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| <b>SOP TITLE:</b>   | <b>TNI NEFAP Executive Committee Evaluation Procedure</b>                                                                                                                                                                                                                                                                      |
| <b>SOP NO.:</b>     | <b>5-105</b><br><b>Numerical Designator:</b><br>1 = Administrative and General Procedures<br>2 = Consensus Standards Development Program (CSDP)<br>3 = National Environmental Laboratory Accreditation Program (NELAP)<br>4 = Proficiency Testing Program (PTP)<br>5 = National Environmental Field Activities Program (NEFAP) |
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## 1.0 Purpose and Applicability

This document describes the procedures used by The National Environmental Field Activities Program (NEFAP) Executive Committee, henceforth referred to as the NEFAP Executive Committee, to evaluate NEFAP Accreditation Bodies (AB) for initial or continuing recognition. This program is based on the TNI Field Activities Standards: Volume 1 and Volume 2 latest adopted version.

This Standard Operating Procedure is applicable to initial or continuing evaluations of ABs conducted by NEFAP Evaluators. It is based on the policies of the TNI NEFAP Executive Committee and the TNI Field Sampling and Measurement Organizations (FSMO) Standards.

## 2.0 Summary

This document includes the procedures used to:

- Perform a completeness check of an AB's application and its attachments.
- Perform a document review of these materials.
- Perform an on-site evaluation of an AB, as applicable.
- Perform a witness assessment of the AB's assessor(s) performing a FSMO assessment.
- Complete the on-site evaluation report.
- Perform the review of and response to the AB's corrective action plans and corrective action implementation.
- Prepare an evaluation report to the TNI NEFAP Recognition Committee
- Grant a preliminary and a final decision on the recognition of an AB.

The evaluation of the systems, processes and procedures of the AB must provide a determination of the AB's conformance with the TNI FSMO standards and procedures set forth by the TNI NEFAP Executive Committee and its capabilities to perform FSMO assessments in a consistent, uniform manner.

## 3.0 Related Documents

FSMO-V1-2014 Rev 2: General Requirements for Accrediting Field Sampling and Measurement Organizations, or latest TNI adopted version.

FSMO-V2-2014 Rev 2: General Requirements for Accreditation Bodies Accrediting Field Sampling and Measurement Organizations, or latest TNI adopted version.

POL-104: Management of Records

## 4.0 Definitions

See ISO/IEC 17000 and the TNI FSMO Standards.

If conflicts in definitions or interpretations arise between the ISO/IEC and TNI FSMO standards, the TNI FSMO Standards shall govern.

|                 |                                                                                                                                               |
|-----------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Comment:</b> | Finding about documents or AB's practices with a potential of improvement; but still fulfilling the requirements                              |
| <b>Concern:</b> | Finding where, in the opinion of the evaluation team, the AB's practice may develop into a nonconformity. The evaluated AB is not expected to |

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|                       | respond to a concern but may do so if it wishes.                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Nonconformity:</b> | Finding where the AB does not meet a requirement of the applicable standard (FSMO-v2-2014 or current version), its own management system or the TNI NEFAP agreement requirements in a way that discredits its competence or jeopardizes the quality of its work. The evaluated AB is expected to respond to any nonconformity by taking appropriate corrective action and providing the team with evidence of implementation. |

**5.0 Personnel Qualifications and Responsibility**

- 5.1 All evaluation team members must meet minimum requirements for training and professional qualifications as defined in this Section.
- 5.2 The evaluators must successfully complete the appropriate NEFAP accreditation body evaluator-training course. The training course is in two parts: Part 1: TNI FSMO standard additional requirements and Part 2: ISO/IEC 17011 requirements. All evaluators must complete Part 1 training from a TNI-recognized training course. If the evaluator has successfully completed ISO/IEC 17011 from an IAF/ILAC recognized training course this may be used for completion of Part 2 training.
- 5.3 All members of the evaluation team must sign the conflict of interest statement. See Appendix A for the *Qualification and Conflict of Interest* form.
- 5.4 Evaluation teams must comply with the policies of the TNI NEFAP Executive Committee and the following criteria  
 The NEFAP evaluation team shall:
  - have at least one member of the NEFAP evaluation team who meets the education, experience and training requirements for FSMO assessors specified in Section 5.2 and
  - have at least one other member with experience that includes at least one of the following:
    - qualification as a lead assessor from an assessor training program recognized by TNI;
    - one year of experience implementing an accreditation program based on ISO/IEC 17011:2004; or
    - one year experience developing or participating at a managerial level in FSMO or related accreditation programs.
  - Have documentation (Appendix A) that verifies freedom from any conflict of interest that would compromise acting in an impartial nondiscriminatory manner.
- 5.5 The Lead Evaluator (LE) is responsible for planning activities. All members of the evaluation team must be involved to ensure that the evaluation is well planned and consistent with the evaluations of other ABs.
  - 5.5.1 The LE conducts a documentation review of the application and related material.
  - 5.5.2 The LE performs on-site evaluations of the AB as applicable.
  - 5.5.3 The LE provides input to the technical evaluator assigned to conduct the witness evaluation of the AB's assessor performing the FSMO assessment.
  - 5.5.4 The LE performs the review of and response to the AB's corrective action plans and corrective action implementation with input from the evaluation team.
  - 5.5.5 The LE completes evaluation reports with input from the evaluation team.
- 5.6 The Evaluation Coordinator (EC) is a TNI staff person that has the following duties

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- 5.6.1 Selects the Lead Evaluator and the Evaluation Team Members with the assistance of the Chair of the Recognition Committee, or designee.
  - 5.6.2 Assists the Lead Evaluator with any questions regarding the evaluation process.
  - 5.6.3 Assists the evaluation team by assuring all communication between the evaluation team and the AB, and between the evaluation team and the NEFAP Executive Committee and Recognition Committee occurs in a timely manner.
  - 5.6.4 Tracks and documents that all aspects of AB evaluations are performed in a timely manner in conformance with this Standard Operating Procedure (Appendix C).
  - 5.6.5 Reviews the AB application for completeness, with concurrence of the LE.
  - 5.6.6 Reviews the evaluation reports for completeness and consistency according to the evaluation SOP and the TNI standards.
  - 5.6.7 Provides documents listed in 6.10.3.1 and 6.11.1 to the Recognition Committee. Note: It works best if no interim or previous versions of documents are distributed until the committee members are ready to begin their review.
  - 5.6.8 Submits TNI agreements to the AB once final recognition is granted and retrieves a signature from the TNI Executive Director.
  - 5.6.9 Maintains final agreements and ensures appropriate fees are paid (application and annual basis).
  - 5.6.10 Maintains the TNI Website to ensure recognized AB's are entered upon the completion of the signed agreement.
  - 5.6.11 Reports to the NEFAP Executive Committee the status of the evaluation process and ensures team members meet the criteria for training and experience.
- 5.7 The Executive Committee as defined in SOP-5-103 formulates the evaluation procedure and has no active role in the decision making in regards to the accreditation body evaluations or final recognition decision. The Executive Committee participates in the following roles of the evaluation process:
- 5.7.1 Formulates a Recognition Committee to make decisions on AB evaluations and to grant final recognition.
  - 5.7.2 Reviews impartiality risks involved with selected members.
  - 5.7.3 Ensures training for evaluators is available. Note: Evaluation Team Members may be selected prior to the completion of training as long as a commitment is made by the member to obtain the necessary training requirements prior to performing an evaluation.
  - 5.7.4 Assists the Lead Evaluator in the case NEFAP policies and procedures are in question. This is processed through the Evaluation Coordinator to the Executive Committee in order to ensure handling of the item in a confidential manner.
- 5.8 The Recognition Committee is a Committee formulated and voted on by the Executive Committee to grant the final decision on the recognition of accreditation bodies. Recognition Committee Members:
- 5.8.1 Must be a TNI Member in good standing.
  - 5.8.2 Must be impartial to the evaluation for recognition.
  - 5.8.3 Must sign the conflict of interest statement. See Appendix A for *the Qualification and Conflict of Interest* form.
  - 5.8.4 Does not have to be a current member of the Executive Committee but must

