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| **INSTRUCTIONS** |

1. This remote assessment checklist and risk assessment is to be completed by the MAURITAS Case Officer in collaboration with the appointed Team Leader and the CAB to be assessed, prior to performing a remote assessment*.*
2. Once completed and accepted by the CAB being assessed, the MAURITAS Case officer shall send the checklist to the Director, MAURITAS for approval. After approval is granted the remote assessment can proceed.

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| **REMOTE ASSESSMENT CHECKLIST AND RISK ASSESSMENT** |

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| **Section A: Remote assessment acceptance and approval**  *This section provides a record of acceptance and approval of the remote assessment activities amongst the Case Officer, the Head of Section, the CAB being assessed and the Director, MAURITAS* |

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| **(1) CAB to be assessed** | **Scheduled assessment date:** |  | **(2) Name of Proposer of Remote assessment (Case Officer)** | **Date proposed** |  | **(3) Team Leader acceptance of completed checklist** | **Date** |
|  |  |  |  |  |  | ***Name of appointed TL:*** |  |

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| **(4) CAB’s acceptance** | | | |  | **(5) Head of Section Recommendation** | |  | **(6) Director’s Approval** | | | | | | |
| ***Name of CAB Representative:*** | | ***Date:*** | |  | ***Name of Head of Section:*** | ***Date:*** |  | ***Name of Director:*** | | | | | **Date:** | |
| Does the AB accept the proposed assessment described in the completed checklist below and *confirm that the CAB has the resources and competence to facilitate the remote assessment activity?*  ***Yes:******No:*** | | | |  | ***Recommendation:*** | |  | ***Decision:*** | | | | | | |
| **Section B: Remote assessment details**  *Completing this section of the checklist provides a basis for the proposer (Director, Manager, Case Officer) and assessed CAB to clearly identify and record the specific assessment activities for which they intend to use remote assessment techniques. Each assessment activity must record the remote assessment techniques to be used, the associated ICT, and confirmation that both the relevant assessment team member(s) and the associated CAB personnel have sufficient competency to achieve an effective assessment.*  *These considerations assist the assessment team member and the assessed CAB to plan and schedule the specific resources and competence that is required, and allows them to formulate a risk rating (Low (L), Moderate (M), High (H)) for subsequent consideration by the Director, MAURITAS.* | | | | | | | | | | | | |
| **(7) Assessment activity**  *Record the specific assessment activity that is subject to remote assessment techniques. Types of assessment activities (e.g. review of documented information, review of competency management, review of quality controls, interviewing personnel and witnessing accreditation activities).* | | | | | e.g. File review - Review of files to demonstrate CAB implements its procedures | | | | | **Risk (L/M/H):** | | |
| **(8) Scope to be assessed**  *Record the specific scope and sub-scopes (where relevant) that are covered by the remote assessment activity. The response can be ‘All’ if the assessment activity is generic across the conformity assessment activities of the CAB* | | | | | e.g. Testing, calibration, audit, inspection | | | | | **Risk (L/M/H):** | | |
| **(9) Remote assessment technique**  *Record the specific remote assessment technique(s) that will be used (e.g. online meetings and interviews, online screen sharing, online or cloud-based file and records review, live streaming of conformity assessment activities or meetings, pre-recordings of conformity assessment activities, etc.).* | | | | | e.g. 1. Online meeting with screen sharing between assessor and CAB to allow the assessor to view and select files for further review.   1. Review of CAB files by making them temporarily available on DropBox. | | | | | **Risk (L/M/H):** | | |
| **(10) ICT**  *This section identifies the Information and Communications Technology (ICT) considerations which must be agreed between the assessor and CAB prior to the remote assessment being undertaken. This is to ensure the ICT will work in a remote assessment setting so as to maintain confidence in the assessment process.* | | | | | | | | | | | | |
| 1. **ICT Software technologies to be employed.** | | | | | e.g. Zoom meeting File sharing via DropBox | | | | | **Risk (L/M/H):** | | |
| 1. **The ICT hardware that is necessary for the ICT to work and be used by the assessment team and CAB being assessed.** | | | | | e.g. Access to an internet enabled computer and suitable audio devices (e.g. microphone, headphones, speaker, online camera etc.) | | | | | **Risk (L/M/H):** | | |
| 1. **Connectivity**   Record the method(s) and any special parameters associated with connectivity (e.g. specification of Wi-Fi or mobile broadband coverage at certain speeds at locations where livestreaming of accreditation assessment activities is being undertaken, including consideration of possible electronic interference and other disruptions (e.g. noise, inadequate lighting) from nearby equipment or activities). | | | | | e.g. Standard online access arrangements and internet speed. | | | | | **Risk (L/M/H):** | | |
| 1. **Security (data acquisition, transit, storage and deletion)**   Record any special considerations or requirement associated with information security, including confirmation of any prior consents or permissions for obtaining, sending, storing and deletion of electronic data and records during the remote assessment activity have been obtained. This may include requirements derived from regulation, organizational policies, or contractual arrangements that are associated with confidentiality, privacy, and use of ICT platforms to transmit data. | | | | | e.g. Secure DropBox established and populated with selected assessment files by AB, and password protected access granted to evaluator for limited time | | | | | | **Risk (L/M/H):** | |
| 1. **CAB’s client agreement (if relevant)**   Where relevant, record confirmation that any consents or permissions have been obtained from CAB’s client, especially in relation to the recording or transmission of data during witnessing of conformity assessment activities. | | | | | e.g. Not applicable | | | | | | **Risk (L/M/H):** | |
| 1. **Test**   Record confirmation that the remote assessment techniques and use of associated ICT has been successfully practiced and trialled with the relevant persons prior to the real remote assessment activity taking place. | | | | | e.g. Trial successfully completed | | | | | | **Risk (L/M/H):** | |
| 1. **Activities unable to be evaluated with ICT**   Within the context of identified assessment activity (see (6) above), record any specific matters that will not be the subject of remote assessment techniques and how they will be adequately covered in another way during the overall assessment. | | | | | e.g. Not applicable | | | | | | **Risk (L/M/H):** | |
| **(11) Persons involved**  Apart from ensuring ICT considerations are identified, planned and managed, the success of remote assessment activities also relies on the competence and professionalism of the persons involved. This item in the checklist requires that any specific competencies be identified, and the persons involved have demonstrated they have the appropriate knowledge and skills. This is especially the case in the use of ICT and how to conduct themselves in remote assessment environments. | | | | | | | | | | | | |
| 1. **Name & Designation of the person(s) undertaking the remote assessment techniques.**   This is normally the relevant assessor(s) and the associated CAB personnel. | | 1. **Competency required**   Identify and record any specific competencies (knowledge and skill) required to effectively undertake the remote assessment techniques(s). | | | | | | 1. **Competency Confirmed**   Record a confirmation that the person does possess the required specific competencies. This is generally demonstrated by actually using the relevant ICT effectively and can be self-declared or confirmed by another colleague. | | | | |
| **Name** | **Date** | | | |
| Chankar Bheekhun (TL) | | Online meetings – Zoom, Electronic file sharing – DropBox | | | | | | Robin Gopee, Director MAURITAS | 01 Jan 2021 | | | |
| Cheshta Matadeen-Domun (Assessor - QMS) | | Online meetings – Zoom, Electronic file sharing – DropBox | | | | | | Robin Gopee, Director MAURITAS | 01 Jan 2021 | | | |
| Youssouf Foondun (MSB Quality Manager) | | Online meetings – Zoom, Electronic file sharing – DropBox | | | | | | Barlen Soobramanien | 01 Jan 2021 | | | |
| Chaya Moloo (Technical Expert) | | Online meetings – Zoom | | | | | | Robin Gopee, Director MAURITAS | 01 Jan 2021 | | | |
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| (Add as many rows as needed) | |  | | | | | |  |  | | | |
| **Risk Analysis of Personnel involved (L/M/H)** | | | | | | | | | | | | |

