



ACCREDITATION OF MANUFACTURERS OF NUCLEAR ITEMS

TSSA GUIDE FOR NUCLEAR SURVEY TEAMS

Technical Standards and Safety Authority
Boilers and Pressure Vessels Safety Division
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INTRODUCTION

This guide is prepared for the use of TSSA nuclear survey team leaders, members and applicants for TSSA Nuclear Certificates of Authorization. It is not intended to replace or interpret the requirements of the CSA-N285.0 Standard or the ASME Boiler and Pressure Vessel Code Section III, Division 1 General requirements. The checklist does not list all of the detailed requirements of CSA-N285.0 and ASME Section III, but rather lists the highlights that the applicant is required to include in the written Quality Assurance (QA) Manual.

In addition, to assist the TSSA survey team, this guide is provided to applicants for TSSA Certificates of Authorization for their use in identifying and verifying the paragraphs where their QA Manual addresses all applicable control requirements of the CSA Standards and ASME Codes. The QA Manual must contain the description of the controls necessary for implementing the QA Program but, it is not required to contain all of the programmatic requirements which will be found in the QA Program, such as written procedures.

This Guide is based upon CSA-N285.0 and ASME Section III, Division I General Requirements. The Guide is subject to revision based on changes made to CSA-N285.0 and ASME Section III from time to time.

A survey must cover a QA Manual and its implementation. The implementation survey shall be performed on a demonstration item which has been processed in accordance with the QA Program to a point where all of the activities described, for the scope of work applied for, can be verified by the TSSA survey team. ***The demonstration may be on production work in progress and shall be to the highest Code Class (with 1 being the highest and 3 the lowest) requested for certification. The Code effective date of the demonstration item shall be the latest date for which certification of the program is requested.*** QA Manual and Manual implementation will vary from one applicant to another, therefore, only those activities to be performed under the scope of an applicant's TSSA Certificate of Authorization are required to be addressed in the QA Manual. TSSA nuclear survey teams are advised that this guide may not outline all possible aspects of each survey. The QA Manual need not follow the format of this guide.

Questions of possible need for Interpretation raised by TSSA survey team members or the applicant shall be submitted to the TSSA Chief Inspector for an answer. When submitted by the applicant a copy of the inquiry and reply shall be provided by the inquirer to the applicant's Inspection Agency and any known involved enforcement authority.

HOW TO USE THIS GUIDE

Review each checklist item in the checklist against the QA Manual and:

- 1) Check (√) the applicable column - "Yes", "No" or "N/A" (Not Applicable)
- 2) Note the paragraph number in the QA Program Manual which covers the subject addressed in the column labelled "Reference".

Submit one copy of the completed checklist with one controlled copy of the QA Manual to TSSA Head Office for review, at least one month prior to the scheduled implementation review date.

