



THE AMERICAN SOCIETY OF MECHANICAL ENGINEERS

GUIDE FOR ASME NUCLEAR SURVEY TEAMS FOR SURVEY OF APPLICANTS FOR QUALITY SYSTEM CERTIFICATE (MATERIALS)

INTRODUCTION

This guide is prepared solely for the use of ASME Nuclear Survey Teams when conducting a survey of a Material Organization's Quality System Program. It does not replace or interpret the requirements of the ASME Boiler and Pressure Vessel Code, Section III, Divisions 1 & 2, Subsection NCA, General Requirements or ASME Section III Division 3 Subsection WA, General Requirements.

This guide is based on Section III, Divisions 1, 2 & 3 General Requirements. It is subject to revisions based on changes in Section III of the ASME Boiler and Pressure Vessel Code.

The Survey Team will assess the adequacy of the Quality System Manual (QS Manual) and its implementation. This Guide outlines the portions of NCA-3800/ WA-3800, which establish the Quality System Program Requirements. Survey Teams are advised that the scope of work, the Quality System Manual and its implementation will vary from Applicant to Applicant; therefore, all aspects of this Guide may not apply and all possible aspects are not necessarily covered. The format of this Guide is not intended to influence the review of the QS Manual and its implementation.

Send suggestions for revisions to this Guide to the ASME Director, Conformity Assessment.

Questions of possible need for Code interpretation raised by Survey Teams shall be submitted to ASME. When the Applicant wishes to submit an interpretation, the Team Leader will remind the Applicant to submit all such inquiries to the Secretary, Boiler and Pressure Vessel Committee.

HOW TO USE THIS GUIDE

Review each Quality Element in the "Checklist for Quality System Program Requirements" and note the paragraph number in the QS Program which addresses the Quality Element in the column labeled "Quality System Manual Reference". In the case where an item gives more than one alternative for fulfilling the applicable Code requirement, mark "N/A" (for "Not Applicable") 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.



Checklist for Quality System Program Requirements

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Applicant for Material Organization	Excluded from Program	Perform	Subcontract
		(check if applicable)	
Operations performed during the melting and heat analysis affecting the mechanical properties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conversion from one product form into another product form including applicable dimensional requirements, and certification to the applicable material specification.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Testing, examination, repair, or treatments required by the material specification or the specifics applicable material requirements of this Section and certification of the results of such tests, examinations, repairs, or treatments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Receipt, identification, verification, handling, storage, and shipment of material or source material.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Qualification of Material Organizations permitted by NCA-3820(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control of shipments of material from Qualified Material Organizations to parties other than the party performing the qualification.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Approval and control of suppliers of source material or subcontracted services (NCA-4255.3).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utilization of unqualified source material (NCA-4255.5).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Vendor Control Perform Subcontract	Yes	No
<p>Except as provided in NCA/WA-3800, program provides that any party performing and certifying to an operation, process, or to results of tests, examinations, repairs or treatments required by the material specification or ASME Section III shall have a Quality System and shall be surveyed and qualified by the Certified Material Organization or Certificate Holder who directly receives the certification of work performed.</p> <p>For exceptions, see NCA-3820 and 3830, NCA-3842.2 and NCA-4255.5</p>	<input type="checkbox"/>	<input type="checkbox"/>



