

Based on recommendations contained in
the 2020 edition of Recommended
Practice No. SNT-TC-1A

AUDIT CHECKLIST SNT-TC-1A

2020

EDITION

PERSONNEL QUALIFICATION AND CERTIFICATION IN NONDESTRUCTIVE TESTING



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Based on recommendations contained in
the 2020 edition of *Recommended
Practice No. SNT-TC-1A*

AUDIT CHECKLIST SNT-TC-1A

2020

7th EDITION

NDT PERSONNEL
TRAINING,
QUALIFICATION,
AND CERTIFICATION

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NOTE: Use this audit checklist to review your written practice before an audit. This checklist is based on the recommendations in SNT-TC-1A (2020). The numbers of the paragraphs and sections throughout this document correspond to the applicable paragraphs and sections in the recommended practice. Unauditable paragraphs are not included in this checklist and paragraph numbers may be skipped. Because SNT-TC-1A is a recommended practice, employers may certify methods and limited certifications not listed there. Those methods and certifications should be included on the lines marked as “other” under Paragraph 3.1.

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WRITTEN PRACTICE AUDIT CHECKLIST: ASNT SNT-TC-1A (2020) EDITION

Number: _____

Company:		Project #:	
Address:		Written Practice #:	
Primary Contact:		Revision:	
Phone/Email:		Date:	
Audit Scope:			
Audit Purpose:			
Auditor:		Qualifications	
		Date:	

Criteria: ASNT Recommended Practice No. SNT-TC-1A (2020); the SNT-TC-1A section referenced is in parentheses in each checklist item, for example: (5.1).

Introduction: The purpose of this *Qualification and Certification of NDT Personnel Audit Checklist* is to record objective evidence that is reviewed to specific requirements in Recommended Practice No. SNT-TC-1A: *Personnel Qualification and Certification in Nondestructive Testing* (2020). The use of this checklist verifies compliance of a nondestructive testing (NDT) personnel certification program as stated in Section 1.0 Scope of SNT-TC-1A (2020).

Ratings: Yes – means conformance to SNT-TC-1A. No – means nonconformance and should be accompanied by a nonconformance report (NCR). N/A – used only when that section does not apply to the written practice (WP). OFI should be written when the auditor sees an “opportunity for improvement” that is not a nonconformance.

AG: Audit Guidance notations for the auditor.

The expectation is that each of the items below is addressed in detail in the client’s WP. It is not adequate to merely reference SNT-TC-1A for these items. It is recognized that these guidelines may not be appropriate for certain employers’ circumstances and/or applications. In developing a WP, the employer should review the detailed recommendations and modify them, as necessary, to meet particular needs.

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Date: _____
Auditor: _____

NDT PERSONNEL TRAINING, QUALIFICATION, AND CERTIFICATION AUDIT CHECKLIST

ASNT Recommended Practice No. SNT-TC-1A (2020)

Reference: Supplier's Written Practice

Item	Audit Requirement	Objective Evidence Reviewed	Comments	Yes	No	N/A
1.0 General						
1.1	Has the employer established a WP for the control and administration of NDT personnel training, examination, and certification? (5.1)					
1.2	Does the WP indicate compliance to the 2020 edition of SNT-TC-1A? AG: Must state the document and the edition.					
1.3	Has the WP been reviewed and approved by the employer's NDT Level III? (5.5). AG: Titles must accompany the signatures on the document. If quality assurance (QA) is also responsible for the document, then they must sign.					
1.4	Does the WP state the employer's name, document ID, revision, and date?					
1.5	Does the WP address the basic provisions of SNT-TC-1A—training, experience, testing, and recertification? (1.4) AG: Shall not eliminate these basic provisions. Modification of detailed recommendations should be in an Annex.					
1.6	Does the WP address the use of third-party certifications ASNT Central Certification Program (ACCP), ASNT NDT Level III, etc.)? (1.5) AG: Must be addressed/detailed in the WP.					
1.7	If 1.6 is "Yes," does the WP indicate Level II Specific and Practical examinations from these certifications are used and that the Level III has ensured their acceptability?					