NUCLEAR QUALITY PROGRAM SURVEY CHECKLIST

No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
1	<p>Organization (NCA-4134.1)</p> <p>The program includes measures established to:</p> <p>A Ensure that quality is achieved and maintained by those assigned responsibility for performing work, with achievement verified and documented by persons or organizations not directly responsible for performing the work.</p> <p>B Provide for documentation by organizations, groups or individuals (by title) performing activities affecting quality including:</p> <p>(1) Organizational Structure (2) Functional Responsibilities (3) Levels of Authority (4) Lines of Communication (5) Responsibility and Authority of each organization involved (6) Interface Control between organisations</p> <p>C Does the organization chart show the title of each individual described in the QA manual text, including Lead Auditor, NDE personnel, Procurement, Welders, Records personnel, etc.)</p> <p>D If a field site is included in the program, is the field site organization chart also clearly documented with all of the titles referenced in the QA Manual and the relationship to the personnel at the main certificate location clearly established?</p> <p>E Ensure that persons or organisations performing quality assurance functions have sufficient well defined responsibility, access to work areas and organisational freedom to:</p> <p>(a) Identify quality problems (b) Initiate, recommend or provide solutions through departmental channels (c) Verify implementation of solutions (d) Assure that further processing, delivery, installation or use is controlled until proper disposition of a non-conformance, deficiency or unsatisfactory condition has occurred</p> <p>F Ensure that persons or organisations performing quality assurance functions that delegate work provide defined and documented interface controls, but retain responsibility for the work.</p>				
2	<p>Quality Assurance Program (NCA-4134.2 & CSA N285.0)</p> <p>Does the program includes measures to:</p> <p>A Provide a complete Quality Assurance Manual (Not a manual supplement) for the TSSA certificate location address, which documents in detail the Quality Assurance Program required by this section and includes a statement of policy and authorisation by management indicating management support.</p> <p>B Ensure management participation and support of the program</p> <p>C Ensure that the QA Manual, drawings and process sheets necessary to make the QA Program intelligible, including all changes that are made is available to the Authorized Inspector.</p> <p>D Provide for obtaining TSSA acceptance of proposed changes before putting the changes into effect.</p>				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
E	Provide for the Certificate Holder to notify the Authorized Inspector of accepted changes, including evidence of acceptance by TSSA.				
F	Ensure that the QA Program is planned, implemented and maintained.				
G	Identify the activities and items to which the QA Program applies.				
H	Ensure that the quality assurance organisation reviews written procedures and monitors all activities concerned with the QA Program.				
I	Ensure that the QA Program addresses the construction requirements included in the scope of work.				
J	Provide for planning and the accomplishment of activities affecting quality under controlled conditions which include: (1) Use of appropriate equipment (2) Suitable environmental conditions (3) Assurance that prerequisites for the activity are satisfied.				
K	Provide for the use of any special controls, processes, test equipment, tools and skills.				
L	Provide for regular reviews of the adequacy and the effective implementation of the QA Program by management.				
M	Provide for indoctrination, training and qualification, as necessary, of personnel performing activities affecting quality including: (1) Identifying personnel performing activities affecting quality (2) Define Inspection and Test requirements (3) Define documentation requirements				
N	Ensure that personnel performing NDE activities required by the Code are qualified and certified in accordance with NX-5500 and/or N285.0.				
O	Ensure that NDE personnel qualification records are available to the Authorized Inspector and TSSA survey teams.				
P	Ensure that the responsible organization designates all those activities by Title that require qualified inspection and test personnel in the QA manual or a procedure. (Except NDE)				
Q	Ensure that those personnel performing the designated inspection and test activities are qualified and certified.				
R	Is a separate Certificate of Qualification detailing the Code required information issued for each inspection and test individual? (Note that lists or tables are not a substitute for each individual's Code required Certificate of Qualification.)				
S	Is an Exhibit of the Certificate of Qualification for inspection and test personnel provided in the QA Manual? (Note that a list or table is not acceptable)				
T	Provide for removal of personnel if it is determined that the individual's capabilities are not in accordance with specified requirements.				
U	Ensure that audit personnel are qualified and that Lead Auditors are certified.				

