

CP10 ISSUE 5 rev A– GUIDANCE ON THE PROCEDURE FOR CONDUCT OF BINDT ASSESSMENTS

ASSOCIATED DOCUMENTS:

- QS1 Requirements for the approval of organisations providing Non-Destructive Evaluation Services
- CP9 Requirements for BINDT Authorised Qualifying Bodies
- CP14 BINDT Audit procedure and report forms
- CP19 Informal access to BINDT Authorised Qualifying Bodies by third parties
- PSL8A List of published PCN documents
- PSL35 Charges for certification services

SCOPE

This document provides guidance to auditees on the auditing process adopted by BINDT appointed quality management systems assessors when undertaking assessments of subcontractors for approval by prime contractors (including BINDT Authorised Qualifying Bodies), and BINDT clients for ISO 9000 registration.

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TERMS AND DEFINITIONS

The terms and definitions detailed in PCN/GEN, CP9 and QS1, as applicable, will apply in this document.



The British Institute of Non-Destructive Testing is an accredited certification body offering personnel and quality management systems assessment and certification against criteria set out in international and European standards through the PCN Certification Scheme.



1. INTRODUCTION

1.1 This document provides guidance to prospective and existing British Institute of NDT (BINDT) Authorised Qualifying Bodies (AQB) and clients for ISO 9000 registration preparing for assessment or surveillance by representatives of BINDT.

1.2 BINDT appointed assessors will follow the procedure detailed in document CP14.

1.3 The current initial or re-assessment fee will be payable by an applicant organisation prior to the issue of any authorisation.

2. THE APPLICATION

2.1 The completed application form, together with the organisation's documented quality system, will enable BINDT to form an initial opinion as to the extent that the organisation satisfies the relevant requirements.

2.2 Two controlled copies of the organisation's documented quality system must be included with the application. Following successful assessment, BINDT will retain one controlled copy of the documented quality management system. The other will be returned to the organisation, which will maintain this copy up-to-date and will, upon request, send it to the appointed BINDT lead assessor prior to any future assessment or surveillance.

3. PREPARATION FOR ASSESSMENT

3.1 On receipt of the application BINDT will appoint a lead assessor. Additional assessors with relevant specialist experience suitable to cover the scope of the activities of the organisation may be appointed to work under the direction of the appointed lead assessor.

3.2 The lead assessor will contact the applicant organisation to establish a mutually agreeable date for the pre-assessment visit. A fee will be charged to cover the costs of any such visit.

3.3 The appointed lead assessor will send an audit programme to the BINDT, all supporting assessors, and to the applicant organisation in advance of the assessment.

3.4 Existing certified or approved organisations will provide the BINDT lead assessor with a copy of the documented quality system for use in preparing for and during the assessment or surveillance.

3.5 BINDT will provide the lead assessor with all necessary documentation, including report forms and the organisation's assessment file. The assigned lead assessor will review previous assessment and surveillance reports prior to commencement of the assessment.

4. THE ASSESSMENT PROCEDURE

4.1 The purpose of the assessment is to determine the suitability of the general administration of the applicant organisation in respect of systems, records, resources and organisational structure, and to technically assess the organisation with regard to equipment and staff qualifications in the particular field(s) which are the subject(s) of the application.

4.2 The assessment will begin with an introductory meeting between the assessment team and representatives of the organisation. At this meeting the lead assessor will introduce the assessment team and confirm pre-arranged details of the audit programme. Arrangements will be made for a member of the applicant organisation's staff to accompany team members during the assessment to confirm the correctness of observations, and also to answer questions on aspects of the assessment.

4.3 During the formal initial assessment, BINDT appointed assessors will fully evaluate the applicant's quality system and resources to confirm its compliance with specified criteria. The Assessor will need to be assured of the effectiveness of working practices and this will involve witnessing the implementation of procedures relating to the application under assessment.

4.4 Each assessor will review the activities of the organisation to which he is assigned and his appraisal will consist of on the spot observations of documentation and activities as defined by the organisation's system and external requirements.

4.5 If an assessor observes an apparent non-compliance with requirements he will record the facts on a detail report form.

5. RECORDING NON-COMPLIANCES

5.1 The detail reports record apparent failure of the organisation's arrangements to comply with the assessment criteria, and these are the objective evidence upon which the lead assessor will base his recommendations to BINDT.

