|  |
| --- |
| **INSTRUCTIONS** |

1. This remote evaluation checklist and risk assessment is to be used prior to performing remote evaluations in accordance with APAC MRA-007 *Performing Remote Evaluations – Requirements and Guidance*, and is to be completed by the proposer (which is normally the AB under evaluation or the APAC Team Leader). It is expected that completion of the checklist will be an iterative process between the AB being evaluated and APAC Team Leader.
2. Once completed and accepted by the AB being evaluated, the APAC Team Leader shall send the checklist to the APAC MRA Council Chair for approval. After approval is granted the remote evaluation can proceed.

|  |
| --- |
| **DESCRIPTIONS OF THE ITEMS IN THE CHECKLIST** |

1. The checklist has a number of items that must be filled out prior to submission to the APAC MRA Council Chair. These items are described as follows. In the checklist below there is an example of the completed example in grey text – this may be deleted when the checklist is used.

**Section A: Remote evaluation acceptance and approval section**

This section of the checklist provides a record of acceptance and approval of the remote evaluation activities amongst the APAC evaluator, the AB under evaluation, the Evaluation Team Leader and the APAC MRA Council Chair.

**(1) Evaluated Accreditation Body (AB)**

 Record the acronym of the AB being evaluated and the year and month for which this evaluation is scheduled.

**(2) Proposer**

 Record the name of the person proposing the remote evaluation activity and the date of the proposal. This is normally the AB under evaluation or the APAC Team Leader.

**(3) Evaluated AB acceptance**

Record the name of the person at the AB that has accepted the proposed remote evaluation as described in the completed checklist, and has confirmed that the AB does have the resources and competence to facilitate the remote evaluation activity.

**(4) Team Leader acceptance**

Record the name of the Evaluation Team Leader and the date of their acceptance of the completed checklist.

**(5) APAC MRA Council Chair approval**

Record the name of the APAC MRA Council Chair and date of their approval of the completed checklist. The APAC MRA Council Chair may seek input from the APAC MRAMC prior to making their decision.

**Section B: Remote evaluation details**

Completing this section of the checklist provides a basis for the proposer and evaluated AB to clearly identify and record the specific evaluation activities for which they intend to use remote evaluation techniques. Each evaluation activity must record the remote evaluation techniques to be used, the associated ICT, and confirmation that both the relevant evaluation team member(s) and the associated AB personnel have sufficient competency to achieve an effective evaluation.

These considerations assist the evaluation team member and the evaluated AB to plan and schedule the specific resources and competence that is required, and allows them to formulate a risk rating (Low (L), Moderate (M), High (H)) for subsequent consideration by the APAC MRA Council Chair.

**(6) Evaluation activity**

 Record the specific evaluation activity that is subject to remote evaluation techniques. Types of evaluation activities include those identified in APAC MRA-007 *Performing Remote Evaluation Requirements and Guidance* (e.g. review of documented information, review of competency management, review of quality controls, interviewing personnel and witnessing accreditation activities).

**(7) Scope / Sub-scope**

 Record the specific Level 3 main scope and level 4 and 5 sub-scopes (where relevant) that are covered by the remote evaluation activity. The response can be ‘All’ if the evaluation activity is generic across the accreditation activities of the AB (for example generic requirements in ISO/IEC 17011 etc.).

**(8) Remote evaluation technique**

 Record the specific remote evaluation technique(s) that will be used (e.g. online meetings and interviews, online screen sharing, online or cloud-based file and records review, live streaming of assessment activities or accreditation body meetings, pre-recordings of accreditation activities, etc.).

**(9) ICT considerations**

 This item identifies the Information and Communications Technology (ICT) considerations which must be agreed between the evaluator and AB prior to the remote evaluation being undertaken. This is to ensure the ICT will work in a remote evaluation setting so as to maintain confidence in the evaluation process.

**(9a) Software**

Record the ICT software technologies to be employed.

**(9b) Hardware**

Record the ICT hardware that is necessary for the ICT to work and be used by the evaluation team and AB being evaluated.

**(9c) Connectivity**

Record the method(s) and any special parameters associated with connectivity (e.g. specification of Wi-Fi or mobile broadband coverage at certain speeds at locations where livestreaming of accreditation assessment activities is being undertaken, including consideration of possible electronic interference and other disruptions (e.g. noise, inadequate lighting) from nearby equipment or activities).

**(9d) Security (data acquisition, transit, storage and deletion)**

Record any special considerations or requirement associated with information security, including confirmation of any prior consents or permissions for obtaining, sending, storing and deletion of electronic data and records during the remote evaluation activity have been obtained. This may include requirements derived from regulation, organizational policies, or contractual arrangements that are associated with confidentiality, privacy, and use of ICT platforms to transmit data.

**(9e) CAB agreement (if relevant)**

Where relevant, record confirmation that any consents or permissions have been obtained from conformity assessment bodies, especially in relation to the recording or transmission of data during witnessing of accreditation activities.

**(9f) Test**

 Record confirmation that the remote evaluation techniques and use of associated ICT has been successfully practiced and trialled with the relevant persons prior to the real remote evaluation activity taking place.

