	United States Accreditation, INC. Performance Monitoring and Evaluation Procedure of Personnel Involved in the Accreditation Process	Document No:	USACC-P-25
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1. Purpose

The purpose of this procedure; To explain the rules and procedures regarding the monitoring and evaluation of the performance of the lead auditors, auditors, technical experts, case officers and accreditation decision committee assigned by the United States Accreditation Inc. during the accreditation process.

2. Scope

This procedure; It includes United States Accreditation Inc. case officers, accreditation decision committee members and lead auditors, auditors, technical experts assigned to audits.

3. Definitions

Definitions related to this procedure are given in the USACC-IN-01 Instructions on Terms and Definitions Used in United States Accreditation Inc. Documentation.

4. Related Documents

USACC-G-34 Job Description and Organization Chart Guideline

5. Implementation

United States Accreditation Inc.; The accreditation decision committee responsible for taking accreditation decisions has established and maintains a performance monitoring system to ensure and maintain the competence of the personnel assigned in charge of the file and the permanent or part-time contracted auditors/technical experts.


5.1 Monitoring Criteria for Auditors, Technical Experts and Case Officers

The methods specified in Table 1 are applied for the monitoring or supervision of trainee auditor candidates, auditors, technical experts and technical responsible who have completed auditor training.

5.1.1 United States Accreditation Inc. Monitoring of Audit Team Members

Auditors and technical experts should have appropriate technical and professional qualifications. In addition, auditors must have sufficient experience and experience for auditing.

The United States Accreditation Inc. takes into account the criteria specified in the relevant form in Table 1, in order to monitor the performance of auditors and technical experts and to evaluate the information obtained as a result of this monitoring. The process of monitoring and evaluating the performance of auditors and technical experts starts from the moment they are assigned and

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continues until the accreditation proposal made by the audit team. This monitoring activity mentioned above is carried out and reported by the evaluator appointed by the United States Accreditation Inc.

In addition, United States Accreditation Inc. lead auditors are appointed by an United States Accreditation Inc. staff member with lead auditor status (preferably technical officers with lead auditor status) using the relevant form in Table 1.

- at least once every three years in at least one of the different standards audits in category A
- Its performance is evaluated by being observed at least once every three years in at least one of the different standard audits in category B.

5.1.2 Monitoring of the Audit Team by the Audited Entity

United States Accreditation Inc. monitors the technical competence of the auditors/technical experts, their knowledge of the relevant accreditation standards, their oral and written presentation skills, as well as their attitudes and behaviors. The United States Accreditation Inc. information system sends the relevant form in Table 1 to the CAB official for evaluation of the audit team after each audit organized by the United States Accreditation Inc.


5.1.3 Monitoring of Auditors and Technical Experts During Audit

United States Accreditation Inc. also does the necessary work on monitoring and evaluation of the auditors/technical experts it has assigned during the audit. During the audit, the auditors/technical experts are evaluated by the lead auditor. The purpose of this application during the audit is to determine the technical competencies of the auditors and technical experts and the competence of the auditors on the accreditation rules, as well as their human aspects, namely their ability to make healthy decisions, impartiality, communication, work in a team, work under pressure, and maintain determination and self-confidence when necessary is to carry out work to eliminate the detected nonconformities. The relevant form in Table 1 is used to monitor auditors and technical experts.

Trainee auditors, who are desired to be included in the United States Accreditation Inc. auditor/technical expert pool, are assigned to audits and their performances are observed under the supervision of the lead auditor. Following the conclusion of the audit, after the trainee auditor submits the audit report to the lead auditor, the lead auditor conveys his opinion on the trainee auditor to the United States Accreditation Inc. using USACC-FR-45 Trainer-Assistant Trainer Performance Evaluation Form in Table 1. This assessment includes technical competence, mastery of relevant accreditation standards, oral and written presentation skills, demeanor and behavior.

5.1.4 Monitoring of the United States Accreditation Inc. Case Officer by the Lead Auditor

During the accreditation process, the timely selection, formation, assignment of the audit team and the coordination of the auditors are of great importance for an accreditation body. United States Accreditation Inc. does the necessary work to monitor the relevant case officer who undertakes this task. Monitoring of the case officer is carried out by the lead auditor appointed by the United States Accreditation Inc. The monitoring of the case officer by the Lead Auditor starts with the assignment

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of the audit team and continues until the accreditation proposal made by the audit team. The relevant form in Table 1 is used to monitor the case officer.

5.1.4 Monitoring of the United States Accreditation Inc. Case Officer by the Audited Entity

During the accreditation process, the timely selection, formation, assignment of the audit team and the coordination of the auditors are of great importance for an accreditation body and Audited Entity. United States Accreditation Inc. does the necessary work to monitor the relevant case officer who undertakes this task. Monitoring of the case officer is carried out by the Audited Entity appointed by the United States Accreditation Inc. The monitoring of the case officer by the Audited Entity starts with the application of CAB and continues until the accreditation proposal made by the audit team. The relevant form in Table 1 is used to monitor the case officer.


5.1.6 Monitoring the Performance of Accreditation Decision Committee Members

The performance of the members of the accreditation decision committee is evaluated at least once a year by the Accreditation Decision Committee Monitoring Team. In addition, additional monitoring and evaluation can be carried out in cases such as complaints/objections against the decisions taken by the accreditation decision committee or against any member, change of decision committee members, etc. During performance monitoring, the following issues are evaluated using the USACC-FR-30 Accreditation Decision Committee Members Performance Monitoring Form.

