

	<b>United States Accreditation, INC.</b> <b>Procedure for the Qualification of Personnel Taking Part in the Accreditation Process and Formation of Assessor-Technical Expert Pool</b>	<b>Document No:</b>	<b>USACC-P-10</b>
		<b>Release Date:</b>	<b>01/04/2021</b>
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**1. PURPOSE**

The purpose of this procedure is to explain the rules and procedures for the qualification of case officers, accreditation decision committee, assessors and technical experts to be assigned by United States Accreditation Inc. in the accreditation process and the formation of Assessor/Technical Expert Pool.

**2. SCOPE**

This procedure covers the qualifications required for lead assessors, assessors and technical experts to be included in the United States Accreditation Inc. Assessor/Technical Expert Pool, the procedures for the selection of assessor candidates and the assignment of selected assessors after they complete the necessary assessor training courses, and matters related to other personnel taking part in the accreditation process.

**3. DEFINITIONS**

Definitions related to this procedure are given in the USACC-IN-01 Instructions on Terms and Definitions Used in United States Accreditation Inc. Documentation.

**4. RELATED DOCUMENTS**

USACC-IN-04 Instructions on Code of Conduct and Ethics

USACC-LT-08 Lead Assessor/Assessor Transition Trainings List

USACC-G-32 Guidelines on Areas of Expertise

USACC-FR-37 Contract for Experts Taking Part in The Auditor Technical Expert Pool

USACC-P-17 Procedure for the Training of Accreditation Assessors

USACC-P-25 Performance Monitoring and Evaluation Procedure of Personnel Involved in the Accreditation Process

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## 5. IMPLEMENTATION

The reputation of accreditation systems that accredit conformity assessment bodies (CABs) depends on the competence of the assessors assigned for this purpose. Both permanent and part-time contracted assessors of United States Accreditation Inc. are qualified to meet the quality system requirements of United States Accreditation Inc. and have the appropriate qualifications and experience required for assessments.

All United States Accreditation Inc. personnel taking part in accreditation activities shall be aware of their duties and comply with all established rules. All personnel shall be provided with access to USACC-IN-04 Instructions on Code of Conduct and Ethics, which includes the said established rules, and the necessary information shall be provided to the personnel.

### 5.1 Qualifications Required for Personnel Taking Part in the Accreditation Process

Persons taking part in the accreditation process shall have appropriate technical and professional qualifications and sufficient experience. Persons taking part in United States Accreditation Inc.'s accreditation process shall possess the following qualifications. The relevant competency requirements are specified in Annex A Competency Matrix. Annex B specifies the knowledge and skills required for each function in the accreditation process.

USACC-G-32 Guidelines on Areas of Expertise is used in assessment of specialty to ATEs.

#### 5.1.1 Fundamental criteria for lead assessors and assessors :

- Knowledge of United States Accreditation Inc.'s management system, rules and processes,
- Knowledge and ability to interpret ISO/IEC 17011 which is relevant to the Accreditation Body's activities, accreditation standards which are used for CAB assessments, and guidelines related to these standards,
- Knowledge of ISO 19011 standard and IAF MD20 document,
- Personal attributes,
- Lead assessors and assessors are required to have the personal attributes specified in ISO 19011 Clause: 7 and preferably IAF MD20 Annex 2.
- Basic knowledge and skills;
- Lead assessors and assessors are required to have the knowledge and skills specified in ISO 19011 Clause 7 and IAF MD20 Annex 1 and preferably Annex 2.
  - Sector-related and legal (regulatory) requirements; Laws and regulations,

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- Contracts and agreements,
- International treaties,
- General characteristics of the country in which the organization is located and other conditions to which it is subject.
- Knowledge of the relevant international guidelines and mandatory documents of APAC, ILAC, IAF, etc.,
- Knowledge of assessment principles, practices and techniques,
- Knowledge of general management system principles and tools,
- Knowledge of relevant geographic areas in which United States Accreditation Inc. operates.