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have the following credentials:

- 5.8.4.1 Must be familiar with TNI NEFAP program and its standards and NEFAP procedures by acknowledging having read the current documents.
- 5.8.4.2 Must have TNI-recognized training on the NEFAP process with documentation of completing the training (e.g.; an overview of the NEFAP evaluation and assessment program).
- 5.8.5 The Chair of the Recognition Committee is elected from the members of the Recognition Committee by the NEFAP Executive Committee. In cases where a conflict of interest or other reason the Chair cannot serve a function, the NEFAP Executive Committee may appoint a designee.
- 5.8.6 The Recognition Committee must be made up of at least three (3) members and no more than five (5) members.
- 5.8.7 The Recognition Committee members are to serve for a period of four (4) years and the executive committee reviews the Committee at the end of this period. There is no term of service for membership on this Committee. The Committee members serve at the discretion of the Executive Committee.
- 5.8.8 Recognition Committee Members are assigned the following tasks:
  - 5.8.8.1 Review the Evaluation Team observations and objective evidence on the Evaluation Performed of the designated AB.
  - 5.8.8.2 Provide a Decision on the Preliminary and Final Recognition of the AB for conformance to the TNI NEFAP requirements.
  - 5.8.8.3 Submit a letter on the decision to the AB, EC, and Executive Committee. Final recognition letters must also be sent to the TNI Board of Directors.

## 6.0 Procedures

### 6.1 Frequency and Scope of Evaluation

- 6.1.1 The TNI FSMO standards require ABs to be evaluated initially and at a minimum of once every four (4) years thereafter. This evaluation must include:
  - 6.1.1.1 Completeness and technical reviews of the application/renewal package,
  - 6.1.1.2 An on-site evaluation (this may be conducted in coordination with a national or international recognition program acceptable to the Executive Committee) as determined by the LE. Note: A NEFAP evaluator or representative may be an observer during a national or international evaluation of the AB.
    - a) At a minimum all accreditation bodies (or applicant ABs) must undergo a document review and at least one witness assessment to ensure all elements of the TNI NEFAP requirements are met. The LE reviews the application and documentation and determines the need for an on-site evaluation.
    - i. National or internationally recognized ABs may submit their respective evaluation report(s) to demonstrate conformance with ISO/IEC 17011. Where conformance to ISO/IEC 17011 is demonstrated in the report, these areas are not re-evaluated by the NEFAP evaluation team. Conformance to TNI requirements may be demonstrated through documentation or on-site evaluation as determined by the LE.

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- ii. ABs without national or international recognition to ISO/IEC 17011 must be evaluated for conformance to ISO/IEC 17011 by the NEFAP evaluation team during an on-site assessment.
- 6.1.1.3 Observation of the AB conducting an FSMO assessment in the field,
- 6.1.1.4 On-site evaluation report(s) with findings for both the on-site evaluation (as applicable) and the observation, and
- 6.1.1.5 Evaluation report review by the Recognition Committee to grant, maintain or deny recognition.
- 6.1.2 Once the evaluation team provides the final evaluation report to the NEFAP Recognition Committee for granting, maintaining or denying recognition, all subsequent communications shall be between the TNI NEFAP Evaluation Coordinator (EC) and the AB, with copies given to the Recognition Committee.
- 6.1.3 National or internationally recognized ABs who demonstrate compliance through submission of their ISO/IEC 17011 evaluation report, must notify the EC a minimum of 90 days before their next ISO/IEC 17011 evaluation so that it can be determined if NEFAP will conduct an on-site observation with the evaluation team.
  - 6.1.3.1 A copy of ISO/IEC evaluation reports and corrective action reports must be submitted to the EC within two weeks of receipt or submission.
  - 6.1.3.2 Any changes to the AB's national or international recognition status must be submitted to the EC within two weeks of receipt.
- 6.2 Selection of the Evaluation Team
  - 6.2.1 The EC and the Chair of the Recognition Committee approve the evaluation team. The evaluation team includes:
    - 6.2.1.1 A representative of another national or internationally recognized AB and/or NEFAP-recognized AB.
    - 6.2.1.2 A technical expert knowledgeable in the scope (this may be one or more).
    - 6.2.1.3 One year of experience implementing an accreditation program or one year experience developing or participating at a managerial level in FSMO or related accreditation programs.
  - 6.2.2 All evaluation team members work under the direction of the LE and must complete a Qualification and Conflict of Interest (COI) form (Appendix A).
  - 6.2.3 The applicant/renewal AB is notified of the process for evaluation by the EC by sending this procedure and the names of the Recognition Committee and selected Evaluation Team (Appendix B includes an example letter for notification and for response from the AB).
  - 6.2.4 The applicant/renewal AB has ten (10) calendar days after notification of the evaluation team members (bios submitted to AB) to submit a written objection with reason for the objection to the appointment of a LE or any team member(s). The EC and Chair of the Recognition Committee or designee shall consider the objection within ten (10) calendar days and appoint other team members as appropriate.
  - 6.2.5 The EC must document the role and qualifications of each evaluator selected. The documentation must demonstrate that the requirements of this procedure are met.

### 6.3 Application/Renewal Process

#### 6.3.1 Initial Application

- 6.3.1.1 Initial Application forms for NEFAP recognition are obtained from the NEFAP Evaluation Coordinator (EC) or TNI website.
- 6.3.1.2 The application must be signed and dated by an officer or authorized representative of the AB.
- 6.3.1.3 The completed application and supporting documents shall be submitted to the EC.
- 6.3.1.4 Upon receipt of the application and supporting documents the EC shall send an acknowledgement to the AB. The EC must establish an evaluation team.
- 6.3.1.5 The EC will record progress on the application using the "Application / Renewal Process Review Checklist" (Appendix C).

