

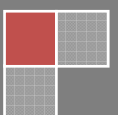
2013

SADCA PROCEDURE FOR THE SELECTION, TRAINING, QUALIFICATION AND MONITORING THE PERFORMANCE OF PEER EVALUATORS

SOUTHERN AFRICAN DEVELOPMENT COMMUNITY COOPERATION IN ACCREDITATION

This document establishes the criteria and procedures related to the selection, training, qualification and monitoring the performance of peer evaluators.

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1. PURPOSE

- 1.1 This document establishes the criteria and procedures related to the selection, training, qualification of SADCA peer evaluators, as well as for monitoring their performance.

2. EVALUATORS' WORKING GROUP

- 2.1 The SADCA MRA Committee shall appoint and Evaluators Working Group (EWG) to manage and oversee all issues pertaining to peer evaluators.
- 2.2 The EWG shall consist of at least three people who either have experience in MRA decision making or are qualified as Lead Evaluators.
- 2.3 The EWG shall work in cooperation with the MRA Committee in planning and organising peer evaluator training activities.
- 2.4 The EWG shall review and approve candidates' applications and qualifications.
- 2.5 The EWG shall approve and oversee the performance of Lead Evaluators, Evaluators and Trainee Evaluators in accordance with the criteria in this document. In addition the EWG shall ensure that actions resulting from monitoring of evaluators' performance are implemented.

3. TRAINING

3.1 Peer Evaluators Training Courses

3.1.1 The Peer Evaluator Training Course shall cover at least the following:

- 3.1.1.1 Requirements of ISO/IEC 17011 and other mandatory documents as defined in the SADCA Policies and Procedures for a Mutual Recognition Arrangement among Accreditation Bodies;
- 3.1.1.2 ILAC/IAF A-Series and any other applicable mandatory documents;
- 3.1.1.3 SADCA procedures for peer evaluations as defined in the SADCA Policies and Procedures for a Mutual Recognition Arrangement among Accreditation Bodies;
- 3.1.1.4 Exercises on planning evaluations, writing and classification of findings.

3.1.2 The EWG shall approve participants in Peer Evaluators Training Course as established in 4.2.

Note: The accreditation body that provides the infrastructure for the evaluators training course may appoint participants that do not necessarily meet the required criteria for qualification. These participants may be later on qualified as trainee evaluators once they demonstrate they meet the relevant requirements.

3.1.3 The coordinator of the course shall evaluate participants taking into account knowledge of ISO/IEC 17011 and other MRA requirement, understanding of peer evaluation procedures, interpersonal skills, and language skills for non-native speakers, ability to work in groups and personal attributes.

3.1.4 A certificate shall be issued to participants in the training course. The participant and his/her accreditation body shall receive a copy of the evaluation of the participant.



3.1.5 The EWG in cooperation with the MRA Committee shall review and if necessary revise the content of the Peer Evaluators Training Course taking into account input receive from participants, instructors, and monitoring of evaluators' performance.

3.2 Other Training Activities for Qualified Peer Evaluators

3.2.1 The EWG in cooperation with the MRA Committee shall arrange periodic meetings or other training activities for qualified evaluators, as necessary to maintain and improve harmonisation in SADCA peer evaluators. These meetings or other training activities shall normally be done every two years.

3.2.2 The training activities shall consider issues such as:

- 3.2.2.1 Changes in peer evaluation procedures or requirements;
- 3.2.2.2 Results of monitoring of evaluators' performance;
- 3.2.2.3 Feedback from the SADCA MRA Council about evaluation reports;
- 3.2.2.4 Complaints about SADCA's peer evaluation process.

4. SELECTION AND QUALIFICATION OF PEER EVALUATORS

4.1 Grades for the Qualification of Peer Evaluators

4.1.1 SADCA has three grades for qualification of peer evaluators, namely: Lead Peer Evaluators; Peer Evaluators and Trainee Peer Evaluators.

