

Audit Report

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Company:			
Company site:			
Purpose of the audit:	<input type="checkbox"/>	Initial audit	
	<input type="checkbox"/>	Re-audit to maintain certificate	
	<input type="checkbox"/>	Other / Remarks:	
Standard:	EN 15038:2006 Translation services - Service requirements		
Date:			
Begin:		End:	
Lead Auditor:			
			Signature
Auditor(s):			
			Signature
Company Representative:			
			Signature
Result:	The conditions to issue / maintain the certificate are met:		
	<input type="checkbox"/> YES		
	<input type="checkbox"/> NO		
	<input type="checkbox"/> Comments:		
Date of next audit:			



Company profile, general remarks

Persons interviewed in the course of the audit

- Name – Function

Available documentation that has been inspected in the course of the audit



Deviations, recommendations and actions to be taken

Clause 3 "Basic requirements"

Clause 4 "Client-TSP relationship"

Clause 5 "Procedures in translation services"

Concluding remarks

The signing parties have achieved consensus on the findings of the audit and the above stated actions

Lead Auditor

Company representative



Checklist of EN 15038 requirements

Clause 3.1 General

Where a TSP chooses to engage a third party to carry out a translation project or any part thereof, the TSP shall retain the responsibility for ensuring that the requirements of this standard are met with respect to that project or any part thereof.

Compliance criteria:

- The service provider is clearly seen to have final responsibility for the translation project as a whole, including all subcontracted elements.

YES

NO

Remarks:

Clause 3.2 Human resources

3.2.1 Human resources management

The TSP shall have a documented procedure in place for selecting people with the requisite skills and qualifications for translation projects. Translators shall have the professional competences as specified in 3.2.2. Revisers and reviewers shall have the professional competences as specified in 3.2.3 and 3.2.4 respectively.

3.2.2 Professional competences of translators

Translators shall have at least the following competences.

a) **Translating competence:** Translating competence comprises the ability to translate texts to the required level, i.e. in accordance with 5.4. It includes the ability to assess the problems of text comprehension and text production as well as the ability to render the target text in accordance with the client-TSP agreement (see 4.4) and to justify the results.

b) **Linguistic and textual competence in the source language and the target language:** Linguistic and textual competence includes the ability to understand the source language and mastery of the target language. Textual competence requires knowledge of text type conventions for as wide a range of standard-language and specialised texts as possible, and includes the ability to apply this knowledge when producing texts.

c) **Research competence, information acquisition and processing:** Research competence includes the ability to efficiently acquire the additional linguistic and specialised knowledge necessary to understand the source text and to produce the target text. Research competence also requires experience in the use of research tools and the ability to develop suitable strategies for the efficient use of the information sources available.

d) **Cultural competence:** Cultural competence includes the ability to make use of information on the locale, behavioural standards and value systems that characterise the source and target cultures.

e) **Technical competence:** Technical competence comprises the abilities and skills required for the professional preparation and production of translations. This includes the ability to operate technical resources as defined in 3.3.

The above competences should be acquired through one or more of the following:

- formal higher education in translation (recognised degree);
- equivalent qualification in any other subject plus a minimum of two years of documented experience in translating;
- at least five years of documented professional experience in translating.

3.2.3 Professional competences of revisers

Revisers shall have the competences as defined in 3.2.2, and should have translating experience in the domain under consideration.

3.2.4 Professional competences of reviewers

Reviewers shall be domain specialists in the target language.

3.2.5 Continuing professional development

The TSP shall ensure that the professional competences required by 3.2.2 are maintained and updated.

Compliance criteria:

- The service provider has defined criteria for the selection of translators, revisers and reviewers.

YES

NO

- The service provider takes measures to assess selected translators.

YES

NO

- The qualifications of the selected translators meet at least one of the following formal requirements:
 - formal higher education in translation (recognized degree);
 - equivalent education in any other subject plus a minimum of two years of documented experience in translation;
 - at least five years of documented professional experience in translation.

YES

NO

Remarks:



Clause 3.3 Technical resources

The TSP shall ensure the availability of the following:

- a) Requisite equipment for the proper execution of the translation projects as well as for safe and confidential handling, storage, retrieval, archiving and disposal of documents and data.
- b) Requisite communications equipment as well as hardware and software.
- c) Access to relevant information sources and media.