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V	Ensure that audit personnel qualification records are available to the Authorized Inspector and TSSA survey teams.				
W	Ensure that personnel records are maintained.				
X	Ensures that definitions where used reference the hierarchy: CSA N285.0; NCA-9000; NQA-1.				
3	Design Control (NCA-4134.3 & CSA N285.0)				
A	If a subcontract Design Organization is used is the audit and qualification of the subcontractor described in detail?				
B	If a subcontract Design Organization is used are the controls of the subcontractor by the certificate holder described in detail?				
C	If a subcontract Design Organization is used are the responsibilities of the subcontractor described in detail?				
D	If a subcontracted RPE is used is the audit and qualification of the subcontracted RPE clearly defined in the QA Manual?				
E	If a subcontracted RPE is used is are the controls of the subcontracted RPE clearly defined in the QA Manual?				
F	If a subcontracted RPE is used are the responsibilities of the subcontracted RPE clearly defined in the QA Manual?				
G	If an in-house RPE is used are the requirements of D, E and F addressed for the in-house RPE?				
H	The program includes measures established to ensure that Design Specifications: (1) Are available for all components, appurtenances and component supports, except when included in the design for the component (2) Are adequate to form the basis for fabrication in accordance with the ASME Code and CSA Standards and are available for all items (3) Are available to the Authorized Inspector before fabrication begins				
I	Ensure that applicable requirements of the Design Specifications are correctly translated into specifications, drawings, procedures and instructions.				
J	Ensures that a copy of the Certified Design Specification is provided to the ANI before work commences?				
K	Ensure that Design Reports, Design Reports Summaries and Load Capacity Data Sheets, as applicable: (1) Are prepared for all components, component supports and appurtenances (2) Are reconciled with modified documents used for construction (3) Are submitted to the Owner for review and documentation of the review				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
L	Ensure that the Design Specification is certified by a Registered Professional Engineer who is competent in the field of design applied.				
M	Ensure design documents are verified for accuracy and compliance with the Design Specification and ASME Code.				
N	Ensure that Design Reports, Design Report Summaries and Load Capacity Data Sheets are certified by a Registered Professional Engineer other than the one certifying the Design Specification.				
O	<p>Provide procedures for ensuring that the certifying Registered Professional Engineer for Design reports and Load Capacity Data Sheets is qualified to ASME Section III, Appendix 23 and the qualification is maintained.</p> <p>Provide a controlled design process which:</p> <p>(1) Specifies the responsible design individuals (by title)</p> <p>(2) Specifies the design activities to be performed</p> <p>(3) Includes a method for the identification of assemblies and/or components that are part of the item being designed</p> <p>(4) Assure that the design inputs are specified, documented, reviewed and approved by the responsible design individual(s) (by title) to a level of detail necessary to permit the design activity to:</p> <p>(a) Be carried out in a correct manner</p> <p>(b) Provide a consistent basis for making design decisions, accomplish design verification measures and evaluate design changes</p> <p>(c) Are correctly translated into design documents</p> <p>(d) Identify, approve, document and control changes, including the reason for changes</p> <p>(5) Provides for documented design analyses which:</p> <p>(a) Are performed in a planned and controlled manner</p> <p>(b) Are legible and in a form suitable for reproduction, filing and retrieval</p> <p>(c) Includes in detail the objective, method, assumptions (identifying those which must be verified), design inputs and their sources, computer calculations, programming references and units such that a technically qualified person can review, understand and verify results without recourse to the originator</p> <p>(d) Identify calculations by subject, originator, reviewer and date; or other data such that calculations are retrievable</p> <p>(e) Are reviewed and approved</p> <p>(6) Includes procedures to ensure that design verification is performed by individuals or groups other than those who performed the design.</p> <p>(7) Includes procedures to ensure that modification of any design document used for construction, including field changes, are governed by the control measures applied to the original design. (A revision or addenda to the Design Report shall be prepared and certified indicating the basis for the modification and filed with the Design Report).</p>				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
	Identify and control design interfaces including: (1) Assignment of responsibilities (2) Establishment of procedures for the review, approval, release, distribution and revision of design documents (3) Documentation of information transmitted across interfaces				
P	Provide documented procedures for the collection, storage and maintenance of design documents and records.				
Q	Ensures that designs are submitted to the department for registration (CRN).				
R	Ensure that the Design Report and Owner's documents are provided to the Authorized Inspector before signing of the Data Report.				
S	Ensures that final design registration is submitted to the Authorized Inspector before the Manufacturer's Data Report is signed.				
4	Procurement Document Control (NCA-4134.4) The program includes measures established to:				
A	Ensure that procurement documents for items and services include: (1) Applicable ASME Code requirements necessary to assure quality and technical requirements where applicable by reference to the ASME Code or other documents (2) Identification of test, inspection and acceptance requirements (3) A requirement that the supplier have a quality assurance program consistent with the requirements of NCA-4000, NCA-3800 or N285.0, as applicable (4) Retention times and disposition of QA records (5) A requirement for reporting and approving the dispositioning of nonconformances (6) A requirement that the supplier incorporate appropriate QA program requirements in subtier procurement documents (7) The right of access by purchaser or others authorized by the purchaser to supplier facilities and records (8) A requirement that the supplier submit to the purchaser at specified time intervals documentation for information, review or approval by the purchaser				
B	Ensure that procurement documents are reviewed for inclusion of appropriate revisions required to ensure ASME Code compliance and that the review is documented prior to the contract award.				
C	Ensure that reviews are performed by personnel with access to pertinent information and an understanding of the requirements and intent of procurement documents.				