Note: The terms lead evaluator; evaluator and trainee evaluator may also be used.

4.1.2 Lead Evaluators may be appointed as evaluation Team Leaders. Lead Evaluators, Evaluators and Trainee Evaluators may be appointed as evaluation team members.

4.2 Nominations

4.2.1 SADCA Arrangement and Ordinary Members may nominate potential evaluators in writing. Candidate evaluators shall fill out the **F028: SADCA Peer Evaluator Curriculum Vitae Form** and **F006: Declaration of Impartiality and Confidentiality forms**.

4.3 Review of Application

4.3.1 The SADCA MRA Committee Secretariat shall send the **F028: SADCA Peer Evaluator Curriculum Vitae Form** to at least two members of the EWG for review and confirmation whether the candidate meets the qualification criteria required in 5.1.2, for Lead Evaluators, or 5.2.2 for Evaluators and Trainee Evaluators. The results of the review shall be recorded on the relevant **F012: Performance Review of SADCA Peer Evaluators form** and shall indicate:

- 4.3.1.1 Whether the candidate may be qualified as a Lead Evaluator, Evaluator, Trainee Evaluator or be approved to participate in the Peer Evaluators' Training Course;
- 4.3.1.2 The accreditation programs the candidate may be qualified for;
- 4.3.1.3 Any special technical information to be recorded about the candidate (e.g. experience in Proficiency Testing, reference material, National Metrology Institute (NMI), or in a particular industry sector or standard, post graduate education, etc.); and
- 4.3.1.4 If applicable, the reasons for not approving the candidate.



4.4 Notification to Candidates

- 4.4.1 The SADCA MRA Secretary shall inform the results of the application review to the candidate and the respective accreditation body, including any relevant information on the reasons for not approving the candidate.
- 4.4.2 For those candidates approved for the Peer Evaluators' Training Course, and after they have successfully participated in the course, the SADCA MRA Secretariat shall inform them and the respective accreditation body of their qualification as a Trainee Evaluator as decided in the review performed by the EWG.

5. REQUIREMENTS FOR SELECTION AND QUALIFICATION OF PEER EVALUATORS

5.1 Lead Evaluators shall be able to:

- 5.1.1 Lead the Peer Evaluation team in an efficient and effective manner, including the distribution of tasks among the team members.
- 5.1.2 Evaluate whether an applicant accreditation body complies with the requirements of the appropriate ISO/IEC Standard(s) and whether its accredited bodies comply with the requirements of the appropriate ISO/IEC Standard(s).
- 5.1.3 Decide from the submitted documentation any features requiring special study during the evaluation;
- 5.1.4 Report clearly and succinctly the findings of all team members, in conformity with the MRA requirements;
- 5.1.5 Evaluate whether the corrective actions decided by the applicant are likely to be effective and to evaluate the corrective actions carried out;
- 5.1.6 Determine the criticality of the findings;
- 5.1.7 Understand quickly and easily cultural differences essential in the evaluation process.

5.2 In order to perform these activities, a Lead Evaluator shall meet the following requirements:

- 5.2.1 Be an experienced person within an accreditation body or organisation which has relevant working experience with accreditation and have the appropriate technical background and experience (at least three years) of assessment;

Note: Appropriate technical background and experience in assessments may be achieved, for example, through experience as a lead assessor or experience in monitoring and evaluating performance of assessors and lead assessors.

- 5.2.2 Have participated in at least two peer evaluations or pre-peer evaluation of accreditation bodies as a team member, and have received satisfactory evaluations of performance by the team leaders;

Note: In exceptional cases where an evaluator has had very good performance in one evaluation, he/she may be qualified as lead evaluator even though he/she does not yet meet the requirements for evaluation experience. In this case another team leader must be appointed to the evaluation team to mentor the new lead evaluator. The appointment of mentor lead evaluators may also be considered in other cases when qualifying lead evaluators.

