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GENERAL AUDIT PROCEDURE FOR THE ISSUE OF THE ATP CERTIFICATE FOR NEW EQUIPMENT

Note by the secretariat

The secretariat reproduces below a proposal submitted by France.

1. Objectives

The objective of this procedure is to provide the competent authority with the expertise of GIE CEMAFROID to enable it to issue provisional and/or final certificates of technical compliance with the ATP Agreement for new equipment.

The procedure defines the means of implementing the audit so as to enable compliance to be checked.

Scope

The products in question consist of equipment for which an ATP certificate of compliance will be requested from the French competent authority.

The companies concerned are those producing new equipment, whether manufactured and assembled in France or abroad, i.e. they make available to their customers new equipment for which an ATP certificate of compliance must be issued.

In order to create confidence in the compliance of the equipment produced with the requirements of the ATP Agreement, the company may elect to have an audit of its production process so as to establish confidence in the compliance of its products with model equipment. This audit is to be carried out by GIE CEMAFROID according to the methods described below.

2. References

2.1 Regulations

The general audit procedure for the issue of ATP certificates for new equipment is based essentially on the provisions of Annex 1, Appendix 1 of the ATP Agreement:

- **paragraph 2**, i.e. the production of equipment of a specific type serially produced. This paragraph provides in particular for:
  - tests in a testing station designated for model equipment;
  - checking of compliance of the equipment produced. For example, for insulated equipment, paragraph 2 referred to above specifies that: "A unit shall not be regarded as being of the same type as the unit tested unless it satisfies the following minimum conditions:
    - the construction shall be comparable, and, in particular,
    - the insulating material and the method of insulation shall be identical;
    - the thickness of the insulating material shall be not less than that of the reference equipment;
    - the interior fitting shall be identical or simplified;
    - the number of doors and the number of hatches or other openings shall be the same or less; and
    - the inside surface area of the body shall not be as much as 20% greater or smaller."
- **paragraph 41,** i.e. "If the refrigerating appliance with all its accessories has undergone separately, to the satisfaction of the competent authority, a test to determine its effective refrigerating capacity at the prescribed reference temperatures." In this case it should be checked whether "the effective refrigerating capacity of the appliance in continuous operation exceeds the heat loss through the walls for the class under consideration, multiplied by the factor 1.75."

2.2 Standards

Standard NF X 06-021

Application of statistics: Principle of statistical monitoring of lots.

Standard ISO 2859-1

Sampling procedures for inspection by attributes –

Part 1: Sampling schemes indexed by acceptance quality limit (AQL) for lot-by-lot inspection.

3. Implementation of the audit

3.1 Periodicity

GIE CEMAFROID shall conduct a periodic audit of the steps taken by the company to ensure technical compliance of the equipment produced.

The frequency of the audit shall be adapted to the level of production in agreement with the competent authority. The frequencies set out below shall be set aside for applying the audit:

- initial audit then two-monthly audit for companies with an annual production of more than 50 units;

- initial audit then half-yearly audit for companies with an annual production of less than 50 units.

N.B. *Companies producing fewer than 13 units annually may, on their own initiative, be audited under the same conditions as companies authorized by their suppliers.*

Only companies which comply with the assembly requirements defined by their suppliers may be authorized.

The audit consists of:

- an office audit and

- a physical audit.

3.2 Audit

The audit concerns the means of mastering the technical characteristics of the equipment assembled. It is conducted on office documents and by means of physical inspections at different stages on the production sites:

- design;

- construction;

- checks of the characteristics of the equipment produced;

- preparation of documents describing the technical characteristics to accompany the equipment marketed.

3.2.1 Taking account of company quality systems

The audit is conducted differently depending on the quality system the company may have introduced.

3.2.1.1 Companies with a quality (assurance/management) system certified as complying with an ISO 9000 series standard or equivalent

When the certified quality system explicitly contains provisions for establishing confidence in mastering and checking compliance of equipment with ATP, GIE CEMAFROID takes account of this in its audit.

Otherwise, methods for auditing companies which do not have a quality system are used.

3.2.1.2 Companies with a quality system

When the quality system explicitly contains provisions for establishing confidence in mastering and checking compliance of equipment with ATP, GIE CEMAFROID takes account of this in its audit.

Otherwise, methods for auditing companies which do not have a quality system are used.

3.2.1.3 Companies without a quality system

For such companies GIE CEMAFROID conducts an in-depth audit of production procedures and checks the compliance of equipment.

3.2.2 Office audit

This part of the audit checks whether the company possesses a system for mastering the technical compliance of its production and has all the documents involved.

