APPROVED,

EXECUTIVE DIRECTOR
Eng.

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TECHNICAL COMMISSION APPROVAL

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AUDIT OF TRAINING AND EXAMINATION CENTERS

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EVIDENCE OF CHANGES			
NO. CRT.	Edition / Revision	Name, signature MODIFIED BY	DATE
2	The table of contents is completed with Annex 7 - Audit file. NAS 410 reference introduction to para.4 – Reference documents. Introduction paragraph 5.1.3 Selection criteria for auditors.	B. Rădulescu	16.09.2020
3	Enter the para. 5.4.1 Setting up the audit team. The rest of the paragraphs in para. 5.4 are renumbered. The forms are extracted from the content of this procedure and are treated as independent documents, no longer considered annexes. Form 3 Audit Questionnaire is updated to ed.2, to comply with the requirements of NADCAP Audit Questionnaire AC7114/11, rev.B.	B. Rădulescu	15.07.2023
4	Clarifications have been made at para.5.1.3 regarding to the auditors selection criteria. Clarifications have been made at para.5.4.1 in order to avoid possible interests conflicts at the audit team establishing. At para.5.6.9 it was specified the obligativity to keep all the Level 3 Certifications of the auditors as a part of the audit folder, and it were detailed the objective evidences that shall be part of the audit folder.	B. Rădulescu 31.08.2023	

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1. DOMAIN

The procedure is applied within the RO-NANDTB when establishing the audit principles, the audit program, the modalities of carrying out the audit and the monitoring of the audit results.

2. SCOPE

The procedure aims to establish the rules for conducting the audit starting with the elaboration of the program, preparation, conduct, conclusion and follow-up of the audit results.

3. DEFINITIONS AND ABBREVIATIONS

3.1 DEFINITIONS

Audit - systematic, independent and documented process with the purpose of obtaining objective evidence to determine the extent to which the audit criteria are met.

Auditor - person performing an audit.

Audited - organization that is audited.

Internal Training and Examination Center: an employer organization that administers the training and examination of NDT personnel.

External Training and Examination Center: an independent organization or company outside the employer that provides NDT services for implementing EN 4179 requirements, such as training and examining NDT personnel.

Audit findings - results of the evaluation of the audit evidence collected in relation to the audit criteria. The audit findings indicate non-compliance or compliance.

Audit conclusion - result of an audit after taking into account the audit objectives and all audit findings.

Requirement - need or expectation that is declared, generally implicit or obligatory.

Audit criteria - a set of politraining and examination bodys, procedures or requirements used as reference against which the objective evidence is compared.

Objective evidence - records, statements of facts or other information that are relevant to the audit criteria and are verifiable.

Audit team - one or more persons performing an audit, supported if technical experts are needed. (An auditor in the team is designated as the leader of the audit team. The audit team may include auditors in training.)

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Method of collecting information - the actions taken by the auditor to prepare the audit conclusions such as interviews, determining the conformity of activities, analyzing the applicable documents, etc.

Non-compliance - Failure to meet a referential requirement

Audit program - an assembly of one or more audits planned over a certain time period and aimed at a particular purpose.

3.2 ABBREVIATIONS

NDT –Non-destructive examinations
RO-NANDTB – National Aerospace Board for Non-Destructive Examinations

4. REFERENCE DOCUMENTS

SR EN ISO 9000	-Quality management systems. Fundamental principles and vocabulary
SR EN ISO 9011	-Quality management systems. Requirements.
SR EN ISO 19011	-Guide for auditing management systems
AS9100D	-Quality Management Systems. Requirements for Aviation, Space and Defense Organizations.
EN 4179	-Aerospaces series. Qualification and approval of personnel for non-destructive testing
NAS 410	-Qualification and certification of Neondestructive Test Personnel
AC 7114/11	-Audit Criteria to be used on audits of NANDTB's
ANDTBF_14	-Checklist for Audits of National Aerospace NDT Boards
ROF RO-NANDTB	-Rules for Organization and Functioning of RO-NANDTB
RO-NANDTB 01	-Documents Control
RO-NANDTB 03	-Documents Archiving
RO-NANDTB 04	-Training and Examination Bodies Authorization

5. PROCEDURE

5.1 GENERAL INFORMATIONS

5.1.1 The objective of the audit program is to verify the compliance of a training and examination body with the requirements EN 4179/NAS 410, AC7114/11 and ANDTBF_14.

