

**GUIDE
FOR
ASME NUCLEAR SURVEY TEAM FOR CERTIFICATE HOLDERS
(ASME CERTIFICATES OF AUTHORIZATION)
AND
NONMETALLIC MATERIAL MANUFACTURERS (DIVISION 2 AND 5)**

**The American Society of Mechanical Engineers
Two Park Avenue
New York, NY 10016**

INTRODUCTION

This Guide is prepared for the use of ASME Nuclear Survey Team Leaders and Members. It is not intended to replace or interpret the requirements of the ASME Boiler and Pressure Vessel Code, Section III, Divisions 1, 2, 3, or 5 General Requirements. The checklist does not list all of the detailed requirements of Section III, but rather, lists the highlights that the Applicant is required to include in his Quality Assurance Program.

In addition, to assist the ASME Survey Team, this Guide is provided to Applicants for ASME Certificates of Authorization, and ASME Quality System Certificates for Division 2 and 5 Nonmetallic Material Manufacturer, for their use in verifying and identifying the paragraph(s) where their Quality Assurance Manual addresses all applicable control requirements of the Code. The Quality Assurance Manual must contain the controls for implementing the Quality Assurance Program, but it is not required to contain all the detailed programmatic requirements which will be found in the Quality Assurance Program.

This Guide is based on Section III, Divisions 1, 2, 3 and 5 General Requirements. The Guide is subject to revision based on changes made in Section III of the Boiler and Pressure Vessel Code.

A Survey must cover a QA Manual and its implementation. It is recognized that the scope of work, QA Manual, and Manual implementation will vary from Applicant to Applicant. Therefore, only those activities to be performed under the scope of the Applicant's Certificate of Authorization are required to be addressed in the Quality Assurance Manual. The ASME Nuclear Survey/Interview Teams are advised that all aspects of this Guide may not apply and that this Guide may not outline all possible aspects of each Survey. The Manual need not follow the format of this Guide.

Questions of possible need for Code interpretation raised by Survey Team Members or the Applicant shall be submitted to the Secretary, Boiler and Pressure Vessel Committee. When submitted by the Applicant a copy of the inquiry and reply should be provided by the inquirer to the Applicant's Authorized Inspection Agency and any known involved enforcement authority.

Suggestions for revisions or clarification to this Guide should be directed to the ASME Director, Conformity Assessment.

HOW TO USE THIS GUIDE

Review each checklist item in the "Quality Program Survey Checklist" and note the paragraph number in the QA Program which covers the subject addressed in the column labeled "Q.S. Program References." In the case where an item gives more than one alternative for fulfilling the applicable Code requirement, mark "N/A" in the column labeled "Q.S. Program References" adjacent to those alternatives that do not apply.

The original of this Guide shall be provided to the Team Leader along with sufficient copies for each member of the Survey Team including the Team Leader.

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1.	<p><u>Organization (NCA-4134.1) (WA-4134.1) (HAB-4134.1)</u></p> <p>The program includes measures established to:</p> <p>A. Ensure that quality is achieved and maintained by those assigned responsibility for performing work, with achievement verified and documented by persons organizations not directly responsible for performing the work.</p> <p>B. Provide for documentation by organizations, groups or individuals (by title) performing activities affecting quality including:</p> <ul style="list-style-type: none"> (1) Organizational structure, (2) Functional responsibilities, (3) Levels of authority, (4) Lines of communication, (5) Responsibility and authority of each organization involved, (6) Interface control between organizations. <p>C. Ensure that persons or organizations performing quality assurance functions have:</p> <ul style="list-style-type: none"> (1) sufficient well-defined responsibility, access to work areas and organizational freedom to: <ul style="list-style-type: none"> (a) identify quality problems (b) initiate, recommend or provide solutions through departmental channels (c) verify implementation of solutions, and (d) assure that further processing, delivery, installation or use is controlled until proper disposition of a nonconformance, deficiency or unsatisfactory condition has occurred. <p>D. Ensure that persons or organizations performing quality assurance functions that delegate work provide defined and documented interface controls, but retain responsibility for the work.</p>				
2.	<p><u>Quality Assurance Program (NCA-4134.2) (WA-4134.2) (HAB-4134.2)</u></p> <p>The program includes measures established to:</p>				