#### 6.3.2 Renewal Applications

##### 6.3.2.1 Notification

The EC sends a letter with a renewal application form to the AB at least 270 calendar days prior to the expiration of the AB's current NEFAP recognition. The letter includes a request for any changes since the previous application along with any updated documentation.

##### 6.3.2.2 Renewal Submittal

- a) The AB submits an electronic copy of the completed renewal application and any changes since the initial evaluation to the EC 60 days prior to the date agreed to for performing the evaluation. The renewal form identifies the information on file and requests any updates to this information.
- b) If the AB does not submit a renewal application within thirty (30) calendar days, the AB receives final notification from the EC by any method providing receipt confirmation that, if an application is not submitted within another twenty (20) calendar days, the AB's recognition expires on the date of the current NEFAP recognition certificate.

##### 6.3.2.3 Application Communications

Once the renewal package is given to the EC, and the LE is assigned, all subsequent communications shall be between the LE and the AB, with copies provided to the EC. The LE must respond to these communications as necessary.

#### 6.3.3 Application/Renewal Completeness Review

- 6.3.3.1 Following receipt of the Application/Renewal information, the EC shall review it for completeness within twenty (20) calendar days, using the "Application/Renewal Completeness Checklist" in Appendix D, and report to the LE.
- 6.3.3.2 If the information is not complete, the EC sends the completeness report to the LE for review. The LE sends the AB a Completeness Report (Appendix E includes an example of a report letter) in writing. The evaluation team members receive a copy of the Completeness Report.
- 6.3.3.3 The AB shall have thirty (30) calendar days from receipt of the



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Completeness Report to supply any missing information. If the missing material is not submitted, renewal must not proceed. Once the EC determines that the application is complete, he/she shall notify the LE, who shall in turn notify the AB.

6.3.3.4 Extensions up to thirty (30) calendar days may be granted.

6.3.4 Application Document Review

6.3.4.1 The Lead Evaluator shall conduct a document review to verify that all required items have been addressed. The applicant's completed "Application/Renewal Completeness Checklist" (Appendix D) is used as a guide to determine accreditation body conformance with the TNI FSMO Standard. The LE may request other members of the evaluation team to assist with the document review. Part of this review is to determine if there is a need for an on-site evaluation of the ABs location in order to evaluate conformance to TNI FSMO standard Volume 2.

6.3.4.2 The LE shall review the application and supporting documents to evaluate whether the AB's accreditation program requires its FSMOs to meet TNI FSMO Volume 1 current adopted version as well as any applicable media-specific standards.

6.3.4.3 Also, the document review shall follow the requirements of the TNI FSMO Standard and relevant scope requirements. (An example "Checklist to Determine Accreditation Body Conformance" can be obtained from the EC and Appendix F includes an example notification letter regarding the document review.)

6.3.4.4 The LE has thirty (30) calendar days to conduct this review after the application is determined complete and respond in writing to the AB. The LE must send the outcome of the document review including any nonconformity report to the AB with copy to the EC.

6.3.4.5 The AB must respond in thirty (30) calendar days to any nonconformities with documentation of implementation of corrective actions. If the AB requires more than thirty (30) days to implement corrective action, the corrective action plan must be submitted within thirty (30) calendar days. The LE shall review and respond to the AB's corrective actions within thirty (30) calendar days of receipt.

6.3.4.6 If the AB's corrective actions do not address all nonconformities, the NEFAP LE must notify the AB that it must submit another corrective action document for the remaining nonconformities within thirty (30) calendar days of the AB's receipt of this notification.

6.3.4.7 The LE shall review the AB's second corrective action response within thirty (30) calendar days of receipt. If application nonconformities remain after the second attempt to resolve them, the LE shall document the unresolved nonconformities and report to the NEFAP Recognition Committee to make the decision to:

- deny the AB's application for initial recognition, or
- revoke the AB's recognition.

6.3.4.8 If the initial application/renewal information contains no nonconformities or if the nonconformities were resolved, the Lead Evaluator shall provide the EC with a preliminary evaluation completion letter (similar in format to Appendix G). The EC shall forward the letter to the Recognition Committee.

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- a) The following documentation shall be submitted with the letter to the Recognition Committee:
    - Evaluation Team's Document Review Report with objective evidence observed of conformance or nonconformance to the TNI Volume 2 requirements.
    - AB's Document Review Report Corrective Action Response.
    - Copy of Scope
  - 6.3.4.9 Upon review, the NEFAP Recognition Committee provides a decision on the preliminary recognition of the AB for conformance to the TNI NEFAP requirements. The vote is by simple majority.
  - 6.3.4.10 This decision is submitted in writing to the AB, EC, and Executive Committee.
  - 6.3.4.11 The on-site evaluation can be scheduled.
  - 6.3.4.12 Disagreements with matters concerning recognition can be addressed through the TNI NEFAP Dispute Resolution Procedure (SOP-5-104).
- 6.4 Scheduling the On-Site Program Evaluation
- 6.4.1 Once the LE determines that the AB's application is accepted and recommended for preliminary recognition, the AB is notified within thirty (30) calendar days to schedule the on-site evaluation as needed (see Section 6.1.1.2). If it is determined an on-site evaluation shall be conducted, it must occur within sixty (60) calendar days of completion of the application technical review and at the mutual convenience of the evaluation team and the AB. The EC will coordinate the dates with the AB and the evaluation team.
  - 6.4.2 The LE, on behalf of the evaluation team sends a written confirmation to the AB of the logistics required to conduct the evaluation, and to all of the evaluation team members. The written confirmation shall include, but is not limited to:
    - 6.4.2.1 onsite evaluation date and agenda or schedule of activities,
    - 6.4.2.2 copies of the standardized evaluation checklists,
    - 6.4.2.3 the names, titles, affiliations, and on-site responsibilities of the NEFAP evaluation team members, and
- 6.5 Conducting the On-Site AB Evaluation
- 6.5.1 The evaluation team shall conduct an opening meeting prior to the start of the evaluation.
  - 6.5.2 The evaluation team shall conduct a comprehensive evaluation of the AB's accreditation program to determine the accuracy of information contained in the AB application and the AB's conformance to the TNI Standards and relevant program requirements. The evaluation team must do this by:
    - 6.5.2.1 interviewing management and technical staff (AB assessors) and reviewing internal AB audits to determine if corrective actions were taken to address noted nonconformities (interviewing of technical staff may be performed remotely);
    - 6.5.2.2 reviewing a representative number of files adequate for the ABs program size from the list of TNI accredited FSMOs, (more files should be reviewed if significant nonconformities warrant);
    - 6.5.2.3 reviewing evaluation forms submitted by FSMOs;

