



## REVISION STATUS

Issue	Revision	Prepared	Reviewed	Approved
01	A	2017-01-01 JR Thompson	2017-01-01 V S Pathy	2017-01-01 V S Pathy

## AMENDMENT RECORD

Revision	Date	Pages	Reason for amendment



**Contents**

Foreword ..... 4

Definitions ..... 4

Abbreviations ..... 4

Introduction ..... 5

Scope ..... 5

1 Quality Management System ..... 5

2 Management Responsibility ..... 6

3 Service Realisation ..... 6

4 Measurement, Analysis and Improvement ..... 6

5 Data & Information Management ..... 7

6 Student Assessment ..... 7

7 Counselling ..... 9

8 Curriculum ..... 9

9 Course Notes ..... 9

10 Resources ..... 9

10.1 The Training Environment (infrastructure) ..... 9

10.2 NDT Equipment ..... 10

10.3 Specimens ..... 10

10.4 Technical Library ..... 10

10.5 Training Staff - General ..... 10

10.6 Training Staff - Certification ..... 11

10.9 Training Staff – Teaching Qualifications ..... 11

10.10 Training Staff – Experience ..... 11

10.11 Training Staff – Maintenance of Method Awareness ..... 11

10.12 Training Staff - Roles and Responsibility ..... 11

11 Records ..... 12

11.1 Student Records ..... 12

11.2 Staff Records ..... 13



11.3 NDT Equipment Records ..... 13

11.4 Specimens Records ..... 14

12 Remote Training Centres ..... 14

13 Control of Substances Hazardous to Health ..... 15

Audit & Approval Process ..... 16

Validation of Training Courses ..... 17

Levels 1 and 2 training courses ..... 17

ATO Certificate Validity ..... 18

Extensions ..... 18

Audit Findings - Closure Process ..... 18

Annexure A: Application for Approval

Annexure B: Questionnaire

Annexure C: Form APP/3. Application for Extension of Approval

Annexure D: ATO Minimum Equipment Holding

Annexure E: ATO Minimum Training Specimen Requirement

Annexure F: ATO Code of Practice

Annexure G: Training certificates and data sheets

Annexure H: ATO Audit Checklist

---

---



## Foreword

This document details the process and requirements for the validation of courses and approval of organisations providing training in the field of Non-Destructive Testing & Inspection (NDT&I). Any enquiries should be directed to the Scheme administrator.

## Definitions

**Approved Training Organisation** - A commercial provider of NDT&I training for personnel, has successfully undergone assessment to confirm conformance with the requirements detailed within this specification.

**Approval Body** - The organisation providing assessment and approval against the present specification

**Counselling** - Extra tuition or advice delivered to a student with the aim of improving knowledge, skills or understanding

**Curriculum** - A documented description of the skills, performances, attitudes, and skills students are expected to learn from participation in the validated training course. It includes statements of desired pupil outcomes, descriptions of materials, and the planned sequence that will be used to help pupils attain the outcomes.

**Formal Qualification Examination** - An examination administered, following the successful completion of training, in accordance with the requirements of a Certification Body (i.e., organisation implementing ISO 9712 schemes)

**Requirement** - Expression conveying criteria to be fulfilled if compliance with a specification is to be claimed and from which no deviation is permitted.

*The use of the modal verb 'shall' denotes a requirement that is mandatory whenever the criterion for conformance with the specification requires that there be no deviation.*

**Recommendation** - Expression conveying that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required, or that (in the negative form) a certain possibility or course of action is deprecated but not prohibited.

*The use of the modal verb 'should' denotes a guideline or recommendation whenever noncompliance with the specification is permissible.*

**Statement** - Expression conveying information

**Remote Training Centre** - An approved location where an ATO conducts validated training courses.

## Abbreviations

ATO: Approved Training Organisation

AQB: Authorised Qualifying Body

NDT: Non-destructive Testing

NDT & I: Non-destructive Testing and Inspection

QMS: Quality Management System



RTC: Remote Training Centre

## Introduction

The scheme outlined herein, under which such training may be validated and approved is intended to raise and maintain the general standard of NDT&I training in order to adequately prepare students for qualification and 3<sup>rd</sup> party certification. Gaining ATO status and offering validated courses of training to external clients should be seen as a testimony to the quality of service provided by commercial training organisations.

The requirements for ATO are elaborated throughout this document and are indicated by the use of the modal verb 'shall'.

All information and documentation accrued during the assessment and approval process shall be treated as commercial in confidence and not disclosed to any other parties.

This document, which is intended to be used by organisations wishing to provide Industry with an assured quality of training in NDT, has been developed out of a perceived need for a method by which approval can be given to those offering excellence in training.

It is recommended that NDT personnel certification schemes recognise validated training provided by ATO when stipulating their requirements for qualification examination eligibility.

## Scope

This document is based upon CEN Technical Report 25108, which is implemented within the Approval Scheme for Training Organisations wishing to provide industry with an assured quality of tuition in the main NDT methods.

This document establishes the minimum requirements for the structured training of NDT practitioners, primarily to provide eligibility in NDT personnel qualification examinations, but ATO status can be regarded as recognition of a standard of excellence in the delivery of training, whether by commercial or not for profit organisations.

### 1 Quality Management System

The ATO shall provide the Approving Body with a Quality Management System (QMS) documented in the English Language and meeting the requirements of ISO 9001.