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	<p>A. Provide a Quality Assurance Manual which documents in detail the Quality Assurance Program required by this Section and includes a statement of policy and authority by management indicating management support.</p> <p>B. Ensure management participation and support of the program.</p> <p>C. Ensure that the QA Manual, drawings and process sheets necessary to make the QA Program intelligible, including all changes that are made, is available to the ANI*†.</p> <p>D. Provide for obtaining AIA's Authorized Nuclear Inspector Supervisor's acceptance of proposed changes before putting the changes into effect†.</p> <p>E. Provide for the Certificate Holder to notify the ANI of accepted changes, including evidence of acceptance by AIA†.</p> <p>F. Ensure that the QA Program is planned, implemented and maintained.</p> <p>G. Identify the activities and items to which the QA program applies.</p> <p>H. Ensure that the quality assurance organization reviews written procedures and monitors all activities concerned with the QA Program.</p> <p>I. Ensure that the QA Program addresses the construction requirements included in the scope of work.</p> <p>J. Provide for planning and the accomplishment of activities affecting quality under controlled conditions which include: (1) use of appropriate equipment, (2) suitable environmental conditions, (3) assurance that prerequisites for the activity are satisfied.</p> <p>K. Provide for the use of any special controls, processes, test equipment, tools and skills.</p>				

* ANI is not involved in NS Certificate Holder's Program.

† Nonmetallic Material Manufacturer (Division 2) Program does not require a service agreement with an Authorized Inspection Agency and has no design responsibilities.

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L.	Provide for regular reviews of the adequacy and the effective implementation of the QA Program by management.				
M.	Provide for indoctrination, training and qualification, as necessary, of personnel performing activities affecting quality including: (1) identify personnel performing activities affecting quality, (2) define I&T requirements, (3) define documentation requirements.				
N.	Ensure that personnel performing NDE activities required by the Code are qualified and certified in accordance with NX-5500 (WB-5500) (HAB-4134.2(b)) (HHA-5223).				
O.	Ensure that NDE personnel qualification records are available to the ANI [†] and ASME survey teams (NX-5112) (WB-5112) (HHA-5222).				
P.	Ensure that personnel performing Concrete inspection activities required by the Code are qualified and certified in accordance Appendix VII of Division 2.				
Q.	Ensure that concrete inspection personnel qualification records are available to the ANI [†] and ASME survey teams (App VII-5300).				
R.	Ensure that the responsible organization designates those activities that require qualified inspection and test personnel (except NDE).				
S.	Ensure that the personnel performing the designated inspection and test activities are qualified and certified.				
T.	Provide for removal of personnel if it is determined that the individual's capabilities are not in accordance with specified requirements.				
U.	Ensure that audit personnel are qualified and that Lead Auditors are certified.				
V.	Ensure that audit personnel qualification records are available to the ANI [†] and ASME survey teams.				

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3.	<p>W. Ensure that personnel records are maintained.</p> <p>X. When a purchaser requests another AIA[†], other than the AIA of Record, to perform inspections on it's projects or Code jobs or whenever the AIA of Record cannot provide coverage for inspections at a specific field site, verify the QA program addresses the following:</p> <ul style="list-style-type: none"> (1) describe how different AIA's will perform activities under their Certificates of Authorizations. (2) ensure the Certificate Holder has a contract agreement with the AIA performing the shop/field activities. (3) show evidence that the Certificate Holder's program has been accepted by the AIA of Record. <p>Design Control[†] (NCA-4134.3) (WA-4134.3) (HAB-4134.3)</p> <p>The program includes measures established to:</p> <p>A. Ensure that Design Specifications:</p> <ul style="list-style-type: none"> (1) are available for all components, appurtenances and component supports, except when included in the design specification for the component. (2) are adequate to form the basis for fabrication in accordance with the Code and are available for all items requiring an ASME Code Symbol Stamp (NCA-3252) (WA-3351) (HAB-3252). (3) are available to the ANI before fabrication begins. (NCA-3256) (WA-3351) (HAB-3256). <p>B. Ensure that applicable requirements of the Design Specifications are correctly translated into specifications, drawings, procedures and instructions.</p> <p>C. Ensure that Design Reports, Design Report Summaries and Load Capacity Data Sheets, as applicable:</p> <ul style="list-style-type: none"> (1) are prepared for all components, component supports and appurtenances, (2) are reconciled with modified documents used for construction, 				

