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

CLASSIFICATION

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

1 PURPOSE

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

2 EVALUATORS WORKING GROUP

2.1 The IAAC MLA Committee (MLAC) shall appoint an Evaluators Working Group (EWG) to manage and oversee all issues related to peer evaluators.

2.2 The EWG shall consist of at least three persons who have either experience in MLA decision making or are qualified as lead evaluators.

2.3 The EWG shall work in cooperation with the Training Subcommittee in planning and organizing peer evaluator training activities.

2.4 The EWG shall review and approve candidates' application 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:

- a) Requirements of ISO/IEC 17011 and other mandatory documents as defined in IAAC MD 002 section 2.
- b) IAAC procedures for peer evaluations as defined in IAAC MD 002;
- c) Exercises on planning evaluations, writing and classifications of findings.



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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 ISO/IEC 17011 and other MLA requirements, understanding of peer evaluation procedures, interpersonal skills, 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 Training Subcommittee 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.

3.2 Other Training Activities for Qualified Peer Evaluators

3.2.1 The EWG in cooperation with the Training Subcommittee shall arrange periodic meetings or other training activities for qualified evaluators, as necessary to maintain and improve harmonization in IAAC peer evaluations. These meetings or other training activities shall normally be done every two years.

3.2.2 The training activities shall consider issues such as:

- (a) Changes in peer evaluation procedures or requirements;
- (b) Results of monitoring of evaluators' performance;
- (c) Feedback from the IAAC MLA Group about evaluation reports;
- (d) Complaints about IAAC peer evaluation process.

4 SELECTION AND QUALIFICATION OF PEER EVALUATORS

4.1 Grades for qualification of peer evaluators

4.1.1 IAAC has three grades for qualification of peer evaluators: lead peer evaluator, peer evaluator and trainee peer evaluator.

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



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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

IAAC Full and Associate Members may nominate potential evaluators in writing. Candidate evaluators shall fill out forms FM 006 and FM 011 and send them to the IAAC MLA Secretary.

4.3 Review of application

The IAAC MLA Secretary shall send form FM 006 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 in form FM 013 and shall indicate:

- (a) whether the candidate may be qualified as a lead evaluator, evaluator, trainee evaluator or be approved to participate in the Peer Evaluators Training Course;
- (b) the accreditation programs the candidate may be qualified for;
- (c) any special technical information to be recorded about the candidate (e.g. experience in PT, reference materials, National Metrology Institute (NMI), or in a particular industry sector or standard, post graduation education); and
- (d) if applicable, the reasons for not approving the candidate.

4.4 Notification to candidates

4.4.1 The IAAC MLA 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, IAAC MLA Secretary shall inform them and the respective accreditation body of their qualification as a trainee evaluator as decided in the review done by the EWG.



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5 REQUIREMENTS FOR SELECTION AND QUALIFICATION OF PEER EVALUATORS

5.1 Lead Evaluators

5.1.1 A lead evaluator shall be able:

- (a) to lead the Peer Evaluation team in an efficient and effective way, including the distribution of the tasks among the team members;
- (b) to 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);
- (c) to decide from the submitted documentation any features requiring special study during the evaluation
- (d) to report clearly and succinctly the findings of all team members, in conformity with the MLA requirements;
- (e) to evaluate whether the corrective actions decided by the applicant are likely to be effective and to evaluate the corrective actions carried out;
- (f) to determine the criticality of the findings;
- (g) to understand quickly and easily cultural differences, as far as essential in the evaluation process.

5.1.2 In order to perform these activities, a lead evaluator shall meet the following requirements:

- (a) be an experienced person within an accreditation body or organization 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 assessment may be achieved, for example, by experience as a lead assessor or experience in monitoring and evaluating performance of assessors and lead assessors.

- (b) have participated in at least two peer evaluations or pre-peer evaluations of Accreditation Bodies as a team member, and have received satisfactory evaluations of performance by the team leaders in both of them.

Note: In exceptional cases where an evaluator has had very good performance in one evaluation, she/he may be qualified as lead evaluator even though she/he 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.



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(c) have sound knowledge of the application ISO/IEC 17011, the appropriate ISO/IEC Standard(s) for the accreditation program, and relevant MLA requirements;

Note: Sound knowledge of standards and MLA requirements may be confirmed by, for example, training courses; participation in standardization committees and relevant IAAC, ILAC and IAF working groups or committees, experience as an assessor or lead 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.