The English language version of the QMS shall be controlled and submitted to the Approving Body in electronic form by the applicant organisation. When the QMS undergoes any revision, or when new quality documents are issued, these shall also be promptly submitted to the Approving Body in electronic form.

The QMS shall include a process to deal with complaints from students and/or employers of students, and ATO status may be suspended or withdrawn at any time if, upon investigation, non-conformances are judged by the Approving Body to warrant it.

Should major changes occur in Approved Training Organisation policy, personnel, documentation, facilities or operating procedure, which may affect the validity of approval, the Approving Body shall be informed, immediately. Failure to do so may result in suspension or withdrawal of approval, or a refusal to renew approval.



## 2 Management Responsibility

### 2.1 Quality Management

2.1.2 The ATO shall appoint an individual who is responsible for the overall management of the training operations. The ATO shall also designate the person(s) responsible for maintaining and improving the Documented Quality Management System.

### 2.2 Resource Management

#### 2.2.2 ATO management shall:

2.2.2.a Determine the necessary

2.2.2.b for personnel performing work affecting the quality of NDT training.

2.2.2.c Provide training or take other actions to satisfy the competence needs of Training staff.

2.2.2.d Annually (minimum) evaluate the competence of all authorised tutors within the ATO's scope of approval.

2.2.2.e *Note: This annual competence assessment shall focus upon evaluating the tutors' teaching ability and therefore need not be method specific.*

2.2.2.f Ensure the adequacy of equipment and facilities needed by the business to carry out NDT Training in the inspection methods for which it is approved, or seeking approval.

2.2.2.g Ensure that the working and training environment meets statutory, regulatory, and customer requirements.

2.2.2.h Implement adequate safety precautions to protect staff and students.

2.2.2.i *Note: If in the opinion of the Approval Body appointed assessor the organisation has failed to implement adequate precautions, the Approval Body reserves the right to withhold or suspend ATO status until it is satisfied that the unsafe situation has been redressed*

## 3 Service Realisation

3.1 ATO management shall plan service realisation from the point where the customer applies for training through to delivery (award) of a certificate of successful completion of training. In so doing, management shall identify key processes and how these processes interact with one another.

## 4 Measurement, Analysis and Improvement

4.1 In addition to the requirements of ISO 9001, ATO management shall:

4.1.2 Evaluate processes associated with the delivery of training, ensuring that it is delivered in an effective manner which meets the customer's requirements.

4.1.3 Monitor and measure customer and/or student satisfaction

4.1.4 Commission internal audits at not less than 12 month intervals.

4.1.5 Ensure that any identified Non-Conformances are controlled, investigated and resolved in an appropriate manner.



- 4.1.6 Implement and monitor improvements, reporting the status of improvement strategies at Management Review.
- 4.2 The above activities will provide data which shall be collated and analysed in order to identify trends and/or improvements to management systems and processes.

## 5 Data & Information Management

- 5.1 A system for the provision of advance information shall be in place such that, upon acceptance of an application for enrolment, the ATO shall issue to the enrolled student, or his sponsor, clear and unambiguous instructions in relation to the following:
- 5.1.2 Course fees and method of payment which shall show all that is included in the fees.
- 5.1.3 *Note: There shall be no hidden extras and a schedule of course fees shall be made freely available upon request.*
- 5.1.4 Dates and times of attendance for the course, this shall include clear instructions concerning the location of the training venue (ATO or RTC).
- 5.1.5 Transport, accommodation and catering arrangements, where applicable.
- 5.1.6 The relevant safety requirements pertaining to the ATO as a whole or the particular course for which the student is enrolled.
- 5.1.7 *Note. Where necessary students attending courses involving practical radiography are to be registered as classified radiation workers prior to the commencement of training and are to wear radiation monitoring devices at all times during the course.*
- 5.1.8 Personal Protective Equipment (PPE) required for students attending the training course, and whether this is provided by the ATO, or whether the student must provide his/her own PPE.
- 5.1.9 NDT equipment provided by the ATO for use by students during the training course, and whether the student may optionally provide/use their own NDT equipment.
- 5.1.10 Textbooks essential to the training course, and whether these are provided by the ATO or the student.
- 5.1.11 The name and telephone number of a contact at the ATO from whom additional information may be obtained if required.

## 6 Student Assessment

- 6.1 In all cases a system of controlled, documented student assessment shall monitor and record the progress and learning of individual students on a daily basis, measuring the assimilation of knowledge and skills through written and practical assessments, delivering mandatory counselling to students who fail to meet established performance indicators (see below). To facilitate the above, the ATO shall establish and document performance indicator(s) or benchmark(s) to be met by the student as evidence of his or her successful completion of an individual training module or acceptable progress towards successful completion of the full training course.



- 6.2 Unless there are compelling reasons against, the benchmark for success in all written and practical assessments, whether progress tests or formal final examinations, shall be 70%
- 6.3 Successful completion of a training course shall be by achieving the required benchmarked passing grade of 70% in all daily progress assessments, as required above. Student's failing to achieve the required grade shall be counselled and assessed in a new written and/or practical progress test. Practical test specimens used in formal assessment shall be segregated from training specimens.
- 6.4 Where the training course is intended to provide the employer of NDT personnel with essential information required for qualification and certification under 2<sup>nd</sup> party certification schemes, for example, SNT-TC-1A, students shall additionally undertake written and practical final examinations in accordance with the requirements below.