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	<p>(3) are submitted to Owner for review and documentation of review (NCA-3551, NCA-3556) or for Div. 3 review and documentation of review by N3 Certificate Holders (WA-3357) or for Div, 5 G Certificate Holders (HAB-3260).</p> <p>D. Ensure that the design specification is certified by an RPE (NCA-3255)(WA-3351) (HAB-3255).</p> <p>E. Ensure design documents are verified for adequacy and compliance with the Design Specification and the Code.</p> <p>F. Ensure that Design Reports, Construction Reports, Design Report Summaries and Load Capacity Data Sheets are certified by an RPE other than the one certifying the Design Specification (NCA-3350) (WA-3356) (HAB-3380).</p> <p>G. Provide procedures for ensuring that the certifying RPE for Fabrication Specifications (WA-3360) Design Reports and Load Capacity Data Sheets is qualified to ASME III Appendix XXIII (NCA-3360/3550) (WA-3550) (HAB-3260/3255) and that qualification is maintained.</p> <p>H. Provide a controlled design process which:</p> <ol style="list-style-type: none"> (1) specifies the responsible design individuals (by title) or groups, (2) specifies the design activities to be performed, (3) includes a method for the identification of assemblies and/or components that are part of the item being designed, (4) assures that design inputs are specified, documented, reviewed and approved by the responsible design individuals (by title) or groups to a level of detail necessary to permit the design activity to: <ol style="list-style-type: none"> (a) be carried out in a correct manner, (b) provide consistent basis for making design decision, accomplish design verification measures and evaluate design changes, (c) are correctly translated into design documents, (d) identify, approve, document and control changes, including the reason for the changes, (5) provides for documented design analyses which: <ol style="list-style-type: none"> (a) are performed in a planned and controlled manner, (b) are legible and in a form suitable for reproduction, filing, and retrieval, 				

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	<p>(c) includes in detail the objective, method, assumptions (identifying those that must be verified), design inputs and their sources, computer calculations and programming, references and units such that a technically qualified person can review, understand and verify results without recourse to originator,</p> <p>(d) identify calculations by subject, originator, reviewer and date; or other data such that calculations are retrievable,</p> <p>(e) are reviewed and approved.</p> <p>(6) includes procedures to ensure that design verification is performed by individuals or groups other than those who performed the design,</p> <p>(7) includes procedures to ensure that modification of any design document used for construction, including field changes are governed by the control measures applied to the original design. (A revision or addenda to the Design Report shall be prepared and certified indicating the basis for the modification and filed with the Design Report.)</p> <p>I. Identify and control design interfaces including:</p> <p>(1) assignment of responsibilities,</p> <p>(2) establishment of procedures for the review, approval, release, distribution and revision of design documents,</p> <p>(3) documentation of information transmitted across interfaces.</p> <p>J. Provide documented procedures for the collection, storage and maintenance of design documents and records.</p> <p>K. Ensure that design documents are available to the ANI (NCA-3520) (WA-3320) (HAB-3260).</p> <p>L. Ensure preparation, review, certification, distribution and reconciliation of Construction Specification in accordance with controlled design process sub-elements listed above (NCA-3300) (HAB-3342).</p> <p>M. Ensure preparation, certification, availability and use of Fabrication or Construction specification (WA-3360)(HAB-3340)</p>				