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- 6.5.2.4 reviewing records of FSMO complaints, disputes and appeals;
  - 6.5.2.5 reviewing the training records and conduct interviews of AB staff designated as qualified assessors to evaluate their training, knowledge of assessment techniques and the TNI Standard;
  - 6.5.2.6 observing the AB during its on-site assessment of a FSMO. The FSMO selected should hold sufficient fields of accreditation to allow the team to observe a comprehensive on-site assessment by the AB. A second FSMO assessment observation may be necessary if an FSMO with multiple fields of accreditation is not due for an AB assessment; and
  - 6.5.2.7 reviewing any non-conformances, concerns or comments from the previous evaluation.
- 6.5.3 When selecting FSMO files to review, the evaluation team selects those with varying fields of accreditation and different assessors as appropriate. The evaluation team must include files from (i) a FSMO that has lodged a complaint, if applicable; and (ii) a FSMO that was subject to administrative action through severe quality system nonconformities if applicable. At a minimum, the team reviews the following information in each FSMO file:
- Application
  - Selection of assessors including review of conflict of interest
  - TNI FSMO standard requirements
  - Proficiency testing (PT) results for compliance with methodological and program requirements if applicable
  - Nonconformity report(s)
  - Corrective action report(s)
  - Correspondence
  - Final report
  - Certificate if granted
- 6.5.4 The team conducts an exit debriefing to discuss all noted nonconformities, concerns and comments. In general, the Evaluation Team should follow the auditing principles as defined in ISO 19011. If any disputes or interpretation are identified, these are to follow the dispute resolution SOP.
- 6.6 Documentation of Findings from the On-Site Program Evaluation
- 6.6.1 Documentation of the findings shall be delineated in the final report, along with the observations of the accreditation body's on-site assessment of a FSMO.
  - 6.6.2 Findings include identification of nonconformities, concerns and comments.
  - 6.6.3 The evaluation team has thirty (30) calendar days to prepare and send the findings and report of the on-site evaluation to the AB by any method providing receipt confirmation. A copy is also distributed to the EC. (Note: The AB evaluation is not considered complete until the document review, on-site evaluation (if deemed necessary) and FSMO assessment(s) are complete.)
- 6.7 Scheduling of the Witness Evaluation of the FSMO Assessment
- 6.7.1 At least one member of the NEFAP evaluation team must observe the AB conducting an actual on-site FSMO assessment. This team member must have the technical competence in the area being assessed by the AB. At the time of the

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scheduling of the on-site evaluation, the LE should request from the AB a schedule of upcoming FSMO assessments. The LE uses this schedule to select the FSMO assessment which is observed during the on-site evaluation or other mutually agreed time. (Note: Although the observation can be conducted prior to the on-site AB evaluation, it should not take place until after the technical review issues have been resolved). The AB will make arrangements to have a representative from the AB's staff to be available during the witness of the FSMO assessment. The AB staff will be the official point of contact for the evaluation team.

6.7.2 The EC, with the assistance of the Lead Evaluator (in consultation with the AB), may elect to send more than one member of the evaluation team to observe the assessment. This decision should be based on: (1) the scope of the FSMO assessment and the number of AB assessors involved, and (2) the availability of members of the evaluation team. This decision is disputable under TNI NEFAP Dispute Resolution Procedure (SOP-5-104).

6.7.3 The number and type of FSMO assessments scheduled is based on the key activities of the AB. The EC, Lead Evaluator and Chair of the Recognition Committee or designee provides the rationale for the selection of the number and type of FSMO assessment(s) to be performed as part of the evaluation to the AB.

6.8 Conduct of the FSMO Assessment Witness Evaluation

6.8.1 During the FSMO assessment witness evaluation, the evaluation team member's role is to observe the AB's FSMO assessment team. The evaluation team members are not active participants in the FSMO assessment. The evaluation team member(s) must make every effort to observe as many aspects of the AB's assessment as possible and should make sure to concentrate on areas where the technical review may have revealed weaknesses in the AB's program.

6.8.2 The appropriate sections of the LE's checklist shall be completed.

6.8.3 Prior to the evaluation of the FSMO assessment, the evaluator must determine the need for specific safety training, safety equipment or other site-specific requirements (e.g. security, confidentiality and insurance). A review of the site logistics between the evaluator and the AB assessor must be completed at least one week prior to the evaluation assessment.

6.9 Documentation of the FSMO Assessment and On-site Evaluation

6.9.1 Each member of the evaluation team that participates in the FSMO assessment witness evaluation and the on-site evaluation must discuss his/her comments, concerns and/or non-conformities with the AB staff representative to assure they understand the outcome of the witness prior to the evaluator sending that information to the LE. A summary of the findings from the evaluation should be provided to the AB immediately following each step of the evaluation. The team member must transmit his/her observations to the LE for inclusion in the final evaluation report. The on-site evaluation report must be transmitted to the LE within fourteen (14) calendar days following the FSMO witness evaluation or following the on-site evaluation

6.9.2 Following completion of the evaluation report by the LE and review by the evaluation team, Recognition Committee Chair and EC, the evaluation report shall be sent to the AB within forty-five (45) calendar days of completion of the on-site evaluation and the witness evaluation of the FSMO assessment.

6.9.3 The AB is required to provide a corrective response within thirty (30) calendar days from receipt of the report .

#### **6.10 Response to the AB Corrective Action Report (CAR)**

- 6.10.1 Each member of the evaluation team must review the AB's response to the on-site evaluation report, including its proposed corrective actions, and transmit their review to the LE within ten (10) calendar days. The LE shall respond to the AB in writing, within thirty (30) calendar days of receipt of the AB CAR.
- 6.10.2 If the AB CAR does not address all nonconformities, the LE shall notify the AB by any method providing receipt confirmation that it must submit another CAR for the remaining nonconformities within twenty (20) calendar days of receipt of this notification.
- 6.10.3 If the LE determines that the AB has corrected all of the nonconformities, the final report is submitted by the EC to the NEFAP Recognition Committee for a decision to be made to either grant or deny recognition. An example report format is included in Appendix G.
- 6.10.3.1 The following documentation shall be submitted with the report:
- Evaluation Team's Document Review Report with objective evidence observed of conformance or nonconformance to the TNI Volume 2 requirements.
  - AB's Document Review Report Corrective Action Response.
  - Evaluation Team's On-site Evaluation Report including the witness assessment of FSMO(s). Note: The need for on-site evaluation is determined by the LE
  - AB's On-site/Witness Evaluation Corrective Action Response.
  - Completed Evaluation Checklist with objective evidence observed of conformance or non-conformance to the TNI Volume 2 requirements.
  - Copy of Scope.
  - FSMO Example Certificate.
  - (If applicable) Copy of the recognition documentation as meeting ISO/IEC 17011.
  - (If applicable) Preliminary Recognition Letter.