**(9g) Activities unable to be evaluated with ICT**

 Within the context of identified evaluation activity (see (6) above), record any specific matters that will not be the subject of remote evaluation techniques and how they will be adequately covered in another way during the overall evaluation.

**(10) Persons involved**

 Apart from ensuring ICT considerations are identified, planned and managed, the success of remote evaluation activities also relies on the competence of the persons involved. This item in the checklist requires that any specific competencies be identified, and the persons involved have demonstrated they have the appropriate knowledge and skills. This is especially the case in the use of ICT and how to conduct themselves in remote evaluation environments.

**(10a) Name**

Record the name of the person(s) undertaking the remote evaluation techniques. This is normally the relevant evaluator and the associated AB personnel.

**(10b) Competency required**

Identify and record any specific competencies (knowledge and skill) required to effectively undertake the remote evaluation techniques(s).

**(10c) Competency confirmed**

Record a confirmation that the person does possess the required specific competencies. This is generally demonstrated by actually using the relevant ICT effectively, and can be self-declared or confirmed by another colleague.

**(11) Risk**

 This final item in the checklist is to be agreed between the parties (the APAC evaluator, the Team Leader and the AB undergoing evaluation). It signals to the APAC MRA Council Chair that the remote evaluation planning has been undertaken diligently and any risks have been identified.

 The risk ratings and their descriptions are as follows:

| **Risk rating** | **Description** | **Risk treatment** |
| --- | --- | --- |
| L(Low risk) | The completed items in the checklist indicate there is a high degree of certainty and comfort in the parties (Evaluation Team and the AB) that the planning for the remote evaluation activity (including the ICT considerations and person competence) will result in the same, or better, level of confidence in the evaluation as would be otherwise achieved using tradition non-remote evaluation techniques. | No specific risk treatment required. |
| M(Moderate risk) | The completed items in the checklist indicate there is a degree of certainty and comfort in the parties (Evaluation Team and the AB) that the planning for the remote evaluation activity (including the ICT considerations and person competence) will result in at least the same level of confidence in the evaluation as would be otherwise achieved using traditional non-remote evaluation techniques. | The Team Leader must actively monitor the use of the remote evaluation activities to ensure confidence in the evaluation is maintained. |
| H(High risk) | The completed items in the checklist indicate there is a limited degree of certainty and comfort in the parties (Evaluation Team and the AB) that the remote evaluation activity (including the ICT considerations and person competence) will result in at least the same level of confidence in the evaluation as would be otherwise achieved using traditional non-remote evaluation techniques. | The Team Leader must be involved directly in all remote evaluation activities to ensure confidence in the evaluation is maintained. |

|  |
| --- |
| **REMOTE EVALUATION CHECKLIST AND RISK ASSESSMENT** |

|  |  |
| --- | --- |
| **Section A: Remote evaluation acceptance and approval** |  |
| **(1) Evaluated Accreditation Body (AB)** | **(2) Proposer** | **(3) Evaluated AB acceptance**  | **(4) Team Leader acceptance** | **(5) APAC MRA Council Chair approval** |
| AB | Evaluation date | Name | Date | Name | Date | Name | Date | Name | Date |
|  |  |  |  |  |  |  |  |  |  |

| **Section B: Remote evaluation details** |
| --- |
| **(6) Evaluation activity** | **(7) Scope/** **Sub-scope** | **(8)** **Remote evaluation technique** | **(9) ICT** |  |  |  |  |  |  |  | **(10)****Persons involved** |  | **(11) Risk** |
|  |  |  | (9a) Software | (9b) Hardware | (9c) Connectivity | (9d) Security (data acquisition, transit, storage and deletion) | (9e) CAB agreement (if relevant) | (9f) Test | (9g) Activities unable to be evaluated with ICT | (10a) Name | (10b) Competency required | (10c) Competency confirmed |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Name | Date |  |
| EXAMPLE: |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| File review - Review of assessment files to demonstrate AB implements its accreditation assessment procedures | Testing (ISO/IEC 17025) | 1. Online meeting with screen sharing between Evaluator and AB to allow the evaluator to view and select assessment files for further review.
2. Review of AB assessment files by making them temporarily available on DropBox.
 | Zoom meeting File sharing via DropBoxZoom meeting  | Access to an internet enabled computer and suitable audio devices (e.g. microphone, headphones, speaker, online camera etc.) | Standard online access arrangements and internet speed. | Secure DropBox established and populated with selected assessment files by AB, and password protected access granted to evaluator for limited time | Not applicable | Trial successfully completed | Not applicable | Kiara Patel (Evaluator) | Online meetings – ZoomElectronic file sharing – DropBox | Team Leader | 08 Aug 2020 | L |
| Wang Xiu Ying(AB Quality Manager) | Online meetings – ZoomElectronic file sharing – DropBox | Wang Xiu Ying | 08 Aug 2020 |
| Zhang Wei (AB assessor) | Online meetings – Zoom | Wang Xiu Ying | 08 Aug 2020 |
| - | - | - | - |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Copy and add more rows as necessary.