

Training for New CAEAL Assessors

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Objectives



- Introduce new assessors to CAEAL process and procedures
- Ensure consistency and fairness in how site assessments are carried out
- Address participant objectives

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Agenda



■ Part I

- SCC/CAEAL Partnership
- Terminology
- Conflict of Interest and Confidentiality
- National Quality Institute (NQI)

■ Break

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Agenda



■ Part II

- Assessment Process
- Interview Techniques
- General Guidelines

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SCC/CAEAL



- Jointly delivered by the Standards Council of Canada (SCC) and CAEAL
- SCC is a government agency; CAEAL is a non-government organization for both government and private-sector laboratories
- CAEAL conducts the assessments and PT program

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SCC/CAEAL (cont'd)



- SCC grants accreditation on the recommendation of CAEAL
- SCC conducts an annual assessment of CAEAL to ensure conformance with ISO Guide 58

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Terminology



- **Accredited** by the SCC
- **Proficient** in tests, for which CAEAL offers Proficiency Testing
- **Appendix**: a unique combination of parameter, matrix and method

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Confidentiality



- Take a copy of the confidentiality agreement to site assessments
- Take only from the lab what you will send to Ottawa
- Send reports in a traceable manner (e.g., courier)
- Send site assessment reports in a timely manner

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Confidentiality (cont'd)



- Do not temporarily keep any hard copies
- Delete all report files from portable computers

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Conflict of Interest



- Cannot assess a lab within two years of providing consulting services to that lab
- Cannot provide consulting services to a lab within one year of having assessed the lab

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Conflict of Interest (cont'd)



- Must disclose to CAEAL possible conflicts of interest (e.g., work by your organization sub-contracted to the lab, consulting proposal submitted to the lab, shares held in organizations which compete with the lab, lab is a previous employer)
- Scheduling takes conflict of interest into account

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NQI Certification



- National Quality Institute
- Provides national and international recognition
- Refer to NQI Program Overview for requirements for obtaining and maintaining certification for each level

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NQI Certification (cont'd)



- Professional development credit for other than CAEAL training; keep your own records
- CAEAL maintains experience/training records for each assessor and provides summaries annually
- CAEAL will continue to act as the interface between CAEAL assessors and NQI

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Spring...



- All assessors receive
 - Schedule
 - Customized Schedule
- Information obtained is: date, location, type of assessment, number of appendices, lead and team members and whether it's a joint lab or not

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Pre-Assessment



- All team members receive
 - Application information on lab (goes in Tab 1)
 - Scope of Testing (goes in Tab 2)
 - Previous Assessment Report (if applicable - goes in Tab 3)

- YOUR BEST FRIEND IS YOUR ASSESSMENT BINDER...

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Pre-Assessment



- Lead Assessor Receives
 - Customized Report Cover Pages, Keys to assessment Report and page for appendices (Tab 4)
 - Quality Manual
- Site Visit Preparation (Lead Assessor)
- Travel arrangements

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T'was the night before...



- Bond with your team!
- Plan who will lead which sections of the assessment
- Confirm assignments to appendices

- NOTE: Forms in Tab 8 will assist you in planning stages

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Day 1: Opening Meeting



- All members of assessment team, management spokesperson, QA spokesperson, and supervisors
- Lead Assessor chairs the meeting
- Hand out Meeting Attendance (Tab 8)
- Purpose and nature of assessment; review agenda and scope

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Day 1



- Quality Management System
- CAN-P-1510D (Tab 5)
 - Tour of facilities
 - Examination of Documentation
 - Trace of Tests
 - can give out form in Tab 8 during tour
 - Choose 1 Proficiency Testing sample
 - Interview with key staff

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Evening of Day 1



- Completion of CAN-P-1510D
- Start Assessment Report (Tab 7)
- Preparation for Day 2

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Day 2, 3, 4...



- Evaluation of Specific Tests
- Use Appendix to the Rating Guide (Tab 6)
- CAEAL assesses 100% of the scope

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Assessment Report



- Required Actions: nonconformance is deemed to compromise the quality of results
- Recommended actions: non-conformance is deemed to not compromise the quality of results
- Format: Refer to Page 23 of the “Application of the Rating Guide”
- Audit Software Program is available

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Closing Meeting



- Lead Assessor chairs
- Circulate Meeting Attendance (Tab 8)
- Advise lab of findings
- Advise lab of follow-up activities and confidentiality
- Leave a Rating Form (Tab 8)
- Thank the lab

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Whew...made it!



- Completion Report (Tab 8) to be completed and signed by Lead Assessor
- ENSURE ALL OTHER ASSESSMENT MATERIALS ARE LEFT AT LAB OR DESTROYED

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Interview Techniques



- Pre-arrange which assessor will conduct which portions of the interview
- For items addressed during the tour, examination of documentation and trace of tests:
 - Summarize findings, and if necessary ask for further clarification or information
 - If necessary, identify specific item likely to be cited in assessment report

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Interview Techniques



- Who, what, where, when and how questions
- Instead of “why”, use “under what circumstances”
- Use yes/no questions if you want to establish something factual or regain control
- Avoid asking leading questions; i.e., questions that incorporate the answer you’re looking for

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Interview Techniques



- Structure questioning so that lab itself discovers the problem
- Avoid criticizing or accusing; e.g., “you don’t have a record” vs “no record was located”
- Evaluation of specific tests
 - Not formal; best carried out in the analyst’s work area

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General Guidelines



- Team approach; arrive at lab together
- Emphasize a constructive approach (i.e., to check conformance versus to check nonconformance)
- Discuss problems immediately

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General Guidelines



- Avoid backtracking
- Write notes openly
- Never link a problem to an individual
- Never wander around the lab unescorted

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