

2019

**SADCA PROCESS AND PROCEDURES
FOR THE SELECTION,
QUALIFICATION AND MONITORING
OF EVALUATORS**

**SOUTHERN AFRICAN DEVELOPMENT
COMMUNITY COOPERATION IN
ACCREDITATION**

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CONTENTS

1. Purpose	Error! Bookmark not defined.
2. Evaluators' Working Group	Error! Bookmark not defined.
3. Process of Selection and Qualification of Evaluators	Error! Bookmark not defined.
3.1 Initial Selection and Training of Evaluators:	Error! Bookmark not defined.
3.2 Selection of Team Leaders	Error! Bookmark not defined.
3.3 Monitoring and Evaluation of Performance	Error! Bookmark not defined.
3.4 Improving and Harmonisation	Error! Bookmark not defined.
3.5 Competence Criteria.....	Error! Bookmark not defined.
3.6 Appointment and Composition of the Evaluation Team.....	Error! Bookmark not defined.
4. Records	Error! Bookmark not defined.
5. Evaluators from Other Regional Accreditation Cooperations	10
Annex 1: Amendment Record.....	12



1. PURPOSE

- 1.1 This document establishes the process and procedures related to the selection, training, qualification and monitoring of SADCA peer evaluators.

2 EVALUATORS' WORKING GROUP

- 2.1 The SADCA MRA Committee shall appoint and Evaluators Working Group (EWG) from amongst its members, 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 Peer 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 approve and oversee the performance of 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.
- 2.5 The EWG should ensure that all member AB's propose candidate peer evaluators, to ensure, as far as possible, an even distribution of evaluators from amongst the AB's.

3 PROCESS OF SELECTION AND QUALIFICATION OF EVALUATORS

3.1 Initial Selection and Training of Evaluators:

- 3.1.1 Only SADCA Arrangement and Ordinary AB members may propose a candidate peer evaluator, who shall have at least three years working experience in the assigned areas of accreditation, and shall provide SADCA with information about the person's competence to confirm that the criteria stated in 3.5 are met.
 - 3.1.1.1 The following forms, completed by the candidate, shall be submitted to the SADCA Secretary:
 - F028: SADCA Peer Evaluator Curriculum Vitae Form
 - F006: Declaration of Impartiality and Confidentiality forms
 - 3.1.1.2 The SADCA Secretary shall submit the F028 form to at least 2 members of the EWG for their review and confirmation whether the candidate meets the competence criteria in clause 3.5.
- 3.1.2 The MRA EWG shall review the information either denying the application or inviting the person to the training for new team members (TM).
 - 3.1.2.1 The results of the review shall be recorded on the *F013: SADCA Review of Application for Peer Evaluator* and shall indicate:
 - Whether the candidate is approved to participate in the Evaluators' Training Course;
 - If not approved, the reasons shall be clearly spelt out.



- The scopes and sub-scopes that the candidate is competent to evaluate;
- Any other relevant technical information (e.g. experience in Proficiency Testing, Reference Material, National Metrology Institute (NMI), etc.)

Note: The AB that provides the infrastructure for the evaluators' training course may propose candidates that do not necessarily meet the required criteria for qualification. These candidates may be invited to attend the training course at a later stage, once they are able to demonstrate that they meet the relevant requirements.

- 3.1.2.2 The SADCA MRA Secretary shall inform the candidate and the respective AB of the outcome of the review of the information, including any reasons for not accepting the proposed candidate, if applicable.
- 3.1.3 Training for new TMs shall be designed to ensure and confirm that the evaluators meet the competence criteria stated in 3.5.
- 3.1.3.1 The Peer Evaluator Training Course shall cover at least the following:
- Requirements of ISO/IEC 17011, mandatory ILAC/IAF documents and SADCA MRA Requirements, Policies and applicable Procedures;
 - SADCA processes and procedures for conducting peer evaluations;
 - Exercises on planning evaluations, writing and classification of findings; and
 - SADCA GD002 "SADCA Peer Evaluators Guide".
- 3.1.3.2 A certificate shall be issued to new TMs who have successfully completed the training course. Feedback on the evaluation of the new TM during the course will be provided to the TM and the respective AB.
- 3.1.3.3 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 received from participants, instructors, and monitoring of evaluators' performance.
- 3.1.4 An evaluator, trained in accordance with Clause 3.1.3, shall be observed and evaluated on the job by appointing the evaluator as a trainee team member in his/her first evaluator assignment (see SADCA M001 for the tasks of a trainee).
- 3.1.5 After positive feedback from the team leader (TL) and the AB the trainee team member will be qualified as a team member peer evaluator.
- 3.1.6 For each team member SADCA shall state the main scopes, and sub-scopes if relevant for which the person is considered competent.
- 3.1.7 If a new evaluator does not participate in any evaluations, or any other evaluator refresher training activity for five (5) years after completing the training course, the qualification shall be suspended until the person takes the refresher training as determined by the EWG.

