

ASME QAI-1–2016
(Revision of ASME QAI-1–2010)

Qualifications for Authorized Inspection

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The American Society of
Mechanical Engineers

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**The American Society of
Mechanical Engineers**

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FOREWORD

The 2016 Edition of ASME QAI-1 incorporates the 2010 Edition of QAI-1 and revisions and additions approved by the QAI Standards Committee since the publication of the 2010 Edition. This Standard is arranged into the Parts listed below.

- Part 1 Requirements for qualifications and duties of the Authorized Inspection Agency, its Authorized Nuclear Inspectors, and its Authorized Nuclear Inspector Supervisors, as used with the ASME Boiler and Pressure Vessel Code Section III, Division 1, Rules for Construction of Nuclear Facility Components; Section III, Division 3, Containments for Transportation and Storage of Spent Nuclear Fuel and High Level Radioactive Material and Waste; and Section III, Division 5, High Temperature Reactors
- Part 2 Requirements for qualifications and duties of the Authorized Inspection Agency, its Authorized Nuclear Inservice Inspectors, and its Authorized Nuclear Inservice Inspector Supervisors, as used with the ASME Boiler and Pressure Vessel Code Section XI, Rules for Inservice Inspection of Nuclear Power Plant Components
- Part 3 Requirements for qualifications of the Authorized Inspection Agency, its Authorized Nuclear Inspectors (Concrete), and its Authorized Nuclear Inspector Supervisors (Concrete), as used with the ASME Boiler and Pressure Vessel Code Section III, Division 2, Code for Concrete Reactor Vessels and Containments (ACI 359)
- Part 4 Requirements for accreditation of Authorized Inspection Agencies
- Part 5 Requirements for qualifications and duties of the Authorized Inspection Agency and its Supervisors, and qualifications of Authorized Inspectors, as used with the ASME Boiler and Pressure Vessel Code Sections I; IV; VIII, Divisions 1, 2, and 3; X; and XII.
- Part 6 Requirements for qualifications and duties for Qualified Inspection Organizations and qualifications for Inspectors and Supervisors as used with the ASME Boiler and Pressure Vessel Code Section XII
- Part 7 Requirements for accreditation of Qualified Inspection Organizations performing inspections as required by the ASME Boiler and Pressure Vessel Code Section XII
- Part 8 Requirements for qualification and duties of the Certified Individual performing inspections as used with the ASME Boiler and Pressure Vessel Code Sections I; IV; VIII, Divisions 1, 2, and 3; X; and XII when so referenced by the respective Code Sections

These requirements were developed and are maintained by the ASME Committee on Qualifications for Authorized Inspection, which was first formed on March 29, 1973, as a special committee under the Policy Board, Codes and Standards and that now reports to the ASME Board on Conformity Assessment. The Committee operates under procedures accredited by the American National Standards Institute.

The QAI-1 Standard has been developed with the following principles intended to apply to all jurisdictional authorities accredited as an AIA by ASME:

(a) *Reciprocity.* The enforcement authority (jurisdiction) agrees to accept the results of inspections required by the ASME Boiler and Pressure Vessel Code that have been performed by an accredited AIA.

(b) *Integrity.* The AIA maintains the commitment to the integrity of the inspection process and of the ASME Code Symbol Marks by fulfilling its obligations under the ASME Boiler and Pressure Vessel Code and by recognizing the role of the third party inspection system.

(c) *Openness.* The enforcement authority (jurisdiction) permits ASME Certificate Holders and Applicants for ASME Certificates of Authorization located within its jurisdiction to select other ASME accredited AIAs.

(d) *Participation in the Process.* The AIA agrees to participate in the development of the ASME Boiler and Pressure Vessel Code by becoming a member of either the Conference Committee or the International Interest Review Group (IIRG).

When required by context in this Section, the singular shall be interpreted as the plural and vice-versa, and the feminine, masculine, or neuter gender shall be treated as such other gender as appropriate.

Requests for interpretations or suggestions for improvement of this Standard should be addressed to the Secretary of the Committee on Qualifications for Authorized Inspection, The American Society of Mechanical Engineers, Two Park Avenue, New York, NY 10016-5990.

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(The following is the roster of the Committee as of December 2015.)

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ASME QAI-1–2016

SUMMARY OF CHANGES

ASME QAI-1–2016, which was approved by ASME on March 17, 2016, replaces previously issued ASME QAI-1–2010.

ASME QAI-1–2016 includes editorial changes and corrections as well as the following changes identified by a margin note, (16).

<i>Page</i>	<i>Location</i>	<i>Change</i>
1, 2	Part 1	Title revised
	1-0	Revised
	1-1.1	(1) First paragraph and subpara. 1-1.1.1(a) revised
		(2) Paragraphs 1-1.1.2 through 1-1.1.4 redesignated as 1-1.3 through 1-1.5, respectively
		(3) Paragraphs 1-1.1.2 and 1-1.1.6 added
	1-1.2	Paragraphs 1-1.2, 1-1.2.2, and 1-1.2.6 and subpara. 1-1.2.5(d) revised
3, 4	1-1.2.11	Added
	1-2.1	Revised in its entirety
	1-2.2	Revised
	1-2.2.6	First paragraph revised
5	1-2.2.10	Revised
	1-2.2.12	Added
	1-3.1	Revised in its entirety
6	1-3.2.18	Revised in its entirety
7, 8	2-1.1	(1) Paragraphs 2-1.1.2 through 2-1.1.4 redesignated as 2-1.1.3 through 2-1.1.5, respectively
		(2) Paragraphs 2-1.1.2 and 2-1.1.6 added
	2-1.2	Revised
	2-1.2.11	Added
9	2-2.1	Revised in its entirety
	2-2.2	Revised
10	2-2.2.9	Added
	2-3.1	Revised in its entirety
11	2-3.2.10	Revised in its entirety
12, 13	3-1.1	(1) Paragraphs 3-1.1.2 through 3-1.1.4 redesignated as 3-1.1.3 through 3-1.1.5, respectively
		(2) Paragraphs 3-1.1.2 and 3-1.1.6 added
	3-1.2	Revised

<i>Page</i>	<i>Location</i>	<i>Change</i>
14, 15	3-1.2.11	Added
	3-2.1	Revised in its entirety
	3-2.2	Revised
16	3-2.2.11	Added
	3-3.1	Revised in its entirety
	3-3.2.1	Second paragraph in Note revised
17	3-3.2.19	Revised in its entirety
18	4-0	Revised
	4-3	Second paragraph added
21–23	5-1.1.9	Added
	5-1.2	(1) First paragraph revised
		(2) Paragraph 5-1.2.11 redesignated as 5-1.2.12
		(3) Paragraph 5-1.2.11 added
	5-2.1	Revised in its entirety
	5-2.2	Revised
	5-2.2.8	Added
	5-3.1	Revised in its entirety
24	5-3.3	Added
25, 26	6-1.2	(1) First paragraph revised
		(2) Paragraphs 6-1.2.9 and 6-1.2.10 redesignated as 6-1.2.10 and 6-1.2.11, respectively
		(3) Paragraph 6-1.2.9 added
31	8-1	Subparagraph (a) revised

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QUALIFICATIONS FOR AUTHORIZED INSPECTION

Part 1

(16)

Qualifications and Duties for Authorized Inspection Agencies, Nuclear Inspectors, and Nuclear Inspector Supervisors (Applicable to ASME Boiler and Pressure Vessel Code Section III, Divisions 1, 3, and 5)

(16) 1-0 SCOPE

Part 1 is for use with Section III, Divisions 1, 3, and 5 of the ASME Code,¹ including applicable Addenda and Code Cases.

1-1 THE AUTHORIZED INSPECTION AGENCY

(16) 1-1.1 Qualifications

An Authorized Inspection Agency is an organization meeting the criteria of this Standard that is accredited by the Society pursuant to the provisions set forth in Part 4 to provide Authorized Inspection Agency services within a jurisdiction.² Such agencies employ Authorized Inspectors and Inspector Supervisors that meet the criteria of Section III, Division 1; Section III, Division 3; or Section III, Division 5 of the ASME Code and of the National Board Rules for Commissioned Inspectors.³

1-1.1.1 An Authorized Inspection Agency shall be one of the following:

(a) a jurisdiction² that has adopted and does administer Section III, Division 1; Section III, Division 3; or Section III, Division 5 of the ASME Code as a legal requirement and is qualified to be represented on the ASME Code Conference Committee.

(b) an insurance company that has been licensed or registered by the appropriate authority of a state of the United States of America, or of a province of Canada, to write boiler and pressure vessel insurance in such state or province. The insurance company shall show its capability to provide boiler and pressure vessel insurance coverage by being actively engaged in writing such

insurance in one or more of the states or provinces where so licensed or registered.

(c) a company in the business of providing "third party" inspection services within a jurisdiction,² which has government recognition to perform inspection and design reviews for boilers and pressure vessels.

1-1.1.2 The jurisdiction described in 1-1.1.1(a) may designate one or more organizations to act on its behalf to enforce its regulations. The organization shall

(a) provide evidence establishing that such delegation of authority is duly authorized by the laws of the jurisdiction

(b) describe how the ASME Code is accepted by the jurisdiction

(c) describe how the Code is enforced by the organization

1-1.1.3 An Authorized Inspection Agency shall be accredited by the Society pursuant to the provisions set forth in Part 4. The Authorized Inspection Agency services provided by their Inspectors and Inspector Supervisors shall also be subject to audit by ASME for compliance with this Standard during shop or site reviews of organizations for which they provide Authorized Nuclear Inspection.

1-1.1.4 The Authorized Inspection Agency shall provide authorized inspection services within such states or provinces by Inspectors and Inspector Supervisors who meet the qualifications of the Authorized Nuclear Inspector and of the Authorized Nuclear Inspector Supervisor as defined herein.

1-1.1.5 The Authorized Inspection Agency shall have no commercial interest in, or shall be independent of any part of an organization having direct commercial interest in, the products to be inspected. The staff shall be free from any commercial, financial, and other pressures

¹ ASME Code refers to the ASME Boiler and Pressure Vessel Code.

² Considered to be enforcement authority per Section III, Subsection NCA, NCA-9000, of the ASME Code, as appropriate.

³ The National Board refers to The National Board of Boiler and Pressure Vessel Inspectors.

that might influence their judgment or the results of their work.

1-1.1.6 Authorized Inspection Agencies described in 1-1.1.1(b) and (c) shall have liability insurance and shall

(a) be able to demonstrate that they have adequate arrangements (e.g., insurance or reserves) to cover the liabilities

(b) evaluate their finances and sources of income and shall be able to demonstrate that initially, and on an annual basis, commercial, financial, or other pressures do not compromise their impartiality

(c) retain documentary evidence that they have reviewed their activities on an annual basis to ensure that the requirements of (a) and (b) have been met

(d) declare by signature in the Quality Assurance Manual's Statement of Policy that the requirements of (a) and (b) will be met

(e) submit the documentary evidence as part of their application for the ASME Certificate of Accreditation

(16) 1-1.2 Duties

An Authorized Inspection Agency⁴ shall perform the duties specified in 1-1.2.1 through 1-1.2.11.

1-1.2.1 Provide Supervisors and Inspectors to participate in the ASME surveys of Certificate Holders for which they provide Authorized Nuclear Inspection.

Ensure the Inspector's diary is made available for ASME surveys and investigations. The purpose of the diary is to provide a record of the Inspector's activities and to support the continuity of inspections.

1-1.2.2 Provide qualified Authorized Nuclear Inspectors to monitor construction⁵ in accordance with the ASME Code Section III, Division 1, 3, and/or 5.

1-1.2.3 Maintain qualified Supervisors to monitor the performance of the Authorized Nuclear Inspectors and to audit the activities at nuclear shops and field sites for which inspection agreements have been made, in accordance with the requirements of 1-2.2.6.

1-1.2.4 Give written notice to all Inspectors of the name, office address, email address, office phone, and mobile phone of their respective Supervisors annually or whenever there is a change in the above contact information.