5.1.2 Lead Assessors and Assessors (additional qualifications)

- At least bachelor’s degree (preferably from a 4-year department); for lead assessors/assessors in the laboratory/inspection field, to have a degree in Science, Engineering Sciences, Medicine, Pharmacy, Veterinary and other technical fields,
- Fluency in English, both in writing and speaking,
- Speaking English is a reason for preference,
- Knowledge of and experience in quality management systems,
- Participation in assessor trainings organized by United States Accreditation Inc. or an assessor certificate or assessor training from an accreditation body that has signed an MLA/MRA with APAC/ILAC/IAF,
- Participation in trainings organized by United States Accreditation Inc. in the relevant accreditation area or whose equivalence has been accepted by United States Accreditation Inc. ,
- Minimum 4 years of professional experience;
- For lead assessors, minimum 2 years of this experience must have been obtained by managing a quality system, creating a quality assurance or quality system, participating in the system or in the assessment of the system.
- Assessment experience:

In order for trainee assessors to become assessors, they must have taken part in assessment(s) completed within the last three years with a total period of 5 person/day, including pre-preparation, on-site assessment and reporting, with the supervision of an assessor experienced in the relevant field.

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In order for assessors to become lead assessors, they must have taken part as assessors in assessment(s) completed within the last two years with a total period of 15 person/day, including pre-preparation, on-site assessment and reporting, with the supervision of an experienced lead assessor.

An assessor appointed as a lead assessor takes part in the assessment as a lead assessor under the supervision of a lead assessor in their first assessment as a lead assessor. In this assessment, the observer lead assessor prepares a report to state his/her observations. If the evaluation result is negative, the necessary action is taken by taking into account the report of the observer lead assessor.

To have a degree in the disciplines specified in paragraph (a) may not be required, provided that the person has competence to prove his/her technical expertise and a minimum of 3 years of laboratory/inspection experience for specific areas and for situations where there is a need for expertise.

In order for ISO/IEC 17020, ISO/IEC 17025, ISO 15189, ISO 17034, ISO/IEC 17043 etc. (Category A) lead assessors/assessors to become lead assessors/assessors of other standards, they must receive trainings specified in USACC-LT-08 Lead Assessor/Assessor Transition Trainings List and take part in one (1) assessment as Lead Assessors/Assessors under the supervision of an observer lead assessor/assessor, and the result of the observation must be positive.

In transitions from Category A standards to Category B standards and vice versa, persons must participate in trainings specified in USACC-LT-08 Lead Assessor/Assessor Transition Trainings List; they must first take part in an assessment in the relevant field as assessors/trainee assessors, then take part in an assessment as lead assessors/assessors under the supervision of an observer lead assessor/lead assessor in the relevant field. The result of the observation must be positive.

If the evaluation result is negative, the necessary action is taken by taking into account the report of the observer lead assessor. For transitions from Category B to Category A, educational requirements specified in 5.1.2 a) shall be required. When necessary, an interview with lead assessor/assessor candidates shall be conducted. The interview and observations about the candidate shall be recorded on the relevant forms.

### 5.1.3 Technical Experts

The qualifications that technical experts must have are as follows:

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- A higher education degree than high school (for laboratory and inspection fields, technical experts must have a degree in science, engineering, and technical disciplines.)(A higher education degree may not be required from persons with 3 years of experience in their area of expertise),
- Preferably, fluency in English.
- Knowledge of relevant geographic areas in which United States Accreditation Inc. operates.
- Sector-related and legal (regulatory) requirements.
  - Laws and regulations,
  - Contracts and agreements,
  - International treaties,
  - To have knowledge of other requirements that Conformity Assessment Bodies are subject to

5.1.4 Determination of Areas of Expertise for Lead Assessors, Assessors and Technical Experts

USACC-G-32 Guidelines on Areas of Expertise is used to determine the areas of expertise of ATEs. For the evaluation of the competence of ATEs in these areas of expertise, the criteria specified in the table below are considered.

<i>Fields</i>	<i>Expertise Assignment Criteria</i>
<i>Laboratory (Testing/Medical Testing/Calibration)</i>	<i>For those to be assigned an expertise in the laboratory field, at least 4 (four) years of experience in testing/medical testing/calibration studies or quality systems implementation available in laboratories or operation of management systems is required. In addition to this experience, personal experience is also required with relation to the performance of testing, medical testing and calibration, medical testing or the calibration method in relevant expertise area with up-to-date methods, calculation of measurement uncertainty and validation.</i>

