

# **LRQA Certification and Assurance Services Limited**

## **APPROVAL OF INDIVIDUALS CERTIFIED ACCORDING TO EN ISO 9712 BY A CERTIFICATION BODY FOR NDT PERSONNEL WHICH IS NOT AN EU RTPO (Scheme rules)**

Requirements for the Approval of Certification Bodies  
Providing EN/ISO 9712 Qualifications of NDT Operators  
According to the Requirements of 2014/68/EU Annex I  
paragraph 3.1.3 and Chapter 4 Article 20  
as per PD CEN /TR 15589 Route B



## **Foreword**

QF7.7.1 is managed by LRQA-CASL, which acts as a Certification Body for Certification of Persons, in keeping with the requirements of the industries served by the scheme. LRQA is accredited by the Irish National Accreditation Body (INAB) to EN ISO/IEC 17024 for the Certification of Persons. LRQA understands the importance of impartiality in carrying out its certification activities, managing conflict of interest and ensuring the objectivity of all its certification activities, in accordance with EN ISO/IEC 17024. NDT Personnel certified or qualified (as applicable) by organisations other than Recognised Third Party Organisations (RTPO) as per 2014/68/EU Annex I paragraph 3.1.3 and Chapter 4 Article 20. Recognised third party organisations may be approved by this scheme provided that it is proven that the criteria used is equivalent to the harmonised / Designated standard has been met and the scope of certification is relevant to the testing of permanent joints in pressure equipment.

### **1. Routes to certification**

Certification Bodies (CB) not approved as Recognised Third Party Organisations (RTPO) by the EU, seeking approval under this scheme will have undergone prior approval against EN ISO 9712 and hold a current accreditation certificate from a nationally recognised accreditation body which is a member of the International Accreditation Forum (IAF). The CB shall have suitable industrial experience covered by this scheme and an appropriate scope of services. The scheme is open to all seeking RTPO Certification under this scheme (Ref Annex 1). Annex 1 lays out the route to achieving approval.

### **2. Application for Approval and Fees**

The certification Body will issue an application form to the CB, which must be completed in full and returned to LRQA. If it is found that a false statement has been submitted by the CB, any testing undertaken will be declared null and void. Qualification certificates are automatically invalidated if there are any outstanding fees.

LRQA operates in line with the normal commercial invoicing process and charge are at contractually agreed rates.

### **3.a Standards**

Approval is available when certification or qualification (as applicable) in accordance with the current issues of the standards listed below is confirmed in accordance with the rules of this scheme:

EN ISO 9712: (latest edition) Non-destructive testing — Qualification and certification of NDT personnel

PD CEN /TR 15589 NDT-Code of Practice for the approval of NDT personnel by RTPOs under the provisions of Directive 97/23/EC

The above list is not intended to be exhaustive and other appropriate standards may be used with agreement of LRQA

### **3b. Definitions**

All definitions are as detailed in EN ISO 9712 and PD CEN/TR15589. For the purposes of this document the following additional definitions will also apply: -

RTPO – LRQA (certifying body issuing approval)

CB- Certifying Body (seeking approval)

### 3c. Responsibilities and Qualification Criteria for LRQA Personnel

#### Assessor:

ACTIVITIES/RESPONSIBILITIES	LRQA QUALIFICATION CRITERIA
<p>On site Visit to assess:</p> <p>The certification scheme of the CB and its implementation.</p> <p>The available qualification and certification documents of the NDT examiners, reviewers and certifiers.</p> <p>Completes audit report and submits to Decision Maker.</p> <p>Note! The Assessor/Examiner shall check that there are no impartiality issues or conflicts of interest with any of the personnel and or the processes being assessed. If issues are noted then the assessment will be suspended until a resolution by LRQA-CASL management is agreed.</p>	<p>Requirements:</p> <ul style="list-style-type: none"> <li>- Valid ISO 9712 Level III certification in each NDT method (sector: welds)</li> <li>- Evidence for valid eye test certificate within the past 12 months</li> <li>- Audit training: at least 2 days</li> </ul> <p>Experience:</p> <ul style="list-style-type: none"> <li>- NDT experience: at least 5 years</li> <li>- On-the-job training: at least 3 audits accompanying already authorized Assessors</li> </ul> <p>Maintenance of the qualification:</p> <ul style="list-style-type: none"> <li>- Valid certificate</li> <li>- Valid eye test</li> </ul> <p>Participation in an annual experience exchange done by the RTPO</p>

