

ISSUE 14 – ENSURING REVIEW OF AB BALLOT HISTORY

APAC Lead Evaluator Training Objectives:

Examine appropriate approaches in ensuring the AB ballot history is examined as part of the evaluation.

ILAC Finding: CM-01 of AB#5 and APAC Response

ITEM	CONSIDERATION
OBS5 - CM 1	<p>Some parts of the guidance given in document APLAC MR 011 (“A Guide for APLAC Evaluation Teams for the Planning and Conduct of Evaluations”) were not followed.</p> <ul style="list-style-type: none"> The list of assessments witnessed and the AB’s postal ballot history were not obtained before the evaluation. [APLAC MR 001 16.4; APLAC MR 011; 3.1(viii) and 3.2(ii)] On the first day of the evaluation at the AB’s office, the APLAC evaluation team did not hold a meeting at the AB’s office to gather information on the status of evaluation activities and issues observed. [APLAC MR 011, 3.4(vi)] The drafts of the Summary report and findings were provided to the AB before the final meeting; however, the AB was not given the opportunity to present their comments to the APLAC evaluation team before the final meeting. [APLAC MR 011, 3.4(ix)] <p>[APLAC MR 001 15.4; APLAC MR 011; 3.1(viii), 3.2(ii), 3.4(vi) and (ix)]</p>
Date	Response from the Region
2018/04/23	<p>Thanks ILAC evaluator for the comment.</p> <ol style="list-style-type: none"> The TL will plan to request APLAC Secretariat to provide the list of assessment witnessed history to avoid for selecting the same CAB for witness in the future. For leaving the AB’s office on the first day of the evaluation to travel to the witnessed assessment CAB on the second day, there is not a chance to hold a discussion meeting after the first day assessment, but there was communication over emails during the evening. The TL would hold a meeting at lunch break to gather information on the status of evaluation activities and issues observed if knowingly that there would not be sufficient time to do this at the end of the first day. To improve the TL’s evaluation skills, the TL would present the findings to AB’s top management before conducting the final meeting.
Date	Reaction from the IAF / ILAC evaluation team
2018/05/21	Thanks for responding. The ILAC evaluation team would like to encourage APLAC to consider this aspect in their future training activities with their peer evaluators.

APLAC MRA 001:2014, 15.4 and APLAC MRA 011:2013, 3.1, 3.2 AND 3.4 (used during ILAC evaluation)

APLAC MRA 001:2014

15 Preparation for Evaluation

15.4 The evaluation team shall conduct the document review. The full evaluation visit shall not be carried out before it appears, from the documentation supplied by the applicant body, that it meets the criteria.

15.4.1 The team leader shall ask the APLAC Secretariat to provide:

- (i) Details of the applicant body’s voting history in APLAC postal ballots. **A report on this voting history shall be included in section 5 of the evaluation report (APLAC MR 009);**

MRA 011:2013

3. Checklist for APLAC Lead Evaluators – Re-Evaluation

3.1 Not Less Than 6 Months Prior to Scheduled Date of Evaluation

- (viii) Obtain from the APLAC Secretariat a copy of full report from previous evaluation, a copy of the MRA Council's resolution decision on the previous evaluation, and a list of CABs whose assessments were witnessed at the previous evaluation;

3.2 Not Less Than 3 Months Prior to Scheduled Date of Evaluation

- (ii) Obtain a report on AB's postal ballot history from the APLAC Secretariat;**

3.4 During the Evaluation

- (vi) Gather information from team members each evening (if geography and channels of communication allow);
 - main meeting on evening of day 1 to allow areas for follow-up to be identified and assigned to team members; evening prior to last day when findings should be finalised as much as possible;
- (ix) Prepare summary report and list of nonconformities, concerns and comments for presentation to AB at closing meeting;
 - this should be reviewed for comment by the AB prior to the closing meeting;
 - the summary report should highlight any findings that are recurrences of findings from the previous evaluations;

APAC MRA 001:2019, 19.4 and APAC MRA 011:2019, 3.1, 3.2 AND 3.4 (current versions)

APAC MRA 001:2019

19 Preparation for Evaluation

19.4 The APAC Secretariat shall provide:

- **Details of the applicant body's voting history in APAC ballots;**
- Where relevant, a copy of the final report from the previous evaluation, a copy of the APAC MRA Council's resolution decision on the previous evaluation, and a list of CABs whose assessments were witnessed at the previous evaluation.

MRA 011:2013

3. Checklist for APLAC Lead Evaluators – Re-Evaluation

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- (viii) Obtain from the APAC Secretariat a copy of the full report from the previous evaluation, a copy of the MRA Council's resolution

decision on the previous evaluation, and a list of CABs whose assessments were witnessed at the previous evaluation;

3.2 Not Less Than 3 Months Prior to Scheduled Date of Evaluation

- (ii) Obtain a report on AB's voting ballot history from the APAC Secretariat;**

3.4 During the Evaluation

- (vi) Gather information from team members each evening (if geography and channels of communication allow);
 - main meeting on evening of day 1 to allow areas for follow-up to be identified and assigned to Team Members; evening prior to last day when findings should be finalised as much as possible;
- (ix) Prepare summary report and list of nonconformities, concerns and comments for presentation to AB at closing meeting;
 - this should be reviewed for comment by the AB prior to the closing meeting;
 - the summary report should highlight any findings that are recurrences of findings from the previous evaluations;

Acceptable / Possible solutions

Discuss most appropriate methods for ensuring that the evaluated body's ballot history is examined as part of the evaluation.