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Item No.	Quality Element	Quality System Manual Reference
NCA-4250 - QUALITY SYSTEM PROGRAM REQUIREMENT		
NCA-4251 - RESPONSIBILITY AND ORGANIZATION		
1	NCA-4251.1 - General	
1A	The Material Organization establishes Q.S. Program for control of quality and traceability of Material. The Program is planned, documented, implemented, and maintained per NCA-4250.	
1B	The Program includes technical aspects and planning for accomplishment of activities affecting quality. The Program provides for equipment and skills to attain and verify quality.	
2	NCA-4251.2 - Scope and Applicability	
2A	Quality Manual defines specific activities included in the scope of work proposed to perform: 1) Operations performed during melting and heat analysis, operations affecting mechanical properties, conversion of product forms including dimension and certification requirements. 2) Testing, examination, repair or treatments required by the material specification and certification of the results. 3) Receipt, Identification, verification, handling, storage, and shipment of material or source material. 4) Qualification of Material Organization (NCA-3820(b)) including control of shipments from qualified material organizations to other parties. 5) Approval and control of suppliers of source material or subcontracted services (NCA-4255.3). 6) Use of unqualified source material. (NCA-4255.5).	
2B	The Program includes measures to comply with requirements of NCA/WA-3800, to assure compliance with the (material) requirements of Section III.	
3	NCA-4251.3 - Organization	
3A	The organization structure provides the persons and organization performing Q.S. functions the required authority and organizational freedom.	
3B	Persons and organizations responsible for defining and measuring the overall effectiveness of the Program shall: 1) be designated. 2) be sufficiently independent from the pressures of production. 3) have direct access to management where appropriate action can be initiated. 4) report regularly on the effectiveness of the Program.	
3C	Organization structure, functions, authority, and lines of communication shall be documented. Persons and organizations responsible for the Q.S. Program and verification of quality shall have sufficient authority, access, and organization freedom to: 1) identify quality problems. 2) initiate, recommend, or provide solutions, 3) verify implementation of solutions, 4) assure further processing, delivery, or use is controlled until proper disposition has occurred.	
3D	Individuals and groups assigned responsibility of checking, auditing or otherwise verifying production and quality control activities shall be independent of the individual or group performing the specific activity. Such persons shall not report directly to the supervisor with immediate responsibility for the work being verified.	
3E	Management shall regularly review the status and adequacy of the Program.	



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Item No.	Quality Element	Quality System Manual Reference
NCA-4252 - PERSONNEL		
4	NCA-4252.1 - Indoctrination, Training and Qualification of Personnel	
4A	Measures are established to assure all personnel performing or managing activities affecting quality are indoctrinated and trained. Indoctrination and training measures shall include: 1) Personnel to be indoctrinated and trained shall be identified (documented). 2) Extent of indoctrination and training shall be commensurate with the nature of the activity as well as the education, experience, and proficiency of the person. 3) Personnel shall be indoctrinated in the general criteria, applicable codes, standards, company procedures, Q.S. Program requirements, job responsibilities, and authority related to the function. 4) Training shall provide initial proficiency, maintain proficiency, and adapt to changes.	
4B	NDE personnel shall be qualified to NB/NC/ND/NE/NG-5521 or WB/WC/WD-5520.	
4C	Persons who lead audits shall be qualified based on education, experience, training, audit participation, and examination as defined in the Q. S. Program.	
5	NCA-4252.2 - Personnel Records	
5A	Records of indoctrination & training shall be maintained.	
5B	NDE personnel qualification records shall be documented and maintained.	
5C	Qualification records of personnel who lead audits including education, experience, audit training, examination and audit participation are documented and maintained.	
NCA-4253 - PROGRAM DOCUMENTATION		
6	NCA-4253.1 - Quality System Manual	
6A	The Q.S. Program shall be described in a Quality System Manual which shall be the major basis for demonstration of compliance with Division(s) 1, 2 and/or 3.	
6B	The Program documented in the Manual shall be implemented by written procedures which are maintained either separately or in the Manual.	
6C	Technical procedures and processes, such as nondestructive examination, are not part of the Manual, however, the controls of such shall be covered by the Manual.	
7	NCA-4253.2 - Procedures, Instructions, and Drawings	
7A	Activities affecting quality shall be performed in accordance with documented instructions, procedures, or drawings appropriate to the circumstances.	
7B	These documents shall include or reference acceptance criteria.	