#### **6.11 Recognition Decision by the NEFAP Recognition Committee**

- 6.11.1 Copies of the evaluation team's final report, including the documents described in Section 6.10.3.1, are forwarded to the EC to forward to the Recognition Committee for review. The EC shall also forward the following documentation:
- Qualifications of the Evaluation Team (resume, COI statements, training dates) to ensure SOP 5-105 requirements were met.
  - Application/Renewal Completeness Checklist (Appendix D).
  - AB Application (without attachments).
- 6.11.2 The NEFAP Recognition Committee reviews the Evaluation Team objective evidence of findings and (1) assures it is unbiased (2) demonstrates a consistent interpretation of the standard and (3) is complete (demonstrates all elements of TNI FSMO Volume 2 are performed by the AB for assurance the FSMO implementation TNI FSMO Volume 1).
- 6.11.3 Upon review, the NEFAP Recognition Committee provides a decision on the recognition of the AB for conformance to the TNI NEFAP requirements. The vote is by simple majority.
- 6.11.4 This decision is submitted in writing to the Accreditation Body, Evaluation

Coordinator, Executive Committee and TNI Board of Directors. (An example recommendation letter can be found in Appendix H.)

- 6.11.5 Disagreements with matters concerning recognition can be addressed through the TNI NEFAP Dispute Resolution Procedure (SOP-5-104).

#### 6.12 **The NEFAP Recognition - Issuance of Certificate of Recognition to the AB**

The issuance of Certificates of Recognition shall be the responsibility of the NEFAP Evaluation Coordinator and shall be done in accordance with the requirements of this procedure. The renewal or dismissal letter and the certificate, if one is awarded, must be issued and mailed by the EC or Chair of the NEFAP Executive Committee. The Certificate is signed by the NEFAP Executive Committee Chair. A new applicant AB has two years to complete the application process from application through resolution of corrective action. If recognition is not granted within two years of the application date the AB must reapply. Reapplication requires the resubmittal of the application package including any applicable fees.

Note: If delays are caused by NEFAP the re-application process does not apply.

#### 6.13.1 Handling of Unexpected Circumstances

In the event that the team encounters an unexpected or unusual circumstance, the LE should seek guidance from the EC and Chair of the Recognition Committee or designee. In the case the EC and Chair of the Recognition Committee or designee cannot assist the LE then the NEFAP Executive Committee must be requested to assist. This must be handled in a confidential manner.

### **7.0 Criteria, Checklists, Standards**

- 7.1 All evaluators must ensure that they are using the correct version of the TNI FSMO standards and AB/FSMO checklists based on the correct version.
- 7.2 The complete TNI FSMO Standard must be available at the accreditation body. The checklist used by the accreditation body for the assessment of FSMOs must include all requirements found in Volume 1.
- 7.3 An example evaluation checklist is provided by the EC to the LE. This checklist is presented in the order of the TNI standard and it must be used for the evaluation or an equivalent checklist may be used after approval by the EC. The relevant parts of the checklist are completed to provide objective evidence of conformance to the requirements.
- 7.4 Current editions of the example accreditation and evaluation checklists are available from the EC.

### **8.0 Records Management**

- 8.1 Records associated with the evaluation of the ABs are deemed confidential information. The records are stored in accordance with the TNI policy for records management (POL-104).
- 8.2 The EC, under the direction of the LE, is responsible for submitting all documents as required in this procedure to the NEFAP Recognition Committee within thirty (30) calendar days of the team's final recommendation.
- 8.3 The LE and evaluation team members must submit all records to the EC within thirty (30) calendar days of the recognition decision. The LE and team members shall not retain records of the evaluation following the NEFAP Recognition Committee decision.
- 8.4 Final records are deemed confidential and are to be stored in accordance with the TNI

policy for records management (POL-104).

8.5 Records are stored for at least two (2) evaluation cycles.

**9.0 Quality Control**

9.1 The NEFAP Executive Committee must review this SOP annually. Input from applicant(s), recognized ABs, the Recognition Committee and evaluation teams must be requested in order to provide feedback on the evaluation and recognition process.

9.2 This review must be documented and any changes deemed necessary must be made following the TNI procedure.

9.3 If the document is revised, the revisions must be distributed to the appropriate stakeholders, including but not limited to applicant(s), recognized ABs, evaluators, and the Recognition Committee members.

**10.0 References**

TNI FSMO Standards Volume 1 and 2, latest edition

ISO/IEC17000, latest edition

ISO/IEC 17011, latest edition

ISO/IEC 17025, latest edition

ISO 19011, latest edition

**11.0 SOP Approved Changes**

| Prev. SOP No. | New SOP No. | Date of Change | Description of Change                                                                                                                                                                                                                                                                                                                                                                        |
|---------------|-------------|----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| N/A           | 5-105 Rev 0 | 08/07/10       | New Document.                                                                                                                                                                                                                                                                                                                                                                                |
| 5-005 Rev 0   | 5-105 Rev 1 | 08/06/12       | Revisions: Addition of a Recognition Subcommittee to recognize ABs (appointment, procedures, etc...), expand EC role, clarify all rolls, addition of how to handle unexpected circumstances, and clarification of standard version to use.                                                                                                                                                   |
| 5-005 Rev 1   | 5-105 Rev 2 | TBD            | Revisions: Name change to Recognition Committee, update references, update attachments, include documents for Recognition Committee to review, update process for preliminary recognition, clarify need for on-site evaluations, stipulate who signs certificate, update and include additional examples in Appendices, and incorporate policy in final appendix into SOP – delete appendix. |

**APPENDIX A**  
**NEFAP Evaluation Team Qualification and Conflict of Interest (COI) Form**

Name \_\_\_\_\_

Organization \_\_\_\_\_

Date of NEFAP Evaluator Training Course \_\_\_\_\_

*(Need one of the three below within last 5 years – keep what is applicable below and delete what is not. Delete this text in italics too. Ensure resume matches. Recognition Committee members can delete this section.)*

Additional Requirements:

- Qualification as a lead assessor from an assessor training program recognized by TNI (Course: \_\_\_\_\_ Date of Training: \_\_\_\_\_).
- One year of experience implementing an accreditation program.
- One year experience developing or participating at a managerial level in FSMO or related accreditation programs.

Name of Accreditation Body Being Reviewed \_\_\_\_\_

This statement shall be signed by the evaluation team leader, team members, observers of a NEFAP evaluation team and members of the Recognition Committee.

I declare that I shall act impartially and I shall not reveal information gained through evaluations and/or evaluation reports to anyone who does not have the right to access such information or who has not signed this statement.

*(Pick one of the following statements to complete and delete the one not used. Delete this text in italics.)*

Additionally, I declare that I do not have a conflict of interest with the parties involved in the evaluations or review of the evaluations that I shall participate in.

