

ASNT SNT-TC-1A / CP-189 Employer-based Certification Audit Program

ASNT Document RP-EBC-1

Revision 01

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The American Society for Nondestructive Testing, Inc.

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FOREWORD

This document establishes the requirements for the ASNT Audit program for Employer-based Certifications (ASNT EBC). The program has been developed to provide a registry of NDT Service Providers (Inspection Agencies, Laboratories, etc.), manufacturing, construction or other organizations performing NDT on their own products or work, that have been assessed by ASNT to ensure compliance with the requirements of either SNT-TC-1A or ANSI/ASNT CP-189, or both. The program will provide prospective and current clients of the Registered Organizations the knowledge that the Registered Organization's employer-based personnel certification program(s) meet the intended document(s).

Inquiries related to this document should be directed to the following address:

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1.0 Purpose

- 1.1 This document establishes the system for assessment and registration of nondestructive testing (NDT) Service Providers (Inspection Agencies, Laboratories, etc.) manufacturing, construction or other organizations performing NDT on their own products or work and is administered and maintained by the American Society for Nondestructive Testing (ASNT).
- 1.2 The assessment will determine compliance of the organizations Written Practice and/or Certification Procedure with SNT-TC-1A and/or ANSI/ASNT CP-189.
- 1.3 By request, the compliance audit may also be for a specific edition of SNT-TC-1A and/or ANSI/ASNT CP-189.
- 1.4 Auditee's who have been successfully audited by ASNT and have closed all findings, issued as a result of the audit, shall agree to and sign an ASNT Registration Release and a Code of Ethics. Once these documents are returned to ASNT ISC, a Certificate of Registration will be issued to the newly Registered Organization.

2.0 Scope

- 2.1 This program is applicable only to the administration and compliance of the organization's personnel certification program as evidenced by the Registered Organization's Written Practice and/or Certification Procedure and various other records which provide evidence of compliance. The program is not applicable to observing NDT processes, NDT training, or administration of personnel qualification examinations that may be coincidentally noted or taking place at the organization's site, during the audit.

3.0 References

- 3.1 SNT-TC-1A – Recommended Practice Personnel Qualification and Certification in Nondestructive Testing, applicable edition.
- 3.2 ANSI/ASNT CP-189 - Standard for Qualification and Certification of Nondestructive Testing Personnel, applicable edition.
- 3.3 ISO 19011 - Guidelines for Auditing Management Systems, 2018.
- 3.4 A2-1 - ASNT Independent Contractor Auditor Requirements, latest edition.
- 3.5 A3-1 - ASNT Written Practice/Certification Procedure Audit Procedure, latest edition.
- 3.6 A3-2a - Written Practice Audit Checklist - SNT-TC-1A, applicable edition.
- 3.7 A3-2b - Certification Procedure Audit Checklist - ANSI/ASNT CP-189, applicable

edition.

- 3.8 A3-3 - Written Practice Report and/or Certification Procedure Template, latest edition.
- 3.9 A4-1 – Compliance Audit Procedure, latest edition.
- 3.10 A4-2a - Compliance Audit Checklist - SNT-TC-1A, latest edition.
- 3.11 A4-2b - Compliance Audit Checklist - ANSI/ASNT CP-189, latest edition.
- 3.12 A4-3 - Compliance Report Template, latest edition.
- 3.13 A5-1 – Nonconformance Procedure, latest edition.
- 3.14 A6-1 - Program Approval Panel Procedure, latest edition.
- 3.15 A7-1 - Appeals Procedure, latest edition.
- 3.16 A10-1 - Registration Renewal Procedure, latest edition
- 3.17 ANSI Z1.9 (2018) – Sampling Procedures and Tables for Inspection by Variables for Percent Nonconforming.

4.0 Definitions

- 4.1 Appeals Panel: A three (3) member ad-hoc panel convened to resolve and render a final resolution of a dispute with the audit function, the audit report, audit findings or finding resolutions. See 11.0.
- 4.2 Applicant: The corporate, private, or public entity seeking registration under this program document.
- 4.3 ASNT International Service Center (ISC): Refers to the main business location and employees of ASNT at 1711 Arlingate Lane in Columbus, Ohio.
- 4.4 Auditee: The corporate, private, or public entity scheduled to or is undergoing the program audit under this program document.
- 4.5 Certification Procedure: A written procedure developed by the employer that details the requirements for qualification and certification of their employees, and which meets the requirements of ANSI/ASNT CP-189.
- 4.6 Certification Procedure Audit: An audit performed by an ASNT ISC approved auditor to determine compliance of the auditees written practice to a specified version of ANSI/ASNT CP-189.
- 4.7 Compliance Audit: An audit performed by an ASNT ISC approved auditor to

determine compliance of the auditees certification documentation to the auditees written practice or certification procedure. Audit may be conducted on-site or by using a virtual format.

