



APAC Evaluator Training on Remote Evaluations

December 3/4, 7/8 and 10/11 (Depending on participant Time zones)

- Ms. Noriko Tominaga (ISMS-AC, Japan)
- Mr. Trace McInturff (A2LA, USA) Chair MRA Council
- Mr. Apisit Prakarnkamanant (NSC, Thailand)
- Mr. Ned Gravel (IAS, USA)

1



Objectives of this Online Course

To understand -

the APAC requirements and guidance for the conduct of remote evaluation activities provided by [APAC MRA-009 Performing Remote Evaluations - Requirements and Guidance](#).

To appreciate -

the extra work in planning required to successfully conduct an APAC peer evaluation using remote evaluation techniques.

To gain comfortable familiarity -

with the guidance provided by [APAC MRA-009 Performing Remote Evaluations - Requirements and Guidance](#) and the associated checklist tool, [APAC FMRA-021 Remote Evaluation Checklist and Risk Assessment](#).

2

3 or 4 Dec 20, 7 or 8 Dec 20 and 10 or 11 Dec 20



Time	Activities	Facilitators
Opening Time as per Zoom invitation (Duration 10 mins)	Welcome and introduction Training Course Overview	APAC MRA Council Chair
10 mins after start (Duration 30 mins)	Remote Evaluation Requirements and Guidance (MRA-009) <ul style="list-style-type: none"> - Risk to Evaluation Outcomes - Security and Confidentiality - Increased Planning Requirements - Challenges to Witnessing 	Ned and Apisit
40 mins after start (Duration 1:10)	Experience on the Conduct of APAC Remote Evaluations <ul style="list-style-type: none"> - Checklist of Remote Evaluation Considerations (APAC FMRA-021 Remote Evaluation Checklist and Risk Assessment) - Planning and Scheduling Guidance and Experience - Effectiveness of Remote Evaluations (Experience) 	Ned (intro) Noriko (experiences) Apisit (experiences)
1:50 mins after start (Duration 10 mins)	Break	All

3

3 or 4 Dec 20, 7 or 8 Dec 20 and 10 or 11 Dec 20



Time	Activities	Facilitators
2 hrs after start (Duration 45 mins)	Experience from Previous Remote Evaluations and Follow Up <ul style="list-style-type: none"> - Remote Evaluation Findings (nonconformities and comments) - AB Responses to Findings 	Noriko (evaluation experiences) Apisit (evaluation experiences) Trace (MRA MC experiences)
2:45 after start (Duration 15 mins)	Conclusion and Questions	All

4

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



Four Issues

- Risk to Evaluation Outcomes
- Security and Confidentiality
- Increased Planning Requirements
- Challenges to Witnessing

5

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



Use of Remote Evaluations (MRA-009 cl 5.1)

Remote evaluation may apply to any of the following evaluation activities. Underline only the correct response(s)

- a) Review of documented information (e.g. accreditation schemes, the AB's management system, policies, procedures, files and records);
- b) Review of competency management (e.g. competency definitions and assessments, training, performance monitoring and reviews, competency approvals, etc.);
- c) Review of quality controls (e.g. internal audits, corrective actions, management reviews, handling feedback and complaints, etc.);
- d) Interviewing personnel;
- e) Witnessing accreditation activities (e.g. assessments, internal meetings, etc.)

6

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



Use of MRA-009 (cl 1.5)

The objectives of MRA-009 in using ICT in evaluation activities are to: Underline **only** the correct response(s)

- a) Provide a consistent methodology for the use of ICT that is sufficiently flexible and non-prescriptive to complement or substitute traditional evaluation techniques;
- b) Allow for the confirmation of AB conformance and competence while maintaining confidence in the evaluation process;
- c) Ensure that adequate controls are in place to avoid any mishandling that could compromise the integrity of the evaluation process, especially at times the on-site evaluations are not practically feasible;
- d) Facilitate additional evaluation activities (e.g. observation of AB technical meetings (e.g. technical advisory committees, assessor forums, management reviews, etc.) that typically would not be available during the traditional evaluation; and
- e) Support the principles of safety and sustainability.

