

THE AMERICAN SOCIETY OF MECHANICAL ENGINEERS

GUIDE FOR ASME NUCLEAR INTERVIEW FOR ASME OWNER'S CERTIFICATE

INTRODUCTION

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

In addition, to assist the ASME Nuclear Interview Team, this Guide is provided to Owners for their use in verifying and identifying the paragraph(s) where their Quality Assurance Manual addresses all applicable control requirements of the Code. The Quality Assurance Manual must contain the controls for implementing the Quality Assurance Program, but it is not required to contain all the detailed programmatic requirements which will be found in the Quality Assurance Program.

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

It is recognized that an Owner may be required by the Regulatory Authority/Enforcement Authority to maintain and implement a Quality Assurance Program which does not address all requirements of ASME Section III for the Owner's QA Program. In this case it is the responsibility of the Owner to maintain either a Quality Manual or procedure accepted by the AIA which describes how the Owner will meet its Code responsibilities including control of their designee. However, if the Owner intends to perform any activities that would require a N-Type Certificate or Quality System Certificate (QSC), the Owner is required to develop a program that addresses the applicable Code requirements and obtain the appropriate ASME Certificate(s).

If the Owner uses a designee to perform Code related activities assigned to the Owner, those activities must be performed in accordance with a Quality Assurance Program that meets the requirements of the ASME Section III Code.

Questions of possible need for Code interpretation raised by the ASME Nuclear Interview Team or the Applicant shall be submitted to the Secretary, BPV Committee on Construction of Nuclear Facility Components (Section III). When submitted by the Owner, a copy of the inquiry and reply should be provided by the inquirer to the Owner's Authorized Inspection Agency and any known involved enforcement authority.

Suggestions for revisions or clarification to this Guide should be directed to the Secretary, Committee on Nuclear Certification.

HOW TO USE THIS GUIDE

This Guide is divided into three Parts:

Part A relates to the prerequisite requirements to be met during the application process.

Part B details the Code requirements to be addressed, including controls, in the Quality Assurance Manual. Note the paragraph number in the QA Program which covers the subject addressed in the last column. In the case where a Requirement gives more than one alternative for fulfilling the applicable Code requirement or is not applicable to the Program Scope, mark "N/A" in the column adjacent to those requirements that do not apply.

Part C concerns additional information that will be helpful to the Interview Team, particularly identification of known Designees the Owner intends to assign duties.

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

Referenced Requirement

- 1) ASME Boiler and Pressure Vessel Code, Section III, 2023 Edition
- 2) ASME Procedures, Conduct of Conformity Assessment Activities, Issue 2, Revision 0 (PCCAA)



Quality Program Interview Checklist

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Owner: _____

QA Manual Edition: _____ Rev. #: _____ Dated: _____

Requirement	Quality Elements and Sub-Elements	Reference below and attach copies of supporting documentation
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PART A - OWNER'S PREREQUISITE REQUIREMENTS

NCA/HAB-8130	Owner possesses a written agreement with an Authorized Inspection Agency to provide inspection and audit services (NCA-3211.5(a) & HAB-3220 (c))	
NCA/HAB-8140, NCA/HAB-4133	Owner has a documented Quality Assurance Manual or Procedure which describes how the Owner plans to fulfill Code responsibilities (NCA-3211.1(a), HAB-3220(b))	
NCA/HAB-8162	Receipt of notification from the Regulatory Authority that an application for a construction permit or combined license for a specific nuclear power unit or nuclear facility is docketed (NCA-3211.5 (b), HAB-3230)	

List below the Specific Nuclear Power Plant Unit or Nuclear Facility to be included in the Owner Certificate Scope

Name	Location <small>(Include geographical location such as Latitude/Longitude when assigned mailing address is insufficient for location)</small>	Code of Construction <small>(See definition below)</small>

The Owner may not delegate performance of the activities identified in Part A above. The activities identified in Part B of this checklist (OWNERS' RESPONSIBILITIES) may be performed on the Owner's behalf by a designee (unless otherwise noted); however, the responsibility for compliance remains with the Owner.
 Code of Construction: Section III Divisions, Code Edition, Addenda and Case Cases, as applicable, to be included in the Design Specification.

