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**GUIDE FOR  
ASME SURVEY TEAMS  
FOR ACCREDITATION OF  
AUTHORIZED INSPECTION AGENCIES**

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

## **INTRODUCTION**

This Guide is prepared for the use of ASME Survey Team Leaders and Members. It is not intended to replace or interpret the requirements of QAI-1 Qualifications for Authorized Inspection.

In addition, to assist the ASME Survey Team, this Guide is provided to Applicants for ASME Certificates of Accreditation for their use in verifying and identifying the paragraph where their Program addresses the applicable requirements of QAI-1.

This Guide is based on the requirements of QAI-1. The Guide is subject to revision based on changes made in the QAI-1 Standard.

A survey must cover a program and its implementation. It is recognized that the scope of work, the program, and program implementation will vary from Applicant to Applicant. Therefore, the ASME Survey Teams are advised that all aspects of this Guide may not apply and that this Guide may not outline all possible aspects of each survey. The program need not follow the format of the Guide.

Questions of possible need for interpretation raised by the survey team shall be submitted to ASME Staff, at [ca@asme.org](mailto:ca@asme.org). When a request for an interpretation is to be submitted by an Applicant, the Team Leader shall advise the Applicant that all such inquiries must be submitted to the Secretary, QAI-1 Standards Committee.

Suggestions for revisions or clarification to this Guide should be directed to the ASME Staff.

## **HOW TO USE THIS GUIDE**

The requirements of QAI-1 Parts (1), (2), (3), and (5) are reflected in the checklist. The Applicant should advise ASME as to which Part or Parts are applicable. Please complete the statement that precedes the checklist regarding the applicable Parts.

Review each checklist item in the "AIA Survey Checklist" and note the program reference that covers the subject addressed in the column labeled "Program References." In the case where an item gives more than one alternative for fulfilling the applicable QAI-1 requirement, mark "N/A" in the column labeled "Quality Program References" adjacent to those alternatives that do not apply.

Note that the terms "Inspector" and "Supervisor" have been used in this guide. "Inspector" is used to designate Authorized Nuclear Inspector, Authorized Nuclear Inservice Inspector, Authorized Nuclear Inspector (Concrete), and Authorized Inspector. Similarly, "Supervisor" is used to designate Authorized Nuclear Inspector Supervisor, Authorized Nuclear Inservice Inspector Supervisor, Authorized Nuclear Inspector Supervisor (Concrete), and Authorized Inspector Supervisor.

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

## **GUIDANCE INFORMATION TO APPLICANTS FOR ASME ACCREDITATION OF AUTHORIZED INSPECTION AGENCIES (AIA)**

Applicants applying for initial issue or renewal of an ASME Certificate of Accreditation (AIA) should be aware that the ASME survey process will require that implementation of their AIA Quality Program be demonstrated.

The ASME policies and Operating Procedures require the Survey Team to make a full review of the applicants Quality Program Manual prior to visiting the applicant's facilities. The Survey Team performs this review on the first day of the Survey.

It is the responsibility of the Applicant to have copies of their Quality Program Manual (Uncontrolled) for each member of the Survey Team and at least one (1) copy of implementing procedures for the Survey Team use at the time of the manual review. The manual presented must be the one proposed to be used. Any operational or procedural changes resulting from a proposed change to the Quality Program Manual (either as proposed by the Applicant or as recommended by the Survey Team after initial review) will be expected to be demonstrated during the implementation portion of the survey.

The Quality Program shall be written in a manner that describes how the Applicant intends to meet the requirements of QAI-1 and shall address all the requirements of Parts 1, 2, 3 and 5 as applicable for the scope of the accreditation requested and Part 4.

The Applicant will be required to demonstrate the implementation of their Quality Program for each QAI-1 Part (1, 2, 3, 4 or 5) applied for. If an Applicant is applying for accreditation for all parts, the unique features of each part shall be described and demonstrated.