⁴ Wherever used in Part 1, the term *Agency* or *employer* refers to the Authorized Inspection Agency, the term *Supervisor* refers to an Authorized Nuclear Inspector Supervisor, and the term *Inspector* refers to an Authorized Nuclear Inspector.

⁵ *Construction*, as used in Divisions 1 and 3, is an all-inclusive term comprising materials, design, fabrication, examination, testing, inspection, and certification required in the manufacture and installation of items.

1-1.2.5 Assure proper execution of responsibilities. In particular, the Agency shall

(a) establish and implement an internal program which shall provide assurance that those of its employees holding the positions of Supervisor and Authorized Nuclear Inspector perform work in accordance with the requirements of Part 1. This program shall be documented by written policies, procedures, or instructions and shall be carried out throughout the life term of any agreement covering inspections required by the ASME Code, in accordance with the program. The program shall provide for indoctrination and training of personnel performing such activities, as necessary, to ensure that suitable proficiency is achieved and maintained.

(b) provide instructions in writing to Authorized Nuclear Inspectors and their Supervisors, specifying their respective duties and responsibilities.

(c) provide instructions in writing to Authorized Nuclear Inspectors requiring them to immediately contact their Supervisor whenever the Inspector is unable to readily resolve any question concerning ASME Code compliance, manufacturing procedure, or quality assurance provision or its implementation. Instructions should be included as a reminder to the Authorized Nuclear Inspector that he has the authority and the duty to refuse to sign any Data Reports involving nonconformance with the ASME Code.

(d) conduct annual planned audits of activities performed by Authorized Nuclear Inspector Supervisors to verify compliance with the provisions of Part 1 and the ASME Code Section III, Division 1, 3, and/or 5. The audit shall be performed by appropriately trained personnel, in accordance with a written procedure or checklist. Audit results shall be documented and reviewed by management. Follow-up action, including reaudit of deficient areas, shall be taken where indicated to ensure that necessary corrective action is completed.

(e) establish and implement a written policy to ensure levels of inspection activity commensurate with the scope of the AIA's Certificate of Accreditation.

1-1.2.6 Provide certification for each Authorized Nuclear Inspector and Supervisor to be performing work under the provisions of the ASME Code Section III, Division 1, 3, and/or 5 to ensure that the Inspectors and Supervisors meet the required experience and training requirements of Part 1. Certification and documentation of qualifications shall be retained by the employer and shall be made available for review by the jurisdictional Authorities and the ASME Survey Team, upon request.

1-1.2.7 Submit to the National Board an application for an "N" endorsement for the Authorized Nuclear Inspector applicant, certifying that he has the required experience and training and that qualified supervision will be provided to ensure that the Authorized Nuclear Inspector satisfactorily fulfills his functions.

1-1.2.8 Submit to the National Board an application for an “NS” endorsement for the Authorized Nuclear Inspector Supervisor applicant, certifying that the Supervisor has the required experience and training.

1-1.2.9 Verify to the National Board that the audits required by 1-2.2.6 have been carried out.

1-1.2.10 Notify the ASME Conformity Assessment Department when entering into an agreement or whenever an existing agreement is terminated with an ASME Certificate Holder or Owner.

In addition, the enforcement authority shall be notified whenever an agreement with an Owner is written or an Owner’s agreement is terminated.

- (16) **1-1.2.11** Notify the ASME Conformity Assessment department immediately, when a change in qualification status as indicated in 1-1.1.1, or on the Certificate of Accreditation, occurs.

1-1.3 AIA Quality Program

1-1.3.1 A documented Quality Program shall be established, implemented, and maintained by the Authorized Inspection Agency (AIA) in accordance with the requirements of this Standard. The AIA Quality Program shall identify the activities to which it applies and shall provide for the planning, control, and accomplishment of activities affecting the quality of the Authorized Inspection Agency’s implementation of duties and activities as described in applicable Parts of this Standard.

1-1.3.2 The AIA Quality Program shall, at a minimum, include the following parts:

(a) *Organization.* The Program shall document the organizational structure, functional responsibilities, levels of authority, and lines of responsibility for activities required for compliance with requirements of this Standard.

(b) *Program Description.* The Program shall describe the scope of the activities for which the Program applies. The scope shall include all requirements of the QAI-1 Standard for which the Authorized Inspection Agency is accredited by the Society (or for which the applicant is seeking Society accreditation as an Accredited Authorized Inspection Agency). The Program shall document the policies and describe the process for the implementation of the requirements of the QAI-1 Standard.

(c) *Document Control.* The Program shall describe the process for the review and revision of the Program. All changes to the Program shall be controlled and the process for review and approval of changes shall be specified. All changes to the Program require prior review and approval by the Society before implementation as required by 4-4(d). Further, the Program shall be controlled to ensure appropriate distribution to and use at

the location(s) where the prescribed activity is performed.

(d) *Training.* The Program shall describe the process for the indoctrination and training of personnel responsible for implementing the Program.

(e) *Records.* The Program shall describe the process for records management. The description shall include measures to ensure that the records are controlled and maintained in a manner that prevents damage, deterioration, and loss. The AIA’s records necessary to verify compliance with this QAI Standard, except for personnel qualification records, shall be maintained for a minimum of 5 yr. The personnel qualification records, necessary to verify compliance with this QAI Standard, shall be maintained while the individual is providing AIA services and for a minimum of 5 yr after the individual ceases to provide AIA services.

(f) *Corrective Actions.* The Program shall describe the process for the identification, review, and correction of a condition or activity that is not conducted in accordance with the Program. Corrective action shall be taken to preclude the repetition of nonconforming conditions. The description of the process shall include how corrective action is implemented, documented, and reported to management.

(g) *Audits.* The Program shall describe the audit process and shall include the following as a minimum:

(1) A comprehensive system of planned and periodic audits shall be carried out to verify compliance with applicable requirements of the QAI-1 Standard and the AIA Quality Program and to determine its effectiveness. The audits shall be performed in accordance with written procedures or checklists by appropriately trained personnel not having direct responsibility in the areas being audited.

(2) Audit results shall be documented and the results shall be reviewed by management responsible for the area audited. Follow-up action including reaudit of deficient areas shall be taken where indicated.

(3) At least annually, the overall adequacy and effectiveness of the implementation of the AIA Quality Program shall be reviewed and the results of the review documented and reported to management.

1-2 THE AUTHORIZED NUCLEAR INSPECTOR SUPERVISOR

1-2.1 Qualifications

(16)

The Supervisor shall be selected and designated as such by his employer. The Supervisor shall have the qualifications specified in 1-2.1.1 through 1-2.1.6.

1-2.1.1 The Supervisor shall have passed an examination developed and administered by the National Board and received an “NS” endorsement from the National Board. The examinations shall encompass sufficient means of determination of the candidate’s ability

to ascertain the validity of the ASME BPV Code requirements and quality assurance requirements of ASME BPV Code Section III, Divisions 1, 3, and 5. The examination shall be graded by the National Board and results provided to the Authorized Inspection Agency concerned.

1-2.1.2 A candidate for designation as an Authorized Nuclear Inspector Supervisor shall have qualified as an Authorized Nuclear Inspector and subsequently either shall have been engaged for at least 2 yr of diversified inspection experience in the construction of ASME BPV Code Section I, Section III, or Section VIII pressure equipment or shall have been engaged for at least 2 yr in the administration of shop inspection services under the referenced ASME BPV Code Sections.

1-2.1.3 The supervisor shall have a working knowledge of ASME BPV Code Sections, applicable Code Cases, and reference codes and standards.

1-2.1.4 The Supervisor shall have experience that includes the review and implementation of quality assurance programs and resolution of corrective actions associated with the program.

1-2.1.5 The Supervisor shall have knowledge of ASME nuclear survey procedures, which shall include either of the following:

(a) service with at least two nuclear survey teams as a member or as an observer, or

(b) serving as a member or observer on one ASME nuclear survey team, plus documented satisfactory completion of a course promulgated by ASME on the conduct of nuclear surveys and administration of ASME nuclear accreditation programs

1-2.1.6 The Supervisor shall receive health physics training prior to exposure to occupational related ionizing radiation.

(16) 1-2.2 Duties

The Authorized Nuclear Inspector Supervisor shall perform the duties specified in 1-2.2.1 through 1-2.2.12.

1-2.2.1 Maintain a record of Certificate Holders' shop and field sites where Inspectors assigned to him by his Authorized Inspection Agency for supervision are performing Code inspection activities. He shall record the date of his visits to such locations when related to his assigned supervisory duties.

1-2.2.2 Maintain a record of those Authorized Nuclear Inspectors assigned to him and a description of their assignments.

1-2.2.3 Assist in maintaining the competency of the Authorized Nuclear Inspector through periodic arrangement of panel discussions of work-related topics; written communications of unique problems and their solution; informal question and answer discussion sessions, and other means he deems suitable. The

Supervisor shall maintain documentation of such activities.

1-2.2.4 The Supervisor shall be responsible for the technical performance of the Authorized Nuclear Inspector(s) assigned to him. He shall report in writing to his management significant nonconforming activities that are reported to him or that he has observed on the part of the Inspector, following full investigation of such activities.

1-2.2.5 Either establish, or have available to him, a system to record and limit his radiation exposure and that of the Inspectors assigned to him. This system shall be under the regulation of his employer, who shall maintain an acceptable system of control.

1-2.2.6 Audit the performance of each Authorized Nuclear Inspector under his supervision on a planned and periodic basis. Each Authorized Nuclear Inspector actively engaged in Section III, Division 1, 3, and/or 5 Code inspection shall be audited at least twice a year at the shop or site to which he is assigned. When an Inspector is assigned to more than one shop or site at which Code activities are being performed, or have been performed since the previous audit, the Authorized Nuclear Inspector shall be audited at least once a year at each location. At the time of this audit, the Supervisor shall be accompanied by the Authorized Nuclear Inspector. The audit shall include, but not be limited to, a check that the duties listed under 1-3.2 are being performed, and a check of the following:

(a) one item under construction or installation phase to ensure implementation of the Quality Assurance Program.

(b) travelers or process sheets⁶ accompanying items in the construction or installation phase to ensure that these accurately represent and properly attest to the work, examinations, tests, and inspections performed. Particular attention should be given to provision for hold points and sign-off.

(c) the Certificate Holder's Quality Assurance Manual to ensure that changes, if any, in the Quality Assurance Program have been accepted and have been properly incorporated in the Manual.

(d) a review of nonconformances to ensure that appropriate technical review has been provided and that corrective measures are adequate and timely.

(e) the Certificate Holder's record keeping procedure to ensure traceability of any phase of work or nondestructive examination results as required by the ASME Code.

(f) the Authorized Nuclear Inspector's records or diary of inspection phases performed on identified items, with dates of the inspection activities noted.

⁶ *Travelers or process sheets* — a listing of sequential operations that include, but need not be limited to, inspections, testing, examinations, and fabrication activities.

1-2.2.7 The audit required in 1-2.2.6 shall be recorded in writing and shall contain a written comment regarding the status of each item audited.

1-2.2.8 The Supervisor shall ensure that the activities covered by the Certificate Holder's Quality Assurance Manual which are performed at locations not assigned to an Authorized Nuclear Inspector are audited at least twice a year. Corporate offices would be an example of such a location. Engineering and procurement could be examples of the types of activities performed at such a location. If no activities have been performed at these locations during the period from the last audit, then only one audit per year is required.

1-2.2.9 The Supervisor shall ensure that portions of the N-Type Certificate Holder's Quality Assurance Program that involve supply or manufacture and supply of materials are audited at least once each year.

- (16) **1-2.2.10** The Supervisor shall investigate and report in writing to his management significant observed or reported ASME Code or Quality Assurance Program nonconformance by the Certificate Holder engaged in ASME Code Section III, Division 1, 3, or 5 activities.

1-2.2.11 The Supervisor shall audit the NS Certificate Holder's Quality Assurance Program at least once each year.