(d) be able to understand and to express him/herself clearly, in speaking and writing in English and/or Spanish;

Note: This may be initially met based on the information provided by the candidate and the AB as stated in form FM 006. Language skills of non native speakers will be further evaluated during the training course and evaluations.

(e) have experience in chairing meetings and in reaching consensus on delicate points;

(f) have good interpersonal skills, and

(g) have successfully completed the IAAC Peer Evaluator Training Course or an equivalent course offered by ILAC, IAF or a recognized regional cooperation.

5.2 Evaluators and Trainee Evaluators

5.2.1 An evaluator and a trainee evaluator shall be able:

(a) to evaluate whether an applicant accreditation body complies with the requirements of the appropriate ISO/IEC Standard(s) and its accredited bodies comply with the requirements of the appropriate ISO/IEC Standard(s);

(b) to report clearly and succinctly the findings;

(c) to determine the criticality of the findings.

5.2.2 In order to perform these activities, an evaluator and a trainee evaluator shall meet the following requirements:

5.2.2.1 In order to be approved to participate in IAAC Peer Evaluator Training Courses a candidate shall:

(a) be an experienced person or assessor within his/her Accreditation Body or organization, who has relevant working experience with accreditation and has the appropriate technical background in the assigned areas of the evaluation (at least 3 years);



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Note: Appropriate technical background in the assigned areas may be achieved for example by experience as an assessor or lead 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.

(b) have sound knowledge of the application ISO/IEC 17011, the appropriate ISO/IEC Standard(s) for the accreditation program, and relevant MLA requirements;

Note: Sound knowledge of standards and MLA requirements may be confirmed by, for example, training courses; participation in standardization committees and relevant IAAC, ILAC and IAF working groups or committees, experience as an assessor or lead 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.

(c) be able to understand and to express him/herself clearly, in speaking and in writing in English and/or Spanish;

Note: This may be initially met based on the information provided by the candidate and the AB in form FM 006. Language skills of non native speakers will be further evaluated during the training course and evaluations.

(d) have good interpersonal skills;

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.

(e) 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.

5.2.2.2 In addition to the requirements established in 5.2.2.1, a trainee evaluator shall have successfully completed the IAAC Peer Evaluator Training Course or an equivalent course offered by ILAC, IAF or a recognized 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.

5.2.2.3 In addition to the requirements established in 5.2.2.1 and 5.2.2.2, 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.

5.2.3 Peer Evaluator Attributes

5.2.3.1 Lead evaluators, evaluators and trainee evaluators should:

- (a) be open minded and mature;
- (b) possess sound judgment, analytical skills, and tenacity;
- (c) 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 organization.

5.2.3.2 Lead evaluators, evaluators and trainee evaluators should be able to apply the attributes of 5.3.1 in order to:

- (a) obtain and assess objective evidence fairly;
- (b) remain true to the purpose of the evaluation without fear or favor;
- (c) evaluate constantly the effects of evaluation observations and personal interactions during an evaluation;
- (d) treat concerned personnel in a way that will best achieve the evaluation objective;
- (e) react with sensitivity to the local conventions of the area in which the evaluation is performed;
- (f) perform the evaluation process without deviating due to distractions;
- (g) commit full attention and support to the evaluation process;
- (h) react effectively in stressful situations;
- (i) arrive at generally acceptable conclusions based on evaluation observations;
- (j) 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 team. The team leader shall complete an

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Evaluator Performance Log (see form FM 007) and return the completed form to the IAAC MLA Secretary within one month of the completion of the on-site evaluation.

6.1.1 Where the evaluation is done jointly by IAAC and IAF, ILAC or other recognized regional cooperation, the team leader shall return to the IAAC Secretariat only those Evaluation Performance Logs about IAAC evaluators and trainee evaluators. Monitoring of performance of team members appointed by other organization will be done by the organization appointing them.

6.2 Team members shall submit comments on the team leader's performance to the IAAC Secretariat with one month from the on site evaluation. Form FM 008 shall be used for this purpose.

6.3 To monitor the performance of team leaders, each MLA signatory or applicant shall respond to a letter (example given in form FM 009) from the IAAC MLA Secretary asking for comment on the performance of the evaluation team and particularly of the team leader.

Note: Monitoring of the performance of team leaders is carried out when the team leader is appointed by IAAC as well as in joint evaluations with ILAC.IAF or other recognized regional cooperation where the team leader is appointed by organization other than IAAC.