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8	NCA-4253.3 - Document Control	
8A	The preparation, issue, and change of documents that specify quality requirements, such as Quality System Manuals, purchase specifications, instructions, procedures, and drawings, shall be controlled to assure the correct documents are being used at the location where the activity is performed. Such documents, including changes thereto, shall be reviewed for adequacy and approved for release by authorized personnel.	
9	NCA-4253.4 - Quality Assurance Records	
9A	Records that furnish evidence of quality shall be specified and maintained. Records shall be legible, identifiable and retrievable. Records shall be protected against damage, deterioration, or loss. Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition shall be established and documented.	
10	NCA-4253.5 Records of Examinations and Tests	
10A	Characteristics required to be reported by the material specification and this Section shall be verified and the results recorded. Records shall be traceable to the document and revision to which an inspection, examination, or test was performed.	
	NCA-4255 - CONTROL OF PURCHASED MATERIALS, SOURCE MATERIALS, AND SERVICES	
11	NCA-4255.1 - General	
11A	Measures established to assure purchased material, source material and subcontracted services conform to the requirements of the applicable Division(s) 1, 2 and/or 3.	
11B	Welding material shall be controlled in accordance with the applicable Division(s).	
11C	Measures are designed to prevent the use of incorrect or defective material or source material, or materials which have not received the required examinations or tests.	
12	NCA-4255.2 - Sources of Material, Source Material and Services	
12A	Material shall be furnished by a certified or qualified Material Organization (NCA-3820(a) or NCA-3820(b)), or by a Certificate Holder (NCA-3820(c)).	
12B	Except as provided in NCA-4255.5 source material shall be furnished by a Material Organization, by an approved supplier (NCA-4255.3), or by a Certificate Holder.	
12C	Services including performance and certification of operations, processes, the results of tests, examinations, repairs or treatments required by the material specification or by this Section shall be furnished by a Material Organization, by an approved supplier, or by a Certificate Holder.	
13	NCA-4255.3 - Approval and Control of Suppliers of Source Material and Services	
13A	The Material Organization or Certificate Holder shall be responsible for approval and control of activities performed by suppliers of source materials and subcontracted services. Such control shall provide for source evaluation, selection, evaluation of objective evidence, audit, and receipt inspection upon delivery of items and services.	
13B	The Material Organization or Certificate Holder shall be responsible for establishing and verifying that the supplier's controls are adequate by: <ol style="list-style-type: none"> 1) surveying the supplier's quality system, and performing triennial audits of the supplier's established quality system, supplemented by annual evaluations of the approved supplier's quality system including a review of the history of conditions adverse to quality, nonconformances, and corrective actions or 2) having the supplier perform the activities with control established by the Material Organization's or Certificate Holder's Program. 	