D	Ensure that changes are subject to the same control and review as utilized in the preparation of the original documents and: (1) Are incorporated into the procurement documents (2) The review of changes and effects of the changes are completed prior to contract award (3) A determination of additional or modified design criteria (4) An analysis and approval of exceptions or changes requested by the supplier				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
5	<p>Instructions, Procedures and Drawings (NCA-4134.5)</p> <p>The program includes measures established to:</p> <p>A Prescribe and perform activities affecting quality in accordance with documented instructions, procedures or drawings.</p> <p>B Ensure that instructions, procedures and drawings: (1) Include or reference acceptance criteria for determining that prescribed activities have been satisfactorily accomplished (2) Are readily available for use by appropriate personnel and the Authorized Inspector</p>				
6	<p>Document Control (NCA-4134.6)</p> <p>The program includes measures established to:</p> <p>A Identify by name each of the quality related documents to be controlled and specified distribution in the QA Manual.</p> <p>B Identify all responsible personnel, positions or organisations responsible for preparing, reviewing, approving and issuing documents in the QA Manual.</p> <p>C Ensure review of documents for adequacy, completeness and correctness prior to approval and issuance.</p> <p>D Control the issue, distribution at the location where the prescribed activity is performed, use and disposition of documents.</p> <p>E Ensure that the control of major changes to controlled documents include,: (1) Review and approval by the same organization that performed the original review and approval unless another organization is designated (2) Provide access for the reviewer to background data and information Note: all changes are major except for spelling mistakes</p> <p>F Ensure that the minor changes to controlled documents include the description of: (1) Only spelling and grammar mistakes are considered minor changes. All other changes are major changes. (2) The authorized persons who may review and approve such changes</p>				
7	<p>Control of Purchased Items and Services (NCA-4134.7 & CSA N285.0)</p> <p>The program includes measures established to:</p> <p>A Ensure and document conformance to ASME Code requirements including, as appropriate: (1) Source evaluation and selection (2) Evaluation of objective evidence of quality furnished by the supplier (3) Source inspection (4) Audit (5) Examination of items or services upon delivery or completion</p>				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
B	Ensure procurement activities are: (1) Planned prior to the start of procurement (2) Documented, including the procurement method and organizational responsibilities				
C	Provide for the identification, selection and use of qualified suppliers of material, items and services by survey and audit or, on the basis of being an ASME or TSSA Certificate Holder performing work within the scope of the Certificate.				
D	Provide for bid evaluation by designated individuals or organisations including the resolution of unacceptable quality conditions prior to the contract award. Note: The decision to perform bid evaluation is at the option of the Certificate Holder.				
E	Provide interface requirements and verification of supplier's performance by qualified persons as deemed necessary by the Certificate Holder.				
F	Control supplier generated documents including changes thereto in accordance with procurement document control requirements.				
G	Provide and document methods for the acceptance of material, items and services including submittal of the appropriate CMTR, C of C or, Data Report Form.				
H	Provide for availability at the construction or installation site, before use or installation, documented evidence that items conform to CSA-N285.0 and ASME Section III.				
I	Control the acceptance of services such as engineering and consulting services by any or all of the following methods: (1) Technical verification of data produced (2) Surveillance and/or audit of the activity (3) Review of objective evidence for conformance to the procurement document(s).				
J	Ensure that traceability is established for materials, items and services.				
K	Control non-conformances in accordance with the requirements for the control of non-conforming items including the submittal of a non-conformance notice to the purchaser by the supplier.				
L	Does the applicant intend to utilize unqualified source material? If yes, the following shall be addressed:				
M	Utilization of Unqualified Source Material (NCA-3855.5) a. As an alternative to NCA-3855.2(b), when included in its scope of activities as permitted by the provisions of this Subarticle, a Material Organization may accept certification of the requirements of the material specification which must be performed during the melting, heat analysis, and heat treatment of the material, and may use or furnish unqualified source material, provided the requirements of (i) through (iv) below are met: i) no welding <u>with filler metal</u> has been performed on the unqualified source material by the producing mill;				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
	<p>ii) the Material Organization performs or subcontracts a product analysis on each piece of unqualified source material to verify the chemical composition of each piece of unqualified source material;</p> <p>iii) the Material Organization performs or subcontracts all other requirements of the material specification on each piece of unqualified source material. Where C of C (NCA-3862.1(g)) are acceptable, testing of each piece is not required. Alternatively, the Material Organization may perform or subcontract all other requirements of the material specification on each heat and lot of unqualified source material provided:</p> <p>a) a CMTR is provided with the unqualified source material;</p> <p>b) the unqualified source material is traceable to the CMTR;</p> <p>c) procurement documents require that suppliers of unqualified source material establish written procedures for identifying source materials in a manner that provides traceability to the Certified Material Test Report;</p> <p>d) the Material Organization reviews and accepts the supplier's identification and traceability procedures and verifies compliance with the procedures at a frequency commensurate with the schedule of production or procurement, but at least once triennially.</p> <p>iv) the provisions of (i) through (iii) above are performed in accordance with the Material Organization's Quality System Program.</p> <p>b. The provisions of (a (i) through (a (iii)) above may be performed by the Certificate Holder in accordance with his Quality Assurance Program.</p>				
8	<p>Identification and Control of Items (NCA-4134.8)</p> <p>The program includes measures established to:</p> <p>A Identify and control items to ensure that only correct and accepted items are used and installed.</p> <p>B Maintain identification through the use of markings on the item or in documents traceable to the item.</p> <p>C Maintain identification of items throughout construction.</p> <p>D Ensure that identification methods are not detrimental to item function or quality.</p> <p>E Control welding and brazing materials for all classes of construction.</p> <p>F Ensure that all characteristics required to be reported by the material specifications and the Code section appear on checklists, are examined in accordance with accepted procedures, and the results recorded.</p> <p>Note: Characteristics included on CMTR's or C of C's need not be duplicated in the checklists provided the checklist user records that the CMTR or C of C has been received, reviewed and accepted.</p>				
