based on which the assessors shall select the sample for, e.g., vertical review;
- changes introduced into the flexible scope since previous assessment;
- (for certification bodies) a list of members of the mechanism for ensuring impartiality (usually Certification Committee), records of this mechanism meetings since last assessment (invitation, documentation discussed, minutes with decisions ...);
- (for certification bodies) the forms used in conducting the certification process;
- (for certification bodies) records of controlling the work of subcontractors;
- (for certification bodies) records of carrying out the certification process for vertical audit for clients pre-selected by the lead assessor;
- recordings for the needs of witnessing the performance of procedures, e.g. performance of the procedure on the field, where there is no proper internet access to allow "live" transmission of the performance. In such a case, it is advisable that the assessors clearly define to the client, in advance, as to which steps and details they would like to see on that recording, and for example, whether they would want the operator to orally explain the method of implementation.

4.1.3 Reviewing the documentation and preparing assessment programme

At the stage of preparing for remote assessment, the assessor shall review the documentation in the same way as when preparing for on-site assessment. Besides this, review of documentation in remote assessment can constitute a part of the assessment that would otherwise be carried out on-site.

When defining the programme, efficient communication should be ensured between individual assessors and the auditee's representatives as well as between the assessor team members, and the possibility of lead assessor controlling the course of assessment by other assessor team members. For the preparation of remote assessment programme, the contents of the standard form OB05-45 shall be adapted accordingly. An example of programme is shown in *Annex 1* hereto. The lead assessor shall, within the framework of preparation of the assessment programme, determine all the necessary interlocutors at the client's side, and define which ICTs will be used in remote assessment. When a member of the assessor team is going to carry out a part of the assessment by reviewing the

documentation, in which case the connection with the client via ICT will not be needed, this should be indicated in the assessment programme, and pointed out again at the opening meeting, if necessary.

Preferably, the application Microsoft Teams should be used for remote assessment, which enables video conference calls and insight into the documents via a shared screen. In exceptional cases, however, when the client requires the use of some other tool, the lead assessor must warn the coordinator, should she/he not be familiar with the use of that tool. Instructions for the use of MS Teams are provided in *Annex 3* hereto. In addition, assessors may agree with the auditee on the use of additional ICTs, e.g., for conducting interviews with the personnel of the accredited CAB using other video conference applications; for access to the documentation and records while assessing via SA Cloud, e-mail or insight into the accredited CAB's information system; for witnessing the performance of the procedures using camera and applications on smart phone/PC/tablet/drone.

The operation of the ICTs planned for remote assessment shall be preliminarily test checked with the client and the members of the assessor team, with the lead assessor familiarizing the client and the members of the assessor team with the basics of MS Teams and/or other agreed ICTs operation and use. An alternative way of communication shall also be foreseen for the cases that the use of the agreed technologies should not be possible on the assessment day due to technical or other issues (e.g. communicating contact data of the lead assessor (e-mail address, phone number) to the client). When testing the operation of ICT, it is also advisable to hold a brief coordination meeting with the client and/or assessor team members, to agree on other details of remote assessment performance and to obtain information for appropriate further planning of the course of assessment.

4.2 Remote assessment implementation

Remote assessment shall be carried out with all aspects and steps being the nearest equivalent to the usual course of on-site assessment.

A classical opening meeting shall normally be held at the beginning of the remote assessment in the form of video conference with the client and all the assessor team members. Should this not be possible or reasonable, an e-mail can be sent to the client in terms of introduction to the assessment, with information including all the necessary topics of an opening meeting. If necessary, also an assessor team meeting should be held before starting the assessment.

The assessment shall be conducted according to the schedule defined in the assessment programme and according to the arrangements with the client or arrangements made at the opening meeting. Changes to the schedule may also be agreed upon, if necessary, in which case the lead assessor shall make sure that each assessor carries out the assessment in the intended duration, or that any larger derogations are explained in the assessment report. During the course of the assessment, the lead assessor shall take care of appropriate exchange of information between individual members of the assessor team.