3.2 Selection of Team Leaders

- 3.2.1 After a defined minimum number of evaluations as TM and positive feedback from the participating team leaders and ABs, the MRA Committee may invite a TM to become a team leader.



- 3.2.2 To demonstrate fulfilment of the competence criteria as stated in Clause 3.5.3, a TM may first act as a deputy TL (assisting the TL in planning, preparing, managing the evaluation) or as a TL supervised by a qualified TL.

3.3 Monitoring and evaluation of performance

- 3.3.1 The MRA committee EWG shall monitor the performance of evaluators in accordance with the criteria in the following sections on an on-going basis.
- 3.3.2 Monitoring of team leaders and team members shall consist of collecting and evaluating feedback from the evaluated AB, using *SADCA F012 "SADCA Team Performance by Evaluated Accreditation Body"*.
- 3.3.3 Monitoring of evaluation team members shall also include evaluation by each team leader of the teams in which a team member is participating, using *SADCA F015 "SADCA Performance Log of Team Member"*. The TL shall submit the completed F015 to the MRA Secretariat within one month of the decision-making process.
- 3.3.4 Monitoring of evaluation team leaders shall include feedback from the team members in *SADCA F024 "SADCA Performance Log for Team Leader"*. TM's shall submit the completed F024 forms to the MRA Secretariat within one month of the decision-making process.

Note: Where an evaluation is performed jointly by SADCA, ILAC / IAF / AFRAC or any other regional cooperation, the Team Leader shall submit to the SADCA Secretary only the performance forms for the SADCA team members.

- 3.3.5 The SADCA Secretary shall submit the completed performance forms to at least two members of the EWG for their review. The results of the review shall be recorded on **SADCA Peer Evaluators Register** and shall indicate:
- Whether the performance is satisfactory or unsatisfactory;
 - Whether there are positive comments or recommendations for improvement;
 - Whether qualification as Evaluator can be maintained;
 - Whether a Trainee TM can be qualified, if applicable;
 - Whether a Team Member can be qualified as a Team Leader, if applicable
 - Any other recommended action.

The results of the Evaluator Performance Review shall be submitted to the MRA Committee.

- 3.3.6 The MRA Committee Task Force Group shall also provide feedback to the MRA Committee on the performance of the evaluation team following their review of the final evaluation reports, noting whether there were any deficiencies in the evaluation report and whether the evaluation was conducted in accordance with the requirements of the **M001: SADCA Policies and Procedures for an MRA among ABs**.
- 3.3.7 Should the performance of any evaluator be unsatisfactory, appropriate actions shall be decided on by the EWG in consultation with the Chair of the MRA Committee, and implemented accordingly. 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 list of SADCA peer evaluators.



- 3.3.8 The MRA Secretariat will inform the Team Member and the respective AB of the results of the performance evaluation.
- 3.3.9 At least once every three years the performance shall be re-evaluated and the qualification (see Clause 3.5) of an evaluator shall be re-confirmed.
- 3.3.10 If an evaluator does not participate in any evaluation, or any other evaluator refresher training activities for five (5) years, his/her qualification shall be reviewed by the EWG so as to decide:
- Whether qualification may be maintained, needs to be changed to another grade or be suspended;
 - Whether refresher training is required.

3.4 Improving and harmonisation

- 3.4.1 The MRA Committee shall arrange periodic meetings / workshops or other training activities to improve the performance of evaluators (team leaders and team members) and to harmonise the evaluations through:
- Exchange of experience of evaluators.
 - Informing the evaluators about new requirements and changes in peer evaluation procedures.
 - Feedback to evaluators on their performance as received from the AB and/or team leader/member(s) and/or decision makers.
 - Informing the evaluators of areas for improvement
- 3.4.2 These meetings / workshops or training activities should take place at least every two years. Attendance to these meetings / workshops is mandatory in order for an evaluator to maintain his/her qualification as TL / TM.