9	<p>Control of Processes (NCA-4134.9)</p> <p>The program includes measures established to:</p>				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
A	Ensure that processes, which affect control or verify quality, are performed under a controlled system.				
B	Provide for the use of process control documents such as process sheets, travellers, etc.				
C	Provide measures to ensure that processes are performed by qualified personnel using qualified procedures.				
D	Ensure that process control documents include: (1) Document numbers and revisions to which the process conforms (2) Space for reporting results of completion of specific operations at checkpoints of fabrication, manufacture or installation (3) Space for a signature, initials or stamp and date of the Certificate Holders representative (4) Space for signature, initials or stamp and date of the Authorized Inspector for activities witnessed.				
E	Ensure that process control documents for special processes include or reference: (1) Procedures, personnel and equipment qualification requirements (2) Conditions necessary for accomplishing the process (3) Acceptance criteria				
F	Ensure that appropriate records are maintained.				
10	Inspection (NCA-4134.10) The program includes measures established to:				
A	Provide a copy of the certified Design Specification to the Authorized Inspector before fabrication begins.				
B	Ensure that process sheets, travellers or checklists are prepared and include: (1) Document numbers and revision to which the examination or test is to be performed (2) Space for recording results of examinations and tests (3) Space for a signature, initials or stamp and date of the Certificate Holder's representative (4) Space for signature, initials or stamp and date of the Authorized Inspector				
C	Ensure the examination checklist is filled in and completed by the Certificate Holder representative.				
D	Ensure that mandatory hold points are indicated in the controlling documents and that work does not proceed beyond them without appropriate approval.				
E	Provide for in-process and final examination and test procedures which include or reference acceptance criteria.				
F	Ensure inspections are performed by qualified persons other than those who performed or directly supervised the work being inspected.				
G	Provide for in-process inspection or monitoring, or both, as appropriate for activities affecting quality. This includes material verification and				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
	dimensional inspection.				
H	Provide for final inspections which include: (1) Verification of compliance with specified requirements (2) A records review of results and resolution of non- conformances identified by prior inspections (3) An examination of quality records (4) A documented acceptance of the item by authorized personnel				
I	Ensure that required documents are specified, documented and maintained.				
J	Define who is responsible for the preparation, review for correctness and certification of the Manufacturer's Data Report before it is submitted to the Authorized inspector.				
K	Define who is responsible for checking the nameplate stamping with the Manufacturer's Data Report and CSA N285.0, before presenting the nameplate to the Authorized Inspector.				
L	Permit the Authorized Inspector to verify the attachment of the nameplate to the correct item.				
M	Ensure that for safety/relief valves, the Capacity Certification Report is available for the Authorized Inspector to verify, prior to signing off the Manufacturer's Data Report.				
11	Test Control (NCA-4134.11) The program includes measures established to ensure:				
A	Tests are performed in accordance with specified written test procedures or other appropriate documents approved by the designated organization.				
B	Test procedures include or reference test requirements and acceptance criteria contained in the ASME Code or applicable design documents.				
C	Test procedures include or reference test objectives and provision for applicable prerequisites for the test have been met and maintained.				
D	Test results are documented and evaluated.				
E	Minimum required test records are specified and documented.				
12	Control of Measuring and Test Equipment (NCA-4134.12) The program includes measures established to ensure that:				
A	Tools, gauges, instruments and other measuring and testing equipment used for activities affecting quality are controlled, calibrated and adjusted prior to use or at specified periods.				
B	The selection of measuring and test equipment is controlled.				
C	Measuring and test equipment is properly handled and stored.				
D	Records are maintained and equipment is marked to indicate				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
	calibration status.				
E	Calibration is: (1) Traceable to certified equipment having known valid relationships to nationally recognised standards. (If no nationally recognised standards exist, the basis for calibration is to be documented) (2) Performed when the accuracy of a device is suspect				
F	The method of calibration for each device is defined.				
G	Methods and frequency of periodic checking, if used, are included in the QA program description.				
H	When measuring and test equipment is found to be out of calibration: (1) An evaluation is made and documented of the validity of previous inspection results and acceptability of items previously inspected or tested (2) Out of calibration devices are tagged and/or segregated (3) Devices consistently found out of calibration are repaired or replaced				
13	Handling, Storage and Shipping (NCA-4134.13) The program includes measures established to:				
A	Ensure that handling, storage, shipping, cleaning, packaging and preservation are performed in accordance with established work and inspection instructions or other documents specified for use.				
B	Ensure that special equipment and protective environments are specified, provided and verified when required.				
C	Ensure that special tools and equipment: (1) Are inspected and tested in accordance with specified procedures at specified intervals (2) Are utilized and controlled (3) Operators are experienced and trained				
D	Specify marking and labelling instructions.				
14	Inspection and Test Status (NCA-4134.14) The program includes measures established to:				
A	Indicate the status of examinations and tests performed either on the item or on documentation traceable to the item.				
B	Ensure that required inspections and tests are performed.				
C	Identify those items that conform to examination and test requirements and those that do not conform.				
D	Specify the authority for application and removal of status indicators.				
15	Control of Non-conforming Items (NCA-4134.15) The program includes measures established to:				
A	Ensure that items that do not conform to specified requirements are				