3.2.2.1 Example of necessary documents

- Texts of regulations;

- Data concerning equipment:
  - Name and address of the owner of the equipment;
  - Name and address of the assembling agent;
  - Name and address of the constructor of the body;
  - Name and address of the constructor of the refrigeration unit;
  - Characteristics of the vehicle (make, category, no. of chassis, …).
  - Characteristics of the body, including:
- Type;
- Serial number;
- Reference report;
- K coefficient;
- All dimensions;
- Inside surface and indication of the range of tolerance of + or -20%;
- Mean surface;
- Calculation of the minimum power to be supplied;
- Number and description of the openings and mention of the openings in the report;
- Specification of the walls with a reference to the specifications of the report;
- Description of any bulkheads;
- Calculation of power for each compartment, where appropriate;
- Description of accessories with reference to the accessories of the report.
- Characteristics of the unit, including:
- Make;
- Type;

- Serial number;
- Test report number;
- Type(s) of compressor;
- Refrigerant;
- Type of ventilator;
- Type(s) of evaporator;
- Capacity of each evaporator.
- Self-tests;
- Test reports;
- Etc. …

3.2.2.2 Examples of optional documents

Where appropriate, audits of design or manufacture, or suppliers' audits, … contribute to evidence of mastery of the technical characteristics of the constituent elements.

During this part of the audit, the conformity of the application file for the ATP certificate of compliance with type approval certificates is checked.

3.2.3 Physical audit

This part of the audit consists in checking compliance of the equipment produced in relation to the test reports and to the file submitted.

3.2.3.1 Random choice of equipment

The choice of equipment can take two forms:

The company audited makes available at the start of the audit the list of equipment that can be inspected during the audit period. This list must be updated daily if necessary. It may be checked by the auditor.

The equipment is selected according to a computerized module which enables a random choice to be made of the equipment for inspection.

If no list is supplied by the company audited, it shall be drawn up by the auditor who shall increase the duration of the audit accordingly. The company audited shall identify bodies which will not be the subject of an application for a certificate of technical compliance. This list must be updated daily if necessary.

The equipment is selected according to a computerized module which enables a random choice to be made of the equipment for inspection.

3.2.3.2 Criteria for acceptance or rejection

When equipment randomly selected from the equipment produced is checked, the criteria for determining the size of the sample and the criteria for acceptance or rejection shall be the following, unless the contrary is specified:

- The batch considered is the entirety of the equipment produced in two months;
- An acceptable quality level of 2.5%;
- A normal level II plan is applied at the start;
- The procedures for normal or reinforced inspection are those defined in standard ISO 2859-1.

3.2.3.3 Special cases

Tanks shall be audited in the same way as “classic” equipment.

4. Non-compliance

ATP requires the body and refrigeration unit to comply with the body and refrigeration unit which have undergone laboratory tests. As a result, the equipment will be considered non-compliant if the body, the unit installed or the related documents are not accepted as complying with ATP requirements.

Two major types of non-compliance are taken into account:

- documentary non-compliance;
- physical non-compliance.

4.1 Consequences of non-compliance

In the event of *major non-compliance*, the company will undergo a new initial audit.

In the event of *minor non-compliance* observed, interim audits will be conducted.

Where instances of non-compliance are observed, a commission shall consider the technical faults and the treatment proposed by the company and give a ruling on the follow-up.

4.2 Follow-up of non-compliance

Quality indicators

"Two quality indicators" shall be taken into account:

- the number of instances of non-compliance observed;

- the number of instances of non-compliance not resolved.

The company's quality system, if it has one, must provide for an internal quality procedure recalling the procedure applied and the method of treating instances of non-compliance.

The company shall record the progress over time of the indicators of "the number of instances of non-compliance observed" and the number of "instances of non-compliance not resolved" and make the information available to the agents of GIE CEMAFROID.

4.3 Clearance of instances of non-compliance

Before the start of inspection "n+1" the GIE CEMAFROID agent shall check with the company audited that all the instances of non-compliance registered during inspection "n" have been cleared up.

5. Analytical report of the audit

The analytical report is the inescapable and the most important part of the audit; it enables those in charge of the company to be aware of the situation vis-à-vis the requirements of the regulations, to measure the difference between the situation observed and the target set and as a result define the corrective measures that need to be taken. It consists of a report on the full audit, i.e. informing the persons in charge of the "state of affairs" noted during the audit. The purpose of the analytical report at the end of the audit is to list the instances of non-compliance observed and cleared up or otherwise. It is paper-based and is signed by the auditor and the persons present at the analysis.

Where necessary, and on the auditor's initiative, an interim analysis may be made during the audit.

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