*Note: In such instances students/candidates shall be issued with a uniquely numbered certificate, traceable to the student's records, of successful completion of NDT training. (Guidance on certificate format and content is given in Annex A).*

- 6.5 Whenever, following the successful completion of training, end of course formal qualification examinations are administered the following shall apply:
  - 6.5.2 For 3<sup>rd</sup> party examinations, conducted under EN ISO 9712 ( examinations), the examinations shall not be set, invigilated or marked by the tutor responsible for the course in which the student was enrolled
  - 6.5.3 For 2<sup>nd</sup> party examinations, conducted under EN4179 or SNT-TC-1A, the examinations may be set, invigilated and marked by the tutor responsible for the course in which the student was enrolled
- 6.6 For all examinations steps shall be taken to prevent collaboration or collusion during the examinations. A documented system shall be in place to ensure that specimens used during formal qualification examinations have not been accessible (or have been used as practical assessment specimens) to the student during the course.
- 6.7 Failed assessments shall be treated as non-conforming product. The following example applies to the conduct of in-training assessments:
  - 6.7.2 Establish benchmarks (written 70%; practical – detection of defects)
  - 6.7.3 Detecting NCP (student monitoring)
  - 6.7.4 Counselling (root cause analysis),
  - 6.7.5 Corrective action(s)
  - 6.7.6 One to one tuition
  - 6.7.7 Focused homework
  - 6.7.8 Mentoring
  - 6.7.9 Further progress testing (monitoring the effectiveness of corrective action)



6.8 Retests of failed formal assessments shall not be offered within the 30 days following the failed formal assessment. No more than one retest shall be allowed unless further appropriate training is administered.

6.9 The above principles can be equally applied to tutor evaluation and double blind examination grading.

## 7 Counselling

7.1 A system of counselling shall be provided for the benefit of students who fail to reach the required minimum standard during daily progress assessments.

7.2 Where counselling or extra tuition is deemed necessary, the ATO shall retain records of the delivery of counselling and a determination as to whether the underperforming student has been elevated to an acceptable level. See 6.3 above regarding mandatory counselling for students failing to meet established benchmark criteria in daily progress assessments.

## 8 Curriculum

8.1 The Training Organisation shall publish and make freely available upon request the curriculum upon which each course is based. If the course concerned is aligned with a recognised certification examination, the course curriculum shall refer to the published syllabus pertaining to that examination.

8.2 The curriculum shall be reviewed and revised, if necessary, in the light of scientific, industrial and technological developments in the NDT method concerned, or where a change occurs in the syllabus of the certification body's qualification with which the course is aligned. The ATO shall have a documented process that records the conduct and outcomes of periodic reviews

## 9 Course Notes

9.1 The Training Organisation shall maintain a master set of course notes addressing the training syllabus, and shall review these and revise them, if necessary, in the light of changes to the Certification Body's published training and examinations syllabus. Course notes shall bear a revision date to ensure a consistency between courses in the event of staff changes. The ATO shall have a documented process that records the conduct and outcomes of periodic reviews.

9.2 The Training Organisation shall provide each enrolled student with a comprehensive set of appropriate course notes, these being hard copies of the master, the cost of which shall be included in the course fees.

## 10 Resources

### 10.1 The Training Environment (infrastructure)

10.1.2 The premises used for training shall comply with the latest issue of all relevant national statutory legislation.

10.1.3 Suitable safety notices shall be displayed in appropriate locations accessible to students. Relevant safety data sheets shall be on hand at the point of use of potentially hazardous equipment or processes.

10.1.4 Classrooms and practical facilities shall be well lit and ventilated and there shall be adequate provision of teaching aids such as blackboards/whiteboards or flip charts, overhead and/or slide projectors, computer generated presentations and video equipment appropriate to the course.



## 10.2 NDT Equipment

10.2.2 Sufficient NDT equipment, such as instruments, accessories and calibration blocks, shall be available to cover the full range of NDT techniques within each of the NDT methods being taught (except where the range of NDT techniques is limited by industry or product sector applications), and to occupy all of the students on the course concerned.

10.2.3 Appropriate Personal Protective Equipment shall be available to students.

## 10.3 Specimens

10.3.2 Training specimens shall be available in sufficient quantity and complexity to cover the full range of applications encompassed by the course curriculum. Specimens should also be available containing real defects representative of those found in industry.

10.3.3 Separate specimens shall be used for training and assessment and there shall be provision for secure storage of assessment specimens.

## 10.4 Technical Library

The ATO shall maintain an up to date library of NDT Standards relevant to the method being taught. Students shall be made aware of the existence of these Standards and educated in their use.

## 10.5 Training Staff - General

10.5.1 The ATO's management structure shall include an appropriately trained and qualified individual with overall responsibility for the technical operation of the training facilities and for ensuring that the Qualification & Certification requirements for NDT & I personnel are met.

10.5.2 The training facility shall have sufficient tutors to ensure that as a minimum, one qualified tutor is present throughout each course in line with the specific approved documentation requirements.

10.5.3 The ATO shall evaluate the competence of all tutors on an annual basis. Competency evaluations shall be by peer review. Records of tutor competency evaluations shall be retained by the ATO.

10.5.4 The ATO shall permit only those personnel named in the quality management system and on the ATO Scope of authorisation as tutors to supervise the conduct of training. Tutors shall hold relevant certification (or certification recognised by the Approval Body, otherwise, the ATO shall demonstrate to the satisfaction of the Approval Body that the tutor has received appropriate training in instructional techniques.

10.5.5 The ATO shall notify any changes or additions to tutors (supervising the conduct of training) listed on their authorisation.