3.5 Competence criteria

3.5.1 Candidate peer evaluator team member

- 3.5.1.1 A candidate team member shall possess the qualities to enable him/her to evaluate or assess organisations. In particular a candidate team member shall have the following personal attributes and skills:
- Be open-minded and mature;
 - Have sound judgment and analytical skills;
 - Be able 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 organization;
 - Be decisive and diplomatic;
 - Be versatile and culture sensitive;
 - Be persistent and able to focus;
 - Be a team player;
 - Have interviewing, presentation, note-taking and report writing skills;
 - Have appropriate language skills to enable effective communication (orally and in writing), i.e. be able to understand and to express him/herself clearly in English;



- 3.5.1.2 A candidate team member shall be able to determine whether the bodies accredited by the AB under evaluation comply with the requirements of the appropriate ISO/IEC standard(s) and corresponding IAF/ILAC documents, by having:
- knowledge of the relevant standards for accreditation of conformity assessment bodies and other documents; and
 - understanding of the applicable sector/scheme.
- 3.5.1.3 A candidate team member shall be able to understand the management practices and processes of accreditation bodies based on his/her knowledge and experience in accreditation.
- 3.5.1.4 A candidate team member shall have knowledge of ISO/IEC 17011 and SADCA MRA requirements.

3.5.2 *Peer evaluator team member*

- 3.5.2.1 In addition to the attributes and competencies described above for candidate evaluators the team member in particular shall be able to evaluate whether an AB complies with the requirements of ISO/IEC 17011 and other relevant requirements, based on:
- Understanding of the application of ISO/IEC 17011 in a peer evaluation context;
 - knowledge of IAF/ILAC A3 and other relevant requirements;
 - knowledge of evaluation principles, procedures, practices and techniques; and
 - skills to effectively plan and organize the assigned evaluator tasks.
- 3.5.2.2 A team member shall be able to:
- decide from the submitted documentation any features requiring special study during the evaluation;
 - decide on sampling of activities and files to be selected and persons to be interviewed based on the analysis of risks and related to the scope of work and the scope of the SADCA MRA;
 - evaluate constantly the effects of evaluation observations and personal interactions during an evaluation;
 - treat concerned personnel in a way that will best achieve the evaluation objective;
 - react with sensitivity to the local conventions of the area in which the evaluation is performed;
 - perform the evaluation process without deviating due to distractions;
 - react effectively in stressful situations;
 - commit full attention and support to the evaluation process.
- 3.5.2.3 A team member shall be able to obtain and evaluate objective evidence fairly and to report on his/her findings according to the applicable reporting procedures.
- 3.5.2.4 A team member shall be able to understand quickly and easily cultural differences, as far as essential in the evaluation process.
- 3.5.2.5 A team member shall be able to:



- determine the criticality of the findings and to evaluate whether the corrective actions decided by the AB are likely to be effective and to evaluate the corrective actions carried out;
- arrive at generally acceptable conclusions based on evaluation observations;
- remain true to a conclusion that is based on objective evidence, despite pressure to change.

3.5.2.6 Be able to act impartially and remain true to the purpose of the evaluation without fear or favour also based on the absence of any conflicting interests.

3.5.3 *Peer evaluator team leader*

3.5.3.1 In addition to the attributes and competencies described above for evaluator team members the team leader shall be able to manage an evaluation, lead an evaluation team in an efficient and effective way, plan and control the contribution of the individual team members and report clearly and succinctly the results of the evaluation.

3.5.3.2 A team leader shall be able to discuss the objectives and impact of accreditation services with the management and staff of an AB, based on his/her knowledge of the accreditation body's services, the (business and regulatory) context thereof and the associated risks.

3.5.3.3 The team leader shall be able to understand issues raised by the other members in the team on the accreditation fields which are outside his/her area of expertise.

3.5.3.4 Based on his/her interpersonal skills a team leader shall be able to optimize the performance of an evaluation team taking into account the strengths and weaknesses of the individual team members.

3.5.3.5 The team leader shall be able to take decisions on the classification of findings and on the closing of findings based on the recommendation of the team members.

3.5.3.6 The team leader shall be able to chair meetings and to reach consensus on delicate points.

3.5.3.7 The team leader shall be able to report to the decision-making committee, and to present a recommendation, taking into account the findings of all team members, in conformity with the Arrangement requirements.

3.6 Appointment and Composition of the Evaluation Team

For procedures for the appointment and composition of the evaluation team, refer to M001 "SADCA Policies and Procedures for an MRA Amongst Accreditation Bodies".

