Procedure for Evaluation

1.0 Purpose

To describe a procedure for evaluation planning, conducting the evaluation of product, preparation of reports and submitting the reports.

2.0 Scope

This procedure covers evaluation planning, conducting evaluation and reporting the results of evaluations as listed below:

- Evaluation planning
- Conducting the evaluation
- Periodic evaluation
- Re–evaluation before expiration of present certificate

3.0 Responsibility

3.1 **Quality Manager** is responsible for planning the evaluation and ensuring that the evaluation reports are received timeously in the office and review of the evaluation reports.

3.2 **Evaluators (Evaluation personnel)** are responsible for conducting evaluation against the specific requirements, preparation and submission of evaluation reports.

3.3 The **Managing Director** and **Quality Manager** are responsible for the following:

- Establish the extent of the audit program
- Identify and evaluate the risk for the audit program
- Establish audit responsibilities
- Establish procedures for audit program
- Determine necessary resources
- Implementation of audit program
- Ensure records are managed and maintained
- Review and improve audit program

3.4 The **Managing Director** is responsible for approving the auditing program

3.5 The person managing the program ensures the following:

3.5.1 Review and approval of audit reports, including evaluating the suitability and adequacy of audit findings

3.5.2 Review of root cause analysis and the effectiveness of preventative and corrective actions

3.5.3 Distribution of audit reports to top management and other relevant parties
3.5.4 Determine the necessity for any follow-up audit.

4.0 Description of Activity

4.1 **Introduction**

The objective is to provide consistent service delivery norms. Evaluators (Evaluation personnel) are responsible for ensuring the objectives of their assigned evaluations are fully met.
The various activities needed to be carried–out are:

4.2 **Evaluation planning**

4.2.1 Objectives of auditing program.

An auditing and inspection program has been developed for all the ACT clients to ensure the product supplied under the ACT mark continuously complies to the product standard and end user requirements.
Objectives of auditing program:

1. Determine if the system and product complies to required specification on a regular basis.
2. Reflect the level of performance of the clients in the wooden pole industry in the occurrences of product failures, non-conformances and/or customer complaints.
3. Contribute to the improvement of the ACT client's quality management systems.
4. Enable end users to obtain and maintain confidence in the ACT clients.
5. Enable ACT clients to comply to legal and contractual requirements.
6. Reduce risks to ACT clients and the wooden pole industry.
7. To contribute to the improvement of the wooden pole industry by reviewing ACT clients audits and inspection.

4.2.2 Extent of audit program

Each individual audit is based on documented audit objectives, scope and criteria. Refer to F29.

4.2.3 Number of inspections per year of certification:

Standard	Number of inspections per year of certification
SANS 754	10
SANS 753	10
SANS 457	6
SANS 1288	6
SANS 1783	10

Note:

ACT will carry out at least 1* audit per year that covers the Client's Quality Management System

*Note: If a client holds Quality Management System Certification (ISO 9001) with ACT, the audit on their Quality Management System is substituted with an ISO 9001 audit.

If a client is certified for more than one standard, the maximum number of audits will apply

	Number of inspections per year of certification	**Audit**
Product Inspection	9*	Including but not limited to and as applicable: 1. Training 2. Work Instructions 3. Verification of measuring instruments 4. Glue Room (for example: temperature control and shelf life) 5. Marking 6. Finger Joint (for example: profile, records and weakening ratio) 7. Moisture content and control (for example: kiln and air stack) 8. Grading Records (for example: visual -, mechanical stress - and proof grading) SANS 1288 (if applicable): 1. Treatment procedure 2. Treatment records (for example: stock control, mixing, issue/receipt and charge sheets) 3. Titration equipment, chemical and shelf life 4. Sampling 5. Marking
Quality Management System Audit	1	Including but not limited to: Product Inspection The content given in PI3.sm

Notes:

*If the number of Quality Management System Audits increase, the number of Product inspections will decrease such that the total number of audits correspond with the certification agreement with the client (General Permit Conditions – QP13 and applicable Specific Permit Conditions icluding the notes).

Clients whose products and quality management system (ISO 9001) are both certified by ACT will have their Quality Management System Audit, as mentioned in the table above, replaced by surveillance audits as per ACT's ISO/IEC 17021 system.

If a client's facility is not operational for a period of more than 12 months, ACT will decide on the appropriate action for the remainder of the certification cycle.

If a client's facility is not operational for a period of less than 12 months, the number of audits conducted for that certification year will be adjusted propotionally to the number of months remaining in that year of certification. As long as a minimum of 1 audit is conducted during a year of certification.

For example: suppose the required number of audits is 10 per year of certification and in a year of certification the client's facility is not operational for a period of 6 months and thereafter operates again. Then the number of audits will be adjusted proportionally to 5 audits (5 audits = 10 audits / 12 months X 6 months) for the remainder of that year of certification.

Products manufactured and marked as per the requirements of SANS 1288, SANS 1783, SANS 10096 and SANS 10149 (or relevant SANS standards) is subjected to inspection and testing at ACT's discression.

4.2.4 Importance of regular audits
The following is taken into consideration before each audit:
4.2.4.1 Similar products and systems
4.2.4.2 Contractual requirements of client
4.2.4.3 Results from previous audits
4.2.4.4 Language
4.2.4.5 Customer complaints or non-conformance to legal requirements
4.2.4.6 Occurrence of product failures

4.2.5 Audit Risks
4.2.5.1 Failure to plan sufficient scheduled audits
4.2.5.2 Ensure confidentiality
4.2.5.3 Ensure competence of auditors
4.2.5.4 Selection of audit team
4.2.5.5 Use of appropriate sampling methods
4.2.5.6 Conducting audit follow ups
4.2.5.7 Monitoring and reviewing effectiveness of the audit
4.2.5.8 Reporting to top management

4.2.6 Audit program resources
Financial
The costs of all audits including travel and accommodation is determined as in accordance with Pricing Model F24.

4.2.7 Audit Methods

4.2.7.1 Conducting audit reviews.

The following is taken into consideration:

- The information is complete
- The content is correct
- The document is consistent with related documents
- The content is up to date

4.2.7.2 Sampling

Sampling is used when it is not practical or cost effective to examine all product(s) and information during the audit. Sampling is measured in accordance with the applicable standrard and the General and Specific Permit Conditions of ACT.

4.2.7.3 Judgement Based Sampling

Note: Objective evidence may be obtained by the following methods:

- Interviews
- Observations that includes photos
- Document reviews

4.2.8 Selecting the audit team members

The Quality Manager selects the auditing team and technical expert if required. If 2 or more auditors are present, the team leader is appointed.
The size of the team is determined by the size and complexity of the audit.
Clients are made aware by F34 of the complete audit team and any other participants outside of ACT (for example members of an accreditation body like SANAS).

4.2.9 Upon receipt of contract for the product certification, planning is done, evaluation checklist is prepared based on the following:

- Specific requirements identified and needs to be verified based on the study of the relevant national / international standard, against which product needs certification
- Specific requirements identified and needs to be verified based on the study of the relevant customer directives, against which product needs certification
- Applicable legal requirements (Country specific, if country specific requirements are not there, then follow international legal requirements) related to the product under the certification
- Health and safety requirements considering its intended applications

4.2.10 After completion of the checklist, the same is reviewed for adequacy and incorporation of all critical points in the checklist to ensure 100 % evaluation of the product considering the all relevant requirements.

4.2.11 Client is informed for the tentative date for the evaluation and is agreed with the client.

4.2.12 Upon confirmation of the date with the client, Quality Manager select the evaluator considering the expert in the relevant field and then evaluation programme is sent to the client.

4.2.13 As agreed with the client, evaluator visit the client place for conducting the evaluation.

4.3 **Conducting Evaluation**

4.3.1 Evaluation is conducted as per the schedule (F52)

4.3.2 Evaluator(s) make use of PI1, PI3.sm, PI4, PI5, PI6 and PI7 as applicable to the type of evaluation.

4.3.3 Opening meeting is conducted (Evaluator should use F42 as guidance) with the representatives of the client before commencement of the evaluation. The objective of the evaluation and introduction of the evaluation team is done during the meeting. Also introduction of client representative is done and the concern person of the client is identified for escorting during evaluation.

4.3.4 Evaluator(s) and any other member of ACT participating in the evaluation sign F39 whereby they declare to adhere to the Confidentiality, Impartiality and Non-Disclosure Agreement.

4.3.5 Evaluation is conducted after completion of the meeting. During evaluation, evaluation team checks the performance of the product with respect to the followings by making use of or referring to QP13, QP14, QP18, QP19 and/ or applicable standards:

- Compliance of the products with respect to the relevant test standards by evaluating the design and performance records of the product maintained by client
- Compliance of the products with respect to the relevant customer directives by evaluating the product and records of the product maintained by client
- Evaluating the records of calibrations of the instruments used for the inspection and testing of the products
- Evaluation of product with respect to the health and safety aspects

4.3.6 Based on the above evaluations, details of observations are recorded in the evaluation checklist and relevant papers. All the observations are clearly recorded in the evaluation records for drawing the conclusion of the product certification. Evaluation team identify the observations (Opportunities for improvement) as well as non–conformity with respect to the relevant requirements at the end of evaluation, if any.

4.3.7 The evaluation may be prematurely terminated/ aborted if:

- An emergency occurs at the client
- In the event of bribery or threat that might be imposed by the client
- Major malfuction of the client's system

4.3.8 Recording of NCR:

4.3.8.1 Classification of non-conformaties:

Standards	Description of findings	Allowed Timeframe for corrective action
SANS 754, SANS 753, SANS 457, and SANS 1288	Product failure (major): Applicable SANS requirements regarding: • Moisture • Penetration • Retention	25 working days
SANS 1783 (all parts) and SANS 10096	Product failure	
All standards	Re-occurrence of findings (evidence that corrective action for either Minor or Major findings were not effectively implemented) a serious cumulative number of minor non-conformities are found overall Several non-conformities may be grouped together as one major non-conformity.	
All standards	Any other non-conformance (minor)	To be verified and evaluated for clearance at the next evaluation or within 60 days.

4.3.8.2 During an evaluation F35 will be used to generate any of the abovementioned non-conformaties.

4.3.8.3 The following conditions apply if a product failure is identified during an audit:

A non-conformance raised due to a product failure needs to be cleared before that particular product may be dispatched. Refer to the following scenarios:

4.3.8.3.1 Products to be dispatched before the next audit:

The client needs to send the records of corrective action(s) taken on failed products to the ACT office so that it can be reviewed and a decision can be made on the clearance of the non-conformance, if cleared the product will be deemed to conform to relevant SANS requirements and the product may be dispatched.

4.3.8.3.2 Products to be dispatched after the next audit:

The client needs to keep the records of corrective action(s) taken on failed products and make it available to the ACT audit team during the next audit. The evaluation of the effectiveness of the corrective action(s) taken will include the review of these records. If the non-conformance is cleared the products will be deemed to conform to the relevant SANS requirements and the product may be dispatched.

4.3.8.4 The following conditions apply if a non-conformance, other than product failure in the scenario stipulated in 4.3.8.3.1, is raised:

Outstanding non-conformance past its due date (as given in 4.3.8.1):

ACT will take appropriate actions to deal with non-conformance(s) that are past their due date. These actions may include (I to VI):

I. Request for corrective actions,
II. Withdrawal of certificates or reports issued by the client,
III. Publication of transgression,
IV. Suspension of certification,
V. Withdrawal of certification status, and if necessary
VI. Legal action

Non-conformances within its due date (as given in 4.3.8.1):

ACT will evaluate the corrective action(s) taken on non-conformance(s) raised during the next audit.

4.3.9 Consulting:

4.3.9.1 Evaluators are not allowed to consult ACT clients

4.4 Review of evaluation records

4.4.1 Quality Manager reviews the filled evaluation checklist / records and suportive documents submitted by Evaluators (Evaluation personnel). If the Quality Manager performs the evaluation the Managing Director review the records.