- (16) **1-2.2.12** The Supervisor shall record, in the Inspector Diary (see 1-3.2.18), dates of all audits and all visits to shop and field locations when related to supervisory duties.

1-3 THE AUTHORIZED NUCLEAR INSPECTOR

(16) 1-3.1 Qualifications

The Inspector shall be selected and designated as such by his employer. The Inspector shall have the qualifications specified in 1-3.1.1 through 1-3.1.9.

1-3.1.1 The Inspector shall have passed an examination developed and administered by the National Board and received an "N" endorsement from the National Board. The examination shall encompass sufficient means to determine the candidate's knowledge of and familiarity with the ASME BPV Code. The examination shall be graded by the National Board and results provided to the Authorized Inspection Agency concerned.

1-3.1.2 A candidate for designation as an Authorized Nuclear Inspector shall have qualified as an Authorized Inspector and either shall have been engaged for at least 1 yr in ASME BPV Code related work, such as inspections under the provisions of the ASME BPV Code, or shall have been engaged for at least 1 yr as an Inspector Trainee of nuclear items under the direct supervision of an Authorized Nuclear Inspector.

1-3.1.3 The Inspector shall have a working knowledge of ASME BPV Code Section III, Divisions 1, 3, and 5; applicable Code Cases; and reference codes and standards.

1-3.1.4 The Inspector shall have knowledge of quality assurance requirements and shop and field procedures and processes.

1-3.1.5 The Inspector shall have the knowledge and ability to evaluate and monitor shop and field procedures and performance.

1-3.1.6 The Inspector shall have demonstrated the ability to perform shop and field inspections to the satisfaction of the Authorized Inspection Agency employing the Inspector.

1-3.1.7 The Inspector shall have a satisfactory degree of experience, knowledge, and background for the inspection of nuclear items, consistent with the complexity of the assignment.

1-3.1.8 The Inspector shall have knowledge of the requirements for lifetime and nonpermanent records.

1-3.1.9 The Inspector shall receive health physics training prior to any exposure to occupational related ionizing radiation.

1-3.2 Duties

The Inspector's duties are covered in the ASME Code and include, but are not limited to 1-3.2.1 through 1-3.2.18.

1-3.2.1 He shall verify that the manufacturer or installer has the required Certificate of Authorization to construct the items contracted for. It is necessary to check the Certificate to make certain that it has not expired and to determine the scope of construction permitted under the terms of the Certificate.

NOTE: The fact that the manufacturer or installer has the required Code Symbol Stamp is not sufficient evidence to assume that he has a valid Certificate of Authorization.

1-3.2.2 He shall monitor the Quality Assurance Program and verify conformity.

1-3.2.3 He shall verify that the Certificate Holder has the necessary Code books, Addenda, and Code Cases for the work he inspects.

1-3.2.4 He shall verify that the Design Specification and Design Report, where required, are available, properly certified by Registered Professional Engineers in accordance with ASME Code requirements, and that they are on file.

1-3.2.5 He shall verify that material complies with the applicable ASME Code requirements.

1-3.2.6 When it is necessary to cut the material into two or more pieces, he shall verify that the Certificate

Holder's controls are such that responsible personnel transfer the identification in order to maintain traceability of the material.

1-3.2.7 He shall verify that the Certificate Holder's personnel are examining all cut edges, as required by the ASME Code.

1-3.2.8 He shall verify that welding procedures conform to the ASME Code Sections III and IX.

1-3.2.9 He shall verify that welders and welding operators are properly qualified and that their qualification permits them to use the required procedures.

1-3.2.10 During construction, he shall verify that the welding controls permit only the use of qualified welding procedures and qualified welders and operators.

1-3.2.11 If welded repairs are found to be necessary during construction, he shall verify that only properly qualified procedures, welders, and operators are used.

1-3.2.12 He shall verify that required heat treatments have been performed and are properly documented.

1-3.2.13 He shall verify that required non-destructive examinations and tests have been performed by qualified personnel and that the results are properly documented and meet Code requirements. Nondestructive examination procedures and acceptance standards shall be in accordance with the ASME Code.

1-3.2.14 He shall perform the required inspections prior to closure for testing. He shall also witness hydrostatic or pneumatic tests.

1-3.2.15 He shall verify that the responsible representative of the Certificate Holder has signed the Data Report and verified it as correct before he signs it.

1-3.2.16 Prior to stamping, he shall verify to the best of his knowledge and belief that the item is in compliance with the ASME Code. He shall also verify

that the nameplate stamping is correct and that the nameplate has been properly attached.

1-3.2.17 He shall also inspect, where applicable, items that are reported on Data Reports and those that are constructed using methods other than welding.

1-3.2.18 He shall keep an electronic or bound (not looseleaf) record or diary of his activities and inspections made, detailing corrections and any other pertinent data that will be useful to him and his employer. Information to be recorded shall include a description of the item inspected, the type of observations made, the requirements that prompted the activity, and the results of inspection. (16)

1-3.2.18.1 Electronic diaries shall, as a minimum

(a) be under the complete administrative control of the AIA

(b) be secured in such a way as to prevent revisions, additions, or deletions to data that have been previously logged in the diary

(c) provide a means for other inspectors and supervisors, within the Authorized Inspection Agency, to review diary entries, as required

(d) include a provision for signatures by a PIN or other secure means

1-3.2.18.2 All diaries, whether electronic or bound, shall as a minimum

(a) be completed daily or at each inspection visit by the Inspector.

(b) be available at the location of the inspection. For field sites, the diary must be available for the duration of the work.

(c) be maintained for a minimum of 5 yr from the date of the entry.

(d) be available for surveys, reviews, audits, and investigations.

1-3.3 Performance of Inspector's Duties

The audit performed in conformance with 1-2.2.6 and documented in accordance with 1-2.2.7 shall provide evidence of the satisfactory performance of the duties of 1-3.2 by the Inspector.

Part 2

Qualifications and Duties for Authorized Inspection Agencies, Nuclear Inservice Inspectors, and Nuclear Inservice Inspector Supervisors (Applicable to ASME Boiler and Pressure Vessel Code Section XI)

2-0 SCOPE

Part 2 is for use with Section XI of the ASME Code,¹ including applicable Addenda and Code Cases.

2-1 THE AUTHORIZED INSPECTION AGENCY

(16) 2-1.1 Qualifications

An Authorized Inspection Agency is an organization meeting the criteria of this Standard that is accredited by the Society pursuant to the provisions set forth in Part 4 to provide Authorized Inspection Agency services within a jurisdiction.² Such agencies employ Authorized Inspectors and Inspector Supervisors that meet the criteria of Section XI of the ASME Code and of the National Board Rules for Commissioned Inspectors.³

2-1.1.1 An Authorized Inspection Agency shall be one of the following:

(a) a jurisdiction² that has adopted and does administer Section XI of the ASME Code as a legal requirement and is qualified to be represented on the ASME Code Conference Committee.

(b) an insurance company that has been licensed or registered by the appropriate authority of a state of the United States of America, or of a province of Canada, to write boiler and pressure vessel insurance in such state or province. The insurance company shall show its capability to provide boiler and pressure vessel insurance coverage by being actively engaged in writing such insurance in one or more of the states or provinces where so licensed or registered.

(c) a company in the business of providing “third party” inspection services within a jurisdiction,² which has government recognition to perform inspection and design reviews for boilers and pressure vessels.

¹ ASME Code refers to the ASME Boiler and Pressure Vessel Code.

² Considered to be enforcement authority per Section III, Subsection NCA, NCA-9000, of the ASME Code, as appropriate.

³ The National Board refers to The National Board of Boiler and Pressure Vessel Inspectors.

2-1.1.2 The jurisdiction described in 2-1.1.1(a) may designate one or more organizations to act on its behalf to enforce its regulations. The organization shall

(a) provide evidence establishing that such delegation of authority is duly authorized by the laws of the jurisdiction

(b) describe how the ASME Code is accepted by the jurisdiction

(c) describe how the Code is enforced by the organization

2-1.1.3 An Authorized Inspection Agency shall be accredited by the Society pursuant to the provisions set forth in Part 4. The Authorized Inspection Agency services provided by their Inspectors and Inspector Supervisors shall also be subject to audit by ASME for compliance with this Standard during shop or site reviews of organizations for which they provide Authorized Nuclear Inservice Inspection.

2-1.1.4 The Authorized Inspection Agency shall provide authorized inspection services within such states or provinces by Inspectors and Inspector Supervisors who meet the qualifications of the Authorized Nuclear Inservice Inspector and of the Authorized Nuclear Inservice Inspector Supervisor as defined herein.

2-1.1.5 The Authorized Inspection Agency shall have no commercial interest in, or shall be independent of any part of an organization having direct commercial interest in, the products to be inspected. The staff shall be free from any commercial, financial, and other pressures that might influence their judgment or the results of their work.

2-1.1.6 Authorized Inspection Agencies described in 2-1.1.1(b) and (c) shall have liability insurance and shall

(a) be able to demonstrate that they have adequate arrangements (e.g., insurance or reserves) to cover the liabilities

(b) evaluate their finances and sources of income and shall be able to demonstrate that initially, and on an

annual basis, commercial, financial, or other pressures do not compromise their impartiality

(c) retain documentary evidence that they have reviewed their activities on an annual basis to ensure that the requirements of (a) and (b) have been met

(d) declare by signature in the Quality Assurance Manual's Statement of Policy that the requirements of (a) and (b) will be met

(e) submit the documentary evidence as part of their application for the ASME Certificate of Accreditation

(16) 2-1.2 Duties

An Authorized Inspection Agency⁴ shall perform the duties specified in 2-1.2.1 through 2-1.2.11.

2-1.2.1 Provide qualified Authorized Nuclear Inservice Inspectors to monitor inservice examinations, tests, repairs, and replacements in accordance with the ASME Code Section XI.

2-1.2.2 Maintain qualified Supervisors to monitor the performance of the Authorized Nuclear Inservice Inspectors and to audit the activities at sites for which inspection agreements have been made in accordance with the requirements of 2-2.2.6.

2-1.2.3 Give written notice to all Inspectors of the name, office address, email address, office phone, and mobile phone of their respective Supervisors annually or whenever there is a change in the above contact information.

2-1.2.4 Assure proper execution of responsibilities. In particular, the Agency shall

(a) establish and implement an internal program which shall provide assurance that those of its employees holding the positions of Supervisor or Nuclear Inservice Inspector perform work in accordance with the requirements of Part 2. This program shall be documented by written policies, procedures, or instructions and shall be carried out throughout the term of any agreement covering inspections required by the ASME Code, in accordance with the program. The program shall provide for indoctrination and training of personnel performing these activities, as necessary, to ensure that suitable proficiency is achieved and maintained.

(b) provide instructions in writing to Authorized Nuclear Inservice Inspectors and their Supervisors, specifying their respective duties and responsibilities.

(c) conduct annual planned audits of its activities to verify compliance with the provisions of the ASME Code. The audits shall be performed by appropriately trained personnel in accordance with a written procedure or checklist. Audit results shall be documented and reviewed by management. Follow-up action, including reaudit of deficient areas, shall be taken where indicated to ensure that necessary corrective action is completed.

⁴ Wherever used in Part 2, the term *Agency* or *employer* refers to the Authorized Inspection Agency, the term *Supervisor* refers to an Authorized Nuclear Inservice Inspector Supervisor, and the term *Inspector* refers to an Authorized Nuclear Inservice Inspector.

(d) Establish and implement a written policy to ensure levels of inspection activity commensurate with the scope of the AIA's Certificate of Accreditation.

2-1.2.5 Submit to the National Board an application for an "I" endorsement for the Authorized Nuclear Inservice Inspector applicant, certifying that the Inspector has the required experience and training and that qualified supervision will be provided to ensure that the Authorized Nuclear Inservice Inspector satisfactorily fulfills his functions.

2-1.2.6 Submit to the National Board an application for an "NS" endorsement for the Authorized Nuclear Inservice Inspector Supervisor applicant, certifying that the Supervisor has the required experience and training.