### 10.6 Training Staff - Certification

10.7 A member of staff of the training organisation shall be assigned with overall responsibility for each validated course of training for which the ATO is approved, and is required to hold equal to or higher level of recognised certification. For Organisations with multiple RTCs the key personnel may be appointed at Group level. In such cases the Group Manager shall appoint a local representative and assign that person with day-to-day responsibility for that RTC.

10.8 Tutors shall be appropriately certified for the NDT method and sector that the course covers. Tutors shall hold acceptable certification(s) at a minimum of level 2. Where the course provides training for level 3 candidates, the tutor shall hold acceptable certification at level 3.

### 10.9 Training Staff – Teaching Qualifications

10.9.1 Training Organisations shall employ a minimum of one staff member formally trained in instructional techniques. This employee shall then disseminate this training to all training staff who have no formal instructional training. Records of dissemination of instructional training shall be compiled and retained by the ATO.

### 10.10 Training Staff – Experience

10.10.1 Training Tutors shall have knowledge of materials science and product technology, and have documented experience of current industrial applications of the NDT methods that they are authorised to teach.

### 10.11 Training Staff – Maintenance of Method Awareness

10.11.1 ATOs shall ensure that all training staff are kept up to date with current industrial procedures, practices and new innovations that may have an effect on training delivery within the NDT&I methods for which they are approved. The ATO shall document how this is achieved.

### 10.12 Training Staff - Roles and Responsibility

10.12.1 Maintain the Confidentiality and Impartiality that required by respective Certification Body and by the Management in the Entire Operation of the Company.

10.12.2 Trainer need to be familiar with the QMS Documents and Procedures which affect the effectiveness of Training and Company Goals.

10.12.3 Trainer Needs to Maintain Strong Knowledge about Personnel Designation and Roles and Responsibilities according to the Organization Quality Management System, Operational Manual and Quality Policies.

10.12.4 Maintain appropriate records of training, (Training Includes both Practical and Theory) for all students based on the Organizational Policies.

10.12.5 Ensure the Availability of Proper Logistics, Equipment's and Consumables for the Respective Training Program. Allocated, If any Shortage of consumable material or equipment Report it to the Training Manager and intend for the new material in Consumable Requisition Form,



- 10.12.6 Proper Submission of Damage and Equipment Clearance Forms after each training program completion to ensure that all equipment's and associated accessories are functioning properly
- 10.12.7 Prepare/Deliver Daily Assessment/Model Questions and conduct model examination by during the training program and by the end of each method
- 10.12.8 Deliver training at high standard to students in NOT/Inspection as required meeting the organizational Quality Objective and Quality Policy thereby meeting Customer Requirements
- 10.12.9 Evaluate and assess students class works, home works and give constructive feedback on their performance and if any student whom seems to be weak in particular areas of his study provide him with counseling and document additional training provided to such students in the respective report form.
- 10.12.10 Develop programmes of learning activities including planning, preparing, delivering & researching training sessions.
- 10.12.11 Trainers need to ensure themselves updated with the current industrial procedures and practices
- 10.12.12 Trainers will be responsible for all practicals for their respective method.
- 10.12.13 Trainer need to verify/Intimate that students that scientific calculator are required daily
- 10.12.14 Trainers will be ensuring that the student has signed his daily attendance in the respective form.
- 10.12.15 Having glance look at classroom after each class session or by informing students to check any rubbish or paper waste thrown unused, shall be placed in to the dustbin, If Its students who performing this activity instructor has to ensure whether the things has done properly
- 10.12.16 Trainers need to ensure that all procedures and documents inside the tutor files and at the point of use are of latest version, if any old document found then report it to the MR and take necessary step to replace it with the latest one.
- 10.12.17 Along with the above mentioned responsibilities the Trainer need to follow all the Assigned responsibilities which are allocated by management from time to time.
- 10.12.18 Ensure all AQB Policies Procedure are Followed through the work hours.
- 10.12.19 Need to Follow all Procedure and Code of ethics policies of all Certification Bodies.

## 11 Records

There shall be a system for maintaining and reviewing the current state of all records held within the Training Organisation. Such records are to be kept in a secure location and treated with confidentiality.

### 11.1 Student Records

- 11.1.1 Student records shall be raised and maintained for each enrolled student. They shall be retained for a period of not less than eleven years and shall include the following, as a minimum:
- 11.1.1.a Date(s) of enrolment and completion of training.
  - 11.1.1.b Course on which enrolled including training location/venue.
  - 11.1.1.c Tutors involved.



11.1.1.d Records of daily progress assessments; this should include any tests/assessment question papers attempted and records of specimens tested during the course, including the tutor's comments.

11.1.2 A certificate of successful completion of the relevant training course, including, where necessary, a data sheet for employers implementing a second party qualification system such as SNT-TC-1A (Guidance on certificate format and content is given in Annex G) shall be issued to each successful student and, where contractually agreed, to the employer or sponsor.

*Guidance note: A certificate of attendance is not regarded as a certificate of successful completion of training. Certificates issued by Approved ATOs may be used to prove eligibility for examination at an Authorised Qualifying Body (AQB) and as such must state that the holder has successfully completed an approved training course. Certificates of successful training should only be awarded to those students who attain the required standard in the daily/continual course assessments. The ATO may award certificates of attendance to any or all students, at its discretion, but these are not to be construed as certificates of successful completion of training and should carry a caveat stating such.*

11.1.3 Where the further training route is being used as an exemption to the 30 day re-test of failed examination mandate, evidence of the further training delivered and received is required. Where an ATO delivers such training a certificate of "Supplementary" training shall be issued by the ATO.

