



UNCONTROLLED IF PRINTED

AEC-4, Issue 2

AEC ASSESSMENT REQUIREMENTS

AEC documents are governed by the ASNT Certification Management Council (CMC).

Approved: September 12, 2019

CMC Chair	
ASNT Certification Group	



The American Society for Nondestructive Testing, Inc.

	TITLE:	Number: AEC-4
	AEC ASSESSMENT REQUIREMENTS	Revision: Issue 2
		Date: 9/12/2019

1.0 PURPOSE

The purpose of this procedure is to provide guidance for the assessment of Authorized Examination Centers (AEC).

2.0 SCOPE

This procedure defines the requirements for conducting and reporting an Authorized Examination Center (AEC) assessment for ASNT.

3.0 REFERENCES

- 3.1 AEC-1 Requirements for Authorized Examination Centers for ASNT Certification Programs
- 3.2 AEC-4.1 AEC Assessment Report
- 3.3 AEC-4.2 AEC Practical Exam Assessment Checklist
- 3.4 AEC-4.3 AEC Computer Based Testing Assessment Checklist
- 3.5 AEC-4.4 AEC Non-Conformance Report
- 3.6 F-AIMPm Assignment Specific Impartiality Disclosure and Agreement Form

4.0 DEFINITIONS

- 4.1 Assessor: An individual appointed by the CMC who is qualified to conduct NDT assessments, reassessments, and/or quality assessments in accordance with ASNT requirements.
- 4.2 Nonconformance: Non-fulfillment of a requirement.
- 4.3 Major Nonconformance: A nonconformance where:
 - There is an absence of, or a systemic breakdown of, the process control and/or the personnel certification system; or
 - The effect impacts or has the potential to impact the integrity of the personnel certification; or
 - A non-sustaining corrective action or a repeat NCR from a previous assessment is identified.
- 4.4 Minor Nonconformance: Any single system failure or lapse in conformance with the applicable standard or assessment criteria where the effect does not impact or have the potential to impact the personnel certification.
- 4.5 Opportunity for Improvement (OFI): Any negative finding of a potential condition that if left unattended could result in a nonconformance or any opportunity for the AEC to improve the quality program is classified as an OFI.
- 4.6 Nonconformance Report (NCR): Documentation of a specific condition resulting in a deviation from the governing requirements and audit scope.

5.0 RESPONSIBILITIES

ASNT ISC is responsible for:

- 5.1 Assigning the qualified assessor.
- 5.2 Scheduling the on-site assessment.
- 5.3 Assuring that no conflicts of interest exist between the assessor and AEC.
- 5.4 Having the assessor sign a conflict of interest form prior to the assessment.
- 5.5 Assigning an assessment number.
- 5.6 Reviewing and approving the final assessment report.
- 5.7 Communication of assessment result to client.

	TITLE:	Number: AEC-4
	AEC ASSESSMENT REQUIREMENTS	Revision: Issue 2
		Date: 9/12/2019

Assessor is responsible for:

- 5.8 Performing an on-site assessment in accordance with this procedure.
- 5.9 Developing an assessment report in accordance with report template AEC-4.1, within 30 days of the assessment.
- 5.10 Issuing NCRs or OFIs (form AEC-4.4).
- 5.11 Communication with the client; opening and closing meetings to announce the commencement of the assessment, to ask questions as required for clarification and to summarize the assessment result at its conclusion.

6.0 QUALIFICATIONS

- 6.1 Assessors shall be approved by the ASNT ISC and the CMC AB based on meeting the minimum criteria below. NOTE: These are the minimum requirements to become an assessor.
 - 6.1.1 ASNT or ACCP Level III certified in at least one method for at least 10 years and,
 - 6.1.2 ISO 9001 or AS9100 Lead Assessor, NADCAP, ASME NQA-1 or ASQ CQA certification or,
 - 6.1.3 Have at least 10 years' documented experience conducting internal or external audits relating to NDT.
- 6.2 The assessment shall be assigned to an ASNT approved assessor.
- 6.3 Assessments shall be reviewed by a Level III in the ASNT Certification Department.

7.0 IMPARTIALITY

- 7.1 Prior to each individual assessment, ASNT & the assigned assessor shall review and determine if any conflicts of interest exist between the assessor and AEC. Form F-AIMPm should be used and stored with the assessment report.

8.0 ASSESSMENT

- 8.1 Opening Meeting. The assessor and AEC shall meet to discuss the commencement and process of the assessment.
- 8.2 The assessor shall review and document the quality documents, facility information, relevant personnel and equipment of the AEC.
- 8.3 As the assessment progresses, the assessor shall complete the appropriate checklist(s) (AEC-4.2 and/or AEC-4.3) ensuring applicable objective evidence is cited on the checklist where required.
- 8.4 Items considered nonconforming (Major, Minor, OFI), shall also be identified on the checklist.
- 8.5 Closing Meeting. The assessor shall meet prior to leaving to discuss the preliminary assessment result, clarifying that the final result is subject to change after review by ASNT ISC.

9.0 REPORTING

- 9.1 A preliminary report shall be given to the AEC at the closing meeting. Report shall state that it is a preliminary report and that nonconformances may change after ASNT & CMC review.
- 9.2 Completed reports (inclusive of Cover Page, Report and Nonconformances) shall be submitted to the ASNT ISC (Certification Department) for review within 30 days of the completion of the assessment.

	TITLE:	Number: AEC-4
	AEC ASSESSMENT REQUIREMENTS	Revision: Issue 2
		Date: 9/12/2019

- 9.3 Nonconformances – If any nonconformances are noted on the assessment report, the AEC will be notified and requested to submit a corrective action plan within 30 days. If no response is made, or the nonconformances cannot be resolved, then the AEC may be removed from the approved list.
- 9.4 ASNT will distribute the final report to the AEC within 90 days of the initial audit, following CMC AB review.
- 9.5 Assessment reports shall be maintained on file as long as the AEC is certified plus 5 years.

10.0 DOCUMENT CHANGE HISTORY

Revision	Date	Summary of Changes
2	9/12/2019	Modified the procedure title from AEC ASSESSMENT PROCEDURE to AEC ASSESSMENT REQUIREMENTS
		Added Section 1.0 PURPOSE
		Moved from Section 2.0 to 4.0