

UGG CERTIFICATION SDN BHD		UGG-SOP(MSPO)-03
		DATE: 01/04/2025
ACCREDITITION PROCEDURE	EVALUATION AND PERFORMANCE APPRAISAL	PAGE 1 OF 6
		REV 02

DOCUMENT AUTHORIZATION & REVISION HISTORY

Revision No.	Description of Change	Date of Release	Prepared By	Approved By
00	Initial document	01/03/2024		
01	Include the requirement monitoring and evaluation Scheme Document Clause 3.4.1 d	01/11/2024		
02	Changes of the company name to UGG Certification Sdn Bhd	01/04/2025		

UGG CERTIFICATION SDN BHD		UGG-SOP(MSPO)-03
		DATE: 01/04/2025
ACCREDITATION PROCEDURE	EVALUATION AND PERFORMANCE APPRAISAL	PAGE 2 OF 6
		REV 02

1 PURPOSE

- 1.1 To establish a procedure for evaluation of lead auditors, auditors, and technical experts for specified certification scheme to ensure competence of audit teams.

2 SCOPE

- 2.1 This procedure is applicable to certification audits for all scheme of certification

3 RESPONSIBILITY

- 3.1 General Manager (GM)
3.2 Operations Manager (OM)
3.3 Lead Auditor (LA)
3.4 Auditor
3.5 Administrative Officer (AO)

4 REFERENCE

- 4.1 ISO 17021-1:2015- Conformity assessment- Requirements for bodies providing audit and certification of management systems
4.2 ISO17065:2012 - Conformity assessment- Requirements for bodies certifying products, processes and services
4.3 MSPO Certification Scheme Document- Date: 5 January 2023

UGG CERTIFICATION SDN BHD		UGG-SOP(MSPO)-03
		DATE: 01/04/2025
ACCREDITATION PROCEDURE	EVALUATION AND PERFORMANCE APPRAISAL	PAGE 3 OF 6
		REV 02

5. PROCEDURE

5.1.1 UGG shall be responsible;

- a) To conduct an initial competence evaluation of the trainee lead auditors and trainee auditors in accordance with its documented processes.
- b) To develop and implement own procedure to maintain their auditor's status.
- c) To periodically evaluate the performance of the lead auditors and auditors on-site.
- d) To provide evidence of the annual monitoring of auditor application methods such as audit witnessing, reviewing audit reports or client's feedback. The competency of auditors shall be reviewed according to their performance to identify training needs. This requirement must include monitoring and witness during remote audits.

5.1.1 UGG shall ensure that all personal details of qualified personnel shall be maintained and updated.

5.1.2 The OM/AM shall be responsible for the initial competence evaluation, and on-going monitoring of competence and performance of all personnel involved in the management and performance of audits and other certification activities, applying the determined competence criteria.

5.1.3 The GM/OM shall utilise the **Competency Evaluation Form UGG-FM(MSPO)-03** (for initial evaluation) and **Performance Appraisal Form UGG-FM(MSPO)-04** (for periodic assessment) for the purpose of evaluating and performance appraisal of the UGG Audit Personnel and UGG Non-Audit Personnel. The performance appraisal shall take into consideration the knowledge and skills required as specified in ISO 17021-1:2015 Annex A – Required Knowledge and Skills.

5.1.4 The output from the **Competency Evaluation Form UGG-FM(MSPO)-03** (for initial evaluation) shall be used to identify personnel who have demonstrated the level of competence required for the audit functions and certification activities functions prior to the individual taking the responsibility for the performance of their activities within the certification body.

5.1.5 The output from the **Performance Appraisal Form UGG-FM(MSPO)-04** (for periodic assessment) shall be used to identify personnel who have demonstrated that the level of competence required for the audit functions and certification activities functions has been continuously maintained. This shall be the basis for these personnel to continue to be employed in their respective areas by UGG.

5.1.6 The GM/OM shall be responsible to ensure that the evaluation and performance appraisal methods shall be done in an effective manner.

5.1.7 The GM/OM shall be responsible for:

- a) Select the competent auditors to perform the audit.
- b) To review and evaluate the audit team members.
- c) To verify the quality and adequacy of the audit report.
- d) Conduct related training for lead auditor, auditor, or technical expert.

UGG CERTIFICATION SDN BHD		UGG-SOP(MSPO)-03
		DATE: 01/04/2025
ACCREDITATION PROCEDURE	EVALUATION AND PERFORMANCE APPRAISAL	PAGE 4 OF 6
		REV 02

5.2 Initial Evaluation of Audit Personnel

- 5.2.1 All applicants for audit personnel shall go through the interview process conducted by the UGG Certification GM and/or OM. This is the **initial evaluation process** that is done by UGG **prior to** audit personnel being accepted to perform audit activities for UGG. Further on-site appraisal shall be conducted at the next appropriate audit using the **Performance Appraisal Form (UGG-FM(MSPO)--04)**.
- 5.2.2 The initial competence shall be evaluated as per criteria using the **Competency Evaluation Form UGG-FM(MSPO)-03** (Audit Personnel). Only positive evaluations personnel shall be selected to perform audit activities in UGG.
- 5.2.3 Records such as curriculum vitae describing academic qualifications, work experience, auditing experience and training as evidence of competence.
- 5.2.4 The GM/OM shall ensure that all auditors be knowledgeable of the audit process, certification requirements and other relevant requirements by providing explanation/on-job-training (OJT) to new members.
- 5.2.5 Evaluation records shall be maintained for retention period specified in the master list of records.