- 5.2.3 Have sound knowledge of the application of ISO/IEC 17011, the appropriate ISO/IEC Standard(s) for various accreditation programs, and the relevant MRA requirements.
- 5.2.4 Be able to understand and to express him/herself clearly in spoken and written English;
- 5.2.5 Have experience in chairing meetings and in reaching consensus on delicate matters;
- 5.2.6 Have good interpersonal skills; and



5.2.7 Have successfully completed the Peer Evaluator Training Course or an equivalent course offered by ILAC, IAF or a recognised regional cooperation.

5.3 Evaluators and Trainee Evaluators shall be able to:

5.3.1 Evaluate whether an applicant accreditation body complies with the requirements of the appropriate ISO/IEC Standard(s) as well as whether its' accredited bodies comply with the requirements of the appropriate ISO/IEC Standard(s);

5.3.2 Report clearly and succinctly the findings;

5.3.3 Determine the criticality of the findings.

5.4 In order to perform the activities in 5.3 above, as well as participate in SADCA Peer Evaluator Training Courses, an evaluator and trainee evaluator shall meet the following requirements:

5.4.1 He/she shall be an experienced person or assessor within his/her Accreditation Body or organisation, with at least three years relevant technical and working experience/background in the assigned areas of accreditation.

Note: Appropriate technical background in the assigned areas may be achieved by, e.g. experience as a lead assessor or assessor, experience in monitoring and evaluating performance of assessors and lead assessors, experience in managing accreditation programs, or reviewing reports and making decisions for the program.

5.4.2 Have sound knowledge of the application of ISO/IEC 17011, the appropriate ISO/IEC Standard(s) for the accreditation program and the relevant MRA requirements;

Note: Sound knowledge of standards and MRA requirements may be confirmed by, e.g. training courses; participation in standardisation committees and relevant SADCA, ILAC and IAF working groups or committees, experience as a lead assessor or assessor, experience in monitoring and evaluating the performance of assessors and lead assessors, experience in managing accreditation programs, or reviewing reports and making decisions for the program.

5.4.3 Be able to understand and to express him/herself clearly in written and spoken English;

*Note: This may be initially met based on the information provided by the candidate and the Accreditation Body in **F028: Peer Evaluator's CV Form**. Language skills of non-native English speakers will be further evaluated during the training course and evaluations.*

5.4.4 Have good interpersonal skills;

Note: This may be initially met by having experience in assessments of Conformity Assessment Bodies (CABs). Personal attributes will be further evaluated during the training course and evaluations.

5.4.5 Follow the instructions given by the team leader.

Note: This may be initially met by having experience in assessments of CABs. Personal attributes will be further evaluated during the training course and evaluations.

5.5 In addition to the requirements established in 5.4 above, a trainee evaluator shall have successfully completed the SADCA Peer Evaluator Training Course or an equivalent course offered by ILAC, IAF or a recognised regional cooperation.

Note: A candidate shall be considered to have fulfilled this training requirement for 5 years after having successfully completed a Peer Evaluator Training Course.



5.6 In addition to the requirements of 5.4 and 5.5 above, an evaluator shall have participated in at least one peer evaluation or pre-peer evaluation of an accreditation body and have received a satisfactory evaluation of performance by the team leader.

5.7 Lead Evaluators, Evaluators and Trainee Evaluators should:

5.7.1 Be open-minded and mature;

5.7.2 Possess sound judgement, analytical skills and tenacity;

5.7.3 Have the ability to perceive situations in a realistic way, to understand complex operations from a broad perspective, and to understand the role of individual units within an organisation.