#### Decision maker / Certifier:

ACTIVITIES/RESPONSIBILITIES	LRQA QUALIFICATION CRITERIA
<ul style="list-style-type: none"> <li>- Scrutinizes ALL documents provided by the Assessors / accredited certification bodies.</li> <li>- Undertakes daily data audit reviews (exception reporting to relevant stakeholders)</li> <li>- Monthly data audit reviews (exception reporting and review of outcome at the monthly TQRB)</li> <li>- Takes the certification decision</li> <li>- Signs certificates and approvals</li> </ul>	<p>Requirements:</p> <ul style="list-style-type: none"> <li>- Professional Engineer at Chartered Engineer level CEng</li> </ul> <p>Experience:</p> <ul style="list-style-type: none"> <li>- NDT experience: at least 5 years</li> <li>- Maintenance of the qualification:</li> <li>- Valid certificate</li> <li>- Valid eye test</li> <li>- Participation in an experience exchange by the RTPO's / NoBo networks.</li> </ul>

## 4. General

### 4.a. Requirements / Scope

This document prescribes the requirements for the approval CB's seeking to comply with PED 2014/68/EU Annex I paragraph 3.1.3 for approval of NDT Personnel for non-destructive tests of permanent joints in pressure equipment in categories III and IV.

Note: The approval covers proficiency in one or more of the following methods:

- a) Magnetic testing-MT
- b) Penetrant testing-PT
- c) Eddy Current testing-ET
- d) Radiographic testing-RT (inc. CRT, DRT,RI)
- e) Ultrasonic testing-UT(Inc. PA, TOFD)

#### **4.b. Responsibilities**

LRQA-CASL as the RTPO may authorise the approval of Assessors, Certifiers and Decision Makers as required by EN ISO 9712 and PD CEN /TR 15589 to act on behalf of LRQA

LRQA carries the overall responsibility for ensuring that the requirements for qualification undertaken by the Assessors and Decision Makers are fully satisfied.

All LRQA personnel undertaking assessment activities in accordance with this scheme shall hold the appropriate technical authorisations and competencies and be responsible for ensuring the requirements of this scheme are followed.

It is the RTPO's responsibility to ensure that the recognition and acceptance of certificates is appropriate to their requirements. For example, some standards state that the Examiner or Examining Body must be acceptable between contracting parties. Whilst LRQA makes every effort to ensure that its qualification certificates carry appropriate accreditation and that testing and certification activities are carried out in accordance with best practice, it cannot guarantee acceptance by all contracting parties.

All examination and testing activities will be carried out by the CB under the control and governance of the RTPO and this Scheme.

Individuals engaged to carry out assessment work in connection with the requirements of this document must be approved by LRQA, in accordance with procedures operated by LRQA.

The CB will ensure that all requirements of the appropriate standards, this scheme and the CB's own management system procedures are fulfilled, and appropriate records maintained. The CB is responsible for issuing all relevant certificates following assessment of the reviews, examinations, and test results. All of the above falls under the sole responsibility of the CB.

Any CB certified under this scheme shall inform LRQA, without delay, of any issues that may arise that will affect their capability to fulfil the certification requirements.

Any CB certified under this scheme shall act in a professional and appropriate manner and adhere to the requirements of this scheme.

#### **5. RTPO Approval of the Certification Body**

The certification Body shall apply in writing to be included in this scheme.

The application shall include as a minimum:

- Name of Certification Body and its Company Registration details,

- Company Address and the main contact details
- A copy of the certified management system certificate
- A copy of the accreditation certificate
- Copies of the applicable control procedures
- Number of certificates issued
- Number of certificates to be transferred
- Estimate of new certificates per month / year.

