



Remote Assessment

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Work Instructions
Remote Assessment

Document code: **NACI-W05**
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Page 1 of 9


Changes History

Clause Numbers	Revision No	Revision Date	Summary of changes
Cover			
Pages			

	Work Instructions Remote Assessment	Document code: NACI-W05 Revision No: 0 Revision date: May 2020 Page 2 of 9
---	--	--

Contents

1. Objectives	3
2. Scope	3
4. References & Regulations	3
5. Terms & Definitions	4
7. Related Documents	8
8. Forms & Records	8
9. Recipients	8
10. Annexes	8
11. Withdrawn Documents	8
Document Control Page	9

	Work Instructions Remote Assessment	Document code: NACI-W05 Revision No: 0 Revision date: May 2020 Page 3 of 9
---	--	--

1. Objectives

This document prescribes the use of Remote Assessment as one of the techniques to supplement the on- site assessment activities, when appropriate, feasible or necessary. Remote assessments provide the opportunity for increased efficiency, increased safety, better timing, inclusion of CAB personnel that may not be easily accessible, and avoidance of travel delays and restrictions or instructions are used for all witnessing activity in NACI for CB department.

2. Scope

This document establishes the minimum requirements to allow use of remote assessment techniques. The requirements as per IAF MD 4 are applicable in addition to the requirements defined in this document. This document is applicable for the office assessment of CABs for management systems, persons, product and other NACI Accreditation Schemes as established from time to time unless otherwise specified. The objective of Remote Assessment is to establish the level of confidence in the conformity assessment processes of CABs and compliance to applicable accreditation requirements by direct observations carried out through an electronic medium. This document describes how NACI will utilize Remote Assessments to make its accreditation processes more effective and efficient, and at the same time provide IT-based assessments for accredited CABs.


3. Responsibilities

The NACI vice president NACI is responsible for implementation, & the NACI President supervises adequate execution of these procedures.

4. References & Regulations

- 4.1 ISO/IEC 17011:2017 Conformity assessment -- requirements for accreditation bodies accrediting
Conformity assessment bodies
- 4.2 The NACI accreditation Manual NACI-M00.
- 4.3 IAF ID 12 – IAF Informative Document for Principles on Remote Assessment
- 4.4 IAF MD 4 - IAF Mandatory Document for the use of Information and communication technology for auditing/assessment purposes
- 4.5 IAF ID 3 - IAF Informative Document for Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations
- 4.6 NACI Policy for Extraordinary events NACI-M11

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5. Terms & Definitions

All terms & definitions in these procedures conform to those given in the references cited in Clause 4 above. In addition, the terms & definitions given below are applicable.

5.1 **NACI**: means the National Accreditation Center of Iran.

5.2 **CB**: Certification body applying for accreditation.

5.3 **Remote Assessment**: An assessment of the physical location or virtual site of a conformity assessment body, using electronic means.

5.4 **Virtual Site**: A virtual site is an online environment allowing persons to execute processes, e.g. in a cloud environment.

NOTE 1: Examples of remote assessment include: webinars/web meetings, teleconferences, online video/audio services, remote access to organization's data processing and management systems, databases, etc.

6. Instructions

6.1 Eligibility Criteria for Remote Assessment


The acceptability of and the extent of remote assessment techniques will vary from organization to organization and will depend on circumstances such as level of technology available to the organization, the organization's assessment preference, resources, etc. The use of remote assessment by NACI will be on voluntary basis, by mutual agreement, or may be initiated by the NACI as per assessment needs (initial office assessment for new scheme/ standard within the same accreditation scheme, surveillance, investigations, verifications, etc.).

NACI will carry out the remote assessment after review of the need on case by case basis. The decision on use of remote assessment methodology would be taken by NACI secretariat depending on the complexities involved.

6.2 Remote assessment is permitted under one or more of the following conditions:

- When a NACI accredited CAB is seeking accreditation for a new scheme /Standard within the same accreditation scheme.
- The assessment is for a minor extension to scope of accreditation
- The situation requires the assessment team to come back for a follow up assessment, but another visit is not easily achievable within a short time frame
- Office assessment of another location of a CAB for the currently accredited scope.
- Complaint investigation
- Verification of corrective action implementation

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	Work Instructions Remote Assessment	Document code: NACI-W05 Revision No: 0 Revision date: May 2020 Page 5 of 9
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- When timing of the assessment does not support the travel logistics required to conduct the assessment on site
 - Travel to a CAB or specific location is not reasonable (i.e., for safety reasons, travel restrictions, etc.)
 - Onsite office assessment is not possible due to a circumstance beyond the control of the organization, commonly referred to as “Force Majeure” as defined in IAF ID 3 document or in NACI Policy on Management of Extraordinary Events.
 - The CAB has a proven track record of conformance at the location of the remote assessment and NACI has determined the activity as low risk level.
 - An activity planned for the on-site assessment could not be completed and extending the on-site assessment is not the best resolution.
 - Unavoidable changes in scheduling for the assessment team/assessor or CAB (i.e., personal issues, change in business priorities, etc.)
 - NACI is confident that the assessment objectives can be achieved via remote assessment activities.
 - An on-site assessment is not required for the relevant standard or scheme.