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ASNT Recommended Practice No. SNT-TC-1A (2020)

Reference: Supplier's Written Practice

Item	Audit Requirement	Objective Evidence Reviewed	Comments	Yes	No	N/A
2.0 Definitions						
2.1	Certifying Agency: The employer of the personnel being certified. (2.1.4) AG: Must be addressed/detailed in the WP; should list the name of the company as the certifying agency.					
2.2	Certifying Authority: The person or persons properly designated in the WP to sign certifications on behalf of the employer. (2.1.3) AG: Must be addressed/detailed in the WP; must list the person or the position that is the certifying authority.					
2.3	Closed-Book Examination: An examination administered without access to reference material except for materials supplied with or in the examination. (2.1.5)					
2.4	Detection Rate: The number or percentage of false calls allowed for a test specimen as defined by the NDT Level III. (2.1.7) Must be addressed/detailed in the WP.					
2.5	Experience: Work activities accomplished in a specific NDT method under the direction of qualified supervision including performance of the NDT method and related activities but not including time spent in organized training programs. (2.1.10)					
2.6	False Call: When an indication and/or grading unit is incorrectly identified as being a defect. (2.1.11) Must be addressed/detailed in the WP.					
2.7	Grading Unit: A qualification specimen can be divided into sections called units, which do not have to be equal length or be equally spaced. Grading units are unflawed or flawed and the percentage of flawed/unflawed grading units required should be approved by the NDT Level III. (2.1.12)					

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Item	Audit Requirement	Objective Evidence Reviewed	Comments	Yes	No	N/A
2.8	Limited Certification: Nondestructive testing methods may be further subdivided to limited disciplines or techniques to meet specific employers' needs; these are NDT Level II certifications, but to a limited scope. (2.1.13) AG: Must be addressed/detailed in the WP if used.					
2.9	Method: One of the disciplines of NDT; for example, ultrasonic testing, within which various test techniques may exist. (2.1.14)					
2.10	Outside Agency: A company or individual who provides NDT Level III services and whose qualifications to provide these services have been reviewed by the employer engaging the company or individual. (2.1.16)					
2.11	Personalized Instruction: May consist of blended classroom, supervised laboratory, and/or hybrid online competency-based course delivery. Modular content is covered through online presentations, in the classroom, and/or in small groups. Personalized instruction also enables students to achieve competency using strategies that align with their knowledge, skills, and learning styles. (2.1.17)					
2.12	Technique: A category within an NDT method; for example, ultrasonic thickness testing. (2.1.21) Must be addressed/detailed in the WP if used.					
3.0 Nondestructive Testing Methods/Techniques						
3.1	Does the WP identify the test methods used by the client? (3.1) AG: The WP shall identify all the NDT test methods that are subject to certification by the client.					

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NDT PERSONNEL TRAINING, QUALIFICATION, AND CERTIFICATION AUDIT CHECKLIST

ASNT Recommended Practice No. SNT-TC-1A (2020)

Reference: Supplier's Written Practice

Item	Audit Requirement	Objective Evidence Reviewed	Comments	Yes	No	N/A
3.2	Does the WP identify the test techniques within each test method used by the client? (5.4) AG: The WP shall identify all of the test techniques used with each NDT test method that are subject to certification by the client.					
4.0 Levels of Qualification						
4.1	Does the WP address the applicable levels of qualification used by the client? (4.1) AG: Only those levels of qualification used by the client need to be specified.					
4.2	Are trainees addressed in the WP? (4.2)					
4.3	Do the qualifications for trainee meet the SNT-TC-1A criteria for trainee? Is an individual who is documented as participating in a training program for an NDT method and is in the process of becoming qualified for certification to Level I or directly to Level II considered a trainee in the technique/method in which they are preparing for certification? (4.2)					
4.4	Is it specified that trainees should work with a certified individual? (4.2)					
4.5	Is it specified that trainees should not independently conduct, interpret, evaluate, or report the results of any NDT test? (4.2)					