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4.	<p>Procurement Document Control (NCA-4134.4) (WA-4134.4) (HAB-4134.4) The program includes measures established to:</p> <p>A. Ensure that procurement documents for items and services include:</p> <ul style="list-style-type: none"> (1) applicable Code requirements necessary to assure quality and, where necessary, technical requirements by reference to the Code or other documents, (2) identification of test, inspection, and acceptance requirements, (3) a requirement that the supplier have a quality assurance program consistent with the requirements of (NCA-4000 or NCA-3800), (WA-4000 or WA-3800) (HAB 3800/4000) or an Inspection & Verification Program (NCA-3900) as applicable. (4) retention times and disposition of QA records, (5) a requirement for reporting and approving the disposition of nonconformances, (6) a requirement that the supplier incorporate appropriate QA program requirements in sub-tier procurement documents, (7) the right of access by purchaser or others authorized by purchaser to supplier facilities and records, (8) a requirement that the supplier submit to the purchaser at specified time intervals documentation for information, review or approval by the purchaser <p>B. Ensure that procurement documents are reviewed for inclusion of appropriate provisions required to ensure Code compliance and that the review is documented prior to contract award.</p> <p>C. Ensure that reviews are performed by personnel with access to pertinent information and an understanding of the requirements and intent of the procurement documents.</p> <p>D. Ensure that changes are subject to same control and review as utilized in the preparation of the original documents and:</p> <ul style="list-style-type: none"> (1) are incorporated into the procurement documents, (2) the review of changes and effects of the changes are completed prior to contract award, (3) a determination of additional or modified design criteria, (4) an analysis and approval of exceptions or changes requested by supplier. 				

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5.	<p><u>Instructions, Procedures and Drawings (NCA-4134.5) (WA-4134.5) (HAB-4134.5)</u></p> <p>The program includes measures established to:</p> <p>A. Prescribe and perform activities affecting quality in accordance with documented instructions, procedures or drawings.</p> <p>B. Ensure that instructions, procedures and drawings:</p> <p style="margin-left: 20px;">(1) include or reference acceptance criteria for determining that prescribed activities have been satisfactorily accomplished,</p> <p style="margin-left: 20px;">(2) are readily available for use by appropriate personnel and the ANI[†].</p>				
6.	<p><u>Document Control (NCA-4134.6) (WA-4134.6) (HAB-4134.6)</u></p> <p>The program includes measures established to:</p> <p>A. Identify documents to be controlled and specified distribution.</p> <p>B. Identify responsible personnel, positions or organizations responsible for preparing, reviewing, approving and issuing documents.</p> <p>C. Ensure review of documents for adequacy, completeness and correctness prior to approval and issuance.</p> <p>D. Control the issuance, distribution at the location where the prescribed activity is performed, use and disposition of documents.</p> <p>E. Ensure that the control of major changes to controlled documents include:</p> <p style="margin-left: 20px;">(1) review and approval by the same organization that performed the original review and approval unless another organization is designated,</p> <p style="margin-left: 20px;">(2) provide access for the reviewer to background data and information.</p>				

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7.	<p>F. Ensure that minor changes to controlled documents include the delineation of:</p> <ol style="list-style-type: none"> (1) the type of changes to be considered minor, (2) the authorized persons who may review and approve such changes. <p><u>Control of Purchased Items and Services (NCA-4134.7) (WA-4134.7) (HAB-4134.7)</u></p> <p>The program includes measures established to:</p> <p>A. Ensure and document conformance to Code requirements including, as appropriate:</p> <ol style="list-style-type: none"> (1) source evaluation and selection, (2) evaluation of objective evidence of quality furnished by the supplier, (3) source inspection, (4) audit, (5) examination of items or services upon delivery or completion. <p>B. Ensure procurement activities are:</p> <ol style="list-style-type: none"> (1) planned prior to the start of procurement, (2) documented, including the procurement method and organizational responsibilities. <p>C. Provide for the identification, selection and use of qualified suppliers of material, items and services by survey and audit or on the basis of being an ASME Certificate Holder performing work within the scope of the Certificate.</p> <p>D. Provide for bid evaluation by designated individuals or organizations including the resolution of unacceptable quality conditions prior to the contract award.</p> <p style="padding-left: 40px;">Note: The decision to perform bid evaluation is at the option of the Certificate Holder.</p> <p>E. Provide interface requirements and verification of supplier's performance by qualified persons as deemed necessary by the Certificate Holder.</p>				