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<i>Inspection</i>	<p><i>Persons to be assigned an expertise in the inspection field must have at least 4 years of professional experience in their area of expertise, and this experience is expected to have been gained by;</i></p> <ul style="list-style-type: none"> <li>• <i>Actually working in the relevant industry and service sector at least 2 (two) years,</i></li> <li>• <i>Conducting training, research and consultancy activities.</i></li> </ul>
<i>Product Certification</i>	<p><i>Those who will be appointed for accreditation product certification bodies must have at least 5 (five) years of professional experience and this experience is expected to have been gained by;</i></p>
<i>Field</i>	<i>Expertise Assignment Criteria</i>
	<ul style="list-style-type: none"> <li>• <i>Actually working at least 2 (two) years in an industrial establishment conducting relevant product design and manufacture or in relevant service sector,</i></li> <li>• <i>Conducting training, research or consultancy activities,</i></li> <li>• <i>Working in laboratories where relevant products are analysed</i></li> </ul>

<i>Management Systems</i>	<p><i>In order for a management system standard from Management Systems expertise fields to be assigned as an expertise, the person must have worked on or provided consulting for the relevant management system implementation or operation in an industrial establishment, acquired a certain level of knowledge from assessment/expertise works conducted in relevant management system field in a certification body.</i></p> <p><i>Provided that having at least 5 (five) years of experience for assigning expertise regarding industrial areas of Management Systems expertise field, where applicable, industrial experience of 2 (two) years for the critical/complex/high risky scopes or 1 (one) years for non- critical/medium/normal risky scopes and 6 (six) months for low risky scopes is required or there must be evidence as to demonstrate technical proficiency in training, consultancy, publications or studies.</i></p>
<i>Personnel Certification</i>	<p><i>Those who will be appointed in the accreditation of personnel certification bodies must have at least 5 (five) years of professional experience from a personnel certification body or a university or other educational facility providing education in the relevant field or from the relevant field under certification.</i></p>

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<b>Competency Testing Providers</b>	<p><i>Technical experts to be assigned to the organization of competency tests and the calculation of the results;</i>  <i>To have knowledge about statistical calculations, homogeneity, stability related to the competency testing cycles, and at least 4 years of experience in testing, medical testing or calibration.</i>  <i>Technical experts to be appointed to supervise the competency testing providers' areas of expertise within the scope of the application;</i>  <i>The same requirements under the relevant laboratory (testing/medical testing/calibration) field apply.</i></p>
<b>Reference Material Producers</b>	<p><i>Technical experts to be assigned for the results and calculations related to the production of reference materials;</i>  <i>To have knowledge about statistical calculations, homogeneity, stability related to the production of reference materials, and at least 4 years of experience in testing, medical testing or calibration.</i>  <i>Technical experts to be appointed to supervise the reference material producers' areas of expertise within the scope of the application;</i>  <i>The same requirements under the relevant laboratory (testing/medical testing/calibration) field apply.</i></p>
<b>Fields</b>	<b>Expertise Assignment Criteria</b>
<b>Greenhouse Gases</b>	<p><i>Persons to be assigned an expertise in the greenhouse gases field must have at least 4 (four) years of professional experience in their expertise field, and this experience is expected to have been gained by;</i></p> <ul style="list-style-type: none"> <li>• <i>Actually working in the relevant industry and service sector at least 2 (two) years,</i></li> <li>• <i>Performing education, research and consultancy activities.</i></li> </ul>

#### 5.1.5 Case Officers

The qualifications that case officers must have are as follows:

- To have graduated from a four-year university,
- To be fluent in English, both in writing and speaking,
- To speak English at a sufficient level for document control (for case officers of CABs abroad),
- To have information about the general characteristics of the country where CAB is located
- To have successfully completed case officers' orientation program,
- To have knowledge of relevant geographic areas in which United States Accreditation Inc. operates.

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- To have knowledge about the United States Accreditation Inc. quality system, rules and processes for accreditation and relevant international guidelines and mandatory documents of APAC, ILAC, IAF, etc.,

United States Accreditation Inc. personnel to be appointed as Case Officer shall carry out at least two accreditation files under the supervision of an experienced Case Officer until the accreditation decision is taken, and then carry out accreditation files by himself/herself. After this process, the United States Accreditation Inc. personnel in question shall fill out USACC-RP-05 Adaptation Training Plan and Evaluation Report, obtain the approval of the relevant persons, then leave a copy of the form to the Training Department. In order to ensure the competence of Case Officers in the area associated with the accreditation file, Case Officers cooperate with an experienced Case Officer in the area in question.