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4.6	Do the qualifications for NDT Level I meet the requirements? AG: An NDT Level I individual should be qualified to properly perform specific standardizations, specific NDT, and specific evaluations for acceptance or rejection determinations according to written instructions and to record results. The NDT Level I should receive the necessary instruction and supervision from a certified NDT Level II or III individual. (4.3.1). N/A only applies if the client does not use NDT Level I certifications.					
4.7	Do the qualifications for NDT Level II meet the requirements? AG: An NDT Level II individual should be qualified to set up and standardize equipment and to interpret and evaluate results with respect to applicable codes, standards, and specifications. The NDT Level II should be thoroughly familiar with the scope and limitations of the methods for which qualified and should exercise assigned responsibility for on-the-job training and guidance of trainees and NDT Level I personnel. The NDT Level II should be able to organize and report the results of NDT tests. (4.3.2). N/A only applies if the client does not use NDT Level II certifications.					

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Reference: Supplier's Written Practice

Item	Audit Requirement	Objective Evidence Reviewed	Comments	Yes	No	N/A
4.8	Do the qualifications for the NDT Level III meet the requirements? AG: An NDT Level III individual should be capable of developing, qualifying, and approving procedures; establishing and approving techniques, interpreting codes, standards, specifications, and procedures; and designating the particular NDT methods, techniques, and procedures to be used. The NDT Level III should be responsible for the NDT operations for which qualified and assigned and should be capable of interpreting and evaluating results in terms of existing codes, standards, and specifications. The NDT Level III should have sufficient practical background in applicable materials, fabrication, and product technology to establish techniques and to assist in establishing acceptance criteria when none are otherwise available. The NDT Level III should have general familiarity with other appropriate NDT methods, as demonstrated by an ASNT Level III Basic examination or other means. The NDT Level III, in the methods in which certified, should be capable of training and examining NDT Level I, II, and III personnel for certification in those methods. (4.3.3)					
4.9	Has the company subdivided any of the qualification levels and have these levels been defined fully in the WP? (4.1)					

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Item	Audit Requirement	Objective Evidence Reviewed	Comments	Yes	No	N/A
4.10	Are other levels/positions described in the WP? (4.1) If so, list here:					
5.0 Written Practice						
5.1	Does the WP include the identification of the individual(s) or the outside agency responsible for administering and maintaining all or part of the company's certification program? (5.5) AG: If listed as responsible, they should have signed the document. This person must be a Level III.					
6.0 Education, Training, and Experience Requirements for Initial Qualification						
6.1	Does the employer's WP address training or experience time for any individual prior to employment? (6.1) AG: WP should detail what is required as evidence.					
6.2	Does the WP include specific limited certifications and if so, does it define the minimum training and experience requirements? (Table 6.3.1B)					
6.3	Do the requirements for specific limited certifications meet the requirements of SNT-TC-1A (2020), Table 6.3.1B?					
6.4	Does the WP define Level I and II experience hours, and do they meet or exceed the requirements of SNT-TC-1A (2020), Table 6.3.1A?					
6.5	Does the WP address certification directly to a Level II and does it require the sum of training and experience hours for Levels I and II? (Table 6.3.1A, Note 1.0)					

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6.6	Does the WP allow for reduced training or experience hours in similar methods/techniques and if so, do they meet Table 6.3.1A Notes?					
6.7	Does the WP allow for experience gained simultaneously in multiple methods and if so, do they meet Table 6.3.1A Notes?					
6.8	Does the WP state that the radiographic testing (RT) trainee is required to receive radiation safety training independent of the Level I and II training? (Table 6.3.1A, Note 8.0)					
6.9	Does the WP state that UT II certification shall be required as a prerequisite for time of flight diffraction (TOFD) and phased array ultrasonic testing (PAUT) certification? (Table 6.3.1A, Note 10.0)					
6.10	Does the WP stipulate that for limited certifications, the minimum work/experience hours are per technique, not method? (Table 6.3.1B, last column)					
6.11	Does the WP allow for a reduction of training hours based on the candidate's education level? (Table 6.3.1A, Note 3.0) AG: If hours are modified, the employer should adequately define and justify.					