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	<p>F. Control supplier generated documents including changes thereto in accordance with procurement document control requirements (NCA-4134.4) (WA-4134.4) (HAB-4134.4).</p> <p>G. Provide and document methods for the acceptance of material, items and services including submittal of the appropriate CMTR, C of C, or Data Report Form.</p> <p>H. Provide for availability at the construction or installation site, before use or installation, documented evidence that items conform to Section III.</p> <p>I. Control the acceptance of services such as engineering and consulting services by any or all of the following methods: (1) technical verification of data produced, (2) surveillance and/or audit of the activity, (3) review of objective evidence for conformance to the procurement document.</p> <p>J. Ensure traceability is established for materials, items and services.</p> <p>K. Control non-conformances in accordance with the requirements for the control of nonconforming items (NCA-4134.15) (WA-4134.15) (HAB-4134.15) including the submittal of a nonconformance notice to the purchaser by the supplier.</p> <p>8. <u>Identification and Control of Items (NCA-4134.8) (WA-4134.8) (HAB-4134.8)</u> The program includes measures established to:</p> <p>A. Identify and control items to ensure that only correct and accepted items are used and installed.</p> <p>B. Maintain identification through the use of markings on the item or in documents traceable to the item.</p> <p>C. Maintain identification throughout construction.</p> <p>D. Ensure identification methods are not detrimental to item function or quality.</p>				

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9.	<p>E. Control welding and brazing materials for all classes of construction.</p> <p>F. Ensure that all characteristics required to be reported by the material specifications and this Section appear on checklists, are examined in accordance with accepted procedures, and the results recorded.</p> <p style="margin-left: 20px;">Note: Characteristics included on CMTR or C of C need not be duplicated in the checklists provided the checklist provider records that the CMTR has been received, reviewed and accepted.</p> <p><u>Control of Processes (NCA-4134.9) (WA-4134.9) (HAB-4134.9)</u></p> <p>The program includes measures established to:</p> <p>A. Ensure that processes that affect, control or verify quality are performed under a controlled system.</p> <p>B. Provide for the use of process control documents such as process sheets, travelers, etc.</p> <p>C. Provide measures to ensure that processes are performed by qualified personnel using qualified procedures.</p> <p>D. Ensure that process control documents include:</p> <ol style="list-style-type: none"> (1) document numbers and revisions to which the process conforms, (2) space for reporting results of completion of specific operations at checkpoints of fabrication, manufacture or installation. (3) space for a signature, initials or stamp and date of the Certificate Holder's representatives and the ANI[†] for activities witnessed. <p>E. Ensure that process control documents for special processes include or reference:</p> <ol style="list-style-type: none"> (1) procedure, personnel and equipment qualification requirements, (2) conditions necessary for accomplishing the process, (3) acceptance criteria. 				

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10.	<p>F. Ensure that appropriate records are maintained.</p> <p><u>Inspection (NCA-4134.10) (WA-4134.10) (HAB-4134.10)</u></p> <p>The program includes measures established to:</p> <p>A. Ensure that process sheets, travelers or checklist are prepared and include:</p> <ul style="list-style-type: none"> (1) document numbers and revision to which the examination or test is to be performed, (2) space for recording results of examination and tests, (3) space for a signature, initials or stamp and date of the Certificate Holder's representatives and the ANI[†]. <p>B. Ensure examination checklist is filled in and completed by the Certificate Holder.</p> <p>C. Ensure mandatory hold points are indicated in the controlling documents and that work does not proceed without appropriate approval.</p> <p>D. Provide for in-process and final examination and test procedures which include or reference acceptance criteria.</p> <p>E. Ensure inspections are performed by qualified persons other than those who performed or directly supervised the work being inspected.</p> <p>G. Provide for in-process inspection or monitoring, or both, as appropriate for activities affecting quality.</p> <p>H. Provide for final inspections which include:</p> <ul style="list-style-type: none"> (1) verification of compliance with specified requirements, (2) a records review of results and resolution of non-conformances identified by prior inspections, (3) an examination of quality records, (4) a documented acceptance of the item by authorized personnel. <p>I. Ensure required records are specified, documented and maintained.</p>				

