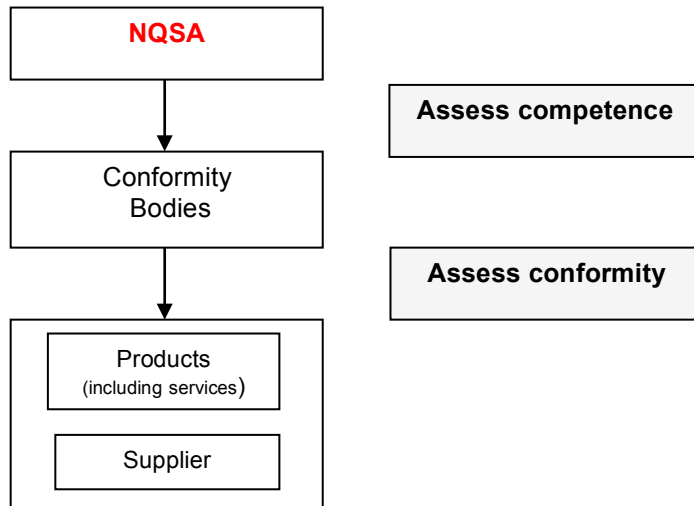


## ABSTRACT

This document defines the general requirements that need to be fulfilled by a supplier applying for a NSQ-100 certificate.



### SUMMARY

- Definition
- Requirements for the Certification Body
- Requirements for the applicant

Version	Date	Comments
0	May 2014	Document release

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## **0 DEFINITION**

### **0.1 Nonconformity**

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Nonconformity: Non-fulfilment of a requirement.

## **1 REQUIREMENTS FOR THE CERTIFICATION BODY**

### **1.1 General principle**

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The general principle is, of course, to fulfil the NQSA requirements specified within this procedure and also includes these other requirements:

- The CB will manage a list of qualified auditors. This list must be sent to NQSA as well as the updates. The evidence of the qualification of the auditor will be kept by the CB and checked during the NQSA surveillance.
- CB will have to develop specific procedures and tools to enable it to carry out granting, maintaining, extending, reducing, suspending and withdrawing NSQ-100 certification.

### **1.2 Management system**

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The CB organization shall implement a management system based on the general requirements of ISO 17021 and ISO 9001. NQSA requirements for NSQ-100 certification will be formalized through a specific procedure. The above documentation shall be available in English.

### **1.3 Specific requirement for NSQ-100 certification**

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The organization defines a coordinator to manage the international NSQ-100 certification scheme to:

- Ensure that in all locations within the CB qualification scope have implemented a system based on the general requirement of ISO 17021 following the accreditation requirement of their country and NQSA requirements for NSQ-100 certification.
- Ensure that the NSQ-100 auditors' competences are followed and maintained. Records shall be maintained in the main office. It is recommended to keep a copy of the files in the local office too.
- Ensure that inspections and audits are performed on a regular basis to ensure the respect of the certification process and the NQSA requirements for NSQ-100 certification.

### **1.4 Lead auditors/auditors qualification**

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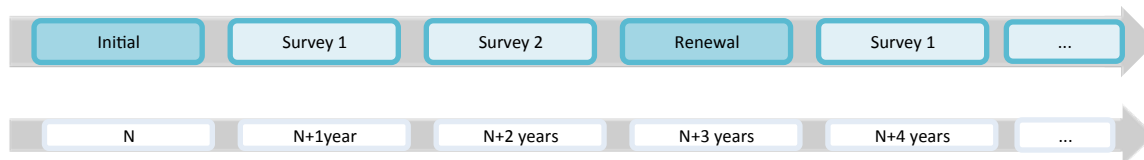
Auditor qualifications are specified in the NQSA procedure: "NSQ-100 auditors qualification procedure"

## 2 REQUIREMENTS FOR THE APPLICANT

### 2.1 NSQ-100 certification scheme

An audit cycle of 3 years with an annual surveillance

The NSQ-100 certification scheme is based upon ISO 9001 and shall be coordinate to ISO 9001 certification cycle.



The certification cycle begins with the issuance of the first NSQ-100 certificate.

Note: Surveillance on-site audits could be scheduled (for example, at 6-monthly basis) as per agreed with client at application stage.

Surveillance audits or desk audit need to be done after one year +/- 2 months after the last day of the initial audit.

The surveillance audit can be replaced by a desk audit (documentary review – see 3.1.8) in case of a very small organization (less than 5 employees). This exemption needs a NQSA acceptance.

For NSQ-100 certification renewal, the audit needs to be done at least 3 month before the end of the certificate validity.

### 2.2 Case of transfer

A transfer of certification occurs when a client certified by another CB chooses to switch to a new CB.

Certification transfer can be realized in the middle of a cycle, if the certification process is in a good shape (no major nonconformities pending). The NSQ-100 certificate remains valid without modifying the expiry date.

Certifications under suspension or withdrawal or having open major nonconformities are not eligible for this transfer process and shall be considered as new certifications, requiring a full system audit.

The NSQ-100 certification transfer is allowed only between the CB under agreement with NQSA.

### 2.3 Renewal

Certificate will be renewed on 3-yearly basis and is performed under the condition of initial certification.

This renewal shall include the review of the previous audit results.