6.3 Remote assessments shall not be permitted in the following conditions

- When the CAB has a history of non-conformance at the location being assessed.
- During initial assessment activity of a new CAB facility, scope, or significant change.
- Where the scope and/or the competence of personnel is critical, and requires an on-site assessment
- The CAB has changed location and/or address
- Another AB is conducting an assessment on NACI’s behalf.
- When no on-site assessment has taken place for more than 18 months’ time.

6.4 Qualification Criteria for Remote Assessment

- The CAB qualifies the eligibility criteria for remote assessment as described above.
- All the information (records, data, documents etc.) of the CAB are readily available in electronic formats or document reader.
- The CAB has virtual meeting capabilities, including audio (and video when used), aptitude, and resources (on-site IT, personnel, and tools).
- The CAB and the assessment team are competent to navigate an online meeting,

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and remote personnel are competent to participate.

- The CAB is able to provide a representative that is capable of communicating in the same language as the assessor.
- Difference of time zone, if any, must be supportive to CAB and assessors.
- The CAB is ready for any additional expenses associated with the remote assessment process such as fees for teleconference, webinar, audio/visual, etc.
- Remote assessment techniques are not prohibited by the standards or scheme requirement.
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6.5 Conduct of Remote Assessment

- Once NACI accepts the request of CAB for remote assessment after review, or decides to carry out remote assessment on its own. The additional time required for remote assessment for use of ICT shall be determined after review and will be informed to CAB on a case to case basis as appropriate.
- The specific dates & time period to perform a remote assessment shall be decided by NACI. The duration of a remote assessment may differ from that of your onsite assessment, depending on what aspects are planned to be covered. In addition, it is also likely that the assessment may be fragmented with individual activities happening over the course of a longer period.
- The mode of communication and the IT platform between the NACI Assessment team and CB for conducting remote assessment, sending documents or clarification on issues shall be pre-defined and communicated.
- The CAB should provide to NACI the names of the designated individual(s) that will facilitate, manage and coordinate arrangements for the remote assessment on behalf of the CAB.
- The key personnel of CAB shall be available during remote assessment.
- Personnel with specific technical or administrative responsibilities will need to be available for their relevant parts of the assessment. Top management and other members of the leadership team will need to be available for relevant parts of the assessment as well as in the opening and closing meetings.
- The CAB and the assessment team shall take appropriate measures to safeguard confidentiality of data in any form and impartiality during the remote assessment.
- Both NACI remote Assessment team and the CAB should make their best efforts to confirm what was heard, stated and read throughout the remote assessment. In case if the remote assessment team is not able to review, in part or in full, any specific activity, a record shall be made.
- If at any time during the assessment process, the CAB cannot support the remote

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	Work Instructions Remote Assessment	Document code: NACI-W05 Revision No: 0 Revision date: May 2020 Page 7 of 9
---	--	--

assessment process or the assessor(s) cannot not perform the assessment sufficiently using the remote assessment approach then the CAB must have an onsite assessment for those functions that could not be assessed using remote assessment.

- The remote assessment team in consultation with NACI may terminate the remote assessment prior to completion due to an inability to maintain satisfactory connections or conditions during the scheduled time. This shall be recorded in the assessment report.

6.6. Post Remote Assessment Activities

Assessment findings (Non-conformances, Concerns etc.) Shall be documented by the Remote Assessment team and provided to the CAB in writing in a timely manner at the closure of Remote Assessment or just thereafter. The Remote Assessment team shall debrief the CAB on the assessment findings at the end of each day and in the Closing Meeting of the Remote Assessment.

- The assessment report shall be provided by the Remote Assessment team in the prescribed time period as per NACI accreditation procedure and shall include the details of the standards/requirements, or part thereof, for which compliance is assessed and findings, documents and records reviewed, and CAB personnel whose competence is assessed.
- The treatment of Non-conformances and/or Concerns, if raised, and renewing/continuing approval of accreditation shall follow the same processes that are prescribed for on-site assessments in the applicable NACI accreditation procedure.
- The Remote Assessment team shall confirm to NACI, the deletion of any confidential documents, records, recordings etc. of the CAB, as available with it during the Remote Assessment, on completion of the process.

7. Related Documents

7.1 Document control procedures **NACI-P08**

8. Forms & Records

8.1 Document Control List form **NACI-F101**

8.2 Document Proposal or Review form **NACI –F103**

8.3 Document Distribution form **NACI- F104**

8.4 Records Control List form **NACI-F105**

8.5 All records related to these procedures are maintained on form **NACI-F105**


9. Recipients

As per distribution list form **NACI –F104**

10. Annexes

11. Withdrawn Documents

Not applicable

 <p>NACI National Accreditation Center of Iran مرکز ملی تایید صلاحیت ایران</p>	<p>Work Instructions Witnessing Activities</p>	<p>Document code: NACI-W04 Revision No: 1 Revision date: April 2019 Page 9 of 9</p>
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Document Control Page

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