5.1.2 The activities of the audit process required to generate the records (the preparation, verification, approval and approval of the forms) are carried out at the RO-NANDTB headquarters.

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5.1.3 Selection criteria for the auditors

The auditors shall be authorised Level 3 by RO-NANDTB in at least one NDT method. In special situations when for a specific method isn't available a Level 3 authorised person, the Executive Director can delegate auditors that aren't Level 3 certified in the method, but for whom the requirements indicated at para.5.1.3.1 can be documented.

5.1.3.1 The auditors shall be familiar with the applicable codes, standards, and other contractual documents that control the applicable test methods and to have the capabilty for understanding and to interpret the general and specific processes requirements.
The auditors shall have the capacity to act responsably and have an ethical behavior when his actions aren't popular or when missunderstanding or argue can occur.
The auditors shall have annalyse and audit proved capabilities (as: objectivity, honor, openness to new, determination, honesty, discretion) and to have the necessary training, knwledge and skills to understand processes and procedures utilised in NDT.

5.2. ESTABLISHING THE AUDIT PROGRAM

5.2.1 The documentation of the scheduling of the audits in the Form 7 - Audit program is based on:

(a) the priorities set by RO-NANDTB
(b) records from the previous year
(c) the risks and opportunities evaluated

5.2.2 Scheduling of audits is done annually, using the Form 1 - Audit program.

5.3. AUDIT INITIATION

5.3.1 The audit team leader takes over the audit objectives and audit criteria from the Audit Program Form1.

5.3.2 The Executive Director of RO-NANDTB, together with the head of the training and examination body to be audited, establish the duration of the audit taking into account:

- the volume of information from the audit planning
- the resources available and the time required to carry out the audit
- the history (when it exists) of the cooperation / collaboration with the training and examination body chief registered in the previous audit.

5.3.3 The leader of the audit team, established by RO-NANDTB, assigns the current audit number from the Form 6 - Audit Record Register and draws up the Form 2 - Audit Plan.

5.3.4 The leader of the audit team establishes the official initial contact / meeting with the head of the training and examination body (with the recording of the information transmitted) which refers to:

- communicating the audit objectives and the activities that will be audited according to the issued "Audit Plan".

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- establishing relevant documents, including records that will be consulted during the audit.
- planning the time period for carrying out the audit, in agreement with the audited.
- providing information regarding the competence of the team, when the audit will be performed by an audit team.
- scheduling the opening session (the date, place and time at which it will take place)
- nomination of the persons attending the opening session and of the persons participating in the audit.
- the agreement regarding the participation in the audit of some observers in the audit team.

5.3.5 The leader of the audit team informs the Executive Director of RO-NANDTB, after the initial contact / meeting, about the possible objections made by the training and examination body chief and the way in which these objections have been dealt with.

5.4 AUDIT PREPARATION

5.4.1 Establishing the audit team

Apart from special situations that do not allow the auditors to travel to the Training and Examination body location, the physical presence of at least one auditor certified in all the methods to be audited is mandatory.
If it is not possible to cover all the methods to be audited with auditors, or if it is not possible from an economic point of view to move several auditors to the headquarters of a training and examination body located in another city, the audit team can be completed with auditors who support the audit online. They check the examination packages for the methods for which they are Level 3, to determine completeness and compliance. The main auditor takes care of sending the examination packages from the trainimng and examination body to the auditor who supports the audit from the office.
In order to avoid any possible conflict of interests, shall not be delegated as auditors to a specific organization, persons that previously have been employed in that organization, but which they later left it, even if the separation was amicable.
In special situations, such was the COVID 19 pandemic, the audit can be carried out completely online, following exactly all the steps required by this procedure, in this case the objective evidence being transmitted online, at the request of the audit team.

