



Team Leader Monitoring Checklist - Laboratories and Inspection Bodies

Issue No. 1
Date: July 2021

F1.28

USE BLOCK CAPITALS	Name of Team Leader (TL) monitored				
	Type of assessment: (Initial / Assessment / Extension / Re-Assessment)		Date/s		
	Name of CAB		CAB No.		
	Accreditation Scheme				
1.	BRIEFING MEETING			Yes	No
a)	Did the TL arrive on time?				
b)	Was it evident that the TL was sufficiently prepared for the assessment? Did the TL perform the review of the documentation submitted by the CAB?				
c)	Were all documentation provided in the Assessment Pack taken to the assessment?				
d)	Did the TL confirm whether the members of the Assessment Team received all the required documents in the assessment packs?				
e)	Did the TL satisfactorily brief the team? <ul style="list-style-type: none"> Allocate tasks to ensure scope coverage as per the form Briefing Meeting, F1.15; Verify that the members of the Assessment Team have completed the document review; Confirm the parameters to be covered during witnessing and vertical assessment with the members of the Assessment Team; Instruct the members of the Assessment Team to give detailed information in all forms/checklists. 				
<i>Additional Comments on Performance / Areas of Concern:</i>					
2.	CONDUCT OF OPENING MEETING			Yes	No
a)	Where all the Opening Meeting agenda items (as per F1.01) satisfactorily covered?				
<i>Additional Comments on Performance / Areas of Concern:</i>					
3.	CONDUCT OF ASSESSMENT & DEMONSTRATION OF COMPETENCIES			Yes	No
a)	Did the TL cover all the requirements as per the Assessment Plan?				
b)	Was the assessment conducted according to the assessment plan?				
c)	Did the TL demonstrate knowledge of:				



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	- 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.		
d)	Was the TL able to apply the required knowledge and skills in evaluating the adequacy and effectiveness of the CAB's conformity to the accreditation requirements?		
e)	Did the TL assess the CAB against the requirements of MAURITAS R1 and R2?		
f)	Did the TL identify, report and grade non-conformities based on adequate factual evidence?		
g)	Did the TL demonstrate assessment management skills and monitor the Assessment Team members' progress?		
h)	Did the TL show good time management and finish the assessment as per the assessment plan?		

Additional Comments on Performance / Areas of Concern:

4.	ASSESSOR MEETING	Yes	No
c)	Was the TL able to consolidate findings and categorise non-conformities with the team members?		
d)	Was the TL able to exchange information, collect positive comments and discuss the strategy for the closing meeting?		
e)	Did the TL ensure that the team members completed and signed all relevant forms?		
f)	Did the TL sign the team's forms?		
g)	Was the Recommendation Report, F3.09, complete and accurate?		

Additional Comments on Performance / Areas of Concern:



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5.	CONDUCT OF CLOSING MEETING	Yes	No
a)	Where all the Closing Meeting agenda items (as per F1.04) satisfactorily covered?		
b)	Was the reporting sequence systematic and orderly?		
c)	Were both positive and negative aspects reported on?		
d)	Were observations clearly presented and explained?		
e)	Was the CAB given the opportunity to ask questions/clarifications?		
f)	Was the CAB requested to provide root cause analysis for non-conformities along with proposed corrective actions?		
g)	Was the verbal report clear and concise?		
h)	Did the CAB Representative sign the Recommendation Report and the summary of non-conformities?		
i)	Were copies of the non-conformities, Recommendation Report and the summary of non-conformities given to the CAB?		
<p><i>Additional Comments on Performance / Areas of Concern:</i></p>			
6.	PERSONAL ATTRIBUTES	Yes	No
a)	Did the TL display the following attributes satisfactorily:		
	- Objective, unbiased, open minded, mature, considers alternative ideas or points of view		
	- Interviewing skills: Open questions (when, why, what etc), not closed questions (yes, no)		
	- Able to distinguish crucial points from less important ones		
	- Act ethically (fair, truthful, sincere, honest & discreet) as per the Code of Conduct of MAURITAS		
	- Diplomatic – deals with team & client tactfully		
	- Self-reliant - Acts & functions independently while interacting effectively with others		
	- Ability to listen		
	- Ability to generate an appropriate atmosphere		
	- Good and professional relationship with team		
	- Good communication and interpersonal skills appropriate to interact with all levels within the CAB.		
	- Ability to manage the assessment and gain co-operation of the assessment team		
	- Performed well under pressure and able to adapt as necessary		



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Additional Comments on Performance / Areas of Concern:

7.	RECOMMENDATION	Yes	No
a)	The TL has demonstrated satisfactory performance in the conduct and management of the assessment		
b)	The TL requires corrective action.		

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

Name of Mentor:

Signature:

8. FEEDBACK FROM ASSESSMENT TEAM MEMBERS

Name of Assessment Team Member(s):

Signature:



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10. FEEDBACK TO TEAM LEADER

Signed by Team Leader
as acknowledgement of feedback

Date

11. DIRECTOR'S DECISION

Name:

Signature:

Date: