

	<b>African Certification and Testing</b> 1 Klaasen Street, Merrivale Howick, Kwa Zulu Natal, 3291 Tel: 033 3303418 <b>Quality procedure</b>	No.	QP09
		Revision No.	07
		Date	20-04-2020
<b>Procedure for Evaluation</b>			

## 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

Originator	Signature	Approved by	Signature	Page
<b>Quality Manager</b>		<b>Managing Director</b>		1 of 11

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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 audits per client

Standard(s) applied for	Minimum number of audit man days
SANS 457-3 and / or SANS 1288	½ day
SANS 754 (could include SANS 457-3 and SANS 1288)	1 day

Note that the audit time for initial evaluation may increase based on the feedback from the application review, or upon the request of the Managing Director or Quality Manager.

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4.2.3.1 **Surveillance:**

- 4.2.3.1.1 Minimum Number of Audits per year
- 4.2.3.1.2 SANS 754 – 10 per year
- 4.2.3.1.3 SANS 457-3 – 6 per year
- 4.2.3.1.4 SANS 1288 – 6 per year
- 4.2.3.1.5 System audits – 1 per year (inclusive in numbers mentioned above)

**Individual System Audits**

	<b>Number days of audits per year</b>	<b>Audit</b>
Treatment Procedure (CCA & Creosote)	*	Including but not limited to: Treatment Procedure Treatment records (CCA/ Creo or both) Sampling Process (moisture/ penetration) Stock Control Competence of Operator Volume Tables Titration (CCA) Titration chemical shelf live
Incoming Timber and moisture control	*	Including but not limited to: Incoming material Air Drying and records Kiln Drying and records Before Treatment Records (sapwood and moisture) Sampling Process
Quality Control	*	Including but not limited to: Training After treatment records (B&F) Final inspection records (SANS 754) Verification of Measuring instruments Marking
Product Evaluation (to be conducted upon request from external bodies such as accreditation bodies)	As per request (will substitute any of the abovementioned audits)	Review of Quality Records which can include: charge sheets, stock recons, after treatment inspection, and final inspection records
	1	Including but not limited to:

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Quality Management System Audit		The content given in PI3.
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Notes:

\*The number of audits per year amounts to the number of audits as agreed in the certification agreement. Audit types with (\*) should alternate and be conducted equal times as far possible.

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

For information only:

**Program Product Audit.**

Products to be inspected	Inspection of product per year	Sample Size	Number of samples per inspection
SANS 754 Transmission poles Cross-arms Spacers	Minimum 10	Refer to QP21	Refer to QP21
SANS 457 Structural poles Fencing poles Vineyard poles Guardrail posts Spacer blocks	Minimum 6	Refer to QP20	Refer to QP20
SANS 1288 Sawn Softwood H6 Sawn Softwood H5 Sawn Softwood H4 Sawn Softwood H3 Sawn Softwood H2 Sawn Softwood H0-i Sawn Hardwoods H6 Sawn Hardwoods H6 Sawn Hardwoods H5 Sawn Hardwoods H4	Minimum 6	Refer to QP19	Refer to QP19

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Sawn Hardwoods H3			
Sawn Hardwoods H2			
Sawn Hardwoods H0-i			
Sawn Hardwoods H0-it			
Round Softwoods H5			
Round Softwoods H4			
Round Softwoods H3			
Round Softwoods H2			
Round Hardwoods H5			
Round Hardwoods H4			
Round Hardwoods H3			
Round Hardwoods H2			

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

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is measured in accordance with the applicable standard 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)

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- 4.3.2 Evaluator(s) make use of PI1, PI3, 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, QP19, QP20, QP21 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 malfunction of the client's system
- 4.3.8 Recording of NCR:
- 4.3.8.1 Classification of non-conformities:

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Description of findings	Allowed Timeframe for corrective action
Product failure (major): Applicable SANS requirements regarding: <ul style="list-style-type: none"> <li>• Moisture</li> <li>• Penetration</li> <li>• Retention</li> </ul> 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.	25 working days
Any other non-conformance (minor)	To be verified and evaluated for clearance at the next evaluation or within 60 days, which ever comes first.

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

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



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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 supportive 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 safeguard 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.

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#### 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 evaluation is done based on PI3, PI6, Certification Review (F86) as well as the client's review of three year history**

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 754: Eucalyptus poles, cross-arms and spacers for power distribution and communications systems

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- 5.1.2 SANS 457-3: Wooden poles, droppers, guardrail posts and spacer blocks Part 3: Hardwood species
- 5.1.3 SANS 1288: Preservative-treated timber
- 5.2 QP23 Procedure for Certification Review

### 6.0 Forms

- 6.1 ===== Evaluation planning (E-mail communication)
- 6.2 P11 Product Certification Audit: Inspection of Product
- 6.3 PI3 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 QP19 Addendum 1 To Specific Permit Conditions
- 6.19 QP20 Addendum 2 To Specific Permit Conditions
- 6.20 QP21 Addendum 3 To Specific Permit Conditions