Where circumstances permit, the client may propose corrective actions for the nonconformities found already during the course of the remote assessment. Proposals of actions, evidence and deadlines can be provided in several ways, e.g.:

- The assessor e-mails nonconformities to the client, who completes the forms and e-mails them back to the assessor;

- The assessor e-mails nonconformities to the client, who completes each report separately and shares it over the desktop, thus enabling the assessor to have direct access to the recorded proposals;
- The client orally proposes actions, evidence and deadlines, and the assessor promptly keeps record on nonconformities, which they share with the client over the desktop, thus enabling the client to have direct access to the recorded contents.

When the client, due to circumstances or on substantive grounds, is unable to propose actions for the nonconformities found during the course of the assessment or at its conclusion, he may subsequently define them in accordance with the provisions laid down in S03.

Normally, nonconformities in remote assessments are not signed; the forms shall only contain the names of the assessor team members and that of the responsible person of the auditee, while the client and the assessors confirm the contents by a return electronic message upon conclusion of the assessment. Owners of qualified electronic signatures may sign the reports electronically.

The lead assessor shall include in the assessment report information on the extent and types of the ICT technologies used for conducting the remote assessment, and give an evaluation as to whether the purpose of the remote assessment has been achieved. When the assessment has not been fully implemented, this shall be explained in the report and proposed in what way the remaining part of the assessment should be carried out (e.g. on-site, remotely), as well as the envisaged date of implementation and any conditions to be met in order to continue the assessment.

Upon conclusion of the assessment, the lead assessor shall e-mail the assessment report together with nonconformities of all the assessor team members to the client and to all the assessor team members, as well as to the coordinator for information. Should a need to change the Annex to Accreditation Certificate be established, the Annex shall also be sent to the client, normally in Word format, with the corrections agreed during the assessment visibly marked; when this is not possible or practical, the lead assessor shall list all the necessary changes to the Annex in the assessment report. The recipients of the report shall be asked to acknowledge by a return message the receipt and the contents of nonconformities, which shall replace the client's and assessor team members' signatures on nonconformities. An example of the text accompanying these documents is shown in *Annex 2* hereto.

Upon conclusion of the assessment, a closing video conference meeting shall normally be held with the client and all the assessor team members.

4.3 Post remote assessment activities

After conclusion of the remote assessment, the lead assessor shall forward to the coordinator all the assessment reports together with any additional records and communications (e.g. e-mail messages), which contain important information on client's work or special arrangements with the client that had not been sent to the coordinator for information.

The post assessment activities shall be undertaken in the same way as in on-site assessment.

5 BARRIERS TO CONDUCTING REMOTE ASSESSMENTS

When it appears that the ICTs planned or agreed with the client cannot be used – for any reason whatsoever – on the day the remote assessment is planned (e.g. inadequate communication links or

other technical reasons), the assessment shall be terminated. When the barriers are transitional in nature, the assessor team shall immediately agree with the auditee on a soonest possible alternative date, and debrief the coordinator on that. In such a case, a new version of assessment announcement and of assessment programme need not be issued. When, however, the barriers are of such a nature that the assessment cannot be concluded as planned even in the future, the lead assessor shall note this in the assessment report and advise the way of proceeding (e.g. remote assessment on a later date, use of other ICTs or on-site assessment).

Should the documentation provided by the accredited CAB for the purpose of remote assessment not allow the performance of the assessment (e.g. for being incomplete, intransparent), or should the assessor, when preparing for the assessment, find significant nonconformities or potential nonconformities that require clarifying by paying a visit to the accredited CAB, the assessor shall note this on the checklist and recommend termination of remote assessment and performance of on-site assessment.

When it appears, during the course of the remote assessment, that the planned scope of assessment cannot be carried out in the scheduled time, the provisions of S03 shall be followed.

6 CHANGES WITH REGARD TO PREVIOUS REVISION

N/A

7 TRANSITORY PROVISIONS

N/A

8 CONTROL OF THE DOCUMENT

A valid document shall be located in i4 (SA Information System). A clean copy shall be published on SA's website, and available in printed form at SA's head office.

Individual copies may be controlled in physical form. The recipients or places of storage shall be shown in records on issuance of the document.

