

EFNDT/CEC/P/05-002

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PROCEDURE FOR THE AUDIT OF CERTIFICATION BODIES SEEKING EFNDT APPROVAL

SCOPE

This document describes the audit procedure for NDT personnel certification Bodies seeking EFNDT approval

ASSOCIATED DOCUMENTS

EFNDT/CEC/P/05-001: EFNDT Approval of certification bodies
EFNDT Approved Certification Body Audit Matrix

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COMPLIANCE CRITERIA

EN 473:2000	Non-destructive testing – qualification and certification of NDT personnel – General principles
ISO 9712:1999	Non-destructive testing – qualification and certification of personnel

ISO/IEC 17024:2003 Conformity assessment — General requirements for bodies operating certification of persons

1. INTRODUCTION

1.1 This document provides guidance to auditors and to applicant certification bodies prior to audit by representatives of EFNDT. Audits will be carried out for compliance with ISO/IEC 17024, and ISO 9712 and/or EN 473, as appropriate. It is recommended that the applicable standard(s) and this document are read carefully by applicant organisations in order to avoid unnecessary effort and delay in the approval process.

1.2 A Certification Body may apply to be approved in as many different NDT methods and sectors as it wishes, but only those for which it is judged to be satisfactory will be included in its EFNDT approved scope.

1.3 The current fees will be payable by an applicant organisation prior to the issue of any approval.

2. THE APPLICATION

2.1 The completed application form (Annex A to EFNDT/CEC/P/05-001 Approval of CB) and the Certification Body's documented quality management system will enable the EFNDT appointed auditor to form an initial opinion as to the extent that the proposed systems and procedures meet the requirements.

2.2 A copy of the Certification Body's documented quality system must be included with the application and the current pre-audit application fee.

3. PREPARATION FOR FULL AUDIT

3.1 New Applicants for EFNDT Approval

3.1.1 On receipt of the application the EFNDT CEC Secretary or an authorised deputy will appoint a Lead Auditor. Additional auditors with relevant qualifications and experience may be appointed to work under the direction of the appointed Lead Auditor. The Lead Auditor will contact the applicant Certification Body to establish a mutually agreeable date for the mandatory on-site assessment.

3.2 Existing EFNDT Approved Certification Bodies

For existing EFNDT approved Certification Bodies, a three yearly full reassessment is required, and the appointed EFNDT Lead Auditor will send an audit programme to the Certification Body and support auditors at least 21 days in advance of the audit date.

4. THE AUDIT PROCEDURE

4.1 The purpose of the audit is twofold; first to determine the suitability of the general administration of the organisation in respect of the quality management system, procedures, records, security arrangements, facilities and staff structure. Then to technically assess the organisation with regard to examination procedures, examination specimens, equipment and examination staff qualifications in the particular qualification examination(s) which are the subject(s) of the application.

4.2 The audit will begin with an introductory meeting between the audit team and representatives of the Certification Body. At this meeting the EFNDT Lead Auditor will introduce the audit team and confirm pre-arranged details of the audit programme. Arrangements will be made for a member of the Certification Body staff to accompany the auditor(s) during the audit to confirm the correctness of observations.

4.3 Each auditor will review the activities of the Certification Body to which he is assigned and his appraisal will consist of on the spot observations of the organisation, documentation and examination activities as defined by the quality system and the requirements of the applicable standard(s). If an auditor observes an apparent non-compliance with requirements he will record the facts on a Detail Report form (see Appendix 1A).

5. RECORDING NON-COMPLIANCES WITH REQUIREMENTS

5.1 The Detail Reports record apparent failure of arrangements to comply with the Certification Body's quality management system, or with the requirements of applicable standards, and these are

the objective evidence upon which the EFNDT Lead Auditor will base his recommendations to the EFNDT.

5.2 A detail report form will be completed by the auditor at the time of the observation and witnessed by the accompanying Certification Body representative. The signature by the Certification Body representative is required to signify evidence of the observation or apparent non-compliance. There will be no attempt to designate the category of any non-compliance at this time; this will be done at the final audit team meeting prior to the team presenting its findings to the Certification Body.

5.3 The information recorded on the detail report form will contain the following: -

- reference to the criterion or criteria against which the report is raised;
- the particular activity or area of operation concerned;
- any documents or records involved, including serial numbers etc.;
- a record of the observation (usually in the words of the requirements of the applicable standard);
- the name of the person with whom the matter was discussed;
- the signatures of the auditor and the accompanying Certification Body representative.