The purpose of the demonstration is to allow the Applicant to demonstrate their knowledge and ability to comply with the requirements of their manual and the scope of QAI-1 for which they are requesting accreditation. All elements of the program are required to be demonstrated.

When no actual AIA activities have been performed, a "mock-up" demonstration may be used. A "mock-up" must completely demonstrate the Applicant's ability to implement all elements of the AIA Quality Program. All documents and forms intended to be used when AIA activities are performed shall be "mock" completed as required by the Applicants Quality Program Manual and QAI-1. The Survey Team will review these "mock-up" records in a similar fashion as if they were operational records.

Prior to the survey, the applicant shall also have in its employ individuals who hold National Board Commissions and applicable endorsements consistent with the requested scope.

On initial application this requirement 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 National Board requirements (NB-263).

The survey will be conducted in five phases or segments as follows:

1. **Manual Review:** Will be performed by the Survey Team only on the first day of the survey. This review will normally be held in a hotel remote from the Applicant's facility. In some rare instances and under extenuating circumstances it may be performed at the Applicant's facility, but, this is not normal and will only be done with the concurrence of the Survey Team Leader.
2. **Entrance Meeting:** Will be normally held on the second day. The entrance meeting will provide the Applicant and the Survey Team an opportunity to: introduce themselves; review the Certificates and Scopes applied for; and establish the survey agenda. The Team will also review confidentiality and due process procedures with the Applicant. ASME fully encourages executive/senior management to attend the entrance meeting.
3. **Implementation:** The Applicant is expected to demonstrate implementation of all elements of their program. If for some reason an element or part of an element cannot or has not been implemented, how it will be implemented shall be demonstrated. Any deficiencies discovered during the survey will be immediately identified to the Applicant in order to provide an opportunity to correct them prior to the conclusion of the survey.
4. **Team Closed Meeting:** This meeting will be held at the Applicants facilities prior to the exit meeting. This meeting will only be attended by the Survey Team and observers authorized by the ASME. During this meeting the Survey Team will review the results of the survey and develop a recommendation that the team will present to the QAI Subcommittee on Accreditation.
5. **Exit Meeting:** This meeting will be held with the Applicant's management and personnel to review the results of the survey. ASME fully encourages executive/senior management to attend the exit meeting. If there were any finding issued they will be reviewed and the Applicant will be advised of their status. The Survey Team's recommendation to the QAI-1 Subcommittee on Accreditation will be made known. The Applicant will be allowed to ask any questions relative or pertinent to the survey. At the conclusion of the exit meeting the survey is officially ended and there will be no more discussion of the survey.

AIA QUALITY PROGRAM SURVEY CHECKLIST

Applicant/Certificate Holder \_\_\_\_\_  
 QA Manual Edition \_\_\_\_\_ Rev. # \_\_\_\_\_ Date: \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_  
 QAI-1 Part 1 [ ], Part 2 [ ], Part 3 [ ], Part 5 [ ]

Item No.	Program Element and Sub-elements	Program References (To be filled by Applicant)	Sat.	See Rep	Not Appl
			For ASME Team Use Only		
1.	<p><b><u>Organization</u> [1-1.3.2(a), 2-1.3.2(a), 3-1.3.2(a), 5-1.3.2(a)]</b></p> <p>The program includes measures established to:</p> <p>A. Provide for documentation by organizations, groups or individuals (by title) performing activities affecting quality including:</p> <p>(1) Organization structure,</p> <p>(2) Responsibilities,</p> <p>(3) Level of authority.</p>				
2.	<p><b><u>Program Description</u> [1-1.3.2(b), 2-1.3.2(b), 3-1.3.2(b), 5-1.3.2(b)]</b></p> <p>The program includes measures established to:</p> <p>A. Provide a Quality Manual that documents in detail the Quality Program policy and process for implementation of the requirements of QAI-1.</p> <p>B. Ensure that the Quality Program is planned, implemented and maintained.</p> <p>C. Identify the activities and scope for which the program applies.</p>				
3.	<p><b><u>Authorized Inspection Agency</u> [1-1, 2-1, 3-1, 5-1]</b></p> <p>A. Jurisdiction</p> <p>(1) Has adopted and does administer the appropriate ASME Code Section as a legal requirement.</p> <p>(2) Is qualified to be represented on the ASME Code Conference Committee.</p> <p>(3) May designate one or more organizations to act on their behalf to enforce their regulations and shall:</p>				