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| **(12) Risk**  The Risk Rating is to be agreed between the parties (the Case Officer, the Team Leader and the CAB undergoing assessment).  It signals to the Director, MAURITAS that the remote assessment planning has been undertaken diligently and any risks have been identified. | The risk ratings and their descriptions are as follows: | | | **Select Overall Risk as appropriate** |
| **Risk rating** | **Description** | **Risk treatment** |
| L  (Low risk) | The completed items in the checklist indicate there is a high degree of certainty and comfort in the parties (Assessment Team and the CAB) that the planning for the remote assessment activity (including the ICT considerations and person competence) will result in the same, or better, level of confidence in the assessment as would be otherwise achieved using traditional non-remote assessment techniques. | No specific risk treatment required. |  |
| M  (Moderate risk) | The completed items in the checklist indicate there is a degree of certainty and comfort in the parties (Assessment Team and the CAB) that the planning for the remote assessment activity (including the ICT considerations and person competence) will result in at least the same level of confidence in the assessment as would be otherwise achieved using traditional non-remote assessment techniques. | The Team Leader must actively monitor the use of the remote assessment activities to ensure confidence in the assessment is maintained. |  |
| H  (High risk) | The completed items in the checklist indicate there is a limited degree of certainty and comfort in the parties (Assessment Team and the CAB) that the remote assessment activity (including the ICT considerations and person competence) will result in at least the same level of confidence in the assessment as would be otherwise achieved using traditional non-remote assessment techniques | The Team Leader must be involved directly in all remote assessment activities to ensure confidence in the assessment is maintained. |  |