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Item No.	Quality Element	Quality System Manual Reference
13C	<p>As an alternative to survey and audit of suppliers of subcontracted calibration services, a Material Organization, approved supplier, or Certificate Holder may accept accreditation by accrediting bodies recognized by the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA), provided the following requirements are met:</p> <p>1) A documented review of the calibration supplier's accreditation shall be performed and shall include verification</p> <ul style="list-style-type: none"> a. that the accreditation is to ISO/IEC 17025, "General Requirements for the Competence of Testing and Calibration Laboratories," from an accredited body recognized by the ILAC MRA and b. that the published scope of accreditation for the calibration laboratory covers the needed measurement parameters, ranges, and uncertainties. 	
13D	<p>2) The procurement documents shall specify</p> <ul style="list-style-type: none"> a. that the service must be provided in accordance with the accredited ISO/IEC 17025 program and scope of accreditation, and b. that the calibration certificate/report shall include identification of the laboratory equipment/standards used, and c. that the calibration certificate/report shall include as-found calibration data when calibrated items are found to be out-of-tolerance, and d. that the service supplier shall not subcontract the service to any other supplier, and e. that the Material Organization, approved supplier, or Certificate Holder must be notified of any condition that adversely impacts the laboratory's ability to maintain the scope of accreditation, and f. additional technical and quality requirements, as necessary, based on a review of the procured scope of services, including, but not limited to, tolerances, accuracies, ranges, and industry standards. 	
13E	<p>3) At receipt inspection, the Material Organization, approved supplier, or Certificate Holder shall be responsible for validating that the calibration supplier's documentation certifies</p> <ul style="list-style-type: none"> a. that the subcontracted calibration was performed in accordance with the supplier's ISO/IEC 17025 program and scope of accreditation and b. conformance to the procurement document's requirements. 	
13F	<p>This activity shall be documented in the Material Organization's Quality System Program Manual, the approved supplier's quality program, or the Certificate Holder's Quality Program Manual.</p>	
13G	<p>As an alternative to survey and audit of suppliers of subcontracted testing services, a Material Organization, approved supplier, or Certificate Holder may accept accreditation from accrediting bodies recognized by the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA), provided the following requirements are met:</p> <p>1) A documented review of the supplier's accreditation shall be performed and shall include verification</p> <ul style="list-style-type: none"> a. that the accreditation is to ISO/IEC 17025, "General Requirements for the Competence of Testing and Calibration Laboratories," from an accredited body recognized by the ILAC MRA and b. that the published scope of accreditation for the testing laboratory covers the needed testing services, including test methodology and tolerances/uncertainties. 	
13H	<p>2) The procurement documents shall specify</p> <ul style="list-style-type: none"> a. that the service must be provided in accordance with the accredited ISO/IEC 17025 program and scope of accreditation, and b. that the service supplier shall not subcontract the service to any other supplier, and c. that the Material Organization, approved supplier, or Certificate Holder must be notified of any condition that adversely impacts the laboratory's ability to maintain the scope of accreditation, and d. additional technical and quality requirements, as necessary, based on a review of the procured scope of services, including, but not limited to, tolerances, accuracies, ranges, and industry standards. 	



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13I	3) At receipt inspection, the Material Organization, approved supplier, or Certificate Holder shall be responsible for validating that the supplier's documentation certifies <ul style="list-style-type: none"> a. that the subcontracted testing was performed in accordance with the supplier's ISO/IEC 17025 program and scope of accreditation and b. conformance to the procurement document's requirements. 	
13J	4) This activity shall be documented in the Material Organization's Quality System Program Manual, the approved supplier's quality program, or the Certificate Holder's Quality Assurance Program Manual.	
13K	The Material Organization or Certificate Holder shall be responsible for assuring Materials and activities conform to the requirements of the applicable Division(s) 1, 2 and/or 3.	
14	NCA-4255.4 - Procurement Document Control	
14A	Procurement documents include requirements to assure compliance with the requirements of the applicable Division(s) 1, 2 and/or 3.	
14B	Except for NCA-4255.5, procurement documents require material, source material or subcontracted services be furnished to the requirements of NCA-3800/4200.	
14C	Procurement documents require approved suppliers to reference the accepted quality system or controls established by the Material Organization or Certificate Holder on documentation that accompanies the source material or services furnished (see NCA-3862.2).	
14D	Procurement documents "that specify quality requirements or activities" shall be reviewed for adequacy and approved for release by authorized personnel.	
15	NCA-4255.5 – Utilization of Unqualified Source Material	
15A	As an alternative to NCA-4255.2(b), when included in its scope of activities as permitted by the provisions of NCA-3800, a Material Organization may accept certification of the requirements of the material specification which must be performed during the melting, heat analysis, and heat treatment of the material, and may use or furnish unqualified source material, provided the requirements of (1) through (4) below are met: <ul style="list-style-type: none"> 1) No welding with filler metal has been performed on the unqualified source material including certification from organization that established product form that no welding with filler metal. 2) The Material Organization performs or subcontracts a product analysis on each piece of unqualified source material to verify the chemical composition of each piece of unqualified source material. 3) The Material Organization performs or subcontracts all other requirements of the material specification on each piece of unqualified source material. Alternatively, the Material Organization may perform or subcontract all other requirements of the material specification on each heat and lot of unqualified source material provided: <ul style="list-style-type: none"> a. A CMTR is provided with the unqualified source material. b. The unqualified source material is traceable to the CMTR. c. Procurement documents require that suppliers of unqualified source material establish written procedures for identifying source materials in a manner that provides traceability to the Certified Material Test Report. d. The Material Organization reviews and accepts the supplier's identification and traceability procedures and performs an on-site verification for compliance with the procedures at a frequency commensurate with the schedule of production or procurement, but at least once triennially. e. Upon receipt, the Material Organization shall verify by review of objective evidence, that the requirements of the procurement document have been met. 4) Where C of C (NCA-3862.1(g)) are acceptable, testing of each piece is not required. 	
15B	The provisions of Item 15A above may be performed (and controlled) by the Certificate Holder in accordance with his Quality Assurance Program.	