## 11.2 Staff Records

11.2.1 Records shall be raised, updated and maintained for all training staff. They shall be retained for a period of not less than eleven years and shall include (as a minimum) records of:

11.2.1.a Experience.

11.2.1.b Qualifications.

11.2.1.c Certification

11.2.1.d Formal training and updating

11.2.1.e Competency assessments

## 11.3 NDT Equipment Records

11.3.1 The Training Organisation shall maintain a fully documented system for the maintenance and calibration of NDT Equipment. Internal verification of equipment against reference standards, or internal process checking using documented procedures/work instructions, is acceptable in determining the performance and suitability for training equipment. Internal verifications and process checks shall be conducted at planned intervals by ATO staff. Internal verifications and process checks shall be recorded and the records retained for audit purposes.

*Note: With regard to equipment used solely for training purposes, the ATO is expected to meet the requirements above. However, the calibrations conducted do not necessarily need to be traceable to National Standards except where personal safety is affected, i.e., in the case of equipment generating, emitting or monitoring ionizing radiations. Calibrations and/or verifications conducted as part of the training delivered may be acceptable providing they prove the reliability and suitability of the equipment in use and are recorded.*



#### 11.4 Specimens Records

The Training Organisation shall maintain a fully documented system for the unique identification of each training and assessment (formal examination) specimen. This shall include a master record of the position and extent of all defects relevant to the NDT technique for which it is to be used.

#### 12 Remote Training Centres

12.1 The ATO shall notify the Approval Body of all proposed RTC's prior to the conducting of any training at that location in order that the location may be added to the ATO scope of approval. Failure to notify in advance shall lead to training being declared invalid. The RTC shall operate in accordance with the quality manual and operational procedures of the associated ATO. Authorised tutors shall be listed on the ATO scope of approval and travel to the RTC to undertake training.

12.2 Upon completion of each training course, all training materials, where practical, shall be returned to the ATO. Where this is not practical and training materials, especially specimens, are stored at a RTC then the ATO shall be responsible for security arrangements to ensure unauthorised access is prevented.

12.3 All RTCs are subject to premises/facility/equipment audit under the same restrictions and requirements applied to ATOs and must prove to the Approval Body that their NDT training business operates solely in accordance with the ATO's quality and operational documents.

12.4 The Approval Body monitors ATO control of its RTCs through fully documented and planned oversight of the RTC compliance audits carried out by the responsible ATO, which is required to provide The Approval Body with dates and details of RTC audits planned for each calendar year. The Approval Body shall select, without prior notification, those RTC audits which it shall witness on site in order to determine the competence of the audits carried out, and shall plan to witness ATO audits of all of its approved RTCs during a three year cycle. The cost of the oversight shall be borne by the responsible ATO. Should the planned RTC audit not be carried out as notified in the ATO audit plan, The Approval Body will still charge the expenses incurred in conducting the planned oversight.

12.5 Any RTC operating beyond the scope intended for NDT remote training centres must apply to become an Approved Training Organisation (ATO) and be subject to the full systems audit and associated costs.

12.6 Where the RTC is a fixed training facility operating under the control of the ATO then the ATO shall conduct an internal audit of the RTC at intervals not exceeding 12 months. The initial audit shall be conducted within 6 months of the date of initial RTC approval. Records of such audits shall be retained for review during assessments of the controlling ATO.

12.7 The control of the RTC in terms of training delivery, competence, security, impartiality and integrity remains with the controlling ATO. The ATO shall assess the suitability of any permanent or fixed infrastructure, equipment (inventory, control maintenance calibration) and overall facilities

*Note: The above requirements do not apply to one-off or infrequent training courses conducted at rented or hired venues. However the ATO is responsible for ensuring such venues meet the requirements of this document in respect of the training delivered at those premises.*



12.8 The Approval Body reserves the right to visit and or assess RTC's at their discretion and without warning.

13 **Control of Substances Hazardous to Health**

13.1 Disposal of hazardous chemicals used in the operation of training courses shall be carried out in accordance with applicable national regulations. A disposal register shall be maintained.



## Audit & Approval Process

Upon receipt of a correctly completed application (Annexures A-C inclusive), The Approval Body shall appoint competent auditor(s) to carry out a documentation review which shall include:

A review of the application and supporting material supplied.

Assessment of modules for training course validation.

Assessment of the applicant's quality management system for compliance with this document.

If the results of the review are satisfactory, the appointed auditor shall carry out a stage 1 on-site initial assessment of the applicant organisation to confirm that the infrastructure and resources comply with the requirements for approval.

After any agreed corrective actions relating to nonconformity identified during the stage 1 audit have been implemented, and the organisation is finally confirmed to be complying with all applicable requirements, a report and recommendation for Approval shall be made by the appointed lead auditor to the Scheme Manager. For Observations, action shall be verified during the subsequent audit.

The authority to grant approval rests entirely with the Scheme Manager. Should The Scheme Manager consider that the applicant Training Organisation and associated course modules comply with the minimum requirements, approval shall follow. If not, The Approval Body shall not be obliged to give reasons for withholding approval though, wherever practicable, the maximum assistance shall be given to Training Organisations prior to any subsequent audit.