6. CATEGORISATION OF NON-COMPLIANCES

6.1 Non-compliances are categorised as major or minor.

6.1.1 A major non-compliance is allocated for a major system failure. Examples would be:-

- lack of a documented internal audit or management review procedure;
- inadequate stock of suitable practical test specimens;
- absence of a satisfactory system for security of written questions.

6.1.1 A minor non-compliance is allocated for an isolated failure to comply with the requirements. Examples would be:-

- a test specimen not identified;
- a single occurrence of the examination questions taken by a candidate not recorded;
- failure to correct a non-compliance revealed by the Certification Body's internal review.

6.2 Categorisation is not an end in itself but a means of helping the audit team decide on the relative importance of the non-compliances either alone or collectively when compiling the Summary Report (see below).

6.3 The assignment of a major non-compliance may be judged sufficient for the EFNDT CEC Secretariat to withhold approval until it can be verified that the problem has been satisfactorily addressed. Similarly, a proliferation of minor non-compliances may lead to the same conclusion.

6.4 The EFNDT Lead Auditor may also raise a Detail Report for an observation only. This would indicate that, although there is no evidence that a non-compliance has been observed, the Certification Body should review the area indicated on the report form.

7. THE SUMMARY REPORT AND RECOMMENDATION

7.1 After the auditors have completed their individual assignments they will hold a private meeting to co-ordinate the team results.

7.2 The Lead Auditor will complete the Summary Report form (see appendix 1B), taking into account the audit team's findings. The Lead Auditor, in consultation with the audit team, will then categorise the non-compliances which have been identified. The summary report will not reiterate the statements on the detail reports but should present an overall impression of the Certification Body.

8. THE FINAL MEETING

8.1 At the final meeting the Lead Auditor and the team will present their findings to the Certification Body representatives, after which the Certification Body quality representative will indicate the intended corrective actions for each non-compliance, and propose the latest date for completion on of such actions on the detail report forms.

8.2 The Lead Auditor and Certification Body quality representative will then agree on a time scale for correction of all non-compliances, if applicable, and both will be signatories to the Summary Report.

8.3 The Certification Body is provided with copies of the detail reports and the summary report.

8.4 It should be emphasised that the audit has not necessarily covered every aspect of the requirements and, therefore, where no non-compliances were reported it does not follow that none exist.

8.5 The Lead Auditor will complete the Recommendation to EFNDT. Recommendations may be for:-

- A) Unconditional authorisation;
- B) Conditionally approval provided corrective actions to clear non-compliances are satisfactorily implemented within an agreed period. Evidence of implementation may be submitted to the Lead Auditor by post.
- C) Conditionally approved provided corrective actions to clear non-compliances are satisfactorily implemented within an agreed period. Implementation will be confirmed during a follow-up audit at a date to be decided.
- D) Approval withheld. The audited organisation will not be approved without a further full audit.

9. APPROVAL PROCEDURE

9.1 The Lead Auditor will submit his report and recommendation for the attention of the Certification Executive Committee, and offer the following support documentation depending on the applicable recommendation identified in clause 8.5:-

- A) Submit Detail and Summary reports, plus audit programme and checklist to the CEC Secretary.
- B) Submit copies of the Detail and Summary reports, plus audit programme and checklist to the CEC Secretary. Retain the original Detail Reports until the Certification Body provides satisfactory postal evidence of correction of the non-compliances, upon receipt of which the Lead Auditor will submit the signed-off Detail Reports to the CEC Secretary.
- C) Submit Detail and Summary reports, plus audit programme and checklist to the CEC Secretary. A follow-up audit will be arranged by the CEC Secretary, who will provide the appointed Lead Auditor with all documentation necessary to the conduct of the follow-up audit, on satisfactory completion of which, the appointed Lead Auditor will submit a further Summary Report together with completed Detail Reports to the CEC Secretary.
- D) Submit all documents to the CEC Secretary.

9.2 Upon receipt of the Lead Auditor's recommendation, the CEC Secretary will review the documentation supplied for compliance with the applicable requirements and, if all is in order, the report and recommendations will be submitted to the Certification Executive Committee at its next ordinary meeting. If appropriate, the Committee will authorise the EFNDT approval of the Certification Body concerned.

9.3 In the case of an existing EFNDT approved Certification Body which has undergone a three yearly reassessment or extension of scope audit, the CEC Secretary will use his discretion in implementing the recommendations of the Lead Auditor.

9.4 Formal authorisation is subject to payment in full of any fees due.

9.5 All audit documentation will be retained by the EFNDT CEC Secretariat for a minimum period of seven years.