2-1.2.7 Verify to the National Board that the audits required by 2-2.2.6 have been carried out.

2-1.2.8 Establish a system to record and control the radiation exposure of those employees engaged in nuclear inspection activities.

2-1.2.9 Take appropriate action to advise the Owner of the need to correct nonconforming activities reported by its Supervisors and Inspectors to ensure ASME Code compliance.

2-1.2.10 Ensure the Inspector's diary is made available for ASME investigations. The purpose of the diary is to provide a record of the Inspector's activities and to support the continuity of inspections.

2-1.2.11 Notify the ASME Conformity Assessment department immediately when a change in qualification status as indicated in 2-1.1.1, or on the Certificate of Accreditation, occurs. (16)

2-1.3 AIA Quality Program

2-1.3.1 A documented Quality Program shall be established, implemented, and maintained by the Authorized Inspection Agency (AIA) in accordance with the requirements of this Standard. The AIA Quality Program shall identify the activities to which it applies and shall provide for the planning, control, and accomplishment of activities affecting the quality of the Authorized Inspection Agency's implementation of duties and activities as described in applicable parts of this Standard.

2-1.3.2 The AIA Quality Program shall, at a minimum, include the following parts:

(a) *Organization.* The Program shall document the organizational structure, functional responsibilities, levels of authority, and lines of responsibility for activities required for compliance with requirements of this Standard.

(b) *Program Description.* The Program shall describe the scope of the activities for which the Program applies. The scope shall include all requirements of the QAI-1 Standard for which the Authorized Inspection Agency is accredited by the Society (or for which the applicant is seeking Society accreditation as an Accredited Authorized Inspection Agency). The Program shall document the policies and describe the process for the implementation of the requirements of the QAI-1 Standard.

(c) *Document Control.* The Program shall describe the process for the review and revision of the Program. All changes to the Program shall be controlled and the process for review and approval of changes shall be specified. All changes to the Program require prior review and approval by the Society before implementation as required by 4-4(d). Further, the Program shall be controlled to ensure appropriate distribution to and use at the location(s) where the prescribed activity is performed.

(d) *Training.* The Program shall describe the process for the indoctrination and training of personnel responsible for implementing the Program.

(e) *Records.* The Program shall describe the process for records management. The description shall include measures to ensure that the records are controlled and maintained in a manner that prevents damage, deterioration, and loss. The AIA's records necessary to verify compliance with this QAI Standard, except for personnel qualification records, shall be maintained for a minimum of 5 yr. The personnel qualification records, necessary to verify compliance with this QAI Standard, shall be maintained while the individual is providing AIA services and for a minimum of 5 yr after the individual ceases to provide AIA services.

(f) *Corrective Actions.* The Program shall describe the process for the identification, review, and correction of a condition or activity that is not conducted in accordance with the Program. Corrective action shall be taken to preclude the repetition of nonconforming conditions. The description of the process shall include how corrective action is implemented, documented, and reported to management.

(g) *Audits.* The Program shall describe the audit process and shall include the following as a minimum:

(1) A comprehensive system of planned and periodic audits shall be carried out to verify compliance with applicable requirements of the QAI-1 Standard and the AIA Quality Program and to determine its effectiveness. The audits shall be performed in accordance with written procedures or checklists by appropriately trained personnel not having direct responsibility in the areas being audited.

(2) Audit results shall be documented and the results shall be reviewed by management responsible for the area audited. Follow-up action including reaudit of deficient areas shall be taken where indicated.

(3) At least annually, the overall adequacy and effectiveness of the implementation of the AIA Quality Program shall be reviewed and the results of the review documented and reported to management.

2-2 THE AUTHORIZED NUCLEAR INSERVICE INSPECTOR SUPERVISOR

2-2.1 Qualifications

(16)

The Supervisor shall be selected and designated as such by his employer. The Supervisor shall have the qualifications specified in 2-2.1.1 through 2-2.1.4.

2-2.1.1 A candidate for designation as an Authorized Nuclear Inservice Inspector Supervisor (NSI) shall have qualified as an Authorized Nuclear Inspector Supervisor in accordance with 1-2.1.

2-2.1.2 The Supervisor shall have qualified as an Authorized Nuclear Inservice Inspector (ANII), and subsequently shall have been engaged for at least 1 yr as an ANII and have at least 1 yr of experience in NDE methods. Such a minimum of 1-yr engagement as an Authorized Nuclear Inservice Inspector and 1 yr of experience in NDE methods may be during the same year.

2-2.1.3 The Supervisor shall have a working knowledge of the requirements of ASME BPV Code Section XI, applicable Code Cases, and reference codes and standards.

2-2.1.4 The Supervisor shall receive health physics training prior to any exposure to occupational related ionizing radiation.

2-2.2 Duties

(16)

The Authorized Nuclear Inservice Inspector Supervisor shall perform the duties specified in 2-2.2.1 through 2-2.2.9.

2-2.2.1 Maintain a record of Owners' sites where Inspectors assigned to him by his Authorized Agency are performing ASME Code inspection activities. He shall record the date of his visits to such locations when related to his assigned supervisory duties.

2-2.2.2 Maintain a record of those Authorized Nuclear Inservice Inspectors assigned to him and a description of their assignments.

2-2.2.3 Assist in maintaining the competency of the Authorized Nuclear Inservice Inspector through periodic arrangement of panel discussions of work-related topics, written communications of unique problems and their solution, informal question and answer discussion sessions, and other means he deems suitable. The Supervisor shall maintain documentation of such activities.

2-2.2.4 The Supervisor shall be responsible for the technical performance of the Authorized Nuclear

Inservice Inspector(s) assigned to him. He shall report in writing to his management nonconforming activities that are reported to him or that he has observed on the part of the Inspector, following full investigation of such activities.

2-2.2.5 Either establish, or have available to him, a system to record and limit his radiation exposure and that of the Inspectors assigned to him. This system shall be under the regulation of his employer, who shall maintain an acceptable system of control.

2-2.2.6 Audit the performance of each Authorized Nuclear Inservice Inspector under his supervision on a planned and periodic basis. Each Authorized Nuclear Inservice Inspector actively engaged in Section XI Code inspection shall be audited at least twice a year at the site to which he is assigned. When an Inspector is assigned to more than one site at which Code activities are being performed or have been performed since the previous audit, the Authorized Nuclear Inservice Inspector shall be audited at least once a year at each site. At the time of this audit, the Supervisor shall be accompanied by the Authorized Nuclear Inservice Inspector. The audit shall include, but not be limited to, a check that the duties listed under 2-3.2 are being performed and a check of the following:

- (a) the Authorized Nuclear Inservice Inspector's record or diary of inspection phases performed on identified items, with dates of the inspection activities noted
- (b) methods used by the Inspector to assure himself that Code requirements are met with by the Owner
- (c) that the Inspector is complying with employer's policies, instructions, and procedures
- (d) Owner's record keeping procedures to verify traceability requirements for any phase of nondestructive examination, evaluation of results, or subsequent repair activities
- (e) calibration procedures of nondestructive examination equipment and adequacy of record-keeping procedures
- (f) local environmental conditions of components examined to ensure that tests and examinations performed on the components are valid
- (g) a review to ensure that all nonconforming items disclosed during this audit or prior audits have been brought into accordance with applicable ASME Code Sections

2-2.2.7 The audit required in 2-2.2.6 shall be recorded in writing and shall contain a written comment regarding the status of each item audited.

2-2.2.8 The Supervisor shall investigate and report in writing to his management any observed or reported ASME Code or Quality Assurance Program nonconformance by the Owner or other parties engaged in ASME Code Section XI activities.

2-2.2.9 The Supervisor shall record, in the Inspector Diary (see 2-3.2.10), dates of all audits and visits to shop and field locations when related to supervisory duties. (16)

2-3 THE AUTHORIZED NUCLEAR INSERVICE INSPECTOR

2-3.1 Qualifications

(16)

The Inspector shall be selected and designated as such by his employer. The Supervisor shall have the qualifications specified in 2-3.1.1 through 2-3.1.9.

2-3.1.1 The Inspector shall have passed an examination developed and administered by the National Board and received an "I" endorsement from the National Board. The examination shall encompass sufficient means to determine the candidate's knowledge of, and familiarity with, ASME BPV Code Section XI and NDE Methods as referenced therein. The examination shall be graded by the National Board and results provided to the Authorized Inspection Agency concerned.

2-3.1.2 A candidate for designation as an Authorized Nuclear Inservice Inspector shall have qualified as an Authorized Nuclear Inspector and shall have been engaged in at least 1 yr in ASME BPV Code related work, such as inspections under the provisions of the ASME BPV Code, or shall have been engaged for at least 1 yr as an Inspector Trainee of nuclear items under the direct supervision of an Authorized Nuclear Inservice Inspector.

2-3.1.3 The Inspector shall have a working knowledge of Section XI of the ASME BPV Code, applicable Code Cases, and reference codes and standards.

2-3.1.4 The Inspector shall have knowledge of quality assurance requirements and shop and field procedures and processes.

2-3.1.5 The Inspector shall have the knowledge and ability to evaluate and monitor shop and field procedures and performance.

2-3.1.6 The Inspector shall have demonstrated the ability to perform shop and field nuclear inservice inspections to the satisfaction of the Authorized Inspection Agency employing the Inspector.

2-3.1.7 The Inspector shall have a satisfactory degree of experience, knowledge, and background for the inspection of nuclear items, consistent with the complexity of the assignment.

2-3.1.8 The Inspector shall have knowledge of the requirements for lifetime and nonpermanent records.

2-3.1.9 The Inspector shall receive health physics training prior to any exposure to occupational related ionizing radiation.

2-3.2 Duties

The Inspector's duties are covered in ASME Code Section XI and include, but are not limited to 2-3.2.1 through 2-3.2.10.

2-3.2.1 He shall verify that the Owner or User has the applicable Code books, Addenda, and Code Cases.

2-3.2.2 He shall verify that materials used for nondestructive examinations comply with ASME Code Section XI requirements.

2-3.2.3 He shall verify that required nondestructive examinations and tests have been made by personnel who meet the qualifications and requirements of ASME Code Section XI and that the results are properly documented and meet ASME Code Section XI requirements. Nondestructive examination procedures and acceptance standards shall be in accordance with ASME Code Section XI.

2-3.2.4 He shall verify that the Design Specification and Design Report for repairs and replacements, where required, are available, properly certified by Registered Professional Engineers in accordance with ASME Code requirements, and that they are on file.

2-3.2.5 He shall verify that all required welding procedures conform to ASME Code Sections IX and XI.

2-3.2.6 He shall verify that welders and welding operators are properly qualified to use the required procedures.

2-3.2.7 He shall verify that material and replacement parts comply with the requirements of ASME Code Section XI.

2-3.2.8 He shall verify that heat treatments required by ASME Code Section XI for repairs and replacements have been performed and are properly documented.

2-3.2.9 He shall verify that the responsible representative of the Owner has signed the required NIS-1

and NIS-2 forms, and verified them as correct before he signs them.

2-3.2.10 He shall keep an electronic or bound (not looseleaf) record or diary of his activities and inspections made, detailing corrections and any other pertinent data that will be useful to him and his employer. Information to be recorded shall include a description of the item inspected, the type of observations made, the requirements that prompted the activity, and the results of inspection. (16)

2-3.2.10.1 Electronic diaries shall, as a minimum

(a) be under the complete administrative control of the AIA

(b) be secured in such a way as to prevent revisions, additions, or deletions to that have been previously logged in the diary

(c) provide a means for other inspectors and supervisors, within the Authorized Inspection Agency, to review diary entries, as required

(d) include a provision for signatures by a PIN or other secure means

2-3.2.10.2 All diaries, whether electronic or bound, shall as a minimum

(a) be completed daily or at each inspection visit by the Inspector.

(b) be available at the location of the inspection. For field sites, the diary must be available for the duration of the work.

(c) be maintained for a minimum of 5 yr from the date of the entry.

(d) be available for surveys, reviews, audits, and investigations.