After approximately nine months of operating as an ATO, the organisation shall be subjected to a stage 2 initial assessment. This audit shall seek to confirm continuing compliance with the requirements by sampling records raised during the delivery of validated training. If successful in the initial stage 2 assessment, including the submission of any agreed corrective action evidence, the Training Organization shall be issued a Certificate of Approval which includes a detailed schedule listing the locations and availability of validated training courses. This information shall also be uploaded to The Approval Body's website.

Wherever Remote Training Centres are proposed, an RTC associated with an ATO shall apply for approval to RTC status on the relevant application form given in Annexure A. The RTC is managed by the controlling ATO.

ATO are entitled to display the Approval Logo, and will receive a frame-able certificate to promote their business as an ATO. A copy of The Approval Body logo can be obtained at request directly from The Approval Body.

Ongoing compliance with the requirements shall be confirmed during each three year approval cycle by annual surveillance and full reassessment.

Surveillance shall be carried out on an annual basis by the appointed lead assessor who shall examine the way in which training is conducted on site, including review of student records and files, and the site itself. At the discretion of The Approval Body, random and un-notified site visits may be carried out.

Reassessment involves confirmation by an appointed audit team that the Requirements continue to be complied with. Reassessment is undertaken not less than three months prior to ATO certificate expiry.

Guidance on the audit/assessment process is given in document ##PD10.



## Validation of Training Courses

### Levels 1 and 2 training courses

The purpose of course validation is to ensure that the specified objectives of the course are met and that the course satisfies the requirements of the certification scheme and its associated requirements - or other specified requirements with which it is aligned (if any).

The Approval Body routinely validates training courses at Level 1 and Level 2. Courses are validated as meeting specific requirements, (generally defined in terms of an examination syllabus) and the object of the exercise is to ensure that all aspects of the syllabus are addressed within the training course at a suitable level and depth.

Training Course material shall be submitted electronically for validation by providing a completed application form (APP/2 - Annexure B) for each course, together with a complete set of course notes (with supporting literature if necessary) and the relevant fee.

Training Courses need not necessarily be aligned with a certification scheme but in all cases the purpose and objectives of the course must be clearly stated. Courses validated to be compliant with qualification specifications (such as ISO 9712) can be considered as pre-requisite to sit that particular qualification examination, after the candidate has successfully passed the training.

Courses are in general validated for Training Organisations that have gained Approval under The Approval Body's Scheme. Such courses are usually conducted on a commercial basis and are readily available to the public. Where courses are run as in-house training on a non-commercial basis or as client specific, the Approval Body may be willing to validate the course modules as separate entities, without the need for full Approval.

### Validation of Level 3 training courses

For Levels 1 and 2 the ISO 9712 referenced training syllabus is well defined, therefore a training course can be designed to cover those areas of learning. This works well for Level 1 and Level 2 training but it does not work at Level 3.

Level 3 candidates need to be well versed in a very broad range of knowledge and should be familiar with Product Technology, the general principles of four other NDT methods, and NDT Procedure Writing.

The Approval Body defines three main requirements that training centres must meet if they are to be recognised as providers of Level 3 training:

- The tutors must be Level 3 certified.
- The training school must have available the defined essential reading material.
- There must be a system in place whereby candidates are assessed on arrival, (or beforehand), in order to identify the gaps in their knowledge. The training course must then be specifically designed to address those areas of weakness.



The course content must be designed as a bespoke product, suited to a particular individual. Any training establishment that meets the three requirements set out above may request that The Approval Body recognises that they are capable of offering Level 3 training courses and once proven at audit can be listed under part 3 of the approval list but shall not be included on their certificate of approval.

### **ATO Certificate Validity**

Approval given under the scheme shall have a validity of three years from date of approval of Stage 2 audit subject to the maintenance of proper standards.

The ATO Certificate, which remains valid subject to satisfactory annual surveillance and periodic reassessment, remains the property of The Approval Body and can be withdrawn at any time where justified. All ATOs shall be added to The Approval Body's published list, thus providing proof of validity and verification of an ATO certificate.

Should major changes occur in Approval policy, the ATO shall be informed and a period of adjustment, usually six months, shall be allowed for the ATO to conform to the changed policy.

Where changes occur in ATO personnel, documentation, facilities or operating procedure, which may affect the validity of approval, The Approval Body shall be informed without delay. Failure to do so may result in a refusal to renew ATO status.

Due to business fluctuations there may be periods during which training courses are not run, particularly at smaller ATOs. If no courses are held during a 12 month period then The Approval Body shall be advised of the situation. Every effort shall be made to ensure that ATO status is maintained, but checks may be necessary prior to the next course being conducted to ensure that the training facility has in fact become fully operational.

### **Extensions**

Validation of additional course modules, subsequent to the initial visit, may require a further audit which may fall outside the sequence of an established audit cycle. The additional modules shall be submitted to The Approval Body electronically for review and validation. A copy of the curriculum and course notes, a list of equipment, specimens, tutor qualifications and a correctly completed application for extension form (See form APP/3 – Annexure C), together with the current published fee, shall be provided to before the validation process is initiated.

Where the ATO delivers validated training at locations remote from its base (at an RTC), it shall notify The Approval Body of these locations by completing relevant sections of form APP/1 (see Annexure A). The ATO Manager shall be responsible for ensuring that the requirements of this document are met in their entirety at all remote locations.

If an extension application is received for Level 2 approval and/or Level 3 recognition, then the ATO must already be approved for the lower level of this scope or they shall apply for the lower level also.

