

## 1 Scope

1.1 *This document describes how the Philippine Accreditation Bureau (PAB) Management System Accreditation Division (MSAD) conducts remote assessment to its applicant/accredited CABs on the following scenario:*

- *During extraordinary events (e.g. pandemic, war, strike, riot, political instability, geopolitical tension, terrorism, crime, flooding, earthquake, malicious computer hacking, other natural or man-made disasters)*
- *To CABs which are found suitable for the remote assessment (i.e. office assessment, witness audits)*

1.2 This document applies to *Initial Assessment*, *Surveillance Assessment*, *Reassessment*, and *Scope/s Extension* and covers all the accreditation schemes for Certification Bodies on Management System, Product, and Person Certification.

1.3 This document must be read in conjunction with MSA/P01 – Accreditation Process Issue 2.

## 2 Terms and definition

2.1 remote assessment – the facilitation of assessment of a Conformity Assessment Body from a location other than that being physically present.

## 3. Criteria for CAB Eligibility for Remote Assessment

3.1 *Has available records, data, etc. in electronic formats and can be reviewed and shared via the electronic media at any site/location irrespective of where the work is being performed*

3.2 *Has available personnel for the remote assessment*

3.3 *Has compatible ICT platform (e.g. Microsoft Teams, Zoom, etc.) (to be agreed upon between the PAB and CAB)*

3.4 *If applicable, PAB assessor (or team of assessors) is already familiar with the CAB's Management system and practices*

## 4 Details

4.1 Responsibilities

- The Division Head oversees the implementation of this procedure and ensures the adherence to PAB's policy and procedure for remote assessment.

- The Program Manager is the overall in charge of the preparation, conduct, and post-assessment activities of the remote assessment.
- PAB Assessors assigned as Team Leader and Members shall conduct the preparation, actual assessment according to plan, and the post activities after the assessment. *It also includes Technical Experts and Observers, if applicable.*
- The Administrative Staff or IT support provides the administrative and technical support during preparation, actual assessment, and post-assessment activity, where applicable.
- Bureau Director/Division Head approves the conduct and results of remote assessment activity including the assignment of the assessment team.

#### 4.2 Preparatory activities

##### 4.2.1 The program manager ensures that:

- he/she coordinates with the Division Head on the conduct of the assessment.
- the Bureau Director/Division Head approves the conduct of the assessment.
- Administrative Staff prepares the assessment kit and necessary documents for the conduct of the remote assessment.
- competent assessors/*technical experts* are assigned and available to conduct the assessment on the proposed schedule of assessment.
- a draft assessment plan has been prepared by the assigned Team Leader
- a designated online platform meeting was already arranged and communicated with the CAB.
- a trial run shall be conducted before the actual assessment.
- the CAB is notified through an official letter (with the proposed assessment plan) to be sent at least 10 working days before the assessment.  
Note: deadline for CAB's confirmation is at least 3 days after receipt of notification.
- once the CAB confirmed the proposed assessment, the program manager convenes the team to discuss the proceedings of the assessment and conduct a trial run with the help of the Admin/ IT support as needed. A trial run shall be conducted with the CAB before the assessment.
- the online meeting platform has been arranged and confirmed with the PAB account officer for the Zoom account, where applicable.
- the invitation link is sent to the PAB assessment team and the CAB.  
*Note: The accessibility to the link only by authorized persons from PAB and CAB must be observed at all times.*
- agreement between the CAB and PAB is in place for the following details:
  - a) Schedule and duration of the assessment
  - b) Submission of required documents for the conduct of assessment at least one (1) week before the activity
  - c) Adherence to the agreed assessment plan
  - d) The online meeting platform to be used and from what source i.e. CAB or AB
  - e) Adherence to security, confidentiality, and accessibility of information that will be presented