NUCLEAR QUALITY PROGRAM SURVEY CHECKLIST

No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
	controlled.				
B	Ensure that the written procedure for the control of non- conforming items includes: (1) Identification; (2) Documentation; (3) Evaluation; (4) Segregation when practical; (5) Disposition; (6) Notification to affected organizations.				
C	Ensure that non-conforming characteristics are reviewed and evaluated.				
D	Provide for the approval of proposed dispositions.				
E	Control further processing, delivery, installation or use prior to disposition.				
F	Define the responsibility and authority for evaluation and disposition.				
G	Ensure personnel performing evaluations have: (1) Demonstrated competence in the area under evaluation; (2) Adequate understanding of requirements; (3) Access to background information.				
H	Ensure repaired items are examined in accordance with procedures and acceptance criteria resulting in Code compliance.				
I	Document final disposition.				
16	Corrective Action (NCA-4134.16) The program includes measures established to:				
A	Identify and correct conditions adverse to quality.				
B	Ensure that in the case of a significant condition adverse to quality: (1) The cause of the condition is identified, (2) Corrective action is taken to preclude recurrence, (3) The identification, cause and corrective action taken are documented and reported to appropriate levels of management, (4) Follow-up action is taken to verify implementation of corrective action.				
C	Ensure that corrective action requirements extend to the performance of subcontractor's corrective action measures.				
17	Quality Assurance Records (N285.0, Clause 12) The program includes measures established to:				
A	Specify and maintain records required for quality assurance, construction, fabrication, manufacture or installation, and traceability until those permanent records are turned over to the Owner or his designee.				
B	Ensure that records are indexed and both the records and the indices are available to the Owner or his designee and the AI.				