2-3.3 Performance of Inspector's Duties

The audit performed in conformance with 2-2.2.6 and documented in accordance with 2-2.2.7 shall provide evidence of the satisfactory performance of the duties of 2-3.2 by the Inspector.

Part 3

Qualifications and Duties for Authorized Inspection Agencies, Nuclear Inspectors (Concrete), and Nuclear Inspector Supervisors (Concrete) (Applicable to ASME Boiler and Pressure Vessel Code)

3-0 SCOPE

Part 3 is for use with Section III, Division 2, of the ASME Code,¹ including applicable Addenda and Code Cases. Division 2 has been prepared and is maintained jointly by the American Concrete Institute and the American Society of Mechanical Engineers.

3-1 THE AUTHORIZED INSPECTION AGENCY

(16) 3-1.1 Qualifications

An Authorized Inspection Agency is an organization meeting the criteria of this Standard that is accredited by the Society pursuant to the provisions set forth in Part 4 to provide Authorized Inspection Agency services within a jurisdiction.² Such agencies shall meet the criteria of Section III, Division 2, of the ASME Code and of the National Board Rules for Commissioned Inspectors.³

3-1.1.1 An Authorized Inspection Agency shall be one of the following:

(a) a jurisdiction² that has adopted and does administer Section III, Division 2, of the ASME Code as a legal requirement and is qualified to be represented on the ASME Code Conference Committee.

(b) an insurance company that has been licensed or registered by the appropriate authority of a state of the United States of America, or of a province of Canada, to write boiler and pressure vessel insurance in such state or province. The insurance company shall show its capability to provide boiler and pressure vessel insurance coverage by being actively engaged in writing such insurance in one or more of the states or provinces where so licensed or registered.

(c) a company in the business of providing "third party" inspection services within a jurisdiction,² which

has government recognition to perform inspection and design reviews for boilers and pressure vessels.

3-1.1.2 The jurisdiction described in 3-1.1.1(a) may designate one or more organizations to act on its behalf to enforce its regulations. The organization shall

(a) provide evidence establishing that such delegation of authority is duly authorized by the laws of the jurisdiction

(b) describe how the ASME Code is accepted by the jurisdiction

(c) describe how the Code is enforced by the organization

3-1.1.3 An Authorized Inspection Agency shall be accredited by the Society pursuant to the provisions set forth in Part 4. The Authorized Inspection Agency services provided by their Inspectors and Inspector Supervisors shall also be subject to audit by ASME for compliance with this Standard during shop or site reviews of organizations for which they provide Authorized Nuclear Inspection (Concrete).

3-1.1.4 The Authorized Inspection Agency shall provide authorized inspection services within such states or provinces by Inspectors and Inspector Supervisors who meet the qualifications of the Authorized Nuclear Inspector (Concrete) and of the Authorized Nuclear Inspector Supervisor (Concrete) as defined herein.

3-1.1.5 The Authorized Inspection Agency shall have no commercial interest in, or shall be independent of any part of an organization having direct commercial interest in, the products to be inspected. The staff shall be free from any commercial, financial, and other pressures that might influence their judgment or the results of their work.

3-1.1.6 Authorized Inspection Agencies described in 3-1.1.1(b) and (c) shall have liability insurance and shall

(a) be able to demonstrate that they have adequate arrangements (e.g., insurance or reserves) to cover the liabilities

¹ ASME Code refers to the ASME Boiler and Pressure Vessel Code.

² Considered to be enforcement authority per Section III, Subsection NCA, NCA-9000, of the ASME Code, as appropriate.

³ The *National Board* refers to The National Board of Boiler and Pressure Vessel Inspectors.

(b) evaluate their finances and sources of income and shall be able to demonstrate that initially, and on an annual basis, commercial, financial, or other pressures do not compromise their impartiality

(c) retain documentary evidence that they have reviewed their activities on an annual basis to ensure that the requirements of (a) and (b) have been met

(d) declare by signature in the Quality Assurance Manual's Statement of Policy that the requirements of (a) and (b) will be met

(e) submit the documentary evidence as part of their application for the ASME Certificate of Accreditation

(16) 3-1.2 Duties

An Authorized Inspection Agency⁴ shall perform the duties specified in 3-1.2.1 through 3-1.2.11.

3-1.2.1 Provide Supervisors and Inspectors to participate in the ASME surveys of Certificate Holders for which they provide Authorized Nuclear Inspection.

Ensure the Inspector's diary is made available for ASME surveys and investigations. The purpose of the diary is to provide a record of the Inspector's activities and to support the continuity of inspections.

3-1.2.2 Provide qualified Authorized Nuclear Inspectors (Concrete) to monitor construction,⁵ in accordance with ASME Code Section III, Division 2.

3-1.2.3 Maintain qualified Supervisors to monitor the performance of the Authorized Nuclear Inspectors (Concrete) and to audit the activities at nuclear shops and field sites for which inspection agreements have been made, in accordance with the requirements of 3-2.2.6.

3-1.2.4 Give written notice to all Inspectors of the name, office address, email address, office phone, and mobile phone of their respective Supervisors annually or whenever there is a change in the above contact information.

3-1.2.5 Assure proper execution of responsibilities. In particular, the Agency shall

(a) establish and implement an internal program which shall provide assurance that those of its employees holding the positions of Supervisor and Authorized Nuclear Inspector (Concrete) perform work in accordance with the requirements of Part 3. This program shall be documented by written policies, procedures, or instructions and shall be carried out throughout the term

⁴ Wherever used in Part 3, the term *Agency* or *employer* refers to the Authorized Inspection Agency, the term *Supervisor* refers to an Authorized Nuclear Inspector Supervisor (Concrete), and the term *Inspector* refers to an Authorized Nuclear Inspector (Concrete).

⁵ *Construction*, as used in Division 2, includes all those operations required to build the component and its parts in accordance with the Design Drawings and Construction Specifications that have been prepared by the Designer.

of any agreement covering inspections required by the ASME Code, in accordance with the program. The program shall provide for indoctrination and training of personnel performing such activities, as necessary, to ensure that suitable proficiency is achieved and maintained.

(b) provide instructions in writing to Authorized Nuclear Inspectors (Concrete) and their Supervisors, specifying their respective duties and responsibilities.

(c) provide instructions in writing to Authorized Nuclear Inspectors (Concrete) requiring them to immediately contact their Supervisor whenever the Inspector is unable to readily resolve any question concerning ASME Code compliance, manufacturing procedure, or quality assurance provision or its implementation. Instructions should be included as a reminder to the Authorized Nuclear Inspector (Concrete) that he has the authority and duty to refuse to sign any Data Reports involving nonconformance with the ASME Code.

(d) conduct annual planned audits of activities performed by Authorized Nuclear Inspector Supervisors (Concrete) to verify compliance with the provisions of Part 3 and ASME Code Section III, Division 2. The audit shall be performed by appropriately trained personnel in accordance with a written procedure or checklist. Audit results shall be documented and reviewed by management. Follow-up action, including reaudit of deficient areas, shall be taken where indicated to ensure that necessary corrective action is completed.

(e) establish and implement a written policy to ensure levels of inspection activity commensurate with the scope of the AIA's Certificate of Accreditation.

3-1.2.6 Provide certification for each Authorized Nuclear Inspector (Concrete) and Supervisor to be performing work under the provisions of ASME Code Section III, Division 2, to ensure that the Inspectors and Supervisors meet the required experience and training requirements of Part 3. Certification and documentation of qualifications shall be retained by the employer and shall be made available for review by the jurisdictional Authorities and the ASME Survey Team upon request.

3-1.2.7 Submit to the National Board an application for a "C" endorsement for the Authorized Nuclear Inspector (Concrete) applicant, certifying that he has the required experience and training and that qualified supervision will be provided to ensure that the Authorized Nuclear Inspector satisfactorily fulfills his functions.

3-1.2.8 Submit to the National Board an application for an "NS" endorsement for the Authorized Nuclear Inspector Supervisor Concrete applicant, certifying that the Supervisor has the required experience and training.

3-1.2.9 Verify to the National Board that the audits required by 3-2.2.6 have been carried out.

3-1.2.10 Notify the ASME Conformity Assessment Department when entering into an agreement or whenever an existing agreement is terminated with an ASME Certificate Holder or Owner.

In addition, the enforcement authority shall be notified whenever an agreement with an Owner is written or an Owner's agreement is terminated.

- (16) **3-1.2.11** Notify the ASME Conformity Assessment department immediately when a change in qualification status as indicated in 3-1.1.1, or on the Certificate of Accreditation, occurs.

3-1.3 AIA Quality Program

3-1.3.1 A documented Quality Program shall be established, implemented, and maintained by the Authorized Inspection Agency (AIA) in accordance with the requirements of this Standard. The AIA Quality Program shall identify the activities to which it applies and shall provide for the planning, control, and accomplishment of activities affecting the quality of the Authorized Inspection Agency's implementation of duties and activities as described in applicable parts of this Standard.

3-1.3.2 The AIA Quality Program shall, at a minimum, include the following parts:

(a) *Organization.* The Program shall document the organizational structure, functional responsibilities, levels of authority, and lines of responsibility for activities required for compliance with requirements of this Standard.

(b) *Program Description.* The Program shall describe the scope of the activities for which the Program applies. The scope shall include all requirements of the QAI-1 Standard for which the Authorized Inspection Agency is accredited by the Society (or for which the applicant is seeking Society accreditation as an Accredited Authorized Inspection Agency). The Program shall document the policies and describe the process for the implementation of the requirements of the QAI-1 Standard.

(c) *Document Control.* The Program shall describe the process for the review and revision of the Program. All changes to the Program shall be controlled and the process for review and approval of changes shall be specified. All changes to the Program require prior review and approval by the Society before implementation as required by 4-4(d). Further, the Program shall be controlled to ensure appropriate distribution to and use at the location(s) where the prescribed activity is performed.

(d) *Training.* The Program shall describe the process for the indoctrination and training of personnel responsible for implementing the Program.

(e) *Records.* The Program shall describe the process for records management. The description shall include measures to ensure that the records are controlled and maintained in a manner that prevents damage, deterioration, and loss. The AIA's records necessary to verify compliance with this QAI-1 Standard, except for personnel qualification records, shall be maintained for a minimum of 5 yr. The personnel qualification records, necessary to verify compliance with this QAI-1 Standard, shall be maintained while the individual is providing AIA services and for a minimum of 5 yr after the individual ceases to provide AIA services.

(f) *Corrective Actions.* The Program shall describe the process for the identification, review, and correction of a condition or activity that is not conducted in accordance with the Program. Corrective action shall be taken to preclude the repetition of nonconforming conditions. The description of the process shall include how corrective action is implemented, documented, and reported to management.

(g) *Audits.* The Program shall describe the audit process and shall include the following as a minimum:

(1) A comprehensive system of planned and periodic audits shall be carried out to verify compliance with applicable requirements of the QAI-1 Standard and the AIA Quality Program and to determine its effectiveness. The audits shall be performed in accordance with written procedures or checklists by appropriately trained personnel not having direct responsibility in the areas being audited.

(2) Audit results shall be documented and the results shall be reviewed by management responsible for the area audited. Follow-up action including reaudit of deficient areas shall be taken where indicated.

(3) At least annually, the overall adequacy and effectiveness of the implementation of the AIA Quality Program shall be reviewed and the results of the review documented and reported to management.

3-2 THE AUTHORIZED NUCLEAR INSPECTOR SUPERVISOR (CONCRETE)

3-2.1 Qualifications

(16)

The Supervisor shall be selected and designated as such by his employer. The Supervisor shall have the additional qualifications specified in 3-2.1.1 through 3-2.1.4.

3-2.1.1 A candidate for designation as an Authorized Nuclear Inspector Supervisor (Concrete) (NSc) shall have qualified as an Authorized Nuclear Inspector Supervisor in accordance with 1-2.1.

3-2.1.2 The Supervisor shall have qualified as an Authorized Nuclear Inspector (Concrete) and subsequently shall have been engaged in at least 1 yr in design,

construction, or inspection of concrete structures similar to those used in nuclear facilities.