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11.	<p><u>Test Control (NCA-4134.11) (WA-4134.11) (HAB 4134.11)</u></p> <p>The program includes measures established to ensure:</p> <p>A. Tests are performed in accordance with specified, written test procedures or other appropriate documents approved by the designated organization.</p> <p>B. Test procedures include or reference test requirements and acceptance criteria contained in the Code or applicable design documents.</p> <p>C. Test procedures include or reference test objectives and provision for applicable prerequisites for the test have been met and maintained.</p> <p>D. Test results are documented and evaluated.</p> <p>E. Minimum required test records are specified and documented.</p>				
12.	<p><u>Control of Measuring and Test Equipment (NCA-4134.12) (WA-4134.12) (HAB 4134.12)</u></p> <p>The program includes measures established to ensure that:</p> <p>A. Tools, gauges, instruments and other measuring and test equipment used for activities affecting quality are controlled, calibrated and adjusted prior to use or at specified periods.</p> <p>B. The selection of measuring and test equipment is controlled.</p> <p>C. Measuring and test equipment is properly handled and stored.</p> <p>D. Records are maintained and equipment is marked to indicate calibration status.</p> <p>E. Calibration is:</p> <p style="margin-left: 20px;">(1) against certified equipment having known valid relationships to nationally recognized standards. (If no nationally recognized standards exist, the basis for calibration is documented.)</p> <p style="margin-left: 20px;">(2) performed when the accuracy of a device is suspect.</p>				

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<p>F. The method of calibration for each device is defined.</p> <p>G. Methods and frequency of periodic checking, if used, are included in the QA program description.</p> <p>H. When measuring and test equipment is found to be out of calibration:</p> <ul style="list-style-type: none"> (1) an evaluation is made and documented of the validity of previous inspection or test results and acceptability of items previously inspected or tested. (2) out-of-calibration devices are tagged or segregated. (3) devices consistently found out of calibration are repaired or replaced. <p>13. <u>Handling, Storage and Shipping (NCA-4134.13) (WA-4134.13) (HAB-4134.13)</u> The program includes measures established to:</p> <p>A. Ensure that handling, storage, shipping, cleaning, packaging and preservation are performed in accordance with established work and inspection instructions or other documents specified for use.</p> <p>B. Ensure that special equipment and protective environments are specified, provided and verified when required.</p> <p>C. Ensure that special tools and equipment:</p> <ul style="list-style-type: none"> (1) are inspected and tested in accordance with specified procedures at specified intervals, (2) are utilized and controlled, (3) operators are experienced or trained. <p>D. Specify marking and labeling instructions.</p> <p>14. <u>Inspection and Test Status (NCA-4134.14) (WA-4134.14) (HAB-4134.14)</u> Program includes measures established to:</p> <p>A. Indicate the status of examinations and tests performed either on the item or on documentation traceable to the item.</p> <p>B. Ensure that required inspections and tests are performed.</p>					

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15.	<p><u>Control of Nonconforming Items (NCA-4134.15) (WA-4134.15) (HAB-4134.15)</u> The program includes measures established to:</p> <p>A. Ensure that items that do not conform to specified requirements are controlled.</p> <p>B. Ensure that the written procedure for the control of nonconforming items includes:</p> <ul style="list-style-type: none"> (1) identification, (2) documentation, (3) evaluation, (4) segregation when practical, (5) disposition, (6) notification to affected organizations. <p>C. Ensure that nonconforming characteristics are reviewed and evaluated.</p> <p>D. Provide for the approval of proposed dispositions.</p> <p>E. Control further processing, delivery, installation or use prior to disposition.</p> <p>F. Define the responsibility and authority for evaluation and disposition.</p> <p>G. Ensure personnel performing evaluations have:</p> <ul style="list-style-type: none"> (1) demonstrated competence in the area under evaluation, (2) adequate understanding of requirements, (3) access to background information. <p>H. Ensure repaired items are examined in accordance with procedures and acceptance criteria resulting in Code compliance.</p> <p>I. Document final disposition.</p>				