Other printouts and copies of the document shall have informative nature and shall not be considered as controlled copies. The validity of these documents should be checked in i4 or on SA's website.

ANNEX 1 – Example of modified contents of a remote assessment programme

Opravila ga bo naslednja ocenjevalna komisija / Assessor team:

Ime in priimek / Name and surname Vloga ocenjevalca / Role of the assessor (Technical field)

Ime in priimek VOC¹⁾ vodilni ocenjevalec / *lead assessor*

Ime in priimek SOC²⁾ strokovni ocenjevalec / *technical assessor*

¹⁾ Del ocenjevanja v trajanju 0,5 dneva je/bo ocenjevalec izvedel predhodno s pregledom dokumentacije. / *Part of assessment has already been / will be carried out by the assessor by reviewing the documents in the duration of 0.5 day.*

²⁾ Del ocenjevanja v trajanju 0,25 dneva je/bo ocenjevalec izvedel predhodno s pregledom dokumentacije. / *Part of assessment has already been / will be carried out by the assessor by reviewing the documents in the duration of 0.25 day.*

Torek / Tuesday, 2. 6. 2020 (oddaljeno ocenjevanje / remote assessment)

– Ocenjevani laboratorij / *Assessed laboratory:*

Laboratorij ABC / Laboratory ABC (Cesta 7, Ljubljana)

– Ocenjevanje se izvede na oddaljeni način **z uporabo aplikacije Microsoft Teams** / *Assessment performed remotely using the application Microsoft Teams*

8.45 Vzpostavitev povezave prek dogovorjene aplikacije in preverjanje delovanja / *Establishing connection via an agreed application and checking operation*

9.00 Uvodni sestanek – določitev dnevnega programa / *Opening Meeting – definition of the assessment plan for the day*

Stranka na kratko predstavi organizacijo, akreditirano dejavnost, sistem vodenja in spremembe. / *The client shall briefly present the organisation, the accredited activities, the quality management system and the changes.*

9.30 Ocenjevanje na daljavo / *Remote Assessment* (Ime in Priimek ocenjevalca/ev / *Assessor/s*)

Med ocenjevanjem bodo pregledani naslednji dodatni dokumenti/zapisi, za katere, prosimo, zagotovite hiter dostop in možnost vpogleda prek deljenega zaslona/namizja / *During the assessment, the following additional listed documents/records will be checked for which please provide quick access and the ability to view via a shared screen/desktop:*

– **1. sklop / 1st part – zahteve / requirements: 4.1, 4.2, 8.5, 7.9** (sogovorniki / *interlocutors*: Miha Pavliha in / *and* Petka Marjetka)

- navesti dokumente in zapise / *list the documents and records*

- ...

– **2. sklop / 2nd part – zahteve / requirements: 8.7, 8.8** (sogovorniki / *interlocutors*: Tinka Pinka)

- navesti dokumente in zapise / *list the documents and records*

- ...

12.00 Odmor / *Break*

13.00 Ocenjevanje na daljavo (nadaljevanje) / *Remote Assessment (continued)* (Ime in Priimek ocenjevalca/ev / *Assessor/s*)

Med ocenjevanjem bodo pregledani naslednji dodatni dokumenti/zapisi, za katere, prosimo, zagotovite hiter dostop in možnost vpogleda prek deljenega zaslona/namizja / *During the assessment, the following additional listed documents/records will be checked for which please provide quick access and the ability to view via a shared screen/desktop:*

– **3. sklop / 3rd part – zahteve / requirements: 8.6, 7.9** (sogovorniki / *interlocutors*: Miha Pavliha in / *and* Petka Marjetka)

- navesti dokumente in zapise / *list the documents and records*

- ...

– **4. sklop / 4th part – zahteve / requirements: 8.8, 8.9** (sogovorniki / *interlocutors*: Tinka Pinka)

- navesti dokumente in zapise / *list the documents and records*

- ...