Compliance criteria:

- The service provider has the appropriate technical equipment available for the translation projects carried out.

YES

NO

Remarks:

Clause 3.4 Quality management

The TSP shall have a documented quality management system in place that is commensurate with the size and organisational structure of the TSP. The quality management system shall include at least the following.

- a) Statement of the quality management system objectives.
- b) Process for monitoring the quality of delivered translation services and where necessary providing after delivery correction and taking corrective action.
- c) Process for handling all information and material received from the client (see 4.5).

Compliance criteria:

- A documented system is in place to ensure that the required quality checks for the translation project are carried out.

YES

NO

Remarks:

Clause 3.5 Project managers

Each translation project shall be supervised by a project manager (see 5.2) who shall be responsible for carrying out the project in accordance with the TSP's procedures and the client-TSP agreement (see 4.4).

Compliance criteria:

- The service provider assigns project managers to supervise translation projects.

YES

NO

Remarks:



Clause 4.2 Enquiry and feasibility

The TSP shall analyse the client's enquiry with regard to the service requirements. The TSP shall determine whether all the required human and technical resources are available.

Clause 4.3 Quotation

Unless otherwise agreed with the client, the TSP shall submit a quotation to the client indicating at least price and delivery details.

Clause 4.4 Client-TSP agreement

For the provision of the service, the TSP shall have an agreement with the client. The commercial terms and service specifications under that agreement shall be recorded. The agreement can also cover the following points:

- copyright;
- liability;
- confidentiality;
- settlement of disputes;
- quality assurance.

Any and all subsequent deviations from the original agreement shall be agreed by all parties and documented.

Compliance criteria:

- | | | |
|--|--------------------------|--------------------------|
| <ul style="list-style-type: none"> • Procedures for handling enquiries, preparing quotations and entering into an agreement with the client are in place. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • The service provider offers quotations that are commensurate to the enquiries and contain at least the price and delivery terms. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • For the execution of the order, the service provider enters into an appropriate, documented agreement with the client. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |

Remarks:

Clause 4.5 Handling of project-related client information

The TSP shall endeavour to obtain supplementary information and clarification of ambiguities in the source text by contacting the client. All information and material received from the client shall be handled in accordance with the provisions contained in the TSP's quality management system (see 3.4).

Compliance criteria:

- | | | |
|--|--------------------------|--------------------------|
| <ul style="list-style-type: none"> • The service provider maintains contact with the client in order to obtain any necessary clarification with respect to the source text. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • All information and documents are kept and treated in accordance with the client's specifications. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |

Clause 4.6 Project conclusion

The TSP shall have documented procedures in place for final verification, archiving, traceability, follow up and the assessment of client satisfaction.

Compliance criteria:

- | | | |
|--|--------------------------|--------------------------|
| <ul style="list-style-type: none"> • Translation projects are released by the service provider. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • The traceability of translation projects is ensured by means of documentation and archiving. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • The service provider assesses client satisfaction. | YES | NO |
| | <input type="checkbox"/> | <input type="checkbox"/> |

Remarks:



Clause 5.2 Managing translation projects

The TSP shall have documented procedures in place for handling translation projects, contact with the client during the translation process, and quality assurance to check the correctness and completeness of the service provided as well as compliance with the client-TSP agreement (see 4.4).

Project management shall include:

- monitoring and supervising the preparation process;
- assigning translators for the project;
- assigning revisers and, if applicable, reviewers;
- issuing instructions to all parties involved in the project;
- enabling and monitoring consistency in translation;
- monitoring and supervising the process timetable;
- ensuring contact is maintained with all parties involved in the process, including the client;
- giving clearance for delivery.

Remarks:

Compliance criteria:

- The service provider has a project management system in place that is adequate to the order and ensures the service provided complies with the client's requirements.

YES

NO

Clause 5.3 Preparation

Preparation shall cover administrative, technical and linguistic aspects appropriate to the specific requirements of each translation project.

After receiving the source text for translation, the TSP shall check that it complies with the client-TSP agreement (see 4.4). In case of non-compliance the TSP shall contact the client for clarification.

5.3.1 Administrative aspects

5.3.1.1 Project registration

The TSP shall record each accepted translation project and maintain a log throughout the duration of the project.

The record shall make it possible to identify and trace the project and to determine its status at all times (see Annex A).