LRQA will undertake a review of the submitted information and provide feedback which may include requests for additional information.

Once the application is accepted LRQA will arrange for an on-site audit of the CB (conditions permitting e.g., Covid-19). The audit duration is determined by the number of locations, size of business and levels of certification activity. An audit plan / checklist will be provided prior to the audit.

The CB will ensure that appropriate records are retained for all candidates seeking RTPO approval of NDT personnel in accordance with their accredited management system and this scheme. These records shall be available to the RTPO on demand. Additionally, the CB will provide all necessary support and access to said documents for audit purposes etc.

Note! The RTPO will undertake sample daily, weekly, and monthly audits of submitted data. Audit data is retained.

The CB agrees not to release/discuss any confidential material or participate in any fraudulent test taking practices.

#### Reporting

- On completion of the assessment visit a report shall be issued by the LRQA assessor. The report shall include appropriate recommendations.
- Any non-conformances will need to be closed out before an approval under this scheme can be granted.
- Once there is a positive outcome with any findings fully resolved then a clear recommendation for an approval in accordance with this scheme will be issued.
- The recommendation will be technically reviewed by a LRQA Level 3 Decision Maker and ratified at the next monthly Technical & Quality Committee meeting (or alternatively by exception as agreed with the Technical Director) and an appointment letter issued.

### **6. CB Appointments (Including On-going and Renewal Requirements)**

CB appointment letters are issued directly to the main representative named in the original application / audit documents.

The period of validity of the appointment is 5 years as a maximum (see clause 7 of this scheme in relation to complaints and appeals).

LRQA will undertake sample audits of the CB's activities throughout the 5-year cycle. The number and frequency of audits will be risk based dependent on the volume of activities undertaken by the CB.

The CB agrees to make all records available on demand (this is particularly important for accreditation audits, up to 7 days' notice will be provided to the CB of the dates of such accreditation audits). All other records shall be made available within 3 working days of the request.

In accepting this appointment, the CB commits to keep LRQA advised of any changes with the following points:

Changes:

- to the management structure affecting the service provided
- in resources used in the provision of the agreed services
- to the accreditation status including any findings raised
- to the management system certification including any findings raised
- to the IT (software or hardware) which impacts the agreed services

Additionally, the CB commits to keeping LRQA informed of:

- any complaints raised in respect of the agreed services
- any documents or certification found to have been issued fraudulently
- any issues which may bring LRQA's name or brand into disrepute.

The CB is responsible for initiating the recertification process. Recertification shall follow the same criteria as the initial audit process.

NOTE: Any certificates issued remain the intellectual property of LRQA

## **7. Complaints and Appeals**

All parties shall be treated fairly and equitably through the implementation of the appointment procedure.

Where a CB is not satisfied with a decision by LRQA they will be requested to submit a formal appeal in writing, stating in detail their reasons for the appeal, to the MD of LRQA

Such an appeal must be accompanied by all relevant facts and evidence, and if in the opinion of the MD, an adequate case has been presented, an investigation by LRQA of the circumstances will be undertaken.

The MD of LRQA will ensure that all relevant information / correspondence is gathered including the CB's written statement and submit this to at least 3 members of the Advisory Group (see QP6). The final decision will be reached based on the conclusions of the Advisory Group.

Once satisfactorily investigated a appointment letter may be removed, not renewed, not issued or re issued.

## **7. Use of Certification Data on-line**

By Accepting these "Scheme Rules" the Certified individual and the supporting sponsor / manufacturer are agreeing to LRQA using their data, in line with our GDPR policy, on the CASL website to provide oversight of the certification status.

If you do not wish your data to be accessible on-line then please let us know asap.

NOTE: QP5 of our QMS also applies and is available if requested.

## **9. Misuse of Approvals and Logos**

### **Misuse of Certificates**

It is the policy of LRQA to control how certificates, brand names, marks and logos are used, and to take action in the event of their misuse.

The CB may not use the LRQA or accreditation logo on any documents not previously approved by LRQA.