15.30 Sestanek ocenjevalne komisije / *Meeting of the assessor team*

16.00 Zaključevanje ugotovitev in priprava poročila o ocenjevanju / *Finishing findings and preparation of assessment report*

16.30 Posredovanje poročil z ocenjevanja po elektronski pošti in sestanek s predstavniki ocenjevanca (poročanje o opažanjih in razprava) / *Sending assessment reports by email and meeting with the auditee's representatives (reporting on findings and discussion)*

17.00 Zaključek ocenjevanja / *End of the assessment*



ANNEX 2 – Proposal of email message contents for conclusion of assessment

Spoštovani,

zaključili smo ocenjevanje v vašem laboratoriju z identifikacijsko številko LP-XXX.

V priponki vam pošiljam:

- Poročilo o ocenjevanju*
- Poročila o neskladnostih vodilnega ocenjevalca IPri 1 – 3*
- Poročila o neskladnostih strokovnega ocenjevalca IPri 1 – 4*
- Poročila o neskladnostih strokovnega ocenjevalca IPri 1 – 2*
- Prilogo k akreditacijski listini LP-XXX z označenimi popravki s tega ocenjevanja*

Rok za poročanje o izvedenih ukrepih je 28. oktober 2020. Ker je ocenjevanje vzorčno, je pomembno, da ob ugotovitvah razmislite o morebitni potrebi po uvedbi izboljšav tudi na druga področja, ki jih pri tem ocenjevanju nismo obravnavali.

Prosim, da preverite vsebino neskladnosti članov ocenjevalne komisije ter predloge ukrepov, ki smo jih dorekli tekom zaključnega sestanka, in s povratnim elektronskim sporočilom potrdite, če se strinjate z vsebino poslanih neskladnosti in predlaganimi ukrepi. To bo nadomestilo vaš podpis na obrazcih za neskladnosti.

Člani ocenjevalne komisije se vam zahvaljujemo za pripravljenost sodelovati pri tem ocenjevanju na daljavo, za vsa podana pojasnila in dokazila ter za zagotovitev ustreznega načina komuniciranja na daljavo.

Dodatno prosim tudi vse člane ocenjevalne komisije, da mi s povratnim sporočilom potrdite prejem svojih poročil o neskladnosti in s strani stranke predlaganih ukrepov, kar bo nadomestilo vaš podpis na poročilih o neskladnosti.

*Lep pozdrav,
Vodilni ocenjevalec*

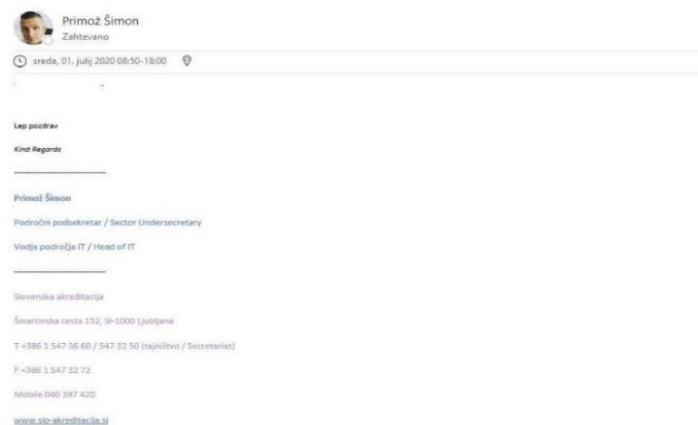
ANNEX 3 – Instructions for the use of Microsoft Teams application