### 2.4 Maintenance of Certification

The NSQ-100 certified company shall respond to the assessment report within one month, by describing the specific action taken or planned to be taken to resolve any identified nonconformities. Any identified nonconformities shall be closed within 6 months from audit date. Failure to comply could result in the necessity to recertify.

### 2.5 Serious Incidents

In case of serious incident in a NSQ-100 certified organization an unscheduled audit may be authorized and/or the next scheduled audit may be brought forward. The rescheduling of the renew audit need to be authorized by NQSA.

### 2.6 Multiple sites certification

No sampling audit is allowed for multiple sites organization. Each site will be audited during the initial and renewal audit, and once in the two years of surveillance.

## 2.7 Duration of audit for NSQ-100 certification

The duration of an audit that integrates ISO 9001 and NSQ-100 requirements shall be defined in accordance with the IAF Guidance for ISO 9001 certification as a minimum. In addition, the on-site audit time for NSQ-100 certification shall be defined according to the following table, also depending on organization size :

Additional Auditor-days	Total Number of person working in the scope of NSQ-100 certification within the organization		
	5-100	101-1000	Over 1000
Initial or renewal assessment	+1.5	+2	+3
Annual Surveillance	+1	+1.5	+2

The CB can increase this additional audit time in case of multiple activities with high complexity.

## 2.8 Desk audit (documentary review)

All certified organization will submit to the CB the following information for a documentary audit of surveillance:

- Nuclear field sales volume and object of contract realized during the year of surveillance
- Quality management review
- Number of claims, details and actions undertaken to solve the claims and correctives actions realized to ensure the absence of recurrences
- Major change in the organization and action undertaken to prevent non conformities do to this change.
- Results of internal audits and inspections and actions undertake to solve non conformities and correctives action undertake.
- Quality objectives and indicators.

The result of the documentary audit can lead to an on-site surveillance audit.  
Documentary audit shall not exceed 0.5 auditor day.

## 2.9 Audit team

- 2 qualified auditors if the duration of the on-site audit is over 5 man days
- At least, one auditor of the initial audit team for the surveillance assessment (see general principle in case of impossibility to respect this item)

## 2.10 Requirements for reporting

- General principles :
  - The statement of conformity of a regulatory requirement must be supported with examined convincing elements and mentioned in the report and/or kept in the auditor file.
  - The principles used during an ISO audit 9001 will be implemented (2 nonconformity levels (major, minor), corrective action plan, nonconformity form issued at the end of the audit and signed by the client, closure of nonconformity,...)

## **2.11 Nonconformity (as per EN ISO/CEI 17021)**

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- Major nonconformity: an action plan need to be drafted under a month and sent to the CB with a deadline of 3 months max for each action. On the initiative of the CB, an additional on-site assessment or an examination of evidences could be performed. In all cases, the closure of the major nonconformity is essential to deliver or renew a NSQ-100 certificate.
- Minor nonconformity: an action plan need to be drafted under a month and send to the CB but without freezing the issuance or the renewal of the certificate.

The nonconformity level is set by the auditor during the audit debriefing.

The assessment process including the audit questionnaire or equivalent and the audit report must be described in a specific procedure which is one of the requirements to be drafted by CB and approved by NQSA.

## **2.12 Audit report**

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CB's form defined in the assessment process procedure will be used.

The report official language is English. Translation can be included in the contract.

Issuance of the report must be done one month maximum after the end of the audit.

The auditor checklist shall be integrated to the annex of the report.

The customer may request NSQ-100 certification audit report to the supplier. The CB shall introduce in their condition of services and requirement for certification an obligation to the supplier to submit the report to customer and prospect in case of a query.

## **2.13 NSQ-100 Certificate**

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The NSQ-100 certificate will be notified formally by the CB and will contain:

- The scope of the certificate (rating of activities): activities involved in the scope (design or/and manufacturing and services)
- The name of the organization
- The address of the main office
- List of the certified site and their addresses
- The date of this certification
- A NQSA chronologic number and a version indexation
- The expiry date
- The signature of CB certification manager
- NQSA Logo
- CB Logo

The certificate will mention the common reserve of certification and at least that this certificate is issued by the CB under its General Conditions of Certification available on their website. The CB draw the attention to clauses limiting liability, indemnification and jurisdiction set out in the CB Terms of Service. The authenticity of this document can be verified on NQSA web site. Unauthorized modification, alteration or falsification of the content or form of this document is unlawful and offenders are liable for all penalties imposed by law.

The NSQ-100 certification number with the expiry date, the scope of activities as well as the status of the certificate (valid, suspended, removed) will be installed on the NQSA website.

The certificate number will be assigned by NQSA.

For each certificate, NQSA will define a fee, paid by CB, for recording and publishing it on NQSA website.

## **2.14 Definition of the services condition**

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This condition shall include the requirement of submission of the report by the certificated body in case of request by any nuclear field customer or prospect.

This condition shall include that the withdraw of ISO 9001 certification of the supplier will lead to a complete NSQ-100 and ISO 9001 audit on site with the 3 month of the withdraw.

The CB shall inform NQSA in 5 open days after their certificate decision of any change in the supplier certification status.

The supplier will have to inform its customers in case of suspension or withdrawal of its NSQ-100 certificate.