OR

Outside of the conflicts listed below, I declare that I do not have a conflict of interest with the parties involved in the evaluations or review of the evaluations that I shall participate in:

- Xxx
- 

Signature \_\_\_\_\_

Date \_\_\_\_\_



## APPENDIX B

### Example AB Notification Letter of Evaluation Team and Recognition Committee

[DATE]

[AB]

[ADDRESS]

[AB CONTACT],

In accordance with the TNI NEFAP SOP 5-105, we are writing to determine your agreement to the evaluation team to perform your evaluation. A copy of this SOP can be found on the TNI website (nelac-institute.org) to describe the evaluation process. The Lead Evaluator has committed to completing the document review by [DATE]. The outcome of the document review will be reported to you by that date. If any corrective actions are needed these will be handled per the procedure and may delay the target review date.

The following team has been selected to perform your evaluation and review documentation:

Lead Evaluator: [NAME]

ISO/IEC 17011 training: x/x/x

TNI FSMO Standard Training (AB Evaluator Training): x/x/x

Evaluator: [NAME]

TNI FSMO Standard Training (AB Evaluator Training): x/x/x

*(need one of the two below within last 5 years – keep what is applicable and ensure resume matches)*

Qualification as a lead assessor from an assessor training program recognized by TNI or

One year of experience implementing an accreditation program.

Recognition Committee: [NAMES]

Each NEFAP approved evaluation team includes:

- a representative of another national or internationally recognized AB and/or NEFAP-recognized AB without a significant conflict of interest
- a technical expert knowledgeable in the scope (this may be one or more) and without a conflict of interest.
- One year of experience implementing an accreditation program or one year experience developing or participating at a managerial level in FSMO or related accreditation programs.

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Enclosed you will find a copy of each evaluator's resume and a copy of their "Evaluation Team Conflict of Interest Form". You will also find copies of Conflict of Interest forms for the members of the Recognition Committee.

We would also like to know if you have any objections to TNI sending the submitted documents to the lead evaluator and later designated technical evaluators via electronic mail.

You have ten (10) calendar days after receipt of this letter to submit a written objection with reason for the objection to the appointment of a Lead Evaluator or any team member(s). The NEFAP Executive Committee shall consider the objection with ten (10) calendar days and appoint other team members as appropriate.

Please confirm your receipt of the letter and acceptance of the evaluation team as soon as possible.

Sincerely,

The NELAC Institute  
NEFAP Evaluation Coordinator

Please check one selection from each box and sign - thank you

- |                                                                                                                                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> No objections to the lead or technical evaluators presented in this letter. Information will be forwarded to the AB within three (3) business days. |
| <input type="checkbox"/> We have objections to the listed evaluators for the reasons presented below (or in the attached)                                                    |

- |                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> No objection to the use of electronic mail to distribute documents to the designated evaluators. |
| <input type="checkbox"/> We have objections to the use of electronic mail. We will use a secure site for distribution.    |

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

## APPENDIX C Application/Renewal Process Review Checklist

AB Applicant \_\_\_\_\_ Lead Evaluator (LE) \_\_\_\_\_  
 Evaluation Team Members \_\_\_\_\_ Evaluation Coordinator (EC) \_\_\_\_\_

| Item                                                                                                                          | Calendar Days Allowed                        | Date Completed | Completed By |
|-------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|----------------|--------------|
| Assignment of Evaluation Team                                                                                                 |                                              |                |              |
| Renewal Notification, if applicable                                                                                           | 270 days before expiration                   |                |              |
| NEFAP Evaluation Coordinator (EC) sends out renewal letter                                                                    | 270 - before expiration                      |                |              |
| AB returns complete application or renewal material                                                                           | 30                                           |                |              |
| EC notifies AB of late application                                                                                            | --                                           |                |              |
| AB must respond to late application notice                                                                                    | 20                                           |                |              |
| Conflict of Interest forms submitted to LE by all evaluators                                                                  | Before assignment                            |                |              |
| LE informs NEFAP EC of COI (Y/N)                                                                                              | --                                           |                |              |
| EC assigns Evaluation Team with the assistance of the Chair of the Recognition Committee or designee and notifies the AB      | --                                           |                |              |
| AB make objections to Evaluation Team, (optional)                                                                             | 10                                           |                |              |
| The EC and Chair of the Recognition Committee or designee considers objection and appoints new members of the evaluation team | 10                                           |                |              |
| Application Completeness Review                                                                                               | 20                                           |                |              |
| AB responds to request for providing any missing information                                                                  | 20<br>up to 20 day extension request allowed |                |              |
| LE conducts and reports on the document review                                                                                | 30                                           |                |              |
| AB response to nonconformity(s)                                                                                               | 30<br>Plan or implement                      |                |              |
| LE reviews response of Corrective Action                                                                                      | 30                                           |                |              |
| LE 2nd notice of nonconformities to AB                                                                                        | 20                                           |                |              |
| AB 2nd response to nonconformities                                                                                            | 20                                           |                |              |

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| Item                                                                                                                                                         | Calendar Days Allowed                          | Date Completed | Completed By |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|----------------|--------------|
| LE reviews 2nd response                                                                                                                                      |                                                |                |              |
| Schedule On-Site AB Evaluation                                                                                                                               | 30                                             |                |              |
| LE notifies AB of on-site review logistics                                                                                                                   |                                                |                |              |
| Conduct on-site review, if applicable                                                                                                                        |                                                |                |              |
| Conduct Witness of AB Assessment of FSMO                                                                                                                     |                                                |                |              |
| On-site or Witness evaluation report transmitted to LE.                                                                                                      | 14                                             |                |              |
| Prepare Final Report – Evaluation Team                                                                                                                       | 30                                             |                |              |
| Send Report to AB, including nonconformity(s), if any (Report must be reviewed by evaluation team, EC and Recognition Committee Chair before sending to AB.) | 45 calendar days on-site or witness assessment |                |              |
| AB response to Final Report                                                                                                                                  | 30 calendar days from receipt of Rpt.          |                |              |
| Evaluation team reviews response and LE reports on the review (Evaluation team review due to LE in 10 calendar days)                                         | 30 calendar days                               |                |              |
| If response does not address nonconformity(s), AB submits another CAR.                                                                                       | 20 calendar days                               |                |              |
| If nonconformity(s) addressed, LE submits final report to EC who submits it to the NEFAP Recognition Committee.                                              |                                                |                |              |
| The Recognition Committee prepares a recommendation letter to the TNI NEFAP Executive Committee.                                                             |                                                |                |              |
| Re-evaluation requirement                                                                                                                                    | 4 years                                        |                |              |