3-2.1.3 The Supervisor shall have a working knowledge of the requirements of ASME BPV Code Section III, Division 2; applicable Code Cases; and reference codes and standards.

3-2.1.4 The Supervisor shall receive health physics training prior to any exposure to occupational related ionizing radiation.

(16) 3-2.2 Duties

The Authorized Nuclear Inspector Supervisor (Concrete) shall perform the duties specified in 3-2.2.1 through 3-2.2.11.

3-2.2.1 Maintain a record of Certificate Holders' shop and field sites where Inspectors assigned to him by his Authorized Inspection Agency for supervision are performing Code inspection activities. He shall record the date of his visits to such locations when related to his assigned supervisory duties.

3-2.2.2 Maintain a record of those Authorized Nuclear Inspectors (Concrete) assigned to him and a description of their assignments.

3-2.2.3 Assist in maintaining the competency of the Authorized Nuclear Inspector (Concrete) through periodic arrangement of panel discussions of work-related topics, written communications of unique problems and their solution, informal question and answer discussion sessions, and other means he deems suitable. The Supervisor shall maintain documentation of such activities.

3-2.2.4 The Supervisor shall be responsible for the technical performance of the Authorized Nuclear Inspector(s) (Concrete) assigned to him. He shall report in writing to his management significant nonconforming activities that are reported to him or that he observed on the part of the Inspector, following full investigation of such activities.

3-2.2.5 Either establish, or have available to him, a system to record and limit his radiation exposure and that of the Inspectors assigned to him. This system shall be under the regulation of his employer, who shall maintain an acceptable system of control.

3-2.2.6 Audit the performance of each Authorized Nuclear Inspector (Concrete) under his supervision on a planned and periodic basis. Each Authorized Nuclear Inspector (Concrete) actively engaged in Section III, Division 2, inspection shall be audited at least twice a year at the shop or site to which he is assigned. When an Inspector is assigned to more than one shop or site at which Code activities are being performed, or have been performed since the previous audit, the Authorized Nuclear Inspector (Concrete) shall be audited at least

once a year at each location. At the time of this audit, the Supervisor shall be accompanied by the Authorized Nuclear Inspector (Concrete). The audit shall include, but not be limited to, a check that the duties listed under 3-3.2 are being performed and a check of the following:

(a) one item under construction or installation phase to ensure implementation of the Quality Assurance Program.

(b) travelers or process sheets⁶ accompanying items in the construction or installation phase to ensure that these accurately represent and properly attest to the work, examinations, tests, and inspections performed. Particular attention should be given to provision for hold points and sign-off.

(c) the Certificate Holder's Quality Assurance Manual to ensure that changes, if any, in the Quality Assurance Program have been accepted and have been properly incorporated in the Manual.

(d) a review of nonconformances to ensure that appropriate technical review has been provided and that corrective measures are adequate and timely.

(e) the Certificate Holder's record keeping procedure to ensure traceability of any phase of work or nondestructive examination results as required by the ASME Code.

(f) the Authorized Nuclear Inspector's (Concrete) records or diary of inspection phases performed on identified items, with dates of the inspection activities noted.

3-2.2.7 The audit required in 3-2.2.6 shall be recorded in writing and shall contain a written comment regarding the status of each item audited.

3-2.2.8 The Supervisor shall ensure that the activities covered by the Certificate Holder's Quality Assurance Manual which are performed at locations not assigned to an Authorized Nuclear Inspector (Concrete) are audited at least twice a year. Corporate offices would be an example of such a location. Engineering and procurement could be examples of the types of activities performed at such a location. If no activities have been performed at these locations during the period from the last audit, then only one audit per year is required.

3-2.2.9 The Supervisor shall ensure that portions of the N Type Certificate Holder's Quality Assurance Program that involve supply or manufacture and supply of materials are audited at least once each year.

3-2.2.10 The Supervisor shall investigate and report in writing to his management significant observed or reported ASME Code or Quality Assurance Program nonconformance by the Certificate Holder engaged in ASME Code Section III, Division 2, activities.

⁶ *Travelers or process sheets* — a listing of sequential operations which include, but need not be limited to, inspections, testing, examinations, and fabrication activities.

- (16) **3-2.2.11** The Supervisor shall record, in the Inspector Diary (see 3-3.2.19), dates of all audits and visits to shop and field locations when related to supervisory duties.

3-3 THE AUTHORIZED NUCLEAR INSPECTOR (CONCRETE)

(16) 3-3.1 Qualifications

The Inspector shall be selected and designated as such by his employer. The Inspector shall have the qualifications specified in 3-3.1.1 through 3-3.1.9.

3-3.1.1 The Inspector shall have passed an examination developed and administered by the National Board and received a "C" endorsement from the National Board. The examination shall encompass sufficient means to determine the candidate's knowledge of, and familiarity with, the ASME BPV Code. The examination shall be graded by the National Board and results provided to the Authorized Inspection Agency concerned.

3-3.1.2 A candidate for designation as an Authorized Nuclear Inspector (Concrete) shall have qualified as an Authorized Nuclear Inspector and shall have been engaged for at least 1 yr in design, construction, or inspection of concrete structures similar to those used on nuclear facilities or satisfactorily completed an accelerated course in the fundamentals of concrete construction and inspection.

3-3.1.3 The Inspector shall have working knowledge of ASME BPV Code Section III, Division 2; applicable Code Cases; and reference codes and standards.

3-3.1.4 The Inspector shall have knowledge of quality assurance requirements and shop and field procedures and processes.

3-3.1.5 The Inspector shall have the knowledge and ability to evaluate and monitor shop and field procedures and performance.

3-3.1.6 The Inspector shall have demonstrated the ability to perform shop and field nuclear inspections to the satisfaction of the Authorized Inspection Agency employing the Inspector.

3-3.1.7 The Inspector shall have a satisfactory degree of experience, knowledge, and background for the inspection of nuclear items, consistent with the complexity of the assignment.

3-3.1.8 The Inspector shall have knowledge of the requirements for lifetime and nonpermanent records.

3-3.1.9 The Inspector shall receive health physics training prior to any exposure to occupational related ionizing radiation.

3-3.2 Duties

The Authorized Nuclear Inspector's (Concrete) duties are covered in the ASME Code and include, but are not limited to, 3-3.2.1 through 3-3.2.19.

3-3.2.1 He shall periodically verify that the fabricator or constructor has the required Certificate of Authorization to construct the items for which he has contract responsibility. (16)

NOTE: The fact that the constructor or fabricator has the required Code Symbol Stamp is not sufficient evidence to assume that he has a valid Certificate of Authorization.

The fact that the manufacturer or installer has the required Code Symbol Stamp for Section III, Division 1, 3, or 5 work may not be sufficient evidence to assume that he has a valid Certificate of Authorization, as required in the ASME Code Section III, Division 2.

3-3.2.2 He shall monitor the Quality Assurance Program and verify conformance to ASME Code requirements. He shall ensure that changes to the QA Program, when made, meet Code requirements and are properly approved and that the Quality Assurance Manual is appropriately updated to reflect such changes.

3-3.2.3 He shall verify that the Certificate Holder has the necessary ASME Code books, Addenda, Code Cases, and reference codes and standards for the work he inspects.

3-3.2.4 He shall verify that the Design Specification, Design Drawings, Design Report, and Construction Specification, where required, are available, properly certified by Registered Professional Engineers in accordance with ASME Code requirements, and that they are on file.

3-3.2.5 He shall verify that material complies with the applicable ASME Code Section III, Division 2, requirements and the Construction Specification.

3-3.2.6 When it is necessary to cut or separate metallic material into two or more pieces, he shall verify that the Certificate Holder's controls are such that responsible personnel transfer the identification in order to maintain traceability of the material.

3-3.2.7 He shall verify that the Certificate Holder's personnel are examining cut edges of metallic materials as required by ASME Code Section III, Division 2.

3-3.2.8 He shall verify that Welding Procedure Specifications and all concrete batching, mixing, and placing procedures conform to ASME Code Section III, Division 2, and the Construction Specification.

3-3.2.9 He shall verify that welders and welding operators are properly qualified and that their qualification permits them to use the required procedures.

3-3.2.10 If either concrete repairs or welding repairs are found to be necessary during construction,

he shall verify that only properly qualified procedures, personnel, and materials are used.

3-3.2.11 He shall verify that required heat treatments of metallic materials have been performed and are properly documented.

3-3.2.12 He shall verify that required examinations and tests conform to qualified procedures specified in the Construction Specifications, that the results are documented, and that they are performed by qualified personnel. He shall also verify that compression, tension, weighing, and measuring equipment is calibrated.

3-3.2.13 He shall visually verify that reinforcing bar placement and size are as specified in the Design Drawings and the Construction Specification prior to concrete placement. He shall visually verify that tendon conduits, where used, are properly sized, placed, and protected prior to, and during, concrete placement as specified in the Design Drawings and the Construction Specification.

3-3.2.14 He shall visually verify form cleanliness prior to concrete placement, the application of specified procedures during placement, and proper concrete curing prior to, and after, removal of forms as specified in the Construction Specification.

3-3.2.15 He shall perform the required inspections of inaccessible areas and witnessing of vacuum box testing when required by the Code, prior to closure for hydrostatic or pneumatic tests. He shall witness all hydrostatic or pneumatic tests.

3-3.2.16 He shall verify that the responsible representative of the Certificate Holder signs the required Data Report and verifies it as correct before he signs it.

3-3.2.17 Prior to stamping he shall verify to the best of his knowledge and belief that the item is in compliance with the ASME Code. He shall also verify that the nameplate stamping is correct and that the nameplate has been properly attached.

3-3.2.18 He shall review and certify that the documentation of the Construction Report is in compliance with the ASME Code.

3-3.2.19 He shall keep an electronic or bound (not looseleaf) record or diary of his activities and inspections made, detailing corrections and any other pertinent data that will be useful to him and his employer. Information to be recorded shall include a description of the item inspected, the type of observations made, the requirements that prompted the activity, and the results of inspection. (16)

3-3.2.19.1 Electronic diaries shall, as a minimum (a) be under the complete administrative control of the AIA

(b) be secured in such a way as to prevent revisions, additions, or deletions to data that have been previously logged in the diary

(c) provide a means for other inspectors and supervisors, within the Authorized Inspection Agency, to review diary entries, as required

(d) include a provision for signatures by a PIN or other secure means

3-3.2.19.2 All diaries, whether electronic or bound, shall as a minimum

(a) be completed daily or at each inspection visit by the Inspector.

(b) be available at the location of the inspection. For field sites, the diary must be available for the duration of the work.

(c) be maintained for a minimum of 5 yr from the date of the entry.

(d) be available for surveys, reviews, audits, and investigations.

3-3.3 Performance of Inspector's Duties

The audit performed in conformance with 3-2.2.6 and documented in accordance with 3-2.2.7 shall provide evidence of the satisfactory performance of the duties of 3-3.2 by the Inspector.

Part 4

Accreditation of Authorized Inspection Agencies

(16) 4-0 SCOPE

Part 4 is for use with Sections I; III, Division 1; III, Division 2; III, Division 3; III, Division 5; IV; VIII, Division 1; VIII, Division 2; VIII, Division 3; X; XI; and XII of the ASME Code,¹ including applicable Addenda and Code Cases.

4-1 REQUIRED ACCREDITATION TO PROVIDE AUTHORIZED INSPECTION SERVICES

Authorized Inspection Agencies shall be accredited by the Society² pursuant to the provisions set forth in this Part.

4-2 SCOPE OF ACCREDITATION

(a) The AIA Certificate of Accreditation shall identify the office locations from which inspection service is controlled and state the scope of inspections by Code Sections, and Divisions thereof, for which accreditation is granted. Certificates of Accreditation are issued for a 3-yr period. The Society may, at its discretion, limit or extend the scope of inspection and remove or add locations.

(b) The Society may, at any time, make regulations concerning the issuance and use of Certificates as it deems appropriate, and all regulations shall become binding upon the holders of Certificates.