5.3.1.2 Project assignment

The TSP shall assign projects to the appropriate internal and/or external resources in order to ensure that the specifications described in the client-TSP agreement (see 4.4) are met. All assignments shall be documented.

5.3.2 Technical aspects

5.3.2.1 Technical resources

The TSP shall make sure that the technical resources required for the specific project are available.

5.3.2.2 Pre-translation processing

The TSP shall carry out any necessary technical and pre-translation processing tasks in order to prepare the documents for translation.

Pre-translation processing can include technical aspects such as those included in Annex B.

5.3.3 Linguistic aspects

The TSP shall make sure that information concerning any specific linguistic requirements in relation to the translation project is recorded.

Such information can include requirements of compliance with a client style guide, adaptation of the translation to the agreed target group, purpose and/or final use, use of appropriate terminology, and updating of glossaries.

5.3.3.1 Source text analysis

The TSP shall ensure that the source text is analysed to anticipate possible translation problems (see Annex C).

5.3.3.2 Terminology work

Where no specific terminology is available for the project, the TSP and the client can agree on terminology work to be carried out as an added value service (see Annex E) before the translation is executed.

5.3.3.3 Style guide

In the event that the client does not provide a style guide, the TSP shall use a proprietary or other appropriate style guide which can include elements from Annex D.

Compliance criteria:

- The service provider takes the necessary preparatory measures for the translation to be produced.

YES

NO

Remarks:



Clause 5.4 Translation process

5.4.1 Translation

The translator shall transfer the meaning in the source language into the target language in order to produce a text that is in accordance with the rules of the linguistic system of the target language and that meets the instructions received in the project assignment (see 5.3.1.2).

Throughout this process, the translator shall pay attention to the following:

- a) Terminology: compliance with specific domain and client terminology, or any other terminology provided, as well as terminology consistency throughout the whole translation.
- b) Grammar: syntax, spelling, punctuation, orthotypography, diacritical marks.
- c) Lexis: lexical cohesion and phraseology.
- d) Style: compliance with the proprietary or client style guide, including register and language variants.
- e) Locale: local conventions and regional standards.
- f) Formatting (see Annex D).
- g) Target group and purpose of the translation.

5.4.2 Checking

On completion of the initial translation, the translator shall check his/her own work. This process shall include checking that the meaning has been conveyed, that there are no omissions or errors and that the defined service specifications have been met. The translator shall make any necessary amendments.

5.4.3 Revision

The TSP shall ensure that the translation is revised.

The reviser (see 3.2.3) shall be a person other than the translator and have the appropriate competence in the source and target languages. The reviser shall examine the translation for its suitability for purpose. This shall include, as required by the project, comparison of the source and target texts for terminology consistency, register and style.

Taking the reviser's recommendations into account, the TSP shall take steps to ensure that any necessary corrective measures are implemented.

NOTE Corrective measures can include retranslation.

5.4.4 Review

If the service specifications include a review, the TSP shall ensure that the translation is reviewed. The reviewer (see 3.2.4) shall carry out a monolingual review to assess the suitability of the translation for the agreed purpose and recommend corrective measures.

NOTE The review can be accomplished by assessing the translation for register and respect for the conventions of the domain in question.

Taking the reviewer's recommendations into account, the TSP shall take steps to ensure that any necessary corrective measures are implemented.

5.4.5 Proofreading

If the service specifications include proofreading, the TSP shall ensure that the text is proofread.

5.4.6 Final verification

The TSP shall verify that the service provided meets the service specifications.

Compliance criteria:	YES	NO
<ul style="list-style-type: none"> • The service provider ensures the necessary procedure for the translation to be produced. In particular, the translation process includes: <ul style="list-style-type: none"> a) Producing the translation b) Checking of the translation by the translator himself/herself c) Proofreading by a different translator d) Review, if agreed with the client e) Correction of galley proofs, if agreed with the client f) Release. 	<input type="checkbox"/>	<input type="checkbox"/>
Compliance criteria: <ul style="list-style-type: none"> • With regard to clause 5.3.4 "Review" the following compliance criteria apply: <ul style="list-style-type: none"> - the service provider has the necessary human resources (i.e. translators) to review translations available - review of translation projects takes place as default case if no specific agreement with the clients exists - review may be omitted if explicitly requested by the client, provided it is part of the client/TSP agreement. 	<input type="checkbox"/>	<input type="checkbox"/>
Remarks:		