6.4 The IAAC Secretariat shall provide the Evaluator Performance Logs and the letter provided by the MLA signatory or applicant to one member of the EWG for review, with a copy to the Chair of the IAAC MLAC. The results of the review shall be recorded on form FM 013 and shall indicate

- (a) whether the performance is satisfactory or unsatisfactory;
- (b) whether there are positive comments or comments for improvement;
- (c) whether qualification shall be maintained or changed;
- (d) if a team member is a trainee evaluator, whether qualification as an evaluator is recommended;
- (e) if a team member is an evaluator, whether qualification as a lead evaluator is recommended;
- (f) any other recommended action.

6.5 Form FM 013 shall be submitted for approval by at least one other member of the EWG.

6.6 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 MLAC or a member of the EWG shall discreetly consult with the IAAC accreditation body that provides the evaluator and with the evaluator on the areas of performance which require improvement.

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6.7 In addition, the EWG or the members of the MLA Group shall review the format of each Evaluation Report prepared by a team leader as well as the classification of findings so as to determine whether the reporting requirements of the IAAC MD 002 are met. Any perceived deficiencies in a report shall be advised to the MLAC Chair, who shall consider all comments on an individual team leader and take any necessary action to advise the relevant IAAC accreditation body and the team leader of areas for improvement.

6.8 The IAAC MLA Secretary 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 organized by IAAC, ILAC, IAF or other recognized regions, as determined by the IAAC MLAC 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 5 years after taking the training course, the qualification shall be suspended until the person takes refresher training as determined by the EWG.

7.3 If an evaluator or lead evaluator does not participate in any peer evaluation or pre peer evaluation, or any evaluator refresher training activity for 5 years, his/her qualification shall be reviewed EWG so as to decide:

- (a) whether qualification may be maintained, needs to be changed to another grade or be suspended;
- (b) 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 MLAC's list of evaluators.

7.5 Lead evaluators, evaluators and trainee evaluators shall updated form FM 006 at least every 5 years.

8 RECORDS

8.1 The IAAC MLA Secretary shall maintain the following records for each evaluator:

- (a) Forms FM 006 and FM 011;

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- (b) Results of the review by the EWG of nomination for peer evaluator in form FM 013;
- (c) Evaluation of participation in Peer Evaluator Training Course;
- (d) Performance Logs, forms, FM 007, FM 008;
- (e) Letters provided by the accreditation bodies about the performance of evaluation team;
- (f) Any action taken by the Chair of the MLAC or EWG in relation to the performance of the evaluator.

Note: Only records of IAAC evaluators are maintained by IAAC. Records of evaluators appointed by ILAC, IAF or another recognized regional cooperation to work in joint evaluations with IAAC are maintained by the organizations that have appointed them.

8.2 Information of the training and experience of an evaluator may be made available by the IAAC MLA Secretary or the MLAC Chair to evaluation team leaders so as to facilitate them plan an evaluation.

8.3 The IAAC MLA Secretary shall maintain a Peer Evaluators List containing the following information:

- (a) Name, country, affiliation, and contact details of the evaluator;
- (b) Present grade of qualification (lead evaluator, evaluator, trainee evaluator);
- (c) Accreditation programs or scope the evaluator is qualified for (e.g. testing, calibration, medical labs, QMS, EMS, product certification, personnel certification, inspection, etc);
- (d) Other Information on technical expertise as necessary (e.g. experience in PT, reference material, in NMI, or in a particular industry sector or standard, post graduation education);
- (e) Peer Evaluators Training Courses done, including participation as an instructor or facilitator;
- (f) Results of performance evaluations;
- (g) Identification of participation in evaluation;

Note: The Peer Evaluators List will also include information on team leaders that have been appointed by IAF, ILAC or another recognized regional cooperation to work in joint evaluations with IAAC. In this case only information required in 7.3 (a), (c), (f) and (g) will be provided.

8.3.1 The Peer Evaluators List shall be available in the MLAC members' area on the IAAC website.

8.4 The IAAC MLA Secretary shall maintain the following records of IAAC Peer Evaluators Training Courses, evaluators' meetings, and other training activities:



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- (a) Course program,
- (b) Course material, including presentations, texts, exercises;
- (c) Program and conclusions of meetings and workshops,
- (d) Attendance list,
- (e) Evaluation of participants of Peer Evaluators Training Courses