5.4.2 Auditors training before the audit

After the audit team has been nominated, the internal audit manager will instruct the members of the audit team on how the audit is carried out at each training and examination body, with the following aspects being presented:

- general considerations about how to interact with the audited training and examination body staff, according to para. 5.3.4;
- presentation of the code of ethics described in ROF RO-NANDTB;
- the way to complete the Form 3 audit questionnaire, where for each question in addition to ticking the YES / NO boxes, information shall be provided regarding the place where the respective requirements are detailed in the audited training and examination body documentation, or other as the case may be clarifying explanations;

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- presentation of the applicable forms that must be completed and how to complete them;
- the way in which detected non-conformities are documented and their classification as Minor or Major;
- the way in which the audit file is created and the documents that must be collected according to paragraph 5.6.9.

The training of the auditors will be documented by drawing up and completing Form 3 - Course Attendance List from RO-NANDTB 01.

5.4.3 The audit team analyzes the documents available for the audit. The documents to be included in the analysis are:

-ROF and job descriptions of training and examination body staff
- the applicable procedures
- the audit report drawn up from the previous audit (if applicable)
- non-compliance reports drawn up in the previous audit (if applicable)

5.4.4 The audit team leader prepares to carry out the audit which consists of:

-allocation of responsibilities within the audit team.
- preparation of working documents (checklists, applicable forms, etc.)

5.4.5 The leader of the audit team obtains the approval and distributes the "Audit Plan". A copy of the "Approved Audit Plan is transmitted to the head of the audited training and examination body to be agreed.

5.4.6 The Executive Director of RO-NANDTB verifies and approves the "Audit Plan".

5.5 AUDIT

5.5.1 The leader of the audit team organizes the opening session.

5.5.1.1. The opening session is intended to:
- presentation of the audit team
- ensuring that the planned audit activities can be performed.

5.5.1.2. Aspects considered at the opening session:
- presentation of the audit team and the audited representatives, including a brief description of their responsibilities and role.
- confirmation of the scope and purpose of the audit
- establishing the communication method between the auditor and the audited throughout the audit (e.g.: conducting sessions after each audit day and preparing the activity for the next day)
- confirmation that the resources and facilities necessary for the audit team are available for analyzing the available records / data, access to telephony, internet, xerox, etc.
- confirmation of the audit calendar including the time and date for the closing session and for all intermediate meetings.
- clarification of any details of the audit plan.
- informing the auditee about the appeal system regarding the way the audit is conducted or about the reporting modalities (for example, daily or when non-

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compliances are found)
- informing the audited regarding the term of analysis of the non-compliance. The term of implementation of corrections / corrective actions, the term of extension of implementation, if any.
- informing the auditee on how the situations in which the identified non-conformities were not analyzed within the established term, the corrective actions were not applied on time or the implemented actions did not eliminate the cause, are handled.

5.5.2 The audit team performs the audit through activities that involve:

- collecting information, using the methods of interviewing, observing, analyzing documents and records.
- the registration in the Annex 3 "Audit questionnaire" of the way the requirements are fulfilled: "Yes" is checked for the fulfilled requirement and the audit proof (when it exists) is checked or "NO" is checked for the non-fulfilled requirement and the number is recorded and the date of the Non-Compliance Report (Form 5) to ensure the traceability of audit evidence.
- recording audit evidence, including findings (regarding compliance and non-compliance) and supporting evidence.
- evaluation of audit evidence in relation to audit criteria.
- verify the implementation of corrections and corrective actions from previous audits (if applicable)

5.5.3 Preparation of audit reports and drafting of non-compliance reports (Form 5), if applicable, and classification of non-compliance identified in:

a) **Major non-compliance** - failure to comply with a requirement that could lead to a reduction in the training and examination body's ability to provide compliant services
b) **Minor non-compliance -** when the non-fulfillment of a requirement could not lead to diminishing the training and examination body's ability to provide compliant services or controlled processes.

5.5.4 Organizing the closing session

Convocation of the participants to the meeting, namely:
- the audit team
- training and examination body hed of
- instructors, examiners (if applicable)

5.5.5 Presentation at the closing session of the identified non-conformities, findings, conclusions and recommendations, following the audit carried out.