- 4.8 Program Approval Panel: A three (3) member ad-hoc panel convened to review and render a decision to accept the audit result as meeting the requirements of this program, thereby approving the auditee for registration. This judgement shall be made after all audit findings are fully resolved by the auditee. See 10.0.
- 4.9 Registered Organizations: Those corporate, private, or public entities who have been audited and have met the requirements of this Program Document and are identified on the ASNT website indicating such information.
- 4.10 Written Practice: A written procedure developed by the employer that details the requirements for qualification and certification of their employees, and which meets the intent of SNT-TC-1A.
- 4.11 Written Practice Audit: An audit performed by an ASNT ISC approved auditor to determine compliance of the auditees written practice to a specified version of SNT-TC-1A.

5.0 Responsibilities

5.1 ASNT ISC

- 5.1.1 ASNT ISC shall maintain adequate resources to fulfill the requirements to implement and maintain the program, including documentation which will be audited annually.
- 5.1.2 ASNT ISC will identify organizations that have been successfully assessed on their website;
- 5.1.3 ASNT ISC shall oversee procedures for, and operation of, the program in accordance with this document;
- 5.1.4 ASNT ISC shall maintain a database of qualified auditors for the purposes of auditing applicant organizations, populating the Program Approval Panel and Appeals panel;
- 5.1.5 ASNT ISC shall maintain procedures for qualifying auditors;

5.2 Applicant/Auditee Organization

- 5.2.1 Registered Organizations shall maintain their program as stipulated in their Written Practice and/or Certification Procedure and the ASNT Registration Agreement for the duration of the registration period.
- 5.2.2 Abide by ASNT Code of Ethics for Registered Organizations. The Code

of Ethics shall guide the actions of Registered Organizations of The American Society for Nondestructive Testing. It is the duty of all Registered Organizations to conduct themselves with the following precepts:

- a. To uphold at all times the reputation of the Registered Organization and that of ASNT.
- b. To pursue and demonstrate and maintain professionalism in their program activities.
- c. To refrain from associating themselves with any enterprise that would use their name or that of ASNT in any manner countenancing misrepresentation.
- d. To avoid damage directly or indirectly to the professional reputation, prospects or business of another Registered Organization.

6.0 Auditor Qualifications

- 6.1 Auditors used to assess organizations compliance to ASNT Programs shall be approved in accordance with ASNT procedure A2-1.
- 6.2 The auditor will be required to sign an ethics agreement that they will disclose, thereby, disqualifying themselves from conducting audits of former employers or from other clients where they may have developed or participated in development of the Written Practice and/or Certification Procedure or the “program” within an auditee organization.

7.0 Application

- 7.1 Organizations (applicants) desiring registration of their program by ASNT shall submit an initial application. The application form is available from the ASNT website.
- 7.2 The assessment and registration may be one of the following types:
 - 7.2.1 Single Site (1-day audit)
 - 7.2.1.1 Only one location accredited.
 - 7.2.1.2 ≤150 certified technicians.
 - 7.2.2 Multi-Site (1-day audit)
 - 7.2.2.1 ≤150 certified technicians.
 - 7.2.3 Multi-Site (2-day audit)
 - 7.2.3.1 150-500 certified technicians.
 - 7.2.4 Multi-Site (Variable audit*) Duration specified by ASNT.
 - 7.2.4.1 >500 certified technicians.
 - 7.2.4.2 *Variable audit applications will be reviewed on a case by case

basis and a quote provided by ASNT ISC. ASNT ISC may take into account number of locations, number of Level III's, external accreditations and internal audit programs.

- 7.2.5 Assessment sampling is based on ANSI Z1.9 using General Inspection Level I sample size criteria.

8.0 Written Practice and/or Certification Procedure Audit

- 8.1 The applicant shall submit the organization's most recent version of their Written Practice and/or Certification Procedure with their application. If an organization maintains multiple Written Practices or Certification Procedures, the applicant shall submit only those they are seeking program registration.
- 8.2 ISC will assign the review to a qualified auditor who will conduct the desktop audit of the Written Practice and/or Certification Procedure to ensure the essential elements of SNT-TC-1A and/or ANSI/ASNT CP-189 are addressed. This audit shall be conducted in accordance with ASNT procedure A3-1.
- 8.2.1 If the Written Practice and/or Certification Procedure is satisfactory, ASNT ISC will schedule the compliance audit of the company.
- 8.2.2 If the Written Practice and/or Certification Procedure is unsatisfactory, ASNT ISC will communicate with the auditee the deficiencies that need to be addressed before the compliance audit may take place.
- a. The auditee shall have a maximum of 60 calendar days, after being formally notified, to respond to all audit findings and submit a revised Written Practice and/or Certification Procedure for review.
- 8.2.3 If the Written Practice and/or Certification Procedure is initially satisfactory or is satisfactory after one re-submittal, the assigned auditor will write a report on the Written Practice and/or Certification Procedure desktop audit, using the report template A3-3 and submit their report to ASNT ISC indicating the audit result.
- 8.2.4 If in the opinion of the auditor, the applicant is not ready for a compliance audit, the applicant will be notified in writing that the audit is discontinued.
- 8.2.5 When the audit is discontinued the process is stopped. The applicant may reapply following the same process and fee structure as the initial application.