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No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
C	Classify and maintain records as required by N285.0, Clause 12.1.3 and 12.1.8.				
D	Provide for a record system in accordance with written procedures, instructions or other documentation which includes: (1) Requirements for radiographic reproduction, (2) Identification of records to be maintained, (3) Validation of records, (4) Indexing of records which includes retention times and location within the record system, (5) Control of distribution and handling, (6) Maintaining traceability between the record and the item or activity to which it applies, (7) Correction by authorized persons of records with the approval of the originating organization.				
E	Provide a receipt control system for records to be used by responsible individuals and organizations receiving records including: (1) Protection from damage or loss during the time the receiving organization has possession of the records, (2) Identification of the designated person or organization responsible for the receipt of records (3) Designation of required records, (4) Identification of records received, (5) Inspection of incoming records in accordance with written procedures, (6) Inclusion of a structure which permits a current and accurate assessment of the status of records during the receiving process.				
F	Assign responsibility for the storage, preservation and safe-keeping of records in accordance with a written procedure.				
G	Ensure that the storage system provides for the retrieval of information.				
H	Ensure that a list is maintained of designated persons who have access to stored records.				
I	Provide for a record custodian, who inventories record submittals, acknowledges receipt and processes records.				
J	Ensure that the supplier records are accessible to the purchaser or his designated alternate and are not disposed of until the applicable requirement, of the Code and the procurement documents are met.				
18	Audits (NCA-4134.18) The program includes measures established to:				
A	Ensure that internal and external audits are performed at the minimum frequency specified in the QA Manual at all suppliers and certificate holder shop and field locations.				
B	Ensure that regularly scheduled audits are supplemented by additional audits of specific subjects when necessary to provide adequate coverage.				
C	Provide for periodic review of the audit schedule and revise as necessary to assure coverage is maintained.				

NUCLEAR QUALITY PROGRAM SURVEY CHECKLIST

No.	SECTION	MANUAL REFERENCE	YES	NO	N/A
D	Provide written procedures or checklists for the performance of audits.				
E	Provide a documented audit plan for each audit.				
F	Ensure that elements selected for audit are evaluated against specific requirements based on objective evidence to determine effective implementation.				
G	Ensure that audit teams are selected and audits are performed by personnel who do not have responsibility for performing the activities being audited.				
H	Ensure that an audit team is identified prior to the beginning of each audit and that an audit team leader is appointed when the team contains more than one member.				
I	Ensure that audit results are documented, that an audit report is signed by the audit team leader and is issued for each audit.				
J	Provide for audit results to be reported to and reviewed by responsible management.				
K	Ensure that audit follow-up action is taken and documented where indicated.				
L	Ensure evaluation of the adequacy of the audit responses.				
M	Ensure that the audit records include the audit plan, audit report, written replies and record of completion of corrective action.				
N	Ensure that audit results are available to the ANI.				
19	Authorized Inspection Agency The program includes measures established to:				
A	Ensure that the ANI has free access to areas and documents, as necessary, to carry out his duties as specified in the Code.				
B	Provide an opportunity for the ANI to designate "hold points" prior to issuance of process sheets or controls, and for sign off at each hold point.				
C	Ensure that certified reports of the results of all examinations and tests performed in accordance with the material specifications and the applicable requirements of Section III, are available to the ANI.				
D	Ensure evidence that welding procedures employed have been qualified under provisions of Section IX and Section III are submitted to the ANI.				
E	Provide for personnel having responsibilities for Code compliance and quality assurance to accompany the Authorized Nuclear Inspector Supervisor during required audits in accordance with ASME N626.				
F	Provide for requalification of NDE and welding procedures and personnel when requested by the ANI.				