8

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



Regulatory Restrictions on Remote Evaluations (MRA-009 cl 1.6)

Regulatory requirements, stakeholder schemes and programmes, conformity assessment standards and other normative documents, may prescribe limitations on the use of ICT for evaluation purposes and may take precedence over this document.

A. TRUE, OR
B. FALSE

10

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)**FOR IAF SCOPES ONLY (MRA-009 cl 2.2)**

In the case of Level 3 scope extensions for testing and calibration, remote evaluation techniques may be used in addition to the on-site or remote witnessing of AB assessments.

- A. TRUE, OR**
B. FALSE

12

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)**Security and Confidentiality (MRA-009 cl 8)**

The use of ICT for evaluation purposes should be mutually agreed upon by the AB and APAC evaluators per information security and data protection measures and the respective local regulations before ICT is used for evaluation purposes. The respective jurisdictions'/regions' data protection and privacy laws should be strictly adhered to.

- A. TRUE, OR**
B. FALSE

14

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)**Role of the APLAC MRA Chair (MRA-009 cl 8.4)**

In the case of non-fulfillment of these measures or lack of agreement on information security and data protection measures, the APAC MRA Chair may **NOT** be consulted.

- A. TRUE, OR**
- B. FALSE**

16

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)**PLANNING AND SCEDULING (MRA-009 CL 11)**

For Remote evaluations, additional planning time is **NOT** necessary.

- A. TRUE, OR**
- B. FALSE**

18

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



PLANNING AND SCHEDULING (MRA-009 CL 11.4)

The following **MUST** be specified prior to initiating a remote evaluation.
Underline **only** the correct response(s)

- a) agenda
- b) scope of accreditation activities to be evaluated
- c) subcontracted suppliers of IT services
- d) pre-defined documented information made available during the remote evaluation
- e) availability of AB personnel, CAB personnel, and interpreters
- f) private phone numbers of all CAB personnel participating in witness activities
- g) agreed timing of the remote evaluation activities
- h) daily timeframes for conducting the remote evaluation
- i) plan on how to review confidential information unsuitable for electronic transfer
- j) travel itineraries for evaluators witnessing remote activities at CAB sites.

20

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



WITNESSING (MRA-009 cl 13)

Effective witnessing is one of the EASIEST parts of a remote evaluation process

- A. TRUE**
- B. FALSE**

22

SECTION 1 - Remote Evaluation Requirements and Guidance (MRA-009)



WITNESSING (MRA-009 cI 13)

The following are required to be considered in planning remote evaluations. Underline **only** the correct response(s)

- a) High-speed internet and/or cell signals
- b) Testing of the chosen communication technology
- c) Video presentation skills of the AB during witnessing
- d) Battery life of video devices
- e) Preference for live video streaming
- f) Evaluator proficiency in directing the video imaging during witness activities

24

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations



Three Topics

- Checklist of Remote Evaluation Considerations ([APAC FMRA-021 Remote Evaluation Checklist and Risk Assessment](#))
- Planning and Scheduling Guidance and Experience
- Effectiveness of Remote Evaluations (Experience)

26

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations



- See APAC FMRA-021 Remote Evaluation Checklist and Risk Assessment

27

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations (FMRA-021)



Instructions (FMRA-021)

FMRA-021 is only completed after the remote evaluation is complete and the content of the checklist is approved solely by the Lead Evaluator.

- A. TRUE
- B. FALSE

28

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations (FMRA-021)



FMRA-012 (cl 11 Risk)

FMRA-021 does not provide a risk assessment tool for remote evaluations.

- A. TRUE**
- B. FALSE**

30

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations (FMRA-021)



FMRA-012 (cl 11 Risk)

FMRA-021 provides allowance to record the decisions of both the Lead Evaluator and the AB on remote evaluation decisions emanating from Section A – Remote Evaluation Acceptance and Approval.