### **Audit Findings - Closure Process**

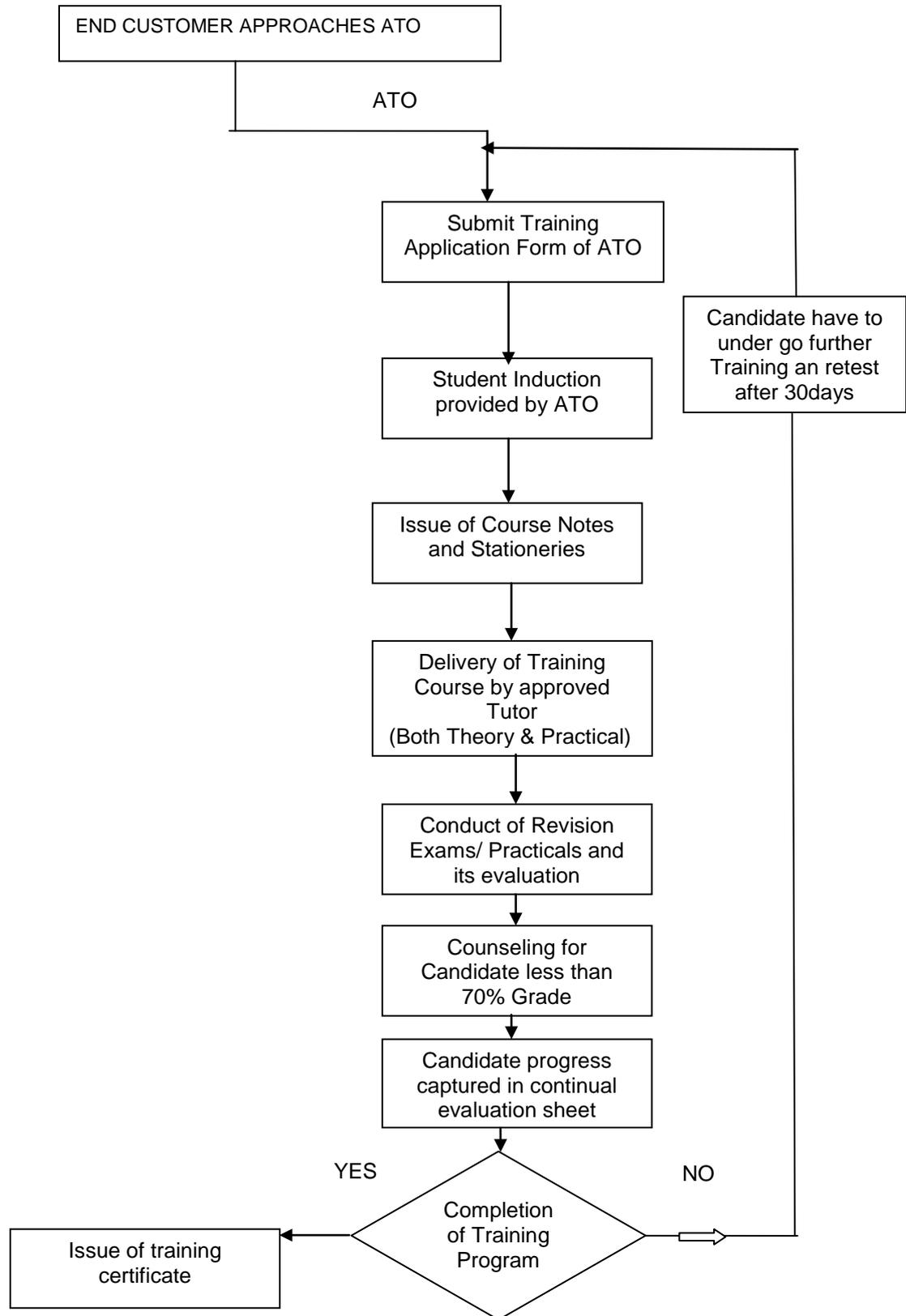
Following completion of audits, the Lead Assessor shall present the report and recommendations to the audited ATO. As part of the closure process, timescales for presentation of root cause analysis and proposed corrective actions together with the final presentation of objective evidence for the actions taken will be agreed. Failure to complete the



agreed process or actions within the agreed timescales may affect the Organisation's approval status potentially leading to Approval suspension or withdrawal (at the discretion of The Approval Body).