(16) 4-3 APPLICATION FOR ACCREDITATION

An organization desiring an AIA Certificate of Accreditation shall apply to the Society upon forms issued by the Society describing the basis for qualification as an Authorized Inspection Agency and the scope of activities to be accredited. Upon completion of a successful survey³ and favorable action by the Society, the applicant shall be granted an AIA Certificate of Accreditation.

¹ ASME Code refers to the ASME Boiler and Pressure Vessel Code.

² Society refers to The American Society of Mechanical Engineers.

³ As used in this Standard, *survey* is defined as a planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of compliance with established procedures, instructions, drawings, and other applicable documents, and the effectiveness of implementation. A survey should not be confused with surveillance or inspection activities performed for the sole purpose of process control or product acceptance.

On initial application, the requirements of 1-1.1, 2-1.1, 3-1.1, and 5-1.1 to employ Inspectors and Supervisors may be demonstrated by having been issued Provisional Acceptance from the National Board of Boiler and Pressure Vessel Inspectors in accordance with its established criteria (NB-360) and evidence issued from the National Board that the Applicant's employees to whom commissions and applicable endorsements will be issued meet the National Board Rules for Commissioned Inspectors. The organization will not be permitted to perform inspections until Inspectors have received their National Board Commissions and applicable endorsements and the organization has been issued an AIA Certificate of Accreditation from ASME.

4-4 EVALUATION FOR AN AIA CERTIFICATE OF ACCREDITATION

(a) Applicants for a new or renewed AIA Certificate of Accreditation require a survey at a location or locations where the applicant's QAI-1 and Boiler and Pressure Vessel Code inspection activities are controlled. The applicant shall specify the location(s) at which the QAI-1 Quality Program will be fully demonstrated. It is not necessary to survey each office or location covered by the same program provided documentation is made available to the survey team. The purpose of the survey is to evaluate the applicant's QAI-1 Quality Program including its implementation.

(b) The extent of the survey will be determined by the Society based on a review of the applicant's intended scope of Code activities described in the application. The acceptance by the Society of the QAI-1 Quality Program shall not be interpreted to mean endorsement of the items or activities inspected by the Authorized Inspection Agency personnel.

(c) As part of the accreditation process for a new or renewed AIA Certificate of Accreditation, the Authorized Inspection Agency shall provide a controlled copy of the AIA Quality Program, required to be maintained in accordance with 1-1.3, 2-1.3, 3-1.3, and 5-1.3, to the Society.

(d) All changes to the AIA Quality Program shall be controlled. Copies of changes to the AIA Quality Program shall be provided to the Society for review and acceptance before implementation.

(e) An Authorized Inspection Agency shall provide ASME survey teams access to facilities, premises, and

records necessary to assess conformance with this Standard.

(f) The required AIA Certificate of Accreditation to provide inspection services shall be granted only after the adequacy of this content and implementation of the QAI-1 Quality Program has been satisfactorily demonstrated to an ASME survey team and the survey results acted upon by the Society.

(g) The AIA will be subject to a planned audit program by the Society.

4-5 ISSUANCE OF ACCREDITATION

Each Certificate of Accreditation holder shall have agreed that each Certificate is at all times the property of the Society, that it will be used according to the rules

and regulations of this Standard, and that the Certificate will be promptly returned to the Society upon demand, or when the Certificate of Accreditation holder discontinues the scope of inspection activities covered by the Certificate. The holder of a Certificate of Accreditation shall not permit any other party to use its Certificate. The Society reserves the absolute right to cancel or refuse to renew such accreditation, returning fees paid for the prorated unexpired term.

4-6 RENEWAL OF ACCREDITATION

Not later than 6 months prior to the date of expiration of the Certificate, the AIA Certificate of Accreditation holder desiring renewal shall apply for renewal of such accreditation and the reissuance of the Certificate.

Part 5

Qualifications and Duties for Authorized Inspection Agencies and Inspector Supervisors, and Qualifications for Inspectors of Boilers and Pressure Vessels

5-0 SCOPE

Part 5 is for use with Sections I; IV; VIII, Division 1; VIII, Division 2; VIII, Division 3; X; and XII of the ASME Code,¹ including applicable Addenda and Code Cases.

5-1 THE AUTHORIZED INSPECTION AGENCY

5-1.1 Qualifications

An Authorized Inspection Agency is an organization meeting the criteria of this Standard that is accredited by the Society pursuant to the provisions set forth in Part 4 to provide Authorized Inspection Agency services within a jurisdiction.² Such agencies employ Authorized Inspectors and Inspector Supervisors that meet the criteria of this Standard and of the National Board Rules for Commissioned Inspectors.³

5-1.1.1 An Authorized Inspection Agency shall be one of the following:

(a) a jurisdiction that accepts and does administer one or more construction code sections⁴ of the ASME Boiler and Pressure Vessel Code as a means to satisfy legal or regulatory requirements.

(b) an insurance company that has been licensed or registered by the appropriate authority of a state of the United States of America, or of a province of Canada, to write boiler and pressure vessel insurance in such state or province. The insurance company shall show its willingness and capability to provide boiler and pressure vessel insurance coverage by being actively engaged in writing such insurance in one or more of the states or provinces where so licensed or registered.

(c) a company in the business of providing “third party” inspection services within a jurisdiction,² which has government recognition to perform inspection and design reviews for boilers and pressure vessels.

¹ ASME Code refers to the ASME Boiler and Pressure Vessel Code.

² The term *jurisdiction* refers to a governmental entity that has responsibility for regulation of boilers and pressure vessels.

³ The *National Board* refers to The National Board of Boiler and Pressure Vessel Inspectors.

⁴ *Construction code sections* are ASME Boiler and Pressure Vessel Code Sections I, IV, VIII, X, and XII.

5-1.1.2 The jurisdiction described in 5-1.1.1(a) may designate one or more organizations to act on its behalf to enforce its regulations. The organization shall

(a) provide evidence establishing that such delegation of authority is duly authorized by the laws of the jurisdiction

(b) describe how the ASME Code is accepted by the jurisdiction

(c) describe how the Code is enforced by the organization

5-1.1.3 An Authorized Inspection Agency shall be accredited by the Society pursuant to the provisions set forth in Part 4. The Authorized Inspection Agency services provided by their Inspectors and Inspector Supervisors shall also be subject to audit by ASME for compliance with this Standard during shop or site reviews of organizations for which they provide Authorized Inspection.

5-1.1.4 The Authorized Inspection Agency shall provide authorized inspection services by Inspectors and Inspector Supervisors who meet the qualifications of the Inspector⁵ and of the Inspector Supervisor as defined herein.

5-1.1.5 The Authorized Inspection Agency shall demonstrate the capability to perform the duties required by Part 5. If part of a larger organization, the relationship with other parts of the larger organization shall be clearly defined.

5-1.1.6 The Authorized Inspection Agency shall have the resources necessary to comply with the requirements of Part 5.

5-1.1.7 The Authorized Inspection Agency shall have no commercial interest in, or shall be independent of any part of an organization having direct commercial interest in, the products to be inspected. The staff shall be free from any commercial, financial, and other pressures that might influence their judgment or the results of their work.

⁵ The term *Inspector* refers to an Authorized Inspector.

5-1.1.8 The Authorized Inspection Agency shall have adequate arrangements to safeguard the confidentiality of information obtained during inspection activities.

- (16) **5-1.1.9** Authorized Inspection Agencies described in 5-1.1.1(b) and (c) shall have liability insurance and shall

(a) be able to demonstrate that they have adequate arrangements (e.g., insurance or reserves) to cover the liabilities

(b) evaluate their finances and sources of income and shall be able to demonstrate that initially, and on an annual basis, commercial, financial, or other pressures do not compromise their impartiality

(c) retain documentary evidence that they have reviewed their activities on an annual basis to ensure that the requirements of (a) and (b) have been met

(d) declare by signature in the Quality Assurance Manual's Statement of Policy that the requirements of (a) and (b) will be met

(e) submit the documentary evidence as part of their application for the ASME Certificate of Accreditation

(16) 5-1.2 Duties

An Authorized Inspection Agency⁶ shall perform the duties specified in 5-1.2.1 through 5-1.2.12.

5-1.2.1 Provide Supervisors and/or Inspectors to participate in the ASME reviews of Certificate Holders for which they provide Authorized Inspection.

Ensure the Inspector's diary is made available for ASME reviews and investigations. The purpose of the diary is to provide a record of the Inspector's activities and to support the continuity of inspections.

5-1.2.2 Provide qualified Inspectors to monitor construction in accordance with the ASME Code.

5-1.2.3 Employ qualified Supervisors⁷ to monitor the performance of the Inspectors and to audit the activities at shops and field sites for which inspection agreements have been made, in accordance with the requirements of 5-2.2.5.

5-1.2.4 Give written notice to all Inspectors of the name, office address, email address, office phone, and mobile phone of their respective Supervisors annually or whenever there is a change in the above contact information.

5-1.2.5 Assure proper execution of responsibilities. In particular, the Agency shall

(a) establish and implement an internal program which shall provide assurance that those of its employees holding the positions of Supervisor and Inspector

perform work in accordance with the requirements of Part 5. This program shall be documented by written policies, procedures, or instructions and shall be carried out throughout the term of any agreement covering inspections required by the ASME Code, in accordance with the program. The program shall provide for indoctrination and training of personnel performing such activities, as necessary, to ensure that suitable proficiency is achieved and maintained.

(b) provide instructions in writing to Inspectors and their Supervisors, specifying their respective duties and responsibilities.

(c) provide instructions in writing to Inspectors requiring them to immediately contact their Supervisor whenever the Inspector is unable to readily resolve any question concerning ASME Code compliance, manufacturing procedure, or quality control provision or its implementation. Instructions should be included as a reminder to the Inspector that he has the authority and the duty to refuse to sign any Data Reports involving nonconformance with the ASME Code.

(d) conduct annual planned audits of activities performed by Supervisors to verify compliance with the provisions of Part 5 and the ASME Code. The audit shall be performed by appropriately trained personnel, in accordance with a written procedure or checklist. Audit results shall be documented and reviewed by management. Follow-up action, including reaudit of deficient areas, shall be taken where indicated to ensure that necessary corrective action is completed.

5-1.2.6 Provide certification for each Inspector and Supervisor to be performing work under the provisions of the ASME Code, to ensure that the Inspectors and Supervisors meet the required experience and training requirements of Part 5. Certification and documentation of qualifications shall be retained by the employer and shall be made available for review by the jurisdictional Authorities and the ASME upon request.

5-1.2.7 Submit to the National Board an application for an "A" endorsement for the Inspector applicant, certifying that he has the required experience and training and that qualified supervision will be provided to ensure that the Inspector satisfactorily fulfills his functions.

5-1.2.8 Submit to the National Board an application for a "B" endorsement for the Supervisor applicant, certifying that the Supervisor has the required experience and training.

5-1.2.9 Verify to the National Board that audits required by 5-2.2.5 have been carried out.

5-1.2.10 Notify the ASME Conformity Assessment Department when entering into an agreement or whenever an existing agreement is terminated with an ASME Certificate Holder.

⁶ The term *Agency* or *Employer* refers to the accredited Authorized Inspection Agency.

⁷ The term *Supervisor* refers to an Authorized Inspector Supervisor.

5-1.2.11 Notify the ASME Conformity Assessment department immediately when a change in qualification status as indicated in 5-1.1.1, or on the Certificate of Accreditation, occurs.

5-1.2.12 Annually review the Quality Control System for each "UM" Certificate of Authorization Holder for which they have an inspection contract or agreement.

5-1.3 AIA Quality Program

5-1.3.1 A documented Quality Program shall be established, implemented, and maintained by the Authorized Inspection Agency (AIA) in accordance with the requirements of this Standard. The AIA Quality Program shall identify the activities to which it applies and shall provide for the planning, control, and accomplishment of activities affecting the quality of the Authorized Inspection Agency's implementation of duties and activities as described in applicable parts of this Standard.

