

NZRF Audit procedures for NZTA/NZRF T 8

This document provides an outline of the procedure for audit under the NZTA/NZRF T 8 programme.

It is not possible to set out every matter that may have to be dealt with through the audit process and the auditor is required to exercise professional judgment while maintaining a high level of professional integrity in dealing with Testing Officers and Roadmarkers.

NZRF manage the programme for NZTA and significant matters identified during the audit process should be discussed with appropriate staff in NZTA.

Among the Testing Officers are several with considerable experience (including by definition Issuing Officers) and the auditor may seek the assistance of Testing Officers in carrying out audits subject to the confidentiality provisions set out below.

The NZTA/NZTA T 8 specification provides for audit. The requirements are set out in Section 9.2

9.2 T 8 Audit

The T/8 Registration Body is required to facilitate audits of T/8 Testing Officers at a frequency determined in consultation with the NZTA.

The Auditor will be selected on the basis of T/8 testing and auditing experience and independence.

The Testing Officer selected for audit at the time of re-registration of their certificate(s) is to be advised in writing that they have five (5) working days to provide all records relating to the testing related to the certificate. Proof of the latest confirmation of compliance testing is also required.

The results are to be couriered to the T/8 Registration Body, or nominated Auditor.

Courier costs are the Roadmarkers responsibility.

On receipt of the test records the Auditor is to conduct an audit and provide a report to the Registration Body which identifies any and all non-compliances.

The T/8 Registration Body is to advise the T/8 Testing Officer of the audit findings and to facilitate effective close-out of the identified non-compliances. The related T/8

Certificate(s) will not be registered until the non-compliances have been closed-out.

Costs related to the close-out of the non-compliances are the Roadmarkers responsibility.

Note:

The auditing frequency has been agreed with NZTA such that Testing Officers are subject to audit on a cyclic three year basis.

1 Basis of selection of Testing Officer for audit

The Registrar/Auditor maintains a record of Testing Officers audits.

The record shows the cyclic due date for audit of each Testing Officer.

When a Testing Officer is due for audit, the first such submission of certificates for registration in that calendar year triggers the audit procedure.

A new Testing Officer is subject to audit on their first applicator registration

2 Advice of selection for audit

When certificates are submitted in the audit year the Testing Officer is advised that audit is to be undertaken and the applicator that has been selected for audit.

In the advice of audit letter the date(s) of previous audit are advised or the Testing Officer informed that this is an initial audit.

A copy of a sample letters is Appendix A and B depending on whether this is a routine audit or audit is required either for re-entry of plant onto the register or transfer of application equipment to a new cab and chassis.

3 Review of Test plates and plastazotes

This review will be undertaken by an independent Testing Officer.

The independent Testing Officer is to be agreed with the auditor before the review is carried out.

The Roadmarker is responsible for providing the plates and plastazotes to the independent Testing Officer.

The independent Testing Officer is required to verify the film thicknesses and plastazotes weight and bead distribution.

They are also required to review the plates for the following:

- ✓ Recent application of material. `Sniff test` to determine plates have been marked at the date indicated for the test.
- ✓ Correct recording of test run identifiers (as outlined in the Testing Officer Guide) on the plates prior to painting having taken place (observe mist/splatter on the testing run recorded on the plate)
- ✓ Consistency between test plates on a single run – orientation, paint type, colour, line width, application rate consistency across and along the line, pattern of mist and splatter.

The independent Testing Officer is required to submit to the auditor a review Report as set out in Appendix C

Any costs associated with the review process is the responsibility of the Roadmarker

4 Records submitted to the Auditor

The following records are required to be submitted to the auditor before auditing can commence.

- ✓ Completed checklist
- ✓ Verifiers checklist
- ✓ Calculation sheets for pressure equipment
- ✓ Testing Officer Observation Notes
- ✓ Photographs – either printed photographs two to a page, or photos supplied on a USB or via Dropbox or similar file sharing programme

Prompts for complete records may be required and that prompts were required will be recorded in the audit report.