- f) Presentation of official documents/records throughout the assessment, safeguarding the integrity of the result of the assessment
- g) Full cooperation and close coordination from both parties to fulfill the objective of the assessment
- h) Back-up plan in case of failure in the network or connection from either/both parties such as:
  - Assistance from the assessment team member
  - Change in schedule
- i) Case/grounds for termination of activity:
  - The deliberate presentation of manipulated documents/record
  - Wilful misrepresentation of the CAB's personnel who participated in the assessment
- j) Adherence to the agreements made after the conduct of the assessment
- k) Adherence to netiquette or rules for online meeting/activity i.e. punctuality, recording sharing of recording, use of line tools, proper dress code, etc.
- l) Composition of the PAB assessment Team and CAB team
- m) Provision for the presence of Observer from either or both of the CAB
- n) All remote assessments will be recorded

#### 4.3 Conduct of remote assessment

##### 4.3.1 Office-Based Assessment (Stage 1)

- The Team Leader starts the meeting through a PowerPoint presentation covering all the agenda items for an opening meeting.  
*Note: Secure the attendance of the CAB and PAB personnel.*
- The assessment team and the designated CAB personnel split into groups.
- Each team member conducts the assessment with the CAB's personnel based on their assigned scope/requirements of the standard. The assessor should be mindful of the following:
  - a) Skillful navigation of online platform, e.g. control of screen sharing, sources of his/her reference i.e. one drive, hard copy,
  - b) Documentation of evidence presented
  - c) Adherence to time duration per assigned area/requirement of standards, including "break time"
- The assessment team conducts "interim break" or "chat" as the need arises in a dedicated room to discuss the progress of the assessment and/or each assessor's concern.
- The PAB assessment team meets in a dedicated room to discuss the result of the assessment and prepare for the closing meeting
- The Team Leader closes the activity through a PowerPoint presentation covering all agenda items for a closing meeting including *the outline of the PAB's reporting process, the CAB's response process, PAB's decision-making process, and the presentation of the findings, if any.*  
*Note: Secure the attendance of the CAB and PAB personnel.*

##### 4.3.2 Witnessing Audits (Stage 2)

- *During the PAB-CAB opening meeting, PAB Team Leader shall explain the witness process and the role of team members.*  
*Note: Secure the attendance of the CAB and PAB personnel*
- *Each team member conducts the assessment with the CAB's personnel based on the assessment plan. The assessor should be mindful of the following:*
  - a) *Skillful navigation of online platform,*
  - b) *Documentation of evidence presented*
- *During witness, PAB assessors' activities shall be those of an observer, without influencing the conduct of the audit by the CAB's audit team.*
- *PAB assessors should ensure that their presence and witness activity is not perceived as interference by the CAB's client and is instead viewed positively.*
- *The PAB assessment team meets in a dedicated room to discuss the result of the assessment and prepare for the closing meeting*
- *The PAB assessment team gives feedback to the CAB's audit team when the witnessing is completed through a closing meeting in a separate ICT link, without the presence of the CAB's client.*  
*Note: Secure the attendance of the CAB and PAB personnel.*

#### 4.4 Post Remote Assessment activity

- 4.4.1 The Administrative Staff consolidates the materials (e.g. document/records presented, assessment notes, accomplished forms), and keeps the files as references of the assessment team.
- 4.4.2 The Team Leader coordinates with the Program Manager to discuss the result of the remote assessment (including feedback on the use of ICT, problems encountered).
- 4.4.3 The assessment team prepares the report and submit it to the Division Head for review.
- 4.4.4 The Administrative Staff sends a copy of the final report to the CAB and keep the receipt copy to the electronic client file of the CAB.

#### 4.5 References:

- 4.5.1 IAF MD 4:2018, Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing, Assessment Purposes, Issue 2
- 4.5.2 IAF ID 12:2015: Principles of Remote Assessment, Issue 1
- 4.5.3 IAF ID 3:2011: Informative Document for the Management of Extraordinary Events or Circumstances affecting ABs, CABs and Certified Organizations, Issue 1
- 4.5.4 ISO 9001 Auditing Practices Group Guidance on Remote Audits, 2020-04-16, Edition