Microsoft Teams

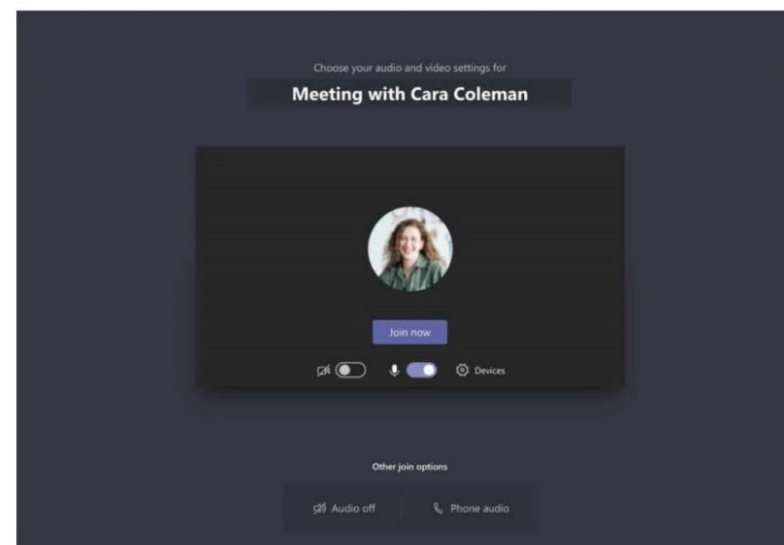


Inclusion in the meeting

Conduct lectures, staff meetings, or trainings through online meetings

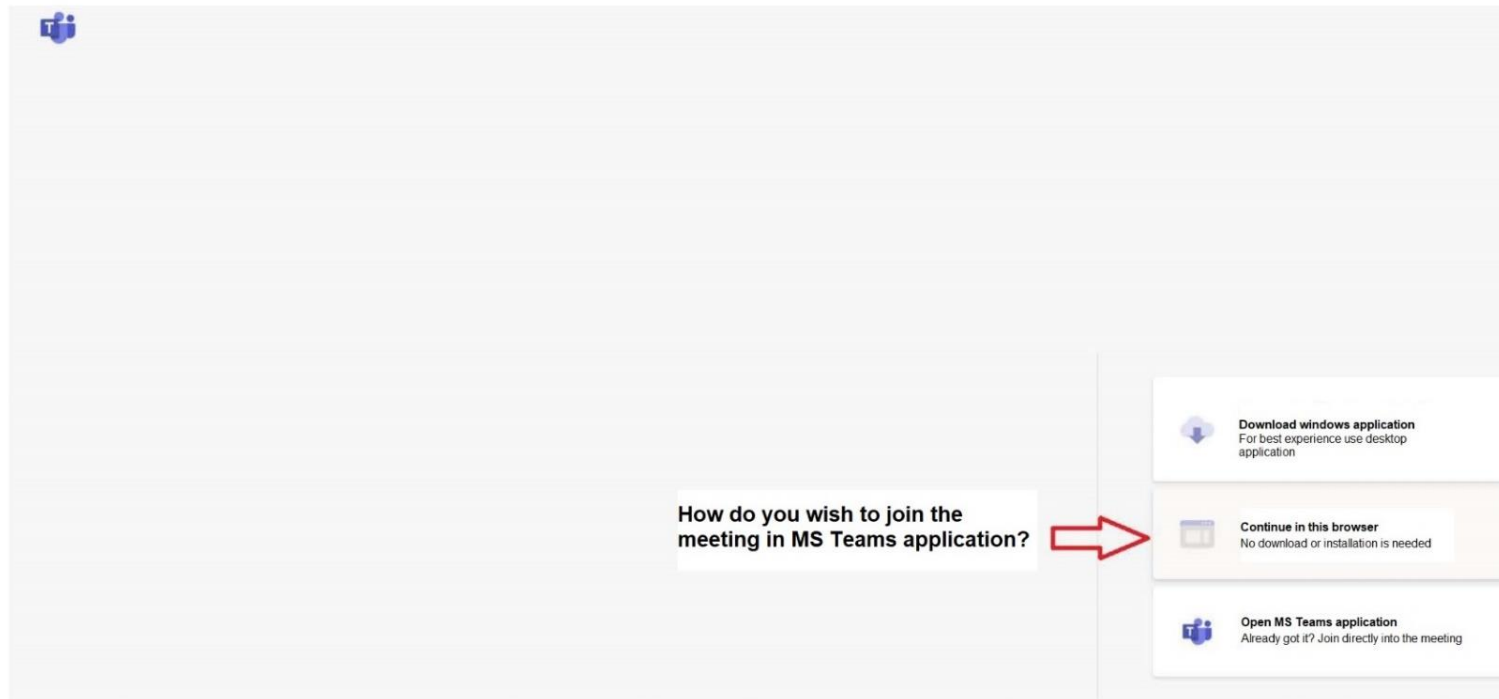


You can find the link for the meeting in the invitation you have received by email. Click on **Join Microsoft Teams Meeting** to open the meeting. When MS Teams application is installed on your PC, the dialog box in the following picture will open.