5 Review of previous audits

Copies of previous audit reports will be reviewed by the Auditor to clarify the result of previous audits; issues identified, remedial action required and close-out of these matters

6 Overview of test information submitted

Prior to detailed review of the information a skim read/review of the information submitted and results of plate/plastazote review is undertaken. This is for the Auditor to get an overview of the adequacy of testing, competency of the Testing Officer and Verifier and adequacy of records submitted.

7 Detailed review of information provided

The audit process involves a line by line review of the checklist, verification with photos, review of the verification checklist, check of the pressure calculations and crosschecking of information on the T 8 certificate

8 Audit report

The audit report will clearly set out the issues that have been identified through the audit process and the course of action that the Testing Officer and/or Roadmarker is required to follow.

Typical requirements are:

Recommendations related to the test procedure

Some examples include;

- ✓ Use of current checklists
- ✓ Provision of computer recorded checklists rather than information hand written onto checklists
- ✓ Inadequate verification

It is expected that Testing Officers and Verifiers work together to amend test procedures to incorporate the recommendations.

These will be reviewed at subsequent audits.

Recommendations for review by the Testing Officer and Roadmarker

Some examples include;

- ✓ Adequacy of spill kit
- ✓ Adequacy of placarding and information on paint tanks
- ✓ Calculations of pressure equipment

Some matters may require clarification prior to registration of certificates however the audit process is designed to identify matters for review by the Testing Officer and Roadmarker.

Where the Testing Officer has prepared an Observation Note this will be taken into account.

Appropriate resolution of these matters remains the responsibility of the Roadmarker

Alteration to the certificates and resubmission prior to registration. Typical issues include;

- ✓ A photo that matches the requirements of the specification for orientation, clarity, date
- ✓ Accuracy of information such as previous certificate expiry date, applicator owner name
- ✓ Completeness of information such as applicator manufacture date, serial numbers

9 Identification of serious non-compliance

Where serious non-compliance by the Testing Officer is identified the following is the procedure.

The Testing Officer and Roadmarker is provided with a copy of the audit report and advised they have five days to respond with any challenge to the report, further supporting material or explanations.

NZTA will be advised that audit has identified serious non-compliance including:

- ✓ The nature of the non-compliance
- ✓ The Testing Officer and Roadmarker response to the audit report
- ✓ The proposed action

A typical requirement is for the Testing Officer to carry out re-certification under observation of an experienced and independent Testing Officer.

Where more than one certificate is submitted for registration retesting of all applicators may be required.

The experienced Testing Officer is to be agreed with the auditor.

The purpose of this procedure is to assess the competence of the Testing Officer and the observing Testing Officer is required to give an account of their observations in a report in the form set out in Appendix D

Any costs associated with the observation and reporting is the responsibility of the Roadmarker

If the observation confirms that the Testing Officer is competent then the certificate is registered with the new Test date.

Where the Testing Officer is not judged as competent, they may advise that they no longer want to retain Testing Officer status and are removed from the register of Testing Officers.

In other circumstances additional training/coaching/mentoring may be required and that will be agreed with the Testing Officer on a case by case basis.

NZTA will be advised of the outcome of retesting under observation, cancellation of Testing Officer status, further training etc.

10 Confidentiality of information

Information gained through the audit process is confidential and must not be disclosed to any third party.

As the programme is managed by NZRF for NZTA, complete information including Testing Officer and Roadmarkers details may be disclosed to appropriate NZTA staff.

The auditor may seek assistance on technical matters from Testing Officers or other industry experts provided that the identity of the Testing Officer or Roadmarker is not disclosed.

The results of audits are included in the report by the auditor to Testing Officer workshops and NZRF members, however the identity of individual Testing Officers and Roadmarkers is not identified.

Appendix A - routine audit

Audit of T 8 certification in accordance with NZTA/NZRF T 8:2008

The 2008 version of NZTA/NZRF T 8 requires the NZRF as registration body, to carry out an audit of at least 5% of records for T 8 certification.

This is to advise you that, your certificate number xxxx for Applicator ABC123 Type x will be subject to audit.

