



## Assessor/Technical Expert Monitoring Checklist - Laboratories and Inspection Bodies

Issue No. 2  
Revision No. 4  
Date: October  
2021

# F1.10

USE BLOCK CAPITALS	<b>Name of Assessor / Technical Expert monitored</b>				
	<b>Role in the Assessment Team</b>				
	<b>Type of assessment: (Initial / Assessment / Extension / Re-Assessment)</b>		<b>Date/s</b>		
	<b>Name of CAB</b>		<b>CAB No.</b>		
	<b>Field of Testing/Calibration/Inspection/Sampling</b>				
	<b>Accreditation Scheme</b>				
<b>1.</b>	<b>BRIEFING MEETING</b>			<b>Yes</b>	<b>No</b>
a)	Did the Assessor/Technical Expert arrive on time?				
b)	Was the Assessor/Technical Expert sufficiently prepared for the assessment? Did the Assessor/Technical Expert perform the review of the documentation submitted by the CAB?				
c)	Did the Assessor/Technical Expert adequately plan for the assessment?				
d)	Were all documentation provided in the Assessment Pack taken to the assessment?				
e)	Where applicable, did the Assessor/Technical Expert indicate which steps of the tests/calibrations/inspections are to be witnessed?				
<i>Additional Comments on Performance / Areas of Concern:</i>					
<b>2.</b>	<b>CONDUCT OF ASSESSMENT &amp; DEMONSTRATION OF COMPETENCIES</b>			<b>Yes</b>	<b>No</b>
a)	Did the Assessor/Technical Expert cover all the requirements as per the Assessment Plan?				
b)	Where applicable, was a follow up done on satisfactory clearance of previous non-conformities?				
c)	Did the Assessor/Technical Expert conduct the assessment as per the Assessment Plan?				
d)	Did the Assessor/Technical Expert demonstrate knowledge of:				
	- assessment principles, practices and techniques, as well as general management system principles and tools;				
	- MAURITAS's rules and processes;				
	- accreditation, accreditation scheme requirements and relevant guidance and application documents;				
	- conformity assessment scheme requirements, as well as other procedures and methods used by the CAB being assessed;				
	- risk-based assessment principles;				
	- general regulatory requirements related to the conformity assessment activities, as applicable;				
	- practices and processes of the CAB business environment and ability to comprehend the organizational size, structure, functions and relationships of the CAB, and the cultural and social customs of its personnel.				



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e)	Was the Assessor able to apply the required knowledge and skills in evaluating the adequacy and effectiveness of the CAB's conformity to the accreditation requirements?		
f)	Did the Assessor/Technical Expert identify, report and grade non-conformities based on adequate factual evidence?		
g)	Did the Assessor/Technical Expert verify the Proficiency Testing (PT) Plan as per the requirements of MAURITAS R2, associated PT reports and corrective actions in case of unsatisfactory results?		
h)	Did the Assessor/Technical Expert scrutinize method validation reports and measurement uncertainty calculations?		
i)	Did the Assessor/Technical Expert verify traceability to SI unit as per the requirement of MAURITAS R3?		
j)	Were all critical steps covered of testing/calibration/inspection/sampling during witnessing?		
k)	Where applicable, were applicant Technical Signatories assessed and interviewed?		
l)	Did the Assessor/Technical Expert verify test/calibration/inspection reports with respect to the requirements of MAURITAS R4?		
m)	Did the Assessor/Technical Expert assess sampling as well as opinions and interpretations as per the requirements of MAURITAS R4?		
n)	Where applicable, did the Assessor/Technical Expert assess statement of conformity made and decision rule applied?		
o)	Did the Assessor/Technical Expert show good time management and finish the assessment as per the assessment plan?		

*Additional Comments on Performance / Areas of Concern:*

<b>3.</b>	<b>ASSESSOR MEETING</b>	<b>Yes</b>	<b>No</b>
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a)	Was the Assessor/Technical Expert able to assist the Team Leader to categorise non-conformities?		
b)	Was the Assessor/Technical Expert able to contribute to the discussion in view of the closing meeting?		
c)	Were all relevant forms completed in full and the necessary signatures collected?		
d)	Did the Assessor/Technical Expert demonstrate note-taking and report-writing skills i.e did the assessment forms contain sufficient and detailed information?		
<i>Additional Comments on Performance / Areas of Concern:</i>			
<b>4.</b>	<b>CLOSING MEETING</b>	<b>Yes</b>	<b>No</b>
a)	Did the Assessor/Technical Expert give systematic, orderly technical feedback?		
b)	Were both positive and negative aspects reported on?		
c)	Were findings clearly presented and the significance explained?		
<i>Additional Comments on Performance / Areas of Concern:</i>			
<b>5.</b>	<b>PERSONAL ATTRIBUTES</b>	<b>Yes</b>	<b>No</b>
a)	Did the Assessor/Technical Expert display the following attributes satisfactorily:		
	- Objective, unbiased, open minded, mature, considers alternative ideas or points of view Sound judgement and analytical skills		
	- Interviewing skills: Open questions (when, why, what etc), not closed questions (yes, no)		
	- Acts ethically (fair, truthful, sincere, honest, discrete and impartial) as per the Code of Conduct of MAURITAS		
	- Diplomatic – deals with Assessment Team & CAB staff tactfully		
	- Self-reliant - Acts & functions independently while interacting effectively with others		
	- Ability to listen		
	- Ability to generate an appropriate atmosphere		
	- Good communication and interpersonal skills appropriate to interact with all levels within the CAB.		
	- Systematic and ability to control the assessment		
	- Performed well under pressure and able to adapt as necessary		



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6.	RECOMMENDATION	Yes	No
a)	The Assessor / Technical Expert has demonstrated satisfactory performance in the conduct of the assessment and has demonstrated the required competencies		
b)	Does the Assessor / Technical Expert requires to improve?		

*Additional Comments (to include strengths and weaknesses of Assessor/Technical Expert, comparison with previous monitoring, whether MAURITAS A2 is still being met, feedback from CABs, etc.):*

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**Name of Mentor:**

**Signature:**



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<b>7.</b>	<b>FEEDBACK FROM TEAM LEADER</b>		
	<b>Name of Team Leader:</b>	<b>Signature:</b>	
<b>8.</b>	<b>FEEDBACK TO ASSESSOR / TECHNICAL EXPERT</b>		
	<b>Signed by Assessor/Technical Expert as acknowledgement of feedback</b>	<b>Date</b>	
<b>9.</b>	<b>FEEDBACK FROM CASE OFFICER</b>		
	<b>Name of Case Officer:</b>	<b>Signature:</b>	
<b>9.</b>	<b>DIRECTOR'S DECISION</b>		
	<b>Name:</b>	<b>Signature</b>	<b>Date</b>