LRQA recognises that it has a duty to all holders of approvals to ensure that their professional status and valid integrity is maintained, and to eliminate, as far as possible, their fraudulent use or any associated misrepresentations of technical competency.

A set of rules and guidelines, defining the correct use of certificates (and indicating their possible misuse) is printed on the reverse of every certificate issued. These rules, code of conduct and guidelines are set out below. It is a strict condition of the issue of approval of competence or capability that candidates accept these Regulations. Attempts to pass off forged certificates as real ones by using any of the brand names, marks or logos mentioned in this procedure will be dealt with as severely as allowed by either Irish or English law, at the discretion of LRQA management.

### **Misuse of brand names & Logos**

The current brand names and logos of LRQA are LRQA-CASL company logo and the unique LRQA certification of persons logo.

Use of the brand names by any organisation which might result in users of the schemes being misled or which might result in the schemes being brought into disrepute will be acted upon. Any misuse of certificates, brand names, marks (including accreditation marks) or logos which appears to be an infringement of the law will result in the matter being reported to the employer and, where appropriate, to the applicable enforcement agency.

The approved CB may use the LRQA scheme logo as shown on the front of the scheme rules and as indicated herewith:



#### **Rules on the Use and Misuse of Approvals**

- Photocopies of approvals are not acceptable.
- Approvals are valuable documents which should be kept in a safe place.
- It is required that approval holders keep records of work activity and other details (where applicable).

The approval is only valid:

- For the period indicated in the approval
- If all the fees have been paid
- Is signed by a LRQA official and the approval holder
- Carries the LRQA watermark

Neither the approvals nor any of the brand names, marks or logos mentioned in this procedure must be used in a manner that may be considered fraudulent.

### **Suspending, withdrawing and reducing scope of certification**

LRQA reserve the right to suspend, withdraw or reduce scope of approval where Scheme Rules are not complied with. This includes the Rules on the use and issue of approval / approvals and logo / logo's as required by QF 9.11.

## **10. Records**

The CB shall maintain records of tests/examinations. Records are held in accordance with the accredited QMS procedure maintained by the CB. These records shall be made available to LRQA on demand.

## **11. Addresses**

For further general information about the qualifications covered in this document please contact:

LRQA-CASL Spaces Dublin Airport First Floor, Building Two, The Green Dublin Airport Central, Swords, Co Dublin K67 E2H3 Tel: 00353 1566 5266 Mob +44 7901000780 E-mail: LRQA-CASL-Office@LRQA.com Web: www.InspectionCasl.com	LRQA_CASL 1 Trinity Park Bickenhill Lane Birmingham B37 7ES Mob +44 7901000780 E-mail: LRQA-CASL-Office@LRQA.com Web: www.InspectionCasl.com
---	---

Please contact us for any further information in relation to the contents of this document or any documents thereto referenced within it.

Appointed CB's are encouraged to frequently visit LRQA's website to keep informed of any changes which may affect their appointment.



## Personnel Certification for NDT Operators (Annex 1)

**LRQA RESPONSIBILITY**  
Application and assessment process in accordance with the  
scheme rules

### APPOINTMENT PROCESS

Application for Certification Body appointment is to be made in writing to LRQA providing details of their approvals, appointments and accreditations along with copies of the controlling procedures.

LRQA assesses the application via desktop review of the submitted records as per 4.4.3 of PD CEN /TR 15589 (Audit Plan QF10.5)

LRQA Level III Assessor conducts the on-site audit to confirm system implementation by review of the CB's records, assessed against EN ISO 9712 qualification criteria and carry out witnessing of the approval process for NDT personnel.

Submit audit to Decision Maker for technical review (the person who conducts technical review will not be same individual who conducted the audit)

Appointed Decision Maker assesses the audit outputs. In the event of any part of the assessment not meeting the requirements, the CB has the option to re-apply once any corrections have been closed out.

Appointment letter raised and signed by the Decision Maker

Appointment letter issued, reapproval date specified (5years maximum)

CB is responsible for initiating the reapproval process. Reapproval shall follow the same criteria as the initial qualification process