4.4.2 If required, he may consult Managing Director and Technical Experts for such review.

4.4.3 Based on review of evaluation records, decision for the issue of certificate for the product is taken subject to closure of the non–conformities / observations issued during the evaluation.

4.4.4 Records of evaluations are logged and maintained on the Evaluation Database (F61)

4.4.5 ACT employees who work with the client records are monitored to safegaurd confidentiality and non-disclosure by completing F39.Int. Should there be any interest or association to any of the clients, employees are to complete F39.

4.5 **Periodic evaluation**

4.5.1 Quality Manager plan and conduct the periodic evaluation of the product certified by deputing the Evaluators (Evaluation personnel), the evaluation schedule (F52) is used to plan the periodic evaluation dates.

4.5.2 During periodic evaluation, the planning are done as per the details given in the clause no. 4.2.

4.5.3 Results of periodic evaluations are evaluated as per the details given in the clause no. 4.4 and based on successful completion of the evaluation, the continuation of the certification is informed to the client.

Refer to QP23: Procedure for Certification Review

4.6 **Testing or Inspection of samples from the open market**

4.6.1 Should ACT receive a complaint from the open market; more specifically, from any of the customers of ACT certified clients, it will result in ACT conducting a product inspection according to the sampling procedure as stipulated in applicable Specific Permit Condition(s) from the open market (end-user).

4.6.2 ACT will conduct at least one product inspection according to the sampling procedure as stipulated in applicable Specific Permit Condition(s) samples from the open market (end-user) per year.

4.7 **Re–certification (Re–evaluation)**

4.7.1 Quality Manager plan and conduct the re–certification before the expiry of the product certification.

4.7.2 During re–certification, the planning for evaluation are done as per the details given in the clause no. 4.2.

4.7.3 Results of re–certification are evaluated as per the details given in the clause no. 4.4 and based on successful completion of the evaluation, the new certificate is issued to the client as per renewal requirements.

5.0 Reference

5.1 Applicable to the scope of certification sought by the client:

- 5.1.1 SANS 1783-1: Sawn Softwood Timber Part 1: General Requirements
- 5.1.2 SANS 1783-2: Sawn Softwood Timber Part 2: Stress- graded structural timber and timber for frame wall construction
- 5.1.3 SANS 1783-3: Sawn Softwood Timber Part 3: Industrial Timber
- 5.1.4 SANS 1783-4: Sawn Softwood Timber Part 4: Brandering and Battens
- 5.1.5 SANS 1783-5.1: Sawn Softwood Timber Part 5.1: Stress-grade assessment
- 5.1.6 SANS 1783-5.2: Sawn Softwood Timber Part 5.2: Quality assurance of stress-grading
- 5.1.7 SANS 10096: The manufacture of finger jointed structural timber
- 5.1.8 SANS 10149: The mechanical stress grading of timber (flextural method)
- 5.1.9 SANS 1288: Preservative-treated timber

5.2 QP23 Procedure for Certification Review

6.0 Forms

6.1	=======	Evaluation planning (E-mail communication)
6.2	PI1	Product Certification Audit: Inspection of Product
6.3	PI3.sm	Audit Checklist
6.4	PI4	WCC Oxide Stock Control
6.5	PI5	Creosote Stock Reconciliation Product Inspection Audit
6.6	PI6	Traceability Evaluation
6.7	PI7	Summary of Product Evaluation
6.8	F29	Client Audit/ Evaluation Plan
6.9	F34	Evaluation Confirmation
6.10	F35	Non-Conformance Corrective Action and Clearance Report
6.11	F39	Confidentiality, Impartiality and Non-Disclosure Agreement
6.12	F39.Int	Confidentiality, Impartiality and Non-Disclosure Agreement Schedule
6.13	F42	Evaluation Meeting Agenda
6.14	F52	Audit Schedule
6.15	F61	Evaluation Database
6.16	QP13	General Permit Conditions
6.17	QP14	Sampling Procedure
6.18	QP18	Addendum 4 To Specific Permit Conditions
6.19	QP19	Addendum 1 To Specific Permit Conditions