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Item No.	Quality Element	Quality System Manual Reference
NCA-4256 - IDENTIFICATION MARKING AND MATERIAL CONTROL		
16	NCA-4256.1 - General	
16A	Control is established to assure that correct and accepted material or source material is used. Identification shall be maintained on these materials or on documents traceable to these materials, or in a manner which assures that the identification is established and maintained.	
16B	Measures established for controlling and identifying material or source material, including partially processed, throughout the manufacturing process, during tests, examinations, repairs, and treatments, and during receipt, storage, handling, and shipment.	
16C	Identification marking shall be transferred to all pieces when material or source material is divided.	
17	NCA-4256.2 - Marking Method	
17A	Materials and source materials shall be marked by any method acceptable to the purchaser which will not result in harmful contamination or sharp discontinuities and will identify these materials in accordance with the material specification.	
18	NCA-4256.3 – Identification of Completed Material	
18A	The identification of completed material is by marking the material with the specification and grade of material, the heat number or heat code, and additional marking required by the applicable Division(s) 1, 2, and/or 3 to facilitate traceability to reports of the results of all tests and examinations.	
18B	For those materials where C of C (NCA-3862.1(g)) are allowed, heat-number need not be indicated on the material or the Certificate.	
18C	A marking symbol or code may be used, provided such code or symbol is explained in the Certified Material Test Report (NCA-3862.1) or C of C. (NCA-3862.1. g).	
18D	All requirements of the Material specification shall be met except where exempted or superseded by the applicable Division(s) 1, 2, and/or 3. When requirements or provisions of the applicable Division conflict with the requirements of the material specification, the material specification and grade number shall be followed with an asterisk (*) to indicate that the material specification has been modified as shown on the material certification.	
18E	Nonferrous materials, which do not provide for heat identification, shall be marked with a symbol or code that identifies the lot, as defined in the material specification, to the CMTR.	
18F	Except as required by the material specification, bolts and nuts 1 in. nominal diameter and smaller and other products where the largest space available for marking is less than 1 in. in any one direction need not be individually marked, provided they are packed in packages or containers identified by marking to ensure identity of the material with the C of C or CMTR.	
19	NCA-4256.4 - Welding and Brazing Materials Identification	
19A	Welding and brazing materials shall be clearly identified by marking on the package or container to ensure identification. The marking includes the heat or lot number, a control marking code which identifies the materials with the CMTR, and other information such as specification, grade and classification number, Material Organization's name, and trade designation.	