- Statements in the decisions taken
- Number of decisions taken during the monitoring period
- The rate of participation of the members of the accreditation decision committee in the decisions
- Ratio of objections to the decisions taken
- Appropriateness of different types of decisions
- Complaints about decisions
- Appeals to decisions
- Decision time
- Feedback from case officers

Accreditation Decision Committee Monitoring Team; It consists of two people who have not taken part in the United States Accreditation Inc. decision mechanism in the last year and who have the following qualifications. Members are determined by the Quality Manager or the President or relevant Deputy President who is not involved in the decision process.

- At least one of the members must have at least 3 years of experience in ISO/IEC 17011, this experience should also include decision processes,

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- At least one of the members must be an auditor/lead auditor in at least one of the accreditation standards,
- Each of the members must have a minimum of 3 years of work experience, of which at least 1 years must be in a managerial position,
- At least one of the members must have knowledge of APAC / ILAC / IAF documents.

5.2 Planning and Evaluation

5.2.1. Planning the Evaluation

Table-1

Monitoring Subject	Monitoring Frequency	Evaluator	Monitoring Tool
Audit Team Members	At each Audit	Case Officer	USACC-FR-58 Evaluation of the United States Accreditation Inc. Case Officer by the Audited Entity USACC-FR-67 Evaluation of the United States Accreditation Inc. case officer by the Lead Auditor
Lead Auditor	At least once in 3 years	Lead Auditor	USACC-FR-29 Lead Auditor Observation Report USACC-FR-31 Evaluation of Lead Auditor by United States Accreditation Inc. Observer USACC-FR-38 Evaluation of Lead Auditor by Auditor USACC-FR-57 Assessment Of The Audit Team By The Audited Organization Lead Auditor-Auditor-Internal Auditor
Audit Team Members	At each audit	CAB	USACC-FR-57 Assessment Of The Audit Team By The Audited Organization Lead Auditor-Auditor-Internal Auditor
Audit Team Members	All audits in which S/He took part as a trainee in each audit (this monitoring is at least once. The trainee can be qualified as an auditor after the first audit according to the performance of the auditor.)	Lead Auditor	USACC-FR-45 Trainer/Assistant Trainer Performance Evaluation Form

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United States Accreditation Inc. Case Officer	At each Audit	Lead Auditor	USACC-FR-67 Evaluation of the United States Accreditation Inc. Case Officer by the Lead Auditor
United States Accreditation Inc. Case Officer	At each Audit	Audited Entity	USACC-FR-58 Evaluation of the United States Accreditation Inc. Case Officer by the Audited Entity
Monitoring the members of the Accreditation Decision Committee	at least once a year	Decision Committee Monitoring Team	USACC-FR-30 Accreditation Decision Committee Members Performance Monitoring Form

Performance monitoring of the personnel involved in the accreditation process is planned as

All the forms used for the above-mentioned monitoring activities are produced by the United States Accreditation Inc. information system and transmitted to the relevant parties electronically. Responses to the assessments are recorded directly in the database. Any additional records (reports, etc.) issued in addition to the evaluation forms should be forwarded to the relevant Accreditation Department.


5.2.1. Evaluation

Evaluation points ranging from 5 to 1 are given in the performance evaluations that are scored. (5 Best - 1 Worst). The performance of the commission assigned during the audit is evaluated with electronically transmitted scoring; As a result of the examination of the electronically transmitted performance evaluation data by the relevant Accreditation Department, if any evaluation criterion is less than 3, an investigation is initiated.

Since the performance evaluation is made by the United States Accreditation Inc. , CAB and the lead auditor, if any criterion is below 3 points, a cross-check is provided by taking into account the evaluations made by other evaluators for the same criteria.

The performance evaluations of the members of the audit team taking part in the audits are not limited to the scoring given in the assessment forms. Evaluation forms include a general evaluation section to define the strengths and weaknesses of the auditors. This section must be filled by the person making the observation. In this section, the person making the observation is the audit team member; It evaluates audit techniques, accreditation standard subject to audit, knowledge and skills regarding the technical field within the scope of the audit, and personal characteristics based on objective data.

In order to continuously control the performance of the personnel involved in the accreditation process, reports are obtained from the database of the relevant Accreditation Departments every 6

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month. This report is evaluated in terms of defining the training needs of the audit team members and determining that the competencies are maintained. As a result of the evaluation, the Accreditation Departments take the necessary decisions about the person and start the relevant studies and inform the relevant people when necessary.

In addition, the auditor pool is evaluated at least once a year with the participation of the accreditation body, the Director and the Vice Director. For this purpose, auditors/technical experts who have not been assigned for more than 2 years are determined annually and planning is made to assign these people to appropriate audits.

More than 3 years have passed since the appointment as an Auditor/Technical Expert or the review of his competence / in order for auditors/technical experts who have not been assigned to audits in the last 3 years, their competencies must be renewed and verified by renewing their appointment.

5.3 Self Improvement Trainings

United States Accreditation Inc. organizes self-development trainings for auditors and technical experts at least once a year. The aim of this training is to share mutual experiences and to convey the changes in the accreditation system. Participation in this annual training is compulsory. A certificate of participation in self-development training received from another Accreditation body is accepted by the United States Accreditation Inc.