The applicator has been entered on the register pending the outcome of this audit.

You have had x previous audit in xxxxx 201x.

You are required to forward to me the T 8 inspection checklist, T 8 Run record sheet, T 8 summary sheet, any Testing Officer observation notes, Verifiers prompt sheet and photographs. As discussed please arrange for the plates and plastazotes to be verified by an Independent Testing Officer. Please let me know who that will be and I will send them a report template.

A positive audit result will be communicated to you within five working days of the records being received and confirmation of compliant plates and plastazotes.

If further enquiry or investigation work relating to the audit is required, you will be advised in writing, and time beyond the first hour of review work will be charged to you. The resultant review and improvement exercise is to be dealt with in accordance with your ISO 9000 quality system with corrective action request(s) raised to record any improvements.

Appendix B - Audit on re-entry of plant on the register or transfer of plant to new cab and chassis

Audit of T 8 certification in accordance with NZTA/NZRF T 8:2008

This is to advise you that, your certificate number xxxx for Applicator ABC123 Type x will be subject to audit.

This is meet the requirements in the NZTA/NZRF T 8 specification

8.7 Currency of Certification

Any applicator that has not been re-certified within a period of two (2) years from the expiry date of the last T/8 certificate shall require a T/8 Audit at time of recertification.

8.8 Transfer of plant to new cab and chassis

Where application equipment has been transferred from one cab and chassis to another, T/8 certification is required and this will be subject to T/8 Audit.

The applicator has been entered on the register pending the outcome of this audit.

You have had one previous audit in October 2012.

You are required to forward to me the T 8 inspection checklist, T 8 Run record sheet, T 8 summary sheet, any Testing Officer observation notes, Verifiers prompt sheet and photographs. As discussed please arrange for the plates and plastazotes to be verified by an independent Testing Officer. Please let me know who that will be and I will send them a report template.

A positive audit result will be communicated to you within five working days of the records being received and confirmation of compliant plates and plastazotes.

If further enquiry or investigation work relating to the audit is required, you will be advised in writing, and time beyond the first hour of review work will be charged to you. The resultant review and improvement exercise is to be dealt with in accordance with your ISO 9000 quality system with corrective action request(s) raised to record any improvements.

Appendix C - report on review of plates and plastazotes by an independent Testing Officer

Thank you for agreeing to undertake an independent review of plates and plastazotes from NZTA/NZRF T 8 testing for certificate xxxx Applicator ABC123.

The Testing Officer is xxxxx xxxxx and the applicator is owned by xxxxx Ltd

Would you please comment on the following

Recent application of material. `Sniff test` to determine plates have been marked at the date indicated for the test.

Correct recording of test run identifiers (as outlined in the Testing Officer Guide) on the plates prior to painting having taken place (observe mist/splatter on the testing run recorded on the plate)

Consistency between test plates on a single run – orientation, paint type, colour, line width, application rate consistency across and along the line, pattern of mist and splatter.

DFT measurements taken by the Testing Officer are correct.

Plastazote weight and calculations are correct and recorded on the pads

Are there any other matters you would like to comment on?

Appendix D - Report by Testing Officer for T 8 Testing being carried out under observation

Thank you for agreeing to undertake observation of NZTA/NZRF T 8 testing for Applicator ABC123.

The Testing Officer is xxxxx xxxxx and the applicator is owned by xxxxx Ltd

The purpose of this procedure is to assess the competence of the Testing Officer and you are required to give an account of your observations. Your role is observe and allow the Testing Officer to demonstrate their competence.

Any costs associated with the observation and reporting is the responsibility of the Roadmarker

Would you please advise the following:

That you were in attendance for the complete (part of the) test

What applicator(s) were tested

Test site

Dates of testing

Confirmation that the testing was carried out in accordance with the NZTA/NZRF T 8 specification

The Testing Officer had all required Test Kit elements

Comment on the competence of the Testing Officer

Plates and platazotes were compliant

Any other comments you would like to make about the test or Testing Officer