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Item No.	Quality Element	Quality System Manual Reference
	NCA-4257 - PROCESS CONTROL	
20	NCA-4257.1 – General	
20A	Processes affecting materials, source materials, or services are controlled. Special processes that control or verify quality, such as welding, heat treating, or nondestructive examination, are performed by qualified personnel using qualified procedure.	
21	NCA-4257.2 - Manufacturing Process Control	
21A	Operations shall be performed using process sheets, shop procedures, checklists, travelers, or equivalent procedures. Measures established to ensure control of processes in accordance with the material specification and rules of applicable Division(s) 1, 2, and/or 3.	
22	NCA-4257.3 – Welding	
22A	Welding repair of material or source material shall be performed in accordance with procedures and by welders or welding operators qualified in accordance with the applicable Division(s) 1, 2, and/or 3 and Section IX.	
23	NCA-4257.4 - Handling, Storage, Shipping and Preservation	
23A	Instructions shall be established for handling, storage, shipping, and preservation of material or source material to prevent damage or deterioration.	
	NCA-4258 - CONTROL OF EXAMINATIONS, TESTS, AND NONCONFORMING MATERIAL	
24	NCA-4258.1 - Inspection, Examination and Test Control	
24A	Inspections, examinations, and tests shall assure conformance with the material specification and the applicable Division(s) 1, 2, and/or 3.	
24B	Inspections or examinations shall be planned. Characteristics to be inspected or examined, and methods to be employed, shall be specified. Results shall be documented.	
24C	Tests shall be planned. Characteristics to be tested and methods to be employed shall be specified. Results shall be documented and their conformance with acceptance criteria shall be evaluated.	
25	NCA-4258.2 - Control of Measuring and Test Equipment	
25A	Procedures shall be in effect to assure tools, gages, instruments, and other measuring and testing devices used to verify compliance with the Material Specification and Section III are calibrated and adjusted at specific periods or use intervals. Periodic checks may be performed to determine that calibration is maintained.	
25B	Calibration shall be against certified equipment having known valid relationships and documented traceability to nationally recognized standards, where such standards exist. If no nationally recognized standard exists, the basis for calibration shall be documented.	
25C	Control measures shall include equipment identification and calibration status by equipment marking or on records traceable to the equipment.	



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Item No.	Quality Element	Quality System Manual Reference
26	NCA-4258.3 - Discrepancies in Measuring or Testing Equipment	
26A	When discrepancies in equipment are found at calibration, corrective action shall be taken, and material measured or tested since the previous calibration shall be reviewed to determine that requirements have been met.	
26B	When periodic checks are performed, material or source material discrepancies need only be resolved to the previous check, provided: 1) The methods used and frequency of periodic checking are described in calibration procedures; and 2) The calibration discrepancy was found by periodic check.	
27	NCA-4258.4 - Inspection and Test Status	
27A	Measures established so that status and results of required inspections, examinations, or tests can be determined at any time. Status is maintained by indicators such as physical location and tags, marking, shop travelers, stamps, inspection records, or other suitable means. The authority for application and removal of indicators shall be specified.	
28	NCA-4258.5 - Control of Nonconforming Material	
28A	Control shall be established to prevent the use of material that does not conform to requirements.	
28B	Material or source material with nonconformances shall be identified, segregated, and reviewed for acceptance, rejection or repair by documented procedures. The responsibility and authority for the disposition of nonconformances shall be defined.	
28C	Repaired material or source material shall be reexamined.	
28D	Control of further processing of nonconforming material or source material, pending a decision on its disposition, shall be established and maintained. These controls shall extend to notification of affected organizations, as appropriate.	
	NCA-4259 - AUDITS AND CORRECTIVE ACTION	
29	NCA-4259.1 Audits	
29A	Audits shall be performed to written procedures or checklists by personnel not having direct responsibility in the areas being audited.	
29B	Audit results shall be documented by auditing personnel for review by management having responsibility in the area being audited.	
29C	Procedures shall include documentation of corrective action taken to deficiencies. Follow-up action shall be taken and documented; including reaudit, if necessary.	
29D	In addition to audits of Material Organizations and suppliers, a comprehensive system of planned internal audits shall be performed at least annually to assure compliance with all aspects of the Quality System Program and to determine the effectiveness of the Program.	
29E	Internal audits shall be performed in accordance with the requirements of (a) through (c) above.	