5.8 Lead Evaluators, Evaluators and Trainee Evaluators should be able to apply the attributes of 5.7 above in order to:

5.8.1 Obtain and assess objective evidence fairly;

5.8.2 Remain true to the purpose of the evaluation without fear of favour;

5.8.3 Evaluate constantly the effects of evaluation observations and personal interactions during an evaluation;

5.8.4 Treat concerned personnel in a way that will best achieve the evaluation objective;

5.8.5 React with sensitivity to the local conventions of the area in which the evaluation is performed;

5.8.6 Perform the evaluation process without deviating due to distractions;

5.8.7 Commit full attention and support to the evaluation process;

5.8.8 React effectively in stressful situations;

5.8.9 Arrive at generally acceptable conclusions based on evaluation observations;

5.8.10 Remain true to a conclusion despite pressure to change that is not based on evidence.

Note: Personal attributes may be initially met by having experience in assessments of CABs. Personal attributes will be further evaluated during the training course and evaluations.

6. MONITORING THE PERFORMANCE OF PEER EVALUATION TEAMS

6.1 The Team leader is responsible for monitoring the performance of each of the members of their peer evaluation of their peer evaluation team. The Team Leader shall complete an **F015: SADCA Performance Log for Team Member** and return the completed form to the SADCA MRA Secretariat within one month of the completion of the on-site evaluation.

6.2 Where an evaluation is performed jointly by SADCA, ILAC and IAF or any other recognised regional cooperation, the Team Leader shall return to the SADCA MRA Secretariat only those Evaluation Performance Logs about SADCA evaluators and trainee evaluators. Monitoring of performance of Team Members appointed by other organisations will be done by the organisation that appointed them.

6.3 Team Members shall submit comments on the team leader's performance to the SADCA MRA Secretariat within one month from the on-site evaluation. The **F024: SADCA Performance Log for Team Member form** shall be used for this purpose.

6.4 In order to monitor the performance of Team Leaders, each MRA Signatory or applicant shall complete **F012: Evaluation Team Performance by Evaluated AB form** and provide comments on the performance of the evaluation team and particularly of the team leader.

6.5 The SADCA MRA Secretariat shall provide the Evaluator Performance Logs and the Performance Form provided by the MRA Signatory or applicant to one member of the EWG for review, with a copy to the Chair of the SADCA MRA Committee. The results of the review shall be recorded on **the relevant Performance Review of SADCA Peer Evaluators form** and shall indicate:



- 6.5.1 Whether the performance is satisfactory or unsatisfactory;
 - 6.5.2 Whether there are positive comments or comments for improvement;
 - 6.5.3 Whether qualification shall be maintained or changes;
 - 6.5.4 If a Team Member is a Trainee Evaluator, whether qualification as an Evaluator is recommended;
 - 6.5.5 Any other recommended action.
- 6.6** The **relevant Performance Review of SADCA Peer Evaluators form** shall be submitted for approval by at least one other member of the EWG.
- 6.7** Should the performance of any Team Member or Team Leader be considered to be unsatisfactory, or if there are recommendations for training or development actions the Chair of the MRA Committee or a Member of the EWG shall discreetly consult the SADCA accreditation body that provides the Evaluator, and with the Evaluator on the areas of performance which requires improvement.
- 6.8** The EWG or the Members of the MRA Council shall review the format of each Evaluation Report prepared by a Team Leader as well as the classification of the findings so as to determine whether the reporting requirements of the **M001: SADCA Policies and Procedures for an MRA among ABs** are met. Any perceived deficiencies in a report shall be reported to the MRA Council Chair, who shall consider all the comments on an individual Team Leader and take any necessary action to advise the relevant SADCA accreditation body and the Team Leader of areas for improvement.
- 6.9** The SADCA MRA Secretariat will inform the results of the performance evaluation to the Team Member and to the accreditation body he/she works for.