#### 5.1.1 Accreditation Decision Committee Members

The qualifications that Accreditation Decision Committee members must have are as follows:

- The Lead Assessor qualifications defined in this procedure,
- Minimum 3 (three) years of experience in accreditation,
- ISO / IEC 17011 standard training,
- Knowledge of assessment principles, practices and techniques, as well as general management system principles and tools,
- Knowledge of United States Accreditation Inc. procedures, rules and processes related to accreditation,
- Knowledge of accreditation, accreditation schemes, relevant guidelines and implementation documents,
- General information about conformity assessment schemes accredited by United States Accreditation Inc. and other requirements to which CABs are subject,
- Knowledge of risk-based assessment principles,
- Knowledge of relevant geographic areas in which United States Accreditation Inc. operates,
- General information about the legal requirements to which conformity assessment bodies are subject,
- Competency to evaluate the assessment results, and the opinions and suggestions of the assessment team.

#### 5.1.7 Team Leader

A team leader shall be assigned for each assessment. The team leader shall be selected from among the people appointed as Lead Assessors to be responsible for the entire management of the assessment (for witness assessments or follow-up assessments, assessors may also be appointed as team leaders).



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## 5.2 Creating a Pool of Assessors/Technical Experts

### 5.2.1 Application

Candidates who wish to become an assessor or technical expert shall apply at [accreditation.us](https://www.usacc.org/accreditation.us) for their first application.

### 5.2.2 Evaluation of the Application

Applications shall be submitted to the Human Resources Department via [accreditation.us](https://www.usacc.org/accreditation.us) within the knowledge of the President and the relevant Deputy President. Applications shall be reviewed by the Human Resources Department, and applications that meet the minimum criteria specified on the form shall be registered by United States Accreditation Inc.

For applications that meet the criteria, the Human Resources Department shall inform the applicant that the application is accepted. The applicant sends the requested documents to the Human Resources Department.

Applications of candidates who complete the submission of information and documents shall be evaluated within the framework of the established criteria. Training needs of candidates shall be determined by considering the previous trainings they have received.

After the evaluation by the relevant Deputy President and the Human Resources Department, the areas of expertise deemed appropriate shall be determined. A meeting/interview may be arranged before a decision is made about the candidate. Decisions about the candidate include the following:

- Registration in the pool as a lead assessor,
- Registration in the pool as an assessor,
- Registration in the pool as a Technical Expert,
- Registration in the pool as a Trainee Assessor,
- Registration in the pool as an Assessor Candidate,
- Rejection of application due to not meeting the criteria,
- Dismissal from the Pool

In the evaluation of qualification, knowledge, skills and competence for appointments, one or more of the following methods may be employed: written/oral examination, interview, review of documents and records and/or control of created documents, evaluation of performance reports or periodical monitoring of the performance on-site, evaluation of feedbacks.

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In order to measure the technical competence of the candidate, sectoral experts may be consulted for the relevant area of expertise. Procedures for the methods to be employed in the evaluation of competence of candidates are as follows;

- Written-oral examination, interview are carried out by the head of the relevant unit or a person/committee determined by the head,
- Control of created documents/review of documents and records are carried out by the Case Officer,
- Evaluation of performance reports are carried out by the relevant Deputy President,
- Periodical monitoring of the performance on-site is carried out by the Observer determined by the relevant Deputy President.

United States Accreditation Inc. and the applicants who are registered in the Pool as Lead Assessors, Assessors, Technical Experts and Trainee Assessors shall sign USACC-FR-37 Contract for Experts Taking Part in The Auditor Technical Expert Pool.

#### 5.2.3 Updating Application Information

Applicants can update their application information by themselves through the Human Resources Department.

#### 5.2.4 Qualification of Assessor Candidates

Applicants who do not fully meet the assessor criteria and must be trained in accordance with USACC-P-17 Procedure for the Training of Accreditation Assessors shall be subjected to the Assessor Training Program organized by the Training Department and designated for the applicants by the relevant Deputy President. The Training Department shall inform the relevant Deputy President about the assessor candidates who have completed their training. Assessor candidates must successfully complete all trainings designated for them in order to receive the title of trainee assessor.