5.3 Initial Evaluation of Non-Audit Personnel

- 5.3.1 All applicants for non-audit personnel shall go through the interview process conducted by the UGG Certification GM and/or OM. This is the **initial evaluation process** that is done by UGG **prior to** non-audit personnel being accepted to perform non-audit activities for UGG.
- 5.3.2 The initial competence shall be evaluated as per criteria using the **Competency Evaluation Form (UGG-FM(MSPO)-03)**. Only positive evaluations personnel shall be selected to perform non-audit activities in UGG.
- 5.3.3 Records such as curriculum vitae describing academic qualifications, work experience, auditing experience and training as evidence of competence.
- 5.3.4 The GM/OM shall ensure that all auditors be knowledgeable of the audit process, certification requirements and other relevant requirements by providing explanation/on-job-training (OJT) to new members.
- 5.3.5 Evaluation records shall be maintained for retention period specified in the master list of records.

UGG CERTIFICATION SDN BHD		UGG-SOP(MSPO)-03
		DATE: 01/04/2025
ACCREDITATION PROCEDURE	EVALUATION AND PERFORMANCE APPRAISAL	PAGE 5 OF 6
		REV 02

5.4 Periodic Performance Appraisal of Audit Personnel

- 5.4.1 The GM shall appraise Audit personnel's performance annually using the ***Performance Appraisal Form (UGG-FM(MSPO)-04)***.
- 5.4.2 On-site appraisals shall also be performed for audit personnel such as Lead Auditor and Auditor. The on-site appraisals shall be recorded into the ***Performance Appraisal Form (UGG-FM(MSPO)-04)***.
- 5.4.3 Feedback from clients also can be used as part of input for performance monitoring and evaluation of lead auditors/auditors.
- 5.4.4 Client can provide feedback by use of the ***Client Survey Form (UGG-FM(MSPO)-05)*** after completion of onsite audits.
- 5.4.5 Feedback from lead auditor also can be used as part of input for performance monitoring and evaluation of auditors and technical experts.
- 5.4.6 One copy of the evaluation report will be given to the auditor for continuous improvement action and one copy will be kept in the auditor personal file by the Administrative Officer for UGG Certification reference.
- 5.4.7 For calibration and re-evaluation of auditors, the GM or OM shall periodically conduct training on ISO 17021-1:2015, CB procedures.
- 5.4.8 Performance indicators can be used to monitor characteristics such as:
- The ability of audit teams to implement the audit plan.
 - Conformity with audit programs and schedules.
 - Feedback from audit clients, auditees, and auditors.
 - Personal attributes.

UGG CERTIFICATION SDN BHD		UGG-SOP(MSPO)-03
		DATE: 01/04/2025
ACCREDITATION PROCEDURE	EVALUATION AND PERFORMANCE APPRAISAL	PAGE 6 OF 6
		REV 02

- 5.4.9 The Performance Appraisal Forms shall be reviewed initially by the OM and subsequently forwarded to the GM for approval.
- 5.4.10 The result of Performance Appraisal shall be communicated to the auditor/lead auditor for their improvement.
- 5.4.11 Performance Appraisal records shall be maintained for retention period specified in the Master List of Records.

5.5 Periodic Performance Appraisal of Non-Audit Personnel

- 5.5.1 The GM shall appraise Non-Audit personnel's performance periodically at least once a year using the ***Performance Appraisal Form (UGG-FM(MSPO)-04)***.
- 5.5.2 Client can provide feedback by use of the ***Client Survey Form (UGG-FM(MSPO)-05)*** after completion of onsite audits.
- 5.5.3 One copy of the evaluation report will be given to the Non-Audit Personnel for continuous improvement action and one copy will be kept in the Personnel file by the Administrative Officer for UGG Certification reference.
- 5.5.4 The performance appraisal records shall be reviewed initially by the Operations Manager and subsequently forwarded to the General Manager for approval.
- 5.5.5 The result of performance appraisal shall be communicated to the auditor/lead auditor for their improvement.
- 5.5.6 Performance appraisal records shall be maintained for retention period specified in the Master List of Records.

Reference Records:

- 1) Competency Evaluation Form UGG-FM(MSPO)-03
- 2) Performance Appraisal Form UGG-FM(MSPO)-04
- 3) Client Survey Form (UGG-FM(MSPO)-05)