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 QA Manual Edition \_\_\_\_\_ Rev. # \_\_\_\_\_ Date: \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_  
 QAI-1 Part 1 [ ], Part 2 [ ], Part 3 [ ], Part 5 [ ]

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	<p>(a) Provide evidence establishing that such delegation of authority is duly authorized by the laws of the Jurisdiction.</p> <p>(b) Describe how the ASME Code is accepted by the Jurisdiction</p> <p>(c) Describe how the ASME Code is enforced by the organization.</p> <p><b>B. An Insurance Company</b></p> <p>(1) Licensed or registered by the appropriate authority of a State of the United States or a Province of Canada.</p> <p>(2) Writes Boiler and Pressure Vessel insurance in the State or Province (actively engaged).</p> <p>(3) Authorization to provide inspections from the jurisdiction.</p> <p><b>C. A company in the business of providing “third party” services within a Jurisdiction which has government recognition to perform inspection and design reviews for boilers and pressure vessels</b></p> <p><b>D. Provide qualified inspectors to monitor construction.</b></p> <p><b>E. Maintain qualified supervisors:</b></p> <p>(1) To monitor the performance of the inspector.</p> <p>(2) To audit the shop and field site activities under agreement.</p> <p><b>F. Provide written notice to the inspector of the name, office and phone number of the respective supervisor.</b></p> <p><b>G. Provide instructions in writing to the inspectors and supervisors, specifying their respective duties and responsibilities.</b></p> <p><b>H. Provide instruction to inspectors to contact their supervisor when unable to resolve questions concerning ASME Code compliance, procedure, quality provisions or its implementation.</b></p> <p><b>I. Provide instructions that the inspector has the authority and duty to refuse to sign any Data Report involving nonconformance.</b></p>				

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Applicant/Certificate Holder \_\_\_\_\_  
 QA Manual Edition \_\_\_\_\_ Rev. # \_\_\_\_\_ Date: \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_  
 QAI-1 Part 1 [ ], Part 2 [ ], Part 3 [ ], Part 5 [ ]

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	J. Annual audits of activities performed by Supervisors are performed by trained personnel, in accordance with written procedures, and results documented, reviewed by management, and follow-up action is taken  K. Provide special applications for inspectors and supervisors for endorsements to National Board.  L. Provide certification and documentation for each inspector and supervisor performing ASME Code work.  M. Certification and documentation of each inspector qualification is retained by the employer.  N. Verify annually to National Board that the required audits of inspector has been conducted.  O. Notify ASME of termination of Inspection Agreements with Holders of Certificate of Authorization (not applicable for Part 3).  P. Demonstrate the capability to perform the duties and have the necessary resources to comply with Part 5.  Q. Has no commercial interest in, or is independent of any organization with interest in the product being inspected.  R. Has adequate arrangements to safeguard the confidentiality of information obtained during the inspection activities.				
<b>4.</b>	<u><b>Authorized Supervisor [1-2, 2-2, 3-2, 5-2]</b></u>  A. Is selected and designated as such by the employer.  B. Maintain a record of shop and field sites (1) Assigned by the AIA for supervision.  (2) Record the date of visits when performing supervisory duties.  C. Maintain a record of inspectors assigned and a description of their assignments.				