#### 5.2.5 Qualification of Trainee Assessors

Assessor candidates who complete the trainings specified in USACC-P-17 Procedure for the Training of Accreditation Assessors shall be appointed as trainee assessors in accreditation assessments by the relevant Deputy President at the last stage of the training process.

#### 5.2.6 Qualification of Assessors

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Trainee assessors shall be assigned by the relevant Deputy President in accreditation assessments. During the assessment, trainee assessors are observed by the lead assessor and/or assessor while performing their tasks. If the evaluation of the observation result is positive, the training process of the trainee assessor is completed and the relevant Deputy President appoints the trainee assessor as Assessor. The decision of appointment is communicated to the relevant Deputy President and Human Resources Department to be put in the assessor's file.

#### 5.2.7 Qualification of Lead Assessors

Assessors in the ATE pool, consolidated data from performance surveys, feedback on relevant persons shall be compiled by the Human Resources Department and positive or negative evaluations on the lead assessor candidate shall be submitted to the relevant Deputy President. The relevant Deputy President shall review the submitted information, determine the lead assessor candidates and submit the determined candidate names to the President. After the determined lead assessor candidates receive the trainings specified in the USACC-P-17 Procedure for the Training of Accreditation Assessors and meet other requirements specified in this procedure, they shall be appointed as lead assessors. In the first assessment in which s/he is appointed as the lead assessor, s/he performs the assessment under the supervision of the lead assessor in the relevant field. The observer lead assessor shall prepare a report stating his/her observations. If the evaluation result is negative, the necessary action shall be taken by taking into account the report of the observer lead assessor.

The requirements for assessors and lead assessors to maintain their status are specified in USACC-P-25 Procedure for Monitoring and Evaluating the Performance of Personnel Taking Part in the Accreditation Process.

#### 5.3 Suspension or Withdrawal of Assessor/Technical Expert Status

The relevant Deputy President is authorized to suspend or withdraw the ATE status of persons taking part in the Pool of Assessors/Technical Experts. These people may be suspended from the ATE status or dismissed from the ATE pool for the following reasons:

- Not attending self-improvement trainings and experience sharing meetings organized and invited by United States Accreditation Inc. twice in succession without excuse,
- Not accepting tasks assigned by United States Accreditation Inc. twice in succession without excuse,
- Detection of violations of technical competence, impartiality and autonomy,
- Violation of United States Accreditation Inc.'s confidentiality and security instructions,

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- Violation of the terms specified in the Assessor and Technical Expert Contract,
- Assessor candidates not attending or failing in designated trainings,
- Trainee assessors failing to fully and effectively accomplish their tasks.

Persons in the Assessor/Technical Expert Pool may resign at any time with a written petition, provided that their ongoing work is completed.

#### 5.4 Determination of the Need for Assessors/ Technical Experts

For scopes determined in line with accreditation applications, information obtained from bodies preparing for their accreditation application, and opinions of expert committees and working groups, the relevant Deputy President shall hold a meeting at least once a year to evaluate the need for assessors/technical experts by also considering the goals related to accreditation for the following year, with the participation of the representatives of the relevant Deputy President and Human Resources Department. In this meeting, a report showing the current number of CABs and ATEs on the basis of area of expertise shall be prepared by the Information Technologies Department, and accreditation areas and areas of expertise that require new and/or additional ATEs shall be determined, taking into account the said report and the above-mentioned issues. The said report prepared by the Information Technologies Department shall include the current status of assessors, number of assessments they have attended during the year, and be communicated to the attendees prior to the meeting. Human Resources Department shall take the meeting minutes. As a result of this report, the necessary work shall be initiated by the relevant Deputy President in order to meet the need for assessors/technical experts.

ANNEX A Table A Competency Matrix

Position	Personal attributes	Knowledge and Skills	Education	Work Experience	Assessor Training	Assessment Experience	Evaluation
Lead Assessor	ISO 19011 Clause:7 and IAF MD20 Annex-2, USACC-P-10 Clause5.1.1	ISO 19011 Clause:7 and IAF MD20 Annex-1 and Annex-2, USACC-P-10 Clause 5.1.1	USACC-P-10 Clause 5.1.2	USACC-P-10 Clause 5.1.2	USACC-P-10 Clause 5.1.2	USACC-P-10 Clause 5.1.2	Persons who meet the requirements are appointed.
Competence Analysis Method	Interview and observation during assessment	Interview and observation during assessment	Review of records	Review of records and interview	Review of records, observation during training, written examination	Review of records, observation during training,	Persons who meet the requirements are appointed.