- A. TRUE**
- B. FALSE**

32

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations (FMRA-021)



FMRA-012 (cl 11 Risk)

FMRA-021 provides allowance to record the details of all remote evaluation considerations emanating from Section B – Remote Evaluation Details

- A. TRUE**
B. FALSE

34

SECTION 2 - Checklist of Remote Evaluation Considerations (FMRA-021)



Sample, Section B – ILAC Scope

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	
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.	Zoom meeting File sharing via DropBox Zoom 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 – Zoom Electronic file sharing – DropBox	Team Leader	08 Aug 2020
										(AB Quality Manager)	Online meetings – Zoom Electronic file sharing – DropBox	(AB QM)	08 Aug 2020
													L

36

SECTION 2 - Checklist of Remote Evaluation Considerations (FMRA-021)



Noriko's and Apisit's Experiences

- IAF Scope considerations
- Planning and scheduling guidance
- Team meeting
- Effectiveness of Remote Evaluations

37

SECTION 2 - Checklist of Remote Evaluation Considerations (FMRA-021)

Sample, Section B – IAF Scope



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	
File review, interview and witnessing-- - Review of assessment files - Review of personnel files - Interview of AB personnel - Witnessing assessment to demonstrate AB implements its accreditation assessment procedures, manages competence of personnel, their operation follows the requirements in the evaluation criteria and the AB's procedures	MS Cert (QMS, EMS, FSMS, EnMS, -----), Product, etc.	Online meeting application Microsoft Teams	Microsoft Teams	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. The AB has a dedicated optical fibre leased line 100 MBPS speed	Data will be shared with Evaluators on computer screens using Microsoft Teams. No data / records will be transmitted, unless specifically desired by evaluator(s).	AB's separate confidentiality Undertaking to be signed by each Peer Evaluator.	Trial conducted on DD MM 2020 successfully	Nil	Noriko Tominaga (TL) Other team members listed	Computer proficiency; Familiarity with Online meetings ICT tool – Microsoft Teams	Noriko Tominaga (TL) along with PE team members	The dates of trial runs
										AB's representatives, officers, staff and assessors	Computer proficiency; Familiarity with Online meetings ICT tool – Microsoft Teams	Noriko Tominaga (TL) along with PE team members	The dates of trial runs

38

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations



Planning and scheduling guidance

- Scheduling
 - Different time zones → AB local time vs all Team members (2-14 hrs)
 - Online platforms (available/access) – Trial and ICT support
- Team meeting
 - Pre-evaluation meeting
 - Team meeting prior to the Closing Meeting – information exchange
 - Day to day communication (Using WhatsApp, email etc.)

39

SECTION 2 - Experience on the Conduct of Remote APAC Evaluations



Effectiveness of Remote Evaluations (Experience)

- File preparation: in English and electronic files
- Lists of CABs & Assessors in advance: sampled for file reviews
- Daily information exchanges → findings, TL and Deputy TL
- ICT support through the remote evaluation: online-platform for each member, meeting links

Confidentiality

40

SECTION 3 - Experience on the Conclusion and Follow up of Previous Remote APAC Evaluations



Two Topics

- Remote Evaluation Findings (Evaluator Experiences)
- AB Responses to Findings (MRA MC Decision Making Experiences)

41

SECTION 3 - Experience on the Conclusion and Follow up of Previous Remote APAC Evaluations



Noriko's and Apisit's Experiences

- Remote-specific findings were not raised.
- Language considerations

42

SECTION 3 - Experience on the Conclusion and Follow up of Previous Remote APAC Evaluations



Noriko's and Apisit's Experiences

Remote-specific findings were not raised.

- Limited environment of remote evaluation
- More detailed discussion between the AB and the Team to reach consensus on the findings prior to the Closing Meeting

43

SECTION 3 - Experience on the Conclusion and Follow up of Previous Remote APAC Evaluations



MRA MC Experiences (Chair MRA MC)

- There has been no difference in outcomes caused by the use of remote evaluations
- Remote evaluations have so far retained the integrity and credibility of APAC work
- Considerations in IAF/ILAC A3 on accepting AB responses to findings without further witnessing

44

Objectives of this Online Course



To understand -

the APAC requirements and guidance for the conduct of remote evaluation activities provided by [*APAC MRA-009 Performing Remote Evaluations - Requirements and Guidance*](#).

To appreciate -

the extra work in planning required to successfully conduct an APAC peer evaluation using remote evaluation techniques.

To gain comfortable familiarity -

with the guidance provided by [*APAC MRA-009 Performing Remote Evaluations - Requirements and Guidance*](#) and the associated checklist tool, [*APAC FMRA-021 Remote Evaluation Checklist and Risk Assessment*](#).