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Applicant/Certificate Holder \_\_\_\_\_  
 QA Manual Edition \_\_\_\_\_ Rev. # \_\_\_\_\_ Date: \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_  
 QAI-1 Part 1 [ ], Part 2 [ ], Part 3 [ ], Part 5 [ ]

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	D. Assist in maintaining the competency of the inspector (1) Periodic panel discussions. (2) Written communications of unique problems other means deems suitable. E. Report in writing to management significant nonconforming ASME activities as a result of reports and/or investigations on the part of the: (1) Inspector. (2) Certificate Holder. F. Provide a system to record and limit radiation exposure of inspectors and supervisors (not applicable to Part 5). G. Audit the performance of each inspector. H. Confirm corrective action verification conducted by the inspector.				
<b>5.</b>	<b><u>Authorized Inspector</u> [1-3, 2-3, 3-3, 5-3]</b> A. Is selected and designated based on qualifications. B. Maintain a bound (not loose leaf) record or diary of inspection activities.				
<b>6.</b>	<b><u>Document Control</u> [1-1.3.2(c), 2-1.3.2(c), 3-1, 3.2(c), 5-1.3.2(c)]</b> The program includes measures established to: A. Describe the process for review and revision to the Quality Program Manual. B. Describe how changes to the Quality Program are controlled and specify the process for review and approval. C. Describe how changes to the Quality Manual are reviewed and accepted by the Society prior to implementation. D. Provide control to assure distribution to and use at location where the prescribed activities are performed.				

AIA QUALITY PROGRAM SURVEY CHECKLIST

Applicant/Certificate Holder \_\_\_\_\_  
 QA Manual Edition \_\_\_\_\_ Rev. # \_\_\_\_\_ Date: \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_  
 QAI-1 Part 1 [ ], Part 2 [ ], Part 3 [ ], Part 5 [ ]

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7.	<p><b><u>Training</u></b> [1-1.3.2(d), 2-1.3.2(d), 3-1.3.2(d), 5-1.3.2(d)]</p> <p>The program includes measures established to:</p> <p>A. Provide for indoctrination, and training affecting inspection activities and define documentation requirements.</p>				
8.	<p><b><u>Records</u></b> [1-1.3.2(e), 2-1.3.2(e), 3-1.3.2(e), 5-1.3.2(e)]</p> <p>The program includes measures established to:</p> <p>A. Describe the process for records management including responsibilities for record generation, distribution, retention, maintenance and disposition.</p>				
9.	<p><b><u>Corrective Action</u></b> [1-1.3.2(f), 2-1.3.2(f), 3-1.3.2(f), 5-1.3.2(f)]</p> <p>The program includes measures established to:</p> <p>A. Identify and correct conditions adverse to quality.</p> <p>B. Corrective action is taken to preclude the repetition of the nonconforming conditions.</p> <p>C. Includes how corrective action is implemented, documented and reported to management.</p>				
10.	<p><b><u>Audits</u></b> [1-1.3.2(g), 2-1.3.2(g), 3-1.3.2(g), 5-1.3.2(g)]</p> <p>The program includes measures established to:</p> <p>A. Ensure that internal audits are performed to verify compliance with QAI-1 and the Quality Program.</p> <p>B. Provide written procedures or checklist.</p> <p>C. Ensure that audit results are documented.</p> <p>D. Provide for audit results to be review by the responsible management.</p>				

AIA QUALITY PROGRAM SURVEY CHECKLIST

Applicant/Certificate Holder \_\_\_\_\_  
 QA Manual Edition \_\_\_\_\_ Rev. # \_\_\_\_\_ Date: \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_  
 QAI-1 Part 1 [ ], Part 2 [ ], Part 3 [ ], Part 5 [ ]

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11.	<p><b><u>Case Alternatives [QAI Cases]</u></b></p> <p>E. Ensure that the audit follow-up is taken and documented where indicated.</p> <p>F. Ensure that the overall adequacy and effectiveness of the implementation of the program is reviewed annually, documented and reported to management.</p> <p>A. The use of alternative requirements of QAI-1 Cases is documented in the program (when applied).</p>				