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16.	<p><u>Corrective Action (NCA-4134.16) (WA-4134.16) (HAB-4134.16)</u></p> <p>The program includes measures established to:</p> <p>A. Identify and correct conditions adverse to quality.</p> <p>B. Ensure that in the case of a significant condition adverse to quality:</p> <ol style="list-style-type: none"> (1) the cause of the condition is identified, (2) corrective action is taken to preclude recurrence, (3) the identification, cause and corrective action taken are documented and reported to appropriate levels of management, (4) follow-up action is taken to verify implementation of corrective action. <p>C. Ensure that corrective action requirements extend to the performance of subcontractor's corrective action measures.</p>				
17.	<p><u>Quality Assurance Records (NCA-4134.17) (WA-4134.17) (HAB-4134.17)</u></p> <p>The program includes measures established to:</p> <p>A. Specify and maintain records required for quality assurance, construction, fabrication, manufacture of installation, and traceability until those records, specified by the Owner, are turned over to the Owner or his designee or stored at a specified location determined by mutual agreement.</p> <p>B. Ensure that records are indexed and both the records and the indices are available to the Owner or his designee and the ANI[†].</p> <p>C. Classify and maintain records as required by Tables NCA-4134.17-1 and NCA-4134.17-2. (WA-4134.17-1 and WA-4134.17-2) (HAB-4134.17-1 and HAB-4134.17-2).</p> <p>D. Provide for a record system in accordance with written procedures, instructions or other documentation which includes:</p> <ol style="list-style-type: none"> (1) requirements for radiographic reproduction, (2) identification of records to be maintained, (3) validation of records, 				

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	<ul style="list-style-type: none"> (4) indexing of records which includes retention times and location within the record system, (5) control of distribution and handling, (6) maintaining traceability between the record and the item or activity to which it applies, (7) correction by authorized persons of records with the approval of the originating organization <p>E. Provide a receipt control system for records to be used by responsible individuals and organizations receiving records including:</p> <ul style="list-style-type: none"> (1) protection from damage or loss during the time the receiving organization has possession of the records, (2) identification of the designated person or organization responsible for the receipt of records, (3) designation of required records, (4) identification of records received, (5) inspection of incoming records in accordance with written procedures, (6) inclusion of a structure which permits a current and accurate assessment of the status of records during the receiving process. <p>F. Assign responsibility for the storage, preservation and safekeeping of records in accordance with a written procedure.</p> <p>G. Ensure that the storage system provides for the retrieval of information.</p> <p>H. Ensure that a list is maintained of designated persons who have access to stored records.</p> <p>I. Provide for a record custodian who inventories record submittals, acknowledges receipt and processes records.</p> <p>J. Ensure that supplier records are accessible to the purchaser or his designated alternate and are not disposed of until the applicable requirements of the Code and the procurement documents are met.</p>				

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18.	<p><u>Audits (NCA-4134.18) (WA-4134.18) (HAB-4134.18)</u></p> <p>The program includes measures established to:</p> <ul style="list-style-type: none"> A. Ensure that audits are performed at the minimum frequency specified in the QA Manual. B. Ensure that regularly scheduled audits are supplemented by additional audits of specific subjects when necessary to provide adequate coverage. C. Provide for periodic review of the audit schedule and revise as necessary to assure coverage is maintained. D. Provide written procedures or checklists for the performance of audits. E. Provide a documented audit plan for each audit. F. Ensure that elements selected for audit are evaluated against specified requirements based on objective evidence to determine effective implementation. G. Ensure that audit teams are selected and audits are performed by personnel who do not have responsibility for performing the activities being audited. H. Ensure that an audit team is identified prior to the beginning of each audit and that an audit team leader is appointed when the team contains more than one member. I. Ensure that audit results are documented, that an audit report is signed by the audit team leader and is issued for each audit. J. Provide for audit results to be reported to and reviewed by responsible management. K. Ensure that audit follow-up action is taken and documented where indicated. L. Ensure evaluation of the adequacy of the audit responses. 				

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19.	<p><u>Authorized Inspection Agency</u>[†]</p> <p>The program includes measures established to:</p> <ul style="list-style-type: none"> A. Ensure that the ANI (ANIS for NS Certificate Holder) has free access to areas and documents, as necessary, to carry out his duties as specified in the Code. B. Provide an opportunity for the ANI* to designate "hold points" prior to issuance of process sheets or controls, and for sign off at each hold point. C. Ensure that certified reports of the results of all examinations and tests performed in accordance with the material specifications and the applicable requirements of Section III, are available to the ANI*. D. Ensure evidence that welding procedures employed have been qualified under provisions of Section IX and Section III are submitted to the ANI. E. Provide for personnel having responsibilities for Code compliance and quality assurance to accompany the Authorized Nuclear Inspector Supervisor during required audits in accordance with ASME QAI-1. F. Provide for requalification of NDE and welding procedures and personnel when requested by ANI. 				

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