5.5.6 Aspects considered at the closing session:

- clearly presentation of the non-conformities (if any), the findings, conclusions and recommendations so that the auditee understands and accepts them.
- resolving divergences, if any
-confirmation by the auditee of the non-compliance found by signing the "Nonconformity Report" drawn up.

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-the training and examination body is informed that in case of non-compliance with the deadlines for resolving non-conformities, the provisions of RO-NANDTB 04, regarding the suspension or revocation of the authorization certificate, are applied.

5.6. COMPLETION OF AUDIT

5.6.1 The leader of the audit team prepares the "Audit Report" (Form 4), whose content should refer to:

- non-conformities and the areas where they were found
- major audit interruptions and the causes that led to them, if any
- delays in analyzing the non-conformities registered in the previous audit, if any.

5.6.2 The leader of the audit team sends to the training and examination body chief the Form 5 - nonconformity Report, if any non-conformities have resulted.

5.6.3 The head of the training and examination body analyzes the non-compliance and establishes the term of analysis. The analysis and determination of the root cause shall describe in detail the real mechanism that led to the nonconformity, in order to demonstrate that the problem was fully understood, avoiding the vague, unclear descriptions, which could cause confusion.

5.6.4 The Head of the training and examination body shall establish and document the necessary correction, when applicable, to eliminate non-compliance.

5.6.5 The head of the Training and examination body establishes and documents the corrective action necessary to eliminate the cause and prevent its recurrence.

5.6.6 The deadlines for each correction and corrective action are set, so that it does not exceed 30 calendar days from the date of the analysis and the objective evidence related to the resolution of the non-conformities is transmitted by email, to RO-NANDTB.

5.6.7 The head of the training and examination body shall submit to the leader of the audit team the objective evidence related to the closure of the identified non-conformities.

5.6.8 The objective evidence and the answers to the non-conformities are analyzed by the members of the RO-NANDTB technical committee appointed by the Executive Director.
Acceptance of the answer is made by completing the section in the non-compliance report.
After acceptance, the non-compliance report is filed at the RO-NANDTB center and a copy is sent to the audited training and examination body.

5.6.9 The audit folder (An is transmitted for verification and approval to the Executive Director. The content of the audit folder should be as follows:

- Cover Page and Contents Page
- Approved audit plan
- Approved audit report
- Reports of approved non-conformities
- Audit questionnaires filled in
- Level 3 certificates for each participating auditor (issued either by the Romanian CAA or by the RO-NANDTB), or objective evidence in order to document the requirements presented in para.5.1.3.1, in the special cases specified in para.5.1.3

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- Objective evidences resulted from the audit performing, such as:
  - -the presentation memorandum of the audited training and examination body;
  - -the written procedure for the qualification and certification of the NDT personnel of the audited training and examination body;
  - -the nominalization of the responsible Level 3 of the training and examination Body;
  - -the documents for the nominalization for the level 2 operators, Instructors and Examiners for the verified training and examination sessions;
  - -the detailed content of the NDT training courses for each mthod for wich the authorization is sought;
  - -for the external customers the contract for providing services of training and examination;
  - -one complete training and examination file for each method for which the authorization is requested (questionnaires for the basic examinations, general theory, specific theory, practical examination inspection reports, the work instruction issued for the Level 3 examination, the checklists for verifying the completeness of the work instruction, the checklist for verifying the competence in conducting the practical examination, the sheets for the description of the parts with known defects used for testing);
  - -the quality system certifications for the audited organization;
  - -photos of the training rooms in which the training is performed;
  - -photos of the equipments on which the examination is performed;
  - -photos of the spaces in which the the known defect parts and the sheets with the description of the known defects parts are kept locked;

5.6.9 The leader of the audit team files the approved "Audit folder", within the RO-NANDTB.

5.6.10 The Executive Director ensures access to information to representatives of supervisory organizations (ex. CAA / NADCAP).

5.7. RECORDS

5.7.1 Register for audit records

5.7.2. Audit folder

5.7.3 Documents and information resulting during the audit period

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