**APPENDIX D  
 Application/Renewal Completeness Checklist**

**National Environmental Field Activities Program Accreditation Application  
 Completeness Checklist**

|                                                                                                                                                                                                   |                            |                           |                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|---------------------------|----------------|
| <b>ACCREDITATION BODY NAME:</b>                                                                                                                                                                   | [AB]                       |                           |                |
| <b>REQUIRED INFORMATION</b>                                                                                                                                                                       | <b>COMPLETED BY THE AB</b> | <b>FOR NEFAP USE ONLY</b> |                |
| Reference TNI NEFAP document<br><i>Volume 2: General Requirements for Accreditation Bodies Accrediting Field Sampling and Measurement</i>                                                         | <b>Document Citation</b>   | <b>Included Y / N/ NA</b> | <b>Comment</b> |
| 1. The name, mailing address, telephone number, electronic mail address, and facsimile number of the accreditation body. ISO/IEC 17011 Section 4.1                                                |                            |                           |                |
| 2. Copies of the policies, guidance documents, promulgating instructions and standard operating procedures governing the operation of the accreditation body's program. ISO/IEC 17011 Section 5.3 |                            |                           |                |
| 3. Documentation of the accreditation body's arrangements for liability insurance and workman's compensation insurance coverage as required in subsection. ISO/IEC 17011 Section 4.5              |                            |                           |                |
| 4. The requirements governing how the accreditation body restricts the use of its accreditation by accredited FSMOs                                                                               |                            |                           |                |
| 5. The fields of accreditation for which the accreditation body offers accreditation to FSMOs. (Application form)                                                                                 |                            |                           |                |

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|                                                                                                                                                                                                                       |  |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
| <p>6. The name and title of the primary person responsible for the day-to-day management of the accreditation body's FSMO accreditation program. ISO/IEC 17011 Section 6.2.5.1</p>                                    |  |  |  |
| <p>7. The personnel listing, areas of responsibility, education and defined skills of the accreditation body's FSMO accreditation program personnel including commitment documentation. ISO/IEC 17011 Section 6.0</p> |  |  |  |
| <p>8. The example contractual agreements for subcontracting used by the accreditation body related to FSMO accreditation activities. ISO/IEC 17011 Section 7.4</p>                                                    |  |  |  |
| <p>9. Copy of the management system manual including a description of the accreditation body's FSMO accreditation program. ISO/IEC 17011 Section 5.2</p>                                                              |  |  |  |
| <p>10. The evaluation checklist completed by the AB along with the example FSMO checklist used by the AB for assessments. (Application)</p>                                                                           |  |  |  |
| <p>11. A description of the accreditation body's assurance of impartiality. ISO/IEC 17011 Section 4.3</p>                                                                                                             |  |  |  |
| <p>12. The location of the listing of FSMO's and example scope.</p>                                                                                                                                                   |  |  |  |
| <p>13. For ILAC signatories, the last ILAC evaluation report.</p>                                                                                                                                                     |  |  |  |
| <p>14. The accreditation body's findings, reports and corrective actions from internal audit conducted in the last year. ISO/IEC 17011 Section 5.7</p>                                                                |  |  |  |
| <p>15. The accreditation body's Management Review for the last year. ISO/IEC 17011 Section 5.8</p>                                                                                                                    |  |  |  |

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|                                                                                                                                                                                                                                                                                                                                                  |  |  |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
| 16. A signed certification statement that the accreditation body meets the provisions of the TNI FSMO standards. (Application form)                                                                                                                                                                                                              |  |  |  |
| 17. The application must be signed and dated by the person authorized and responsible for accreditation activities for which NEFAP recognition is being sought. By signature on the application, the individual must attest to the validity of the information contained within the application and its supporting documents. (Application form) |  |  |  |

Person completing this checklist: [LE] and [EC]

Date of review: [Date(s)]

Request for missing information, if any: [Date(s)]

Application complete and date submitted to evaluation team: [Date]

## APPENDIX E

### Model Letter for Application/Renewal Completeness Review

#### EXAMPLE

[Date]

Dr. Xxxxx N. Yyyyyyy  
Xxy State Dept. of Health  
P.O. Box XXX  
Xxxx, Xxx 45690

Dear Dr. Yyyyyyy,

The National Environmental Field Activities Program (NEFAP) Evaluation Team Leader (LE) assigned to the [AB] Accreditation Body has completed its review of the [renewal information or initial application] dated [DATE]. As you are aware, the LE conducts a completeness review in order to determine whether or not the information and supporting documentation required in the TNI Standards has been included in the application.

The LE and Evaluation Coordinator found that the [AB] application is incomplete because:

[List nonconformities and reference TNI FSMO Standard for each nonconformity]

[List concerns, comments related to the documentation]

According to the TNI NEFAP procedure, you have 20 calendar days from receipt of this letter in which to provide the requested information. Thank you for your prompt attention to this matter. If you have any questions, please feel free to contact me at (xxx) yyy-zzzz.

Sincerely,

Yyyy Y. Zxxzz  
NEFAP Lead Evaluator

cc: Evaluation Coordinator  
[Evaluation Team Member(s)]



## APPENDIX F

### Model Letter for Document Review

#### EXAMPLE

[Date]

Dr. Xxxxx N. Yyyyyyy  
Xxy State Dept. of Health  
P.O. Box XXX  
Xxxx, Xxxx 45690

Dear Dr. Yyyyyyy,

The TNI National Environmental Field Activities Program (NEFAP) Lead Evaluator (LE) assigned to the [AB] evaluation, has completed the document review of the initial application dated [DATE] for the operation of an accreditation body performing accreditation of Field Sampling and Measurement Organizations for Sampling and Testing as defined in the applicable TNI FSMO Standards Volume 1 and Volume 2. As you are aware, the Lead Evaluator conducts a completeness review in order to determine whether or not the information and supporting documentation required in the TNI Standards have been included in the application.

This off-site document review was conducted in accordance with the TNI NEFAP Executive Committee Evaluation Procedure SOP 5-105 (effective [DATE]) by the TNI NEFAP assigned Lead Evaluator in order to determine whether or not the [AB]'s environmental FSMO accreditation program documentation meets the requirements of the TNI FSMO Volume 2 and requires its accredited FSMO's to meet the requirements set forth in the TNI FSMO Volume 1. This review was based on the FSMO-V1- [YEAR]- Rev[Rev#] and FSMO-V2- [YEAR]- Rev[Rev#] standards.

The LE has identified any findings (Nonconformities, Concerns or Comments) on Attachment 1, "Checklist to Determine Accreditation Body Conformance." Items checked "No" are nonconformities. Specific comments relative to each nonconformity are provided in the "Document Location/Comments" column. In addition to any items which have been checked "No," there are items that may include a "?" in either the Yes or No column. In these instances the LE could not determine if the requirement had been met or not. Additional information to clarify what has been provided is needed by the LE in order to make a final determination. This additional clarifying information should be provided in your response to this report. Please note that while some items have been checked "Yes," the actual implementation of these requirements cannot be assessed until the actual on-site assessment of the XYX AB program takes place [INCLUDE DATE IF KNOWN]. Concerns and Comments are noted at the end of the checklist.