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30	NCA-4259.2 - Corrective Action	
30A	Conditions adverse to quality such as failures, malfunctions, deviations, defective material and equipment, nonconformances, and quality system deficiencies, are identified and reported to management. Measures assure cause of conditions adverse to established quality levels is determined and corrected.	
30B	The identification of significant or recurring conditions adverse to quality, the cause of the condition, and the corrective action taken shall be documented and reported to management.	
30C	These requirements shall extend to the performance of approved supplier's and qualified M.O. corrective action measures.	
	NCA-3860 - CERTIFICATION REQUIREMENTS	
31	NCA-3861 - CERTIFICATION REQUIREMENTS FOR MATERIAL ORGANIZATIONS	
31A	The Material Organization whose scope of activities includes NCA-3830 shall provide a Certified Material Test Report or Certificate of Compliance, as applicable, (NCA-3862) for the material. 1) The certification affirms that contents of the report are correct and accurate and that all test results and operations performed by the Material Organization or its subcontractors are in compliance with the material specification and the specific material requirements of Section III Division(s) 1, 2, and/or 3. 2) Chemical analyses, tests, examinations, and heat treatments required by the material specification that were not performed shall be listed on the Certified Material Test Report or Certificate of Compliance, or may be listed on an identified attachment. 3) When the Material Organization's scope of activities includes product form conversion, the Material Organization shall also certify that the material conforms to the dimensional requirements.	
31B	The Material Organization shall transmit all certifications received from Material Organizations or approved suppliers in accordance with (a) above, to the purchaser at time of shipment.	
31C	The Certificate Holder shall complete operations not completed by the Material Organization and shall provide a Certified Material Test Report for all operations performed by him or his approved suppliers. The Certificate Holder shall certify the contents of the report are correct and accurate and test results and operations performed are in compliance with the requirements. Alternatively, the Certificate Holder provides a Certified Material Test Report for operations performed and at least one Certified Material Test Report from each approved supplier for the operations they performed.	
	NCA-3862 - CERTIFICATION OF MATERIAL	
32	NCA-3862.1 - Certified Material Test Report	
32A	The Certified Material Test Report shall include the actual results of all required chemical analyses, tests, and examinations.	
32B	When required chemical analyses (including melting mill heat analysis), heat treatment, tests, examinations, or repairs are subcontracted, the approved supplier's certification for the operations performed shall be furnished as an identified attachment to the Certified Material Test Report. For welding materials (NCA-1221.2, WA-1223) only, when permitted by the material specification and the rules of this Section [NB/NC/ND/NE/NF/NG-2400, CC-2600, WB/WC/WD-2400], the Material Organization or Certificate Holder may provide a chemical analysis of the welding material in lieu of furnishing the melting mill heat analysis. When operations other than chemical analysis, heat treatment, tests, examination, or repairs, that require maintenance of traceability are subcontracted, these operations and the approved suppliers performing them shall be listed on the Certified Material Test Report, or the approved suppliers certification for the operation may be furnished as an attachment to the Certified Material Test Report.	