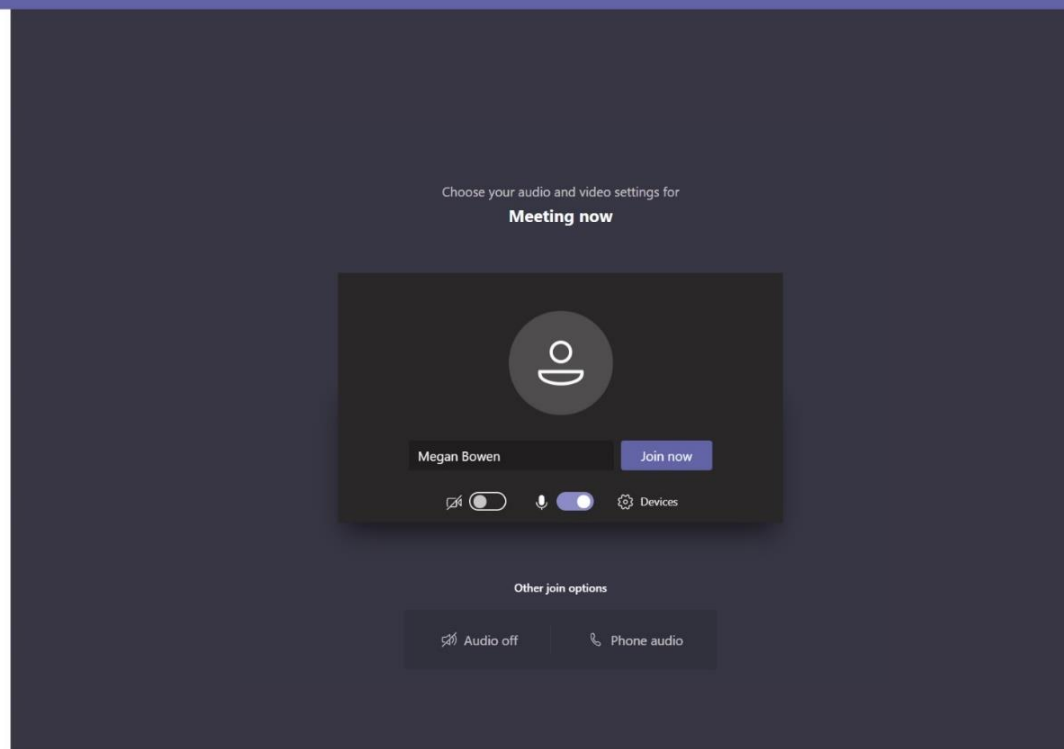
Check well the audio and video inputs operation, turn on camera and microphone, so that you can be heard. To join the meeting select **Join now**.

Microsoft Teams



When MS Teams are not installed on your computer, your browser (recommended: Google Chrome) will open next web site. Please select the option **"Continue in this browser"**.