5.2 The detail report form will be completed by the assessor at the time of the observation and witnessed by the accompanying representative of the assessed organisation. The signature by the representative of the organisation is purely to signify the accuracy of the observation or apparent non-compliance.

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

- where the observation was made;
- the particular activity or aspect involved;
- any documents involved, or serial numbers etc.;
- a record of the observation (usually in the words of the assessment criteria);
- whether it is a non-compliance or simply an observation;
- the name of any representative of the assessed organisation with whom the matter was discussed;
- the signatures of the assessor and the accompanying organisation representative.

5.4 The lead assessor, in consultation with the assessment team, will categorise detail reports as observations or non-compliances during a closed meeting immediately prior to the Final Meeting.

6. THE SUMMARY REPORT

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

6.2 The lead assessor will complete the summary report, taking into account the assessment team's findings. The summary report need not re-iterate the statements on the detail reports but should present an overall impression of the organisation.

6.3 The lead assessor will include in the confidential report his comments on improvement actions undertaken by the assessed organisation as a result of any previous assessment reports.

7. THE FINAL MEETING

7.1 At the final meeting the lead assessor and the assessment team will present their findings to the organisation's representatives, after which the senior representative will indicate or confirm the proposed corrective actions and the intended date for completion on the detail report forms. The lead assessor will emphasise that the assessment is a sampling exercise and did not necessarily cover every aspect of the assessed organisation's quality management system and that, where no non-compliances were reported, it does not follow that no non-conformities exist.

7.2 The lead assessor will then inform the organisation of the recommendation to be made to BINDT.

7.3 The lead assessor and the senior representative of the assessed organisation will then agree on a time scale for correction of all non-compliances, if applicable, and both will be signatories to the summary report.

7.4 The lead assessor will complete the report and recommendation to be submitted to BINDT. This will be confidential to BINDT and the assessment team.

7.5 Recommendations may be for:-

- A. Unconditional certification or approval;
- B. Certification or approval conditional upon evidence of satisfactory corrective actions to clear non-compliances being implemented within an agreed period. Evidence of implementation may be submitted to the lead assessor by post.
- C. Certification or approval conditional upon evidence of satisfactory corrective actions to clear non-compliances being implemented within an agreed period. Implementation will be confirmed during a follow-up assessment at a date to be decided by BINDT.

- D. Certification or approval to be withheld, suspended or withdrawn. The assessed organisation will not be approved or certified without a further full assessment.

8. BINDT APPROVAL PROCEDURE

8.1 The lead assessor will submit a report and recommendation to BINDT, and offer the following support documentation depending on the applicable recommendation identified in clause 7.5:-

- A. Submit all report forms, plus assessment programme and checklist to BINDT.
- B. Submit the summary report and recommendation, plus assessment programme and checklist to BINDT. Retain the original detail reports until the organisation provides satisfactory postal evidence of correction of the non-compliances, upon receipt of which the lead assessor will submit the signed-off detail reports to BINDT.
- C. Submit the detail, summary and recommendation reports, plus assessment programme and checklist to BINDT. A follow-up assessment will be arranged by the Certification Services Division Manager or authorised deputy, who will provide the appointed lead assessor with all documentation necessary to conduct the follow-up assessment, on satisfactory completion of which the appointed lead assessor will submit a further summary report and recommendation, together with completed detail reports to BINDT.
- D. Submit all documents to BINDT.

8.2 In the case of an existing certified or approved organisation which has undergone a surveillance, a two yearly re-assessment or extension of scope assessment, the Certification Services Division Manager will implement the recommendations of the lead assessor, unless to do so would compromise the Certification Scheme.

8.3 In the case of initial assessments of new applicant organisations, upon receipt of the lead assessor's recommendation, the Certification Services Division Manager or authorised deputy will review the documentation supplied for compliance with the requirements and, if all is in order, the report and recommendations will be submitted to the BINDT Certification Management Committee or Certification Panel which will consider the recommendation.

8.4 If appropriate, the BINDT Certification Management Committee or Certification Panel will authorise the approval or certification of the organisation.

8.5 Formal approval is subject to payment in full of BINDT assessment fees due.

8.6 All assessment documentation will be retained by BINDT for a minimum period of seven years.