7. MAINTENANCE OF QUALIFICATION OF PEER EVALUATORS

- 7.1** In order to maintain his/her qualification, a Lead Evaluator, Evaluator or Trainee shall participate in evaluators' meetings and other activities organised by SADCA, ILAC, IAF or other recognised regional cooperation bodies, as determined by the SADCA MRA Committee or the EWG.
- 7.2** If a Trainee Evaluator does not participate in any peer evaluation or pre-peer evaluation, or any other evaluator refresher training activity for five (5) years after completing the course, the qualification shall be suspended until the person takes the refresher training as determined by the EWG.
- 7.3** If a Lead Evaluator or Evaluator does not participate in any peer evaluation or pre-peer evaluation, or any other evaluator refresher training activity for five (5) years, his/her qualification shall be reviewed by the EWG so as to decide:
- 7.3.1 Whether qualification may be maintained, needs to be changed to another grade or be suspended;
 - 7.3.2 Whether refresher training is required.
- 7.4** Lead Evaluators, Evaluators and Trainee Evaluators shall implement any training or development actions resulting from performance monitoring. In extreme cases, or where an evaluator is unwilling to accept proposals for improvement, the EWG may decide on the removal of the Evaluator from the MRA Committee's list of peer evaluators.
- 7.5** Lead Evaluators, Evaluators and Trainee Evaluators shall submit their updated **F028: SADCA Peer Evaluators' CV Form** to the SADCA MRA Secretariat at least every five (5) years.



8. RECORDS

8.1 The SADCA MRA Secretariat shall maintain the following records for each Evaluator:

8.1.1 Forms **F028** and **F006**;

8.1.2 Results of the review by the EWG of nomination for Peer Evaluator in the **relevant Performance Review of SADCA Peer Evaluators form**;

8.1.3 Evaluation for participation in a Peer Evaluator Training Course;

8.1.4 Performance Logs, forms: **F015** and **F024**;

8.1.5 Performance Log form **F012** provided by the accreditation body regarding the performance of the evaluation team;

8.1.6 Any action taken by the Chair of the MRA Committee or EWG in relation to the performance of the Evaluator.

Note: Only records of SADCA evaluators are maintained by the SADCA MRA Secretary. Records of evaluators appointed by ILAC, IAF or another recognised regional cooperation to work in joint evaluations with SADCA are maintained by the organisations that have appointed them.

8.2 Information about the training and experience of an Evaluator may be made available by the SADCA MRA Committee Secretariat or the MRA Committee Chair to evaluation Team Leaders, so they are able to plan an evaluation.

8.3 The SADCA MRA Committee Secretariat shall maintain a Peer Evaluators List containing the following information:

8.3.1 Name, country, affiliation and contact details of the Evaluator;

8.3.2 Present grade of qualification (Lead Evaluator, Evaluator or Trainee Evaluator);

8.3.3 Accreditation programs or scope(s) the Evaluator is qualified (e.g. testing, calibration, medical laboratories, QMS, EMS, product certification, certification of persons, inspection, etc.);

8.3.4 Other information on technical expertise as necessary (e.g. experience in Proficiency Testing, Reference Material, NMI or in a particular industry sector or standard(s), post graduate education, etc.);

8.3.5 Peer Evaluators Training Courses undertaken, including participation as a facilitator or instructor;

8.3.6 Results of performance evaluations;

8.3.7 Identification of participation in evaluation.

*Note: The Peer Evaluators List will also include information on Team Leaders that have been appointed by ILAC, IAF or another recognised regional cooperation to work in joint evaluations with SADCA. In this case on the information required in **8.3.1, 8.3.3, 8.3.6 and 8.3.7** will be provided.*

8.4 The Peer Evaluators List shall be available in the Members' area on the SADCA website.

8.4 The SADCA MRA Committee Secretariat shall maintain the following records of SADCA Peer Evaluators' Training Courses, Evaluators' meetings, and other training activities:

8.4.1 Course program;

8.4.2 Course material, including presentations, tests and exercises;

8.4.3 Program and conclusions of meetings and workshops;

8.4.4 Attendance list;

8.4.5 Evaluation of participants of Peer Evaluators Training Courses.