Microsoft Teams



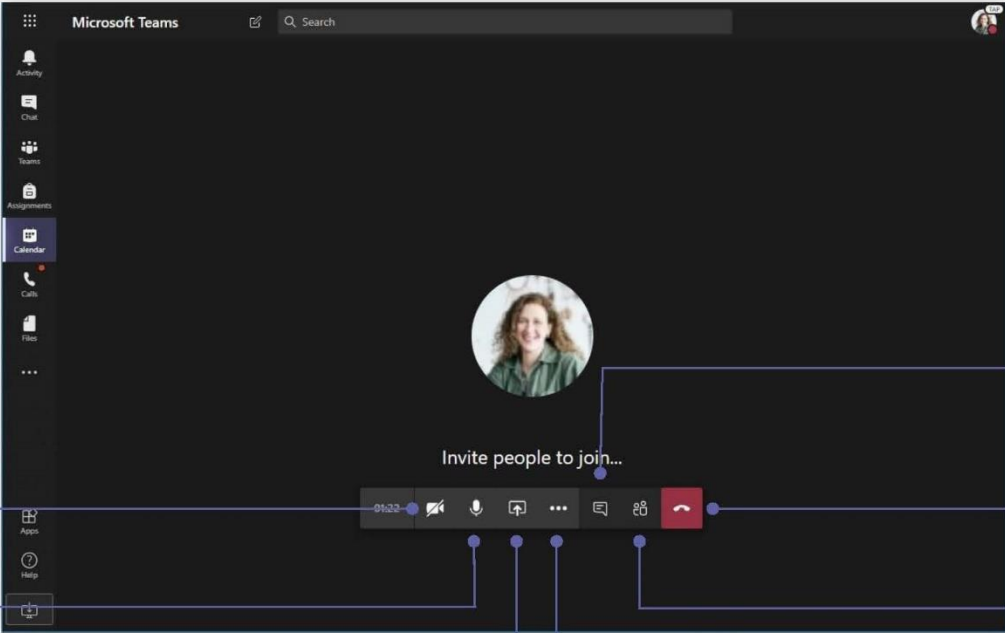
Check well the audio and video inputs operation, turn on camera and microphone, so that you can be heard. To join the meeting enter your **Name** and select **Join now**.

Microsoft Teams



Participation in the meeting

Share your video, audio, or screen with others during a web call.



The screenshot shows the Microsoft Teams meeting interface. The top bar includes the 'Microsoft Teams' title, a search bar, and a user profile icon. The left sidebar contains navigation options: Activity, Chat, Teams, Assignments, Calendar, Calls, Files, and a menu icon. The main area displays a participant's video feed and the text 'Invite people to join...'. At the bottom, the call control bar includes a timer (01:22), a video icon, a microphone icon, a screen share icon, a three-dot menu, a chat icon, a participants icon, and a red end call icon. Several callouts with lines pointing to specific icons provide instructions:

- Video source on/off**: Points to the video icon.
- Own sound off/on**: Points to the microphone icon.
- Share the screen and sounds from your computer with others**: Points to the screen share icon.
- Access to additional call controllers / Start recording the meeting, change device settings, other.**: Points to the three-dot menu icon.
- Send messages in chat**: Points to the chat icon.
- Leaving the meeting**: Points to the red end call icon.
- Add participants to the meeting**: Points to the participants icon.

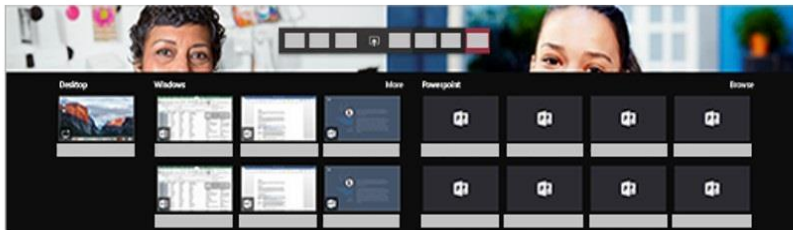
Microsoft Teams



Share content in a meeting in Teams

To share your screen in a meeting, select **Share content** **Share screen** button in your meeting controls. Then, choose to present your entire desktop, a window, a PowerPoint file, or a whiteboard.

Note: If you're using Teams on the web, you'll only be able to share your screen if you're using Google Chrome or the latest version of Microsoft Edge.



When you're done sharing, go to your meeting controls and select **Stop sharing**.

Examples of sharing:

Share your...	If you want to...	Great when...
Desktop	Show your entire screen, including notifications and other desktop activity	You need to seamlessly share multiple windows
Window	Show just one window, and no notifications or other desktop activity	You only need to show one thing and want to keep the rest of your screen to yourself
PowerPoint	Present a PowerPoint file others can interact with	You need to share a presentation and want others to be able to move through it at their own pace
Whiteboard	Collaborate with others in real time	You want to sketch with others and have your notes attached to the meeting