9.0 Compliance Audit

- 9.1 After the auditee's Written Practice and/or Certification Procedure has been audited and accepted by the auditor and ASNT ISC, ASNT ISC will schedule the compliance audit on a date agreeable to the auditee.

9.2 ASNT ISC will assign the same auditor that audited the Written Practice and/or Certification Procedure.

9.2.1 In case of illness or other unforeseen circumstances, ASNT ISC reserves the right to re-assign the audit in full or in part to ensure completeness of the audit process.

9.3 Compliance Audit Methodology

9.3.1 The compliance audit is conducted remotely using Information Technology supported through ASNT ISC.

9.3.2 The audit will be conducted in accordance with ASNT procedure A4-1.

9.3.3 A company may request through the application form an on-site compliance audit in lieu of a remote compliance audit. In such instances, the company will be required to pay an additional fee to cover the additional costs of conducting an audit on-site.

9.4 The auditor will use the applicable SNT-TC-1A Audit Checklist (A4-2a) and/or CP-189 Audit Checklist (A4-2b).

9.4.1 A supplemental checklist, developed by the auditor and unique to the auditee, shall be utilized to capture audit evidence to ensure compliance of any unique requirements disclosed in the auditee's Written Practice and/or Certification Procedure.

9.5 Compliance Audit Findings

9.5.1 Audit evidence shall be evaluated against the audit criteria in order to determine audit findings. Audit findings can indicate Opportunities for Improvement (OFI) and/or Nonconformances. All findings shall be documented in accordance with procedure A5-1.

9.5.2 The audit findings shall be reviewed with the auditee to obtain acknowledgement that the audit evidence is accurate, and that the nonconformities are understood. Every attempt should be made to resolve any diverging opinions concerning the audit evidence or findings, and unresolved points should be recorded.

9.5.3 The auditor shall meet or formally communicate with the auditee as needed to review the audit findings at appropriate stages during the audit. All meetings and/or communications shall be documented by the auditor.

9.6 Compliance Audit Report

9.6.1 The audit report shall be developed using the report template A4-3 and

provide a complete, accurate, concise and clear record of the audit.

- 9.6.2 The completed audit report (memo/letter and audit checklist) shall be emailed to ASNT ISC for review and submittal to the auditee.
- 9.7 Compliance Audit Follow-up. ASNT ISC is responsible to follow-up on any open findings resulting from the audit and to the degree necessary to ensure their closure.
 - 9.7.1 The auditee shall have a maximum of 30 calendar days, after being formally notified, to respond to all audit findings with a proposed corrective action plan.
 - 9.7.2 The auditee shall have a maximum of an additional 60 calendar days to fully implement all corrective actions and close all audit findings, including submitting the closed nonconformance reports (NCRs) along with any objective evidence to support implementation of the corrective action plan.
 - 9.7.3 Disputed audit findings may be submitted to the Program Approval Panel if requested by the auditee as a means of resolving any audit findings that are in dispute.

10.0 Program Approval Panel

- 10.1 Once the compliance audit report is closed (all audit findings are responded to and closed by ASNT ISC), the report will be distributed to a three (3) member Program Approval Panel in accordance with A6-1.
 - 10.1.1 The three (3) member panel will assess the audit report, any audit findings and the response to those findings to determine final acceptance and approval of the auditee.
 - 10.1.2 Any audit findings that were disputed by the auditee will also be part of the submittal. The three (3) member panel has the latitude and authority to consider the dispute in favor of the auditee or the auditor and their decision is final pending any appeal as described in section 11.0.
- 10.2 Program Approval Panel members are chosen from the pool of approved auditors that were independent from the audit and who also acknowledge they have no conflicts with the auditor or auditee.

11.0 Appeals Panel

- 11.1 In the event of a dispute with the audit function, the audit report, audit findings, finding resolutions, or the Program Approval Panel's decision to not issue

registration, a three (3) member ad-hoc panel will be convened to assess the issue and render a final resolution in accordance with A7-1. One of the three (3) members will be designated as the Chair by ASNT ISC.

11.2 Appeals Panel members are chosen from the pool of approved auditors that were independent from the audit or the original panel review of the disputed audit result and who also acknowledge they have no conflicts with the auditor or auditee.

12.0 Registration Duration

12.1 Each registered company shall remain on the registration list for a three (3) year period to expire at the end of the stated month on their certificate.

13.0 Registration Renewal

13.1 To ensure uninterrupted continuation of the company's registration, ASNT ISC shall notify the registered company at least 90 days before their registration will expire to begin the renewal process, however the responsibility remains with the registered company to ensure the renewal process is initiated in a timely manner.

13.2 Renewal involves the same process as the initial registration and shall comply with ASNT procedure A10-1.

14.0 Program Internal Audits

14.1 Each calendar year (not necessarily within 365 days), the program will be audited by a member of the Employer-based Audit Program committee.

14.2 An audit report shall be issued and findings (nonconformances) shall be corrected in accordance with ASNT ISC's internal quality management system.