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Item No.	Quality Element	Quality System Manual Reference
32C	The Certified Material Test Report shall also include a report of all weld repairs performed on the material. Radiographic film shall be included as a part of the Certified Material Test Report, except for those radiographs required for the testing of welding or brazing materials.	
32D	When specific times or temperatures (or temperature ranges) of heat treatments are required by material specifications, they shall be reported. When not required by the material specification, a statement of the type of heat treated condition shall be reported. For austenitic stainless steels and high nickel alloys, a statement of the minimum solution annealing temperature is a sufficient statement of heat treatment. The times and temperatures of postweld heat treatment as required by the fabrication requirements of the applicable Division(s) 1, 2, and/or 3 shall be reported.	
32E	Reporting of actual dimensions and visual examination results is neither required nor prohibited by this paragraph. (Note requirements of NCA-4251 and 3861 for dimensions).	
32F	Notarization of the Certified Material Test Report is not required.	
32G	A Certificate of Compliance with the material specification, grade, class, and heat treated condition, as applicable, may be provided in lieu of a certified Material Test Report for material 3/4 in. (DN 20) nominal pipe size and less (pipe, fittings, flanges, materials for valves and tubes except heat exchanger tubes), bolting 1 in. (25mm) nominal diameter and less, and bars with a nominal cross-sectional area of 1 sq. in. and less, as applicable.	
32H	Material identification shall be described in the Certified Material Test Report or Certificate of Compliance. Heat/Lot traceability is not required when C of C is applicable.	
33	NCA-3862.2 - Quality System Program Statement	
33A	When the Material Organization holds a Quality System Certificate, the certificate number and expiration date shall be shown on the Certified Material Test Report or Certificate of Compliance, or on a certification included with the documentation that accompanies the material.	
33B	When an N-type Certificate Holder has Material Supply in its scope, the N-type certificate number and expiration date shall be shown on the Certified Material Test Report or Certificate of Compliance or on a certification included with the documentation that accompanies the material.	
33C	When the Material Organization has been qualified by a party other than the Society, the revision and date of the applicable written Quality System Program shall be shown on the Certified Material Test Report or Certificate of Compliance, or on a certification included with the documentation that accompanies the material.	
33D	The inclusion of the Quality System Certificate number and expiration date or reference to revision and date of the written Quality System Program shall be considered as the Material Organization's certification that all activities have been performed to the requirements of NCA-3800.	
34	NCA-3830 (c) - Responsibilities of Material Organizations – Qualification of Material Organizations per NCA-3842.2	
34A	Evaluation of a Material Organization's Quality System Program by parties other than the Society, as provided by NCA-3820(b), shall be performed in accordance with the requirements of NCA-3842.2 (a) The Quality System Program shall be surveyed, accepted, and audited ... on the basis of its compliance with the applicable material requirements of this Section and the requirements of NCA-4250.	
34B	(b) The Quality System Manual (NCA-4253.1) shall be the party's guide for surveying and auditing the qualified Material Organization's continued compliance with the accepted Quality System Program.	
34C	(c) The qualified Material Organization shall make available for on-site review by the party performing the evaluation any procedures, process sheets, or drawings as are necessary to understand the Program. The qualified Material Organization shall keep a controlled copy of the Manual on file and in a place and manner readily available to the party performing the audit.	
34D	(d) The qualified Material Organization shall notify purchasers of material, source material, or subcontracted services accepting its Program of proposed revisions to its Quality System Manual. The party accepting the Program shall evaluate and accept such revisions prior to the implementation of the revisions on purchased materials or services.	



Checklist for Quality System Program Requirements

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Item No.	Quality Element	Quality System Manual Reference
34E	(e) When the qualified Material Organization's scope of activities includes utilization of unqualified source material (NCA-4255.5), this activity shall be included in the Quality System Manual and shall be reviewed by the party accepting the Program.	
34F	(f) When the qualified Material Organization's scope of activities includes approval and control of suppliers (NCA-4255.3), this activity shall be included in the Quality System Manual and shall be reviewed by the party accepting the Program. During surveys or audits of qualified Material Organizations, the party performing the evaluation shall review objective evidence that the qualified Material Organization's control of suppliers is adequate to assure compliance with the applicable material requirement of this Section.	
34G	(g) When the qualified Material Organization's scope of activities includes shipment of material to parties other than the party performing the qualification, control of this activity shall be included in the Quality System Manual and shall be reviewed by the party accepting the Program. During surveys or audits of qualified Material Organizations, the party performing the evaluation shall review objective evidence that the qualified Material Organization's control of shipments is adequate to assure compliance with the applicable material requirements of this Section.	
34H	(h) Audits and performance assessments by parties performing evaluations of qualified Material Organizations shall meet (h) (1) and (2). Manual to include the controls for these activities.	
34I	(i) Performance assessments shall meet the following requirements: (1) Assessments shall include a documented review of the qualified Material Organization's history of conditions adverse to quality, nonconformances, and corrective actions. (2) Assessments shall include a documented review of periodic testing performed since the last assessment to demonstrate conformance of sample materials to selected requirements of the material specification. Such testing shall be conducted during the period since the last assessment by the party performing the evaluation.	