4 RECORDS

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

4.1.1 **F028:** SADCA Peer Evaluators' CV Form, an update of which is to be submitted to the Secretariat at least every five (5) years;

4.1.2 Form **F006** Declaration of Confidentiality and Impartiality;



- 4.1.3 F013: SADCA Review of Application for Peer Evaluator completed by the EWG;
- 4.1.4 Completed Logs for each evaluation undertaken: F012, F015 or F024, as applicable;
- 4.1.5 Evidence of attendance to Evaluator training course;
- 4.1.6 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, AFRAC or another recognised regional cooperation to work in joint evaluations with SADCA are maintained by the organisations that have appointed them.

- 4.2 Information about the experience of an Evaluator may be made available by the MRA Committee Secretariat or the MRA Committee Chair to evaluation Team Leaders, so they are able to plan an evaluation.
- 4.3 The MRA Committee Secretariat shall maintain a combined ARAC, SADCA, AFRAC Peer Evaluators Register containing the following information:
 - 4.3.1 Name, country, affiliation and contact details of the Evaluator;
 - 4.3.2 Evaluator qualification (Team Leader, Team Member or Trainee Evaluator);
 - 4.3.3 The scopes and sub-scopes that the evaluator is competent to evaluate (e.g. Testing, Calibration, Medical, Certification - QMS, EMS, FSMS, etc.);
 - 4.3.4 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.);
 - 4.3.5 Peer Evaluators Training Courses undertaken, including participation as a facilitator or instructor;
 - 4.3.6 Results of performance evaluations;
 - 4.3.7 Participation in evaluations.
- 4.4 The MRA Committee Secretariat shall maintain the following records of SADCA Peer Evaluators' Training Courses, Evaluators' meetings, and other training activities:
 - 4.4.1 Agenda/ Program;
 - 4.4.2 Course material, including presentations, tests and exercises;
 - 4.4.3 Conclusions of meetings and workshops;
 - 4.4.4 Attendance register;
 - 4.4.5 Evaluation of participants of Peer Evaluators Training Courses; and
 - 4.4.6 Minutes of meetings, where applicable.

5 EVALUATORS FROM OTHER REGIONAL ACCREDITATION COOPERATIONS

- 5.1 SADCA, AFRAC and ARAC maintains a combined Peer Evaluator Register, continuing the details of evaluators registered under the respective Regional Accreditation Cooperation. AFRAC registered evaluators in the SADC area will automatically be registered as SADCA evaluators.
- 5.2 SADCA may be required from time to time, to use evaluators from other Regional Accreditation Cooperations in cases where, but not limited to:
 - SADCA does not yet have qualified evaluators in a specific scope;
 - SADCA evaluators in a specific scope are not available for an evaluation;



- A conflict of interest exists between the SADCA evaluator and the AB under evaluation and no other option is available; or
- SADCA has insufficient evaluators to ensure adequate rotation of its evaluators for the evaluation of AB's.

5.3 The SADCA secretariat shall include evaluators used from other Regional Accreditation Cooperations on the combined ARAC/AFRAC/SADCA Peer Evaluators Register, where these have not yet been included already. The information as required in 4.3.1, 4.3.2, 4.3.3, 4.3.6 and 4.3.7 above will be requested by the Secretariat and maintained.

5.4 In addition, the following records will be requested by the Secretariat and maintained:

- F028: SADCA Peer Evaluators' CV Form, an update of which is to be submitted to the SADCA secretary at least every five (5) years;
- F006: Declaration of Confidentiality and Impartiality;
- Completed performance logs for at least the latest evaluation undertaken;
- Any action taken in relation to the performance of the Evaluator.

5.5 Where SADCA wishes to register a qualified evaluator from another Regional Accreditation Cooperation as an SADCA evaluator, the SADCA Secretary shall submit the F028 form, information on the qualification of the evaluator by the other Regional Accreditation Cooperation, and the latest evaluator performance log to at least 2 members of the EWG for their review and confirmation whether the evaluator meets the competence criteria in clause 3.5.

5.6 The recommendation of the EWG will be recorded on F013 "Review of Application for an SADCA Peer Evaluator" and submitted to the MRA Committee to decide whether the evaluator can be registered as an SADCA evaluator.



ANNEX 1: AMENDMENT RECORD

Section	Change
All	Revision of entire document and alignment to IAF/ILAC-A2:03/2017, Annex 1