5-1.3.2 The AIA Quality Program shall, as a minimum, include the following parts:

(a) *Organization.* The Program shall document the organizational structure, functional responsibilities, levels of authority, and lines of responsibility for activities required for compliance with requirements of this Standard.

(b) *Program Description.* The Program shall describe the scope of the activities for which the Program applies. The scope shall include all requirements of the QAI-1 Standard for which the Authorized Inspection Agency is accredited by the Society (or for which the applicant is seeking Society accreditation as an Accredited Authorized Inspection Agency). The Program shall document the policies and describe the process for the implementation of the requirements of the QAI-1 Standard.

(c) *Document Control.* The Program shall describe the process for the review and revision of the Program. All changes to the Program shall be controlled and the process for review and approval of changes shall be specified. All changes to the Program require prior review and acceptance by the Society before implementation as required by 4-4(d). Further, the Program shall be controlled to ensure appropriate distribution to and use at the location(s) where the prescribed activity is performed.

(d) *Training.* The Program shall describe the process for the indoctrination and training of personnel as required by 5-1.2.5(a).

(e) *Records.* The Program shall describe the process for records management. The description shall include measures to ensure that the records are controlled and maintained in a manner that prevents damage, deterioration, and loss. The AIA's records necessary to verify

compliance with this QAI Standard, except for personnel qualification records, shall be maintained for a minimum of 5 yr. The personnel qualification records, necessary to verify compliance with this QAI Standard, shall be maintained while the individual is providing AIA services and for a minimum of 5 yr after the individual ceases to provide AIA services.

(f) *Corrective Actions.* The Program shall describe the process for the identification, review, and correction of conditions or activities that are not conducted in accordance with the Program. Corrective action shall be taken to preclude the repetition of nonconforming conditions. The description of the process shall include how corrective action is implemented, documented, and reported to management.

(g) *Audits.* The Program shall describe the audit process and shall include the following as a minimum:

(1) A comprehensive system of planned and periodic audits shall be carried out to verify compliance with applicable requirements of the QAI-1 Standard and the AIA Quality Program and to determine its effectiveness. The audits shall be performed in accordance with written procedures or checklists by appropriately trained personnel not having direct responsibility in the areas being audited.

(2) Audit results shall be documented and the results shall be reviewed by management responsible for the area audited. Follow-up action including reaudit of deficient areas shall be taken where indicated.

(3) At least annually, the overall adequacy and effectiveness of the implementation of the AIA Quality Program shall be reviewed and the results of the review documented and reported to management.

5-2 THE AUTHORIZED INSPECTOR SUPERVISOR

5-2.1 Qualifications

(16)

The Supervisor shall be selected and designated as such by his employer. The Supervisor shall have the qualifications specified in 5-2.1.1 through 5-2.1.4.

5-2.1.1 The Supervisor shall have passed an examination developed and administered by the National Board and received a "B" endorsement from the National Board. The examination shall encompass sufficient means of determination of the candidate's ability to ascertain the validity of the ASME BPV Code requirements, including quality control, material, design, overpressure protection, fabrication methods, inspections, tests, and certification by stamps and data reports. The examination shall be graded by the National Board and results provided to the Authorized Inspection Agency concerned.

5-2.1.2 A candidate for designation as an Authorized Inspector Supervisor shall have qualified as an Authorized Inspector and subsequently shall have

been engaged for at least 2 yr in ASME BPV related work, such as inspection under the provisions of the ASME BPV Code, or shall have been engaged for at least 2 yr in the administration of shop inspection service under the ASME BPV Code.

5-2.1.3 The Supervisor shall have knowledge of ASME BPV Code shop review procedures, which shall include service with at least three shop review teams as a member or as an observer.

5-2.1.4 The Supervisor shall have a working knowledge of the requirements of applicable ASME BPV Code Sections, applicable Code Cases, and reference codes and standards.

(16) 5-2.2 Duties

The Supervisor shall perform the duties specified in 5-2.2.1 through 5-2.2.8.

5-2.2.1 Maintain a record of Certificate Holders' shop and field sites where Inspectors assigned to him by his Agency for supervision are performing Code inspection activities. He shall record the date of his visits to such locations when related to his assigned supervisory duties.

5-2.2.2 Maintain a record of those Inspectors assigned and a description of their assignments.

5-2.2.3 Assist in maintaining the competency of the Inspector to an acceptable level through periodic arrangement of panel discussions of work-related topics, written communications of unique problems and their solution, informal question and answer discussion sessions, and other means he deems suitable. The Supervisor shall maintain documentation of such activities.

5-2.2.4 The Supervisor shall be responsible for the technical performance of the Inspector(s) assigned to him. He shall report in writing to his management significant nonconforming activities that are reported to him or that he observed on the part of the Inspector, following full investigation of such activities.

5-2.2.5 Audit the performance of each Inspector as specified below:

(a) The audit shall be performed at least once each year at approximately 12-month intervals and at additional times as requested by the Inspector.

(b) The audit shall take place at a shop or field site location.

(c) The Supervisor shall be accompanied by the Inspector during the audit.

(d) An audit is not required if the Inspector has not been engaged in ASME Code inspection activity within the time specified in (a).

5-2.2.6 The audit required by 5-2.2.5 shall be recorded in writing, containing the status of each item

audited and a brief description of the objective evidence reviewed to evaluate the duty being audited.

5-2.2.7 Confirm the corrective action has been verified by the Inspector to ensure compliance with the ASME Code requirements at the shops and sites which have been assigned to the Supervisor.

5-2.2.8 The Supervisor shall record, in the Inspector Diary (see 5-3.3), dates of all audits and visits to shop and field locations when related to supervisory duties. (16)

5-3 THE AUTHORIZED INSPECTOR

5-3.1 Qualifications (16)

The Inspector shall be selected and designated as such by his employer. The Inspector shall have the qualifications specified in 5-3.1.1 through 5-3.1.8.

5-3.1.1 The Inspector shall have passed an examination developed and administered by the National Board and received an "A" endorsement from the National Board. The examination shall encompass sufficient means to determine the candidate's knowledge of, and familiarity with, the ASME BPV Code. The examination shall be graded by the National Board and results provided to the Authorized Inspection Agency concerned. The Inspector shall have been engaged for at least 80 hr of diversified experience as an Inspector Trainee under the direct supervision of an Authorized Inspector.

5-3.1.2 The Inspector shall comply with the National Board Rules for Inservice and New Construction Commissioned Inspectors (NB-263) and hold a valid Certificate of Competency (where required).

5-3.1.3 The Inspector shall have a working knowledge of applicable ASME BPV Code Sections, applicable Code Cases, and reference codes and standards.

5-3.1.4 The Inspector shall have knowledge of quality assurance requirements and shop and field procedures and processes.

5-3.1.5 The Inspector shall have the knowledge and ability to evaluate and monitor shop and field procedures and performance.

5-3.1.6 The Inspector shall have demonstrated the ability to perform shop and field inspections to the satisfaction of the Authorized Inspection Agency employing the Inspector.

5-3.1.7 The Inspector shall have a satisfactory degree of experience, knowledge, and background for the inspection of boilers and pressure vessels, consistent with the complexity of the assignment.

5-3.1.8 The Inspector shall have knowledge of the requirements for quality assurance records.

5-3.2 Performance of Inspector's Duties

The audit performed in conformance with 5-2.2.5 and documented in accordance with 5-2.2.6 shall provide evidence of the satisfactory performance of the duties as specified in the applicable Sections of the ASME Code and the National Board Rules for Commissioned Inspectors.

(b) be secured in such a way as to prevent revisions, additions, or deletions to data that have been previously logged in the diary

(c) provide a means for other inspectors and supervisors, within the Authorized Inspection Agency, to review diary entries, as required

(d) include a provision for signatures by a PIN or other secure means

(16) 5-3.3 Inspector Diary

The Inspector shall keep an electronic or bound (not looseleaf) record or diary of his activities and inspections made, detailing corrections and any other pertinent data that will be useful to him and his employer. Information to be recorded shall include a description of the item inspected, the type of observations made, the requirements that prompted the activity, and the results of inspection.

5-3.3.2 All diaries, whether electronic or bound, shall as a minimum

(a) be completed daily or at each inspection visit by the Inspector.

(b) be available at the location of the inspection. For field sites, the diary must be available for the duration of the work.

(c) be maintained for a minimum of 5 yr from the date of the entry.

(d) be available for surveys, reviews, audits, and investigations.

5-3.3.1 Electronic diaries shall, as a minimum

(a) be under the complete administrative control of the AIA

Part 6

Qualifications and Duties for Qualified Inspection Organizations and Qualifications for Qualified Inspectors

6-0 SCOPE

Part 6 is for use with Section XII of the ASME Code,¹ including applicable Addenda and Code Cases, and other Section or Sections of the ASME Code when referenced by the respective Code Section.

6-1 THE QUALIFIED INSPECTION ORGANIZATION

6-1.1 Qualifications

A Qualified Inspection Organization (QIO) is one designated by, or acceptable to a legal authority that has adopted one or more Sections of the ASME Boiler and Pressure Vessel Code. Such organizations shall meet the criteria of this Standard and of the National Board² Rules for Qualified Inspectors. An ASME accredited Authorized Inspection Agency may also perform as a Qualified Inspection Organization when meeting the requirements of this Standard, if so designated and accepted by the legal authority.

6-1.1.1 A Qualified Inspection Organization shall be licensed or registered by the legal authority when so required by that legal authority. The Qualified Inspection Organization shall also obtain credentials (e.g., Certificate of Competency) when applicable, for their Inspectors³ and Supervisors³ from the legal authorities that have the responsibility of administering the boiler and pressure vessel laws in the jurisdiction (in which the Qualified Inspection Organization is so licensed or registered) that have adopted and do administer one or more Sections of the ASME Code.

6-1.1.2 Qualified Inspection Organizations shall be accredited by the Society pursuant to the provisions set forth in Part 7.

6-1.1.3 The Qualified Inspection Organization shall provide inspection service by Inspectors who meet the qualifications of the Inspector as defined herein.

¹ ASME Code refers to the ASME Boiler and Pressure Vessel Code.

² The National Board refers to The National Board of Boiler and Pressure Vessel Inspectors.

³ For this Part of the Standard, the term *Inspector* refers to a Qualified Inspector and the term *Supervisor* refers to a Qualified Inspector Supervisor.

6-1.2 Duties

(16)

A Qualified Inspection Organization shall perform the duties specified in 6-1.2.1 through 6-1.2.11.

6-1.2.1 Provide qualified Inspectors to monitor construction and other activities in accordance with the ASME Code.

6-1.2.2 Employ Supervisors to monitor and audit the performance of the Inspectors.

6-1.2.3 Give written notice to all Inspectors of the name, office address, email address, office phone, and mobile phone of their respective Supervisors annually or whenever there is a change in the above contact information.

6-1.2.4 Assure proper execution of responsibilities. In particular, the Qualified Inspection Organization shall

- (a) establish and implement an internal program which shall provide assurance that those of its employees holding the position of Supervisor and Inspector perform work in accordance with the requirements of Part 6. This program shall be documented by written policies, procedures, or instructions and shall be carried out throughout the term of any agreement covering inspections required by the ASME Code, in accordance with the program. The program shall provide for indoctrination and training of personnel performing such activities, as necessary, to ensure that suitable proficiency is achieved and maintained.

- (b) provide instructions in writing to Inspectors and their Supervisors, specifying their respective duties and responsibilities.

- (c) provide instructions in writing to Inspectors to require them to immediately contact their Supervisor whenever the Inspector is unable to readily resolve any question concerning ASME Code compliance, manufacturing procedure, or quality control provision or its implementation. Instructions should be included as a reminder to the Inspector that he has the authority and the duty to refuse to sign any certification involving nonconformance with the ASME Code.

6-1.2.5 Provide certification for each Inspector and Supervisor to be performing work under the provisions of the ASME Code, to ensure that the Inspectors and Supervisors meet the required experience and training