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Assessor	ISO 19011 Clause:7 and IAF MD20 Annex-2, USACC-P-10 Clause 5.1.1	ISO 19011 Clause:7 and IAF MD20 Annex-1 and Annex-2, USACC-P-10 Clause 5.1.1	USACC-P-10 Clause 5.1.2	USACC-P-10 Clause 5.1.2	USACC-P-10 Clause 5.1.2	USACC-P-10 Clause 5.1.2	Persons who meet the requirements are appointed.
Competence Analysis Method	Interview and observation during assessment	Interview and observation during assessment	Review of records	Review of records and interview	Review of records, observation during training, written examination	Review of records, observation during training.	Persons who meet the requirements are appointed.
Technical Expert	USACC-P-10 Clause 5.1.3	USACC-P-10 Clause 5.1.3 and 5.1.4	USACC-P-10 Clause 5.1.3	USACC-P-10 Clause 5.1.3 and 5.1.4	NA (not applicable)	NA (not applicable)	Persons who meet the requirements are appointed.
Competence Analysis Method	Interview and observation during assessment	Review of records, interview and observation during assessment	Review of records	Review of records and interview			Persons who meet the requirements are appointed.
Case Officer	NA (not applicable)	USACC-P-10 Clause 5.1.5	USACC-P-10 Clause 5.1.5	USACC-P-10 Clause 5.1.5	NA	NA	Persons who meet the requirements are appointed.
Competence Analysis Method		NA	Review of records	Review of records			Persons who meet the requirements are appointed.
Accreditation Decision Committee Members	USACC-P-10 Clause 5.1.6	USACC-P-10 Clause 5.1.6	USACC-P-10 Clause 5.1.6	USACC-P-10 Clause 5.1.6	USACC-P-10 Clause 5.1.6	USACC-P-10 Clause 5.1.6	Evaluated in internal audits.
Competence Analysis Method	NA	Review of records	Review of records	Review of records	Same as Lead Assessor	Same as Lead Assessor	Evaluated in internal audits.
Pre-decision Technical Reviewer	ISO 19011 Clause:7 and IAF MD20 Annex-2 USACC-P-10 Clause:5.1.1	ISO 19011 Clause:7and IAF MD20 Annex-1 Annex-2 USACC-P-10 Clause:5.1.1	USACC-P-10 Clause 5.1.7	USACC-P-10 Clause 5.1.7	USACC-P-10 Clause 5.1.7	USACC-P-10 Clause 5.1.7	Evaluated in internal audits.
Competence Analysis Method	Same as assessor	Same as assessor	Same as assessor	Same as assessor	Same as assessor	Same as assessor	

ANNEX B Knowledge and Skills Required for Each Function in the Accreditation Process

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Knowledge and Skills	Accreditation Functions					
	Review and planning of applications (Case Officer)	Review of documents (assessment team)	Assessment (assessment team)	Review prior to decision (Pre-decision Review members)	Accreditation Decision (Accreditation Decision Committee)	Program Management (Head of Accreditation)
United States Accreditation Inc. rules and processes	X	X	X	X	X	X
Assessment principles, practices and techniques	X	X	X	X		
General management system principles and tools	X	X	X	X		
Communication with all levels within CAB		X				
Note-taking and reporting (Reporting prior to, during, and following the assessment)	X	X				
Conducting opening and closing meetings		X				
Conducting an interview		X				
Assessment management		X				
Accreditation, accreditation standards, guidelines and mandatory documents, accreditation requirements	X	X	X	X	X	X
Requirements of Conformity Assessment Schemes (when applicable)	X	X	X	X		X
Risk-based assessment principles	X		X	X	X	X
CAB's business management practices and processes			X			
General regulatory requirements related to conformity assessment activities (legislation etc.)	X	X	X	X		X

**6. AUTHORITY AND RESPONSIBILITIES**

Authority and responsibilities are described in USACC-G-34 Job Description and Organization Chart Guideline.