The results of this review included x Nonconformities, x Concerns and x Comments. This review and determination was based on the quality documentation provided from [AB] and through discussions with [AB] representatives. Based on this review, it has been determined that an on-site evaluation is not necessary [INCLUDE APPROPRIATE TEXT HERE – EVALUATION NECESSARY, NOT NECESSARY OR DECISION WILL BE MADE AFTER REVIEW OF CORRECTIVE ACTION RESPONSE].

Per NEFAP requirements, you have 30 calendar days in which to provide a corrective action response to this technical report. If applicable, please submit your response to the LE and the NEFAP Evaluation Coordinator along with any new or updated documentation supporting your corrective action response.

If you have any questions or require clarification regarding any of our findings, please feel free to contact me at (xxx) xxx-xxxx.

Sincerely,

Yyyy Y. Zxxzz  
NEFAP Lead Evaluator  
Attachments

cc: NEFAP Evaluation Coordinator, [Insert Evaluation Team members]

## **APPENDIX G**

### **Model Completion Letter to the TNI NEFAP Recognition Committee from the Evaluation Team**

EXAMPLE  
[Date]

**Final Report: [AB] Evaluation – TNI National Environmental Field Activities Program**  
**Lead Evaluator (LE): [Name]**

**To: National Environmental Field Activities Program Recognition Committee**

The National Environmental Field Activities Program (NEFAP) evaluation team assigned to the [AB] evaluation has completed its evaluation of this Accreditation Body. In accordance with Volume 1 and 2 of the TNI FSMO Standards and with [insert media-specific standard here if applicable]. The evaluation consisted of the following: 1) a technical review of the [AB] application for renewal and its supporting documentation 2) an on-site evaluation of the [AB] FSMO accreditation program, and 3) a witness evaluation of [AB] conduct of an FSMO assessment. Each of these parts of the evaluation is discussed below.

Evaluation Team members:

- [insert Evaluation Team members]

#### **Application Completeness Review**

The LE completed an Application Document Review per TNI NEFAP SOP 5-105 and completed the Application / Renewal Completeness Review Checklist detailing this activity. This checklist was issued on [DATE]. Based on this review the [AB] application documentation appeared complete and approved for continuation to the document review phase of the evaluation procedure.

#### **Document Review**

The evaluation team completed its document review and issued a report detailing findings on [DATE]. In a response dated [DATE], [AB] provided a list of corrective actions taken to address any nonconformities noted. The team reviewed these corrective actions and determined that they adequately addressed the findings noted.

#### **On-Site Evaluation**

The team conducted an on-site evaluation of the [AB] NEFAP FSMO accreditation program on [DATE]. The team interviewed [#] [AB] staff members, reviewed FSMO files, training files, complaint files, and PT records as applicable. The team documented [#] instances in which [AB] was determined to be in non-conformance with the NEFAP standards. A report was prepared and sent to [AB] on [DATE]. [AB] provided a corrective action plan for the [#] findings on [DATE]. The evaluation team has reviewed these corrective action responses and finds them to be acceptable.

*(In some cases it may be appropriate to state the evaluation was conducted with another audit team such as a national or international team.)*

#### **Witness Evaluation**

The Technical Evaluator performed a witness evaluation of [AB]'s assessment of [FSMO NAME] in [CITY, STATE] on [DATE]. The conduct of this assessment was found to be in conformance with the TNI FSMO standards. No significant deviations were observed.

## Summary

In accordance with TNI NEFAP Executive Committee Evaluation Procedure (SOP 5-105, effective [DATE]) and based upon the off-site document review of the [AB] documentation, on-site evaluation and onsite technical witness evaluation of the [AB] FSMO accreditation process supporting compliance with FSMO-V2- [DATE]-Rev [#] requirements, the AB has been found to be in conformance with the requirements of the TNI FSMO standards.

Please find copies of the following documents to support this conclusion:

- 1) evaluation team's document review report,
- 2) [AB] document review report corrective action response,
- 3) evaluation team's on-site evaluation report including the witness assessment of FSMO(s), and
- 4) [AB] on-site/witness evaluation corrective action plan.
- 5) Copies of all checklists used in the evaluation.
- 6) Copy of Scope
- 7) (If applicable) Copy of national or international recognition documentation as meeting ISO/IEC 17011

If you have any comments or questions, please contact me at (xzx) zzz-yyyy.

[SIGNATURE]

[NAME]

[AFFILIATION]

Attachments

cc: Evaluation Coordinator

## **APPENDIX H**

### **Model Recommendation Letter to the TNI NEFAP Executive Committee**

#### **National Environmental Field Activities Program Recognition Committee Recommendation**

[Date]

To: [Name]

Chair, National Environmental Field Activities Program Executive Committee

The National Environmental Field Activities Program (NEFAP) evaluation team assigned to the evaluation of [AB] has completed its evaluation of this Accreditation Body (AB).

The NEFAP Recognition Subcommittee has completed the review of the Evaluation Team's objective evidence of findings. We find the following as required by TNI SOP 5-105 Evaluation Procedure:

- (1) the process was unbiased
- (2) the process demonstrated a consistent interpretation of the standard (by the AB)
- (3) the process was complete (demonstrated all elements of TNI FSMO Volume 2 were performed by the AB for assurance of the FSMO implementation of TNI FSMO Volume 1.)

The evaluation consisted of the following: [Only include what was done in assessment] 1) a technical review of the [AB] application for recognition and its supporting documentation, 2) an on-site evaluation and 3) a witness evaluation of an FSMO assessment. The Recognition Subcommittee reviewed the following documentation.

- 1) xx (List all documentation reviewed.)
- 2) xx
- 3) xx

The Evaluation Team members were:

- xx, Lead Evaluator
- xx, Technical Evaluator
- etc ....

The evaluation teams records of qualifications met the requirements of the TNI SOP 5-105 Evaluation Procedure.

#### **Conclusion**

In accordance with SOP-5-105-Rev [X] – NEFAP Evaluation Procedure, we have reviewed copies of the evaluation team's document review report, AB's document review report corrective action response, the evaluation team's onsite evaluation report including the witness evaluation of [AB]'s assessment of an applicant conformity assessment body (CAB), and documentation of [AB]'s corrective action implementation. We have reviewed the evaluation team's objective evidence of findings and are assured that it is 1) unbiased, 2) demonstrates a consistent interpretation of the standard, and 3) is complete (demonstrates that all elements of TNI FMSO Volume 2 are performed by A2LA for assurance of the CAB's implementation of TNI FMSO Volume 1).

TNI NEFAP Executive Committee Evaluation Procedure

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The Recognition Subcommittee recommends recognition of [AB] for conformance to the TNI NEFAP requirements effective [Month day, year] and expiring on [Month day, year].

[Include any additional comments as needed.]

Sincerely,

Recognition Subcommittee Members:

[List Members]

Copied:

[AB]

NEFAP Evaluation Coordinator

TNI Board of Directors