**TRAINING PROCESS FLOW:**





<b>ATO Approval Process</b>	<b>Requirements</b>	<b>Records</b>
Initial Application for ATO Approval to be downloaded from GVCS website	<ul style="list-style-type: none"> <li>Applicant Organization</li> <li>Legal Name</li> <li>Address</li> <li>Contact Details</li> <li>Course details, Method, Level and Sector</li> </ul>	ATO Application Form PD08 Annex A
ATO Submission of Application along with the Documents	<ul style="list-style-type: none"> <li>Controlled copy of Training Organisation Quality Manual and operation procedures</li> </ul>	ATOs Quality Manual, Procedures etc
	<ul style="list-style-type: none"> <li>A completed course questionnaire (Form PD08 Annex B) for each course to be validated</li> </ul>	Training Course Questionnaire PD08 Annex B
	<ul style="list-style-type: none"> <li>Student course notes for each course to be approved by CB in line with syllabus</li> </ul>	ATO's Students Course Notes
	<ul style="list-style-type: none"> <li>Approval of tutors for Various methods under the scheme</li> </ul>	Tutor's CV and Certificate copy
	<ul style="list-style-type: none"> <li>Equipment &amp; Facility List to be submitted</li> </ul>	Minimum Equipment Holdings For ATO - PD08 Annex D
	<ul style="list-style-type: none"> <li>Specimen list for the practical to be submitted.</li> </ul>	Minimum Specimen Holdings For ATO - PD08 Annex E
	<ul style="list-style-type: none"> <li>Signed confidentiality form for each member of staff involved with training</li> </ul>	Code Of Practice For Approved Training Organisations - PD08 Annex F
	<ul style="list-style-type: none"> <li>Current fee for application and accreditation of course notes</li> </ul>	Charges For ATO & AQA Services – PD 35
Application & Document Review	<ul style="list-style-type: none"> <li>A review of the application and supporting material supplied by ATO.</li> <li>CB Quality Manager shall carryout the document review</li> </ul>	FP-73- ATO Document Review Report
Assessment of Course Module Approval	<ul style="list-style-type: none"> <li>Assessment of modules for training course approval.</li> </ul>	FP-73- ATO Document Review Report
Assessment of Quality Management System	<ul style="list-style-type: none"> <li>Assessment of the applicant's quality management system for compliance with this document.</li> </ul>	FP-73- ATO Document Review Report
Approval of the Instructors	<ul style="list-style-type: none"> <li>Approve the authorized training Instructors based on their qualifications and experience</li> </ul>	List of Authorised Training Instructors - PD-08 Annex I
Conduct of Stage 1 Assessment	<ul style="list-style-type: none"> <li>If the results of the review are satisfactory, the appointed auditor shall carry out a stage 1 on-site initial assessment of the applicant organisation to confirm that the infrastructure and resources comply with the requirements for approval.</li> </ul>	ATO Audit Checklist - PD08 Annex H Non Conformity Form - QP 03 Annex A



Acceptance of Corrective Action of Stage 1 Assessment	<ul style="list-style-type: none"> <li>After any agreed corrective actions relating to findings identified during the stage 1 audit have been implemented, and the organisation is finally confirmed to be complying with all applicable requirements.</li> </ul>	<p>FP-74 Audit Report</p> <p>Non Conformity Form - QP 03 Annex A</p>
Recommendation of ATO by Lead Auditor	<ul style="list-style-type: none"> <li>A report and recommendation for Approval shall be made by the appointed lead auditor to The Approval Body.</li> </ul>	<p>FP-74 Audit Report</p>
Approval of ATO to conduct Training	<ul style="list-style-type: none"> <li>Should the CB consider that the applicant ATO Organisation comply with the minimum requirements of the CB, approval shall follow.</li> <li>Issue of Approved ATO Tutor's</li> </ul>	<p>Certificate of Conformance issued with 12 months validity- PD08 Annex J</p> <p>Issue of Mutual Agreement signed by both the parties. FP81</p> <p>Listed in Website as Approved ATO</p> <p>List of Authorised Tutor's - PD08 Annex I</p>
Certificate of ATO Approval	<ul style="list-style-type: none"> <li>After approximately 3-9 months of operating as an ATO, the organisation shall be subjected to a stage 2 initial assessment based on the training turn over. This audit shall seek to confirm continuing compliance with the requirements by sampling records raised during the delivery of training.</li> </ul>	<p>Certificate of Confirmation ATO - PD_08_Annex J</p> <p>Listed in Website as Approved ATO</p> <p>Training Availability PD-03</p>
Remote Training Centre Approval	<ul style="list-style-type: none"> <li>Wherever Remote Training Centre's are proposed, an RTC associated with an ATO shall apply for approval to RTC status on the relevant application form given in Annexure A. The RTC is managed by the controlling ATO.</li> </ul>	<p>PD08 Annex A</p>
Ongoing Compliance	<ul style="list-style-type: none"> <li>Ongoing compliance with the requirements shall be confirmed during each three year approval cycle by annual surveillance and full reassessment</li> </ul>	<p>ATO Audit Checklist - PD08 Annex H</p> <p>Non Conformity Form - QP 03 Annex A</p>
Scope Extension Audit	<ul style="list-style-type: none"> <li>This form is to be used by ATO when applying to have further NDT course modules to be validated by The Approval Body. An audit visit may or may not be required in order to approve additional courses.</li> </ul>	<p>PD08 Annex C</p> <p>Application for Extension of Approval</p> <p>ATO Audit Checklist - PD08 Annex H</p> <p>FP-74 Audit Report</p>



		Non Conformity Form - QP 03 Annex A
Surveillance Audit	<ul style="list-style-type: none"><li>• Surveillance shall be carried out on an annual basis by the appointed lead assessor who shall examine the way in which training is conducted on site, including review of student records and files, and the site itself. At the discretion of The Approval Body, random and un-notified site visits may be carried out.</li></ul>	ATO Audit Checklist - PD08 Annex H FP-74 Audit Report Non Conformity Form - QP 03 Annex A
Reassessment Audit	<ul style="list-style-type: none"><li>• Reassessment involves confirmation by an appointed audit team that the Requirements continue to be complied with. Reassessment is undertaken not less than three months prior to ATO certificate expiry.</li></ul>	ATO Audit Checklist - PD08 Annex H FP-74 Audit Report Non Conformity Form - QP 03 Annex A
Approval for Display the CB Logo	<ul style="list-style-type: none"><li>• AQB are entitled to display the Approval Logo, and will receive a frame-able certificate to promote their business as an AQB. A copy of the CB logo can be obtained at request directly from the CB.</li></ul>	PD31 - Condition of use of the logo