Owner: _____

QA Manual Edition: _____ Rev. #: _____ Dated: _____

PART B -OWNER'S RESPONSIBILITIES (Controls described in the Quality Assurance (QA) Program Description)		
Requirement	Quality Elements and Sub-elements (paraphrased from full Code text)	Quality Assurance Program References
PCCAA 5.4.2	Documented policy statement, agreement, or letter from Owner's management to abide by Code responsibilities and duties (Activity not assignable to a designee)	
NCA/HAB-8162	Identify each nuclear facility or nuclear power plant unit to be listed on the ASME Owner Certificate for which an application for a construction permit or combined license docketed with the regulatory authority	
NCA-3211.5(a) HAB-3220(c)	Establish and maintain a written agreement with an Authorized Inspection Agency (AIA) to provide inspection and audit services (Activity not assignable to a designee)	
NCA/HAB-8130	In addition to establishing a written agreement with an AIA, Owners shall notify the Society whenever their agreements with an AIA are canceled or changed to another AIA (Activity not assignable to a designee)	
NCA/HAB-4133.2	Provisions to gain AIA (Inspector for Division 5) acceptance of the Owner's Quality Manual or procedure and any revision thereto and to include control of their designee(s). (Activity not assignable to a designee)	
NCA-3211.2 HAB-3220(n)	Making available to the Inspector the documents specified by Section III and those requested by the Inspector to ensure compliance with Code requirements	
NCA/HAB-5132	Arrange for the Authorized Inspection Agency Personnel to have free access to the Owner's facilities as required to perform duties under the Owner's Agreement with the Authorized Inspection Agency (see NCA/HAB-5121)	
NCA-3211.13 HAB-3220 (d)	Provisions for the Owner to certify the N-3 Data Report (NCA-8420, HAA-8410 HAB-8420 & Section III Appendices, Mandatory Appendix V) (activity not assignable to a designee)	
NCA-3211.14 NCA-3220 (e)	Establish Code Editions, Addenda and Code Cases to be used in Design Specifications and determine they are acceptable to the Regulatory and enforcement authorities having jurisdiction at the Nuclear Facility (NCA/HAB-1140 (a)(1) & HAB-1140 (f))	
NCA-3211.15 HAB-3220(f)	Verify through a review of the required documentation that the Code Editions, Addenda, and Code Cases used for completed components, Core Components and supports, and materials satisfy (NCA/HAB-1140) and are acceptable to the regulatory and enforcement authorities having jurisdiction	
NCA-3211.16 HAB-3220(g)	Either directly or through their designee, establish the Code classification of the items that comprise the nuclear facility	
NCA-3211.17	Designating the Designer, Constructor, and Fabricators for Division 2 construction and verifying through a review of the required documentation that the Designer's responsibilities have been fulfilled for Division 2 construction	

Quality Program Interview Checklist

Requirement	Quality Elements and Sub-elements (paraphrased from full Code text)	Quality Assurance Program References
HAB-3220(h)	Designating the Designer, Material Manufacturer, Core Component manufacturer, and Installer for design and construction and verifying through a review of the required documentation that the Designer has fulfilled its responsibilities for design and construction	
NCA-3211.18 HAB-3220(i)	Provide adequate structures, foundations, and auxiliary systems for the items covered by Section III, Divisions 1 and 2 and Section III Division 5 (HAB-3240)	
NCA-3211.19 HAB-3220(j) HAB-3220(p)	Providing and correlating Design Specifications, including establishment of component, Core Component and Core Assembly and system boundaries and designating the preservice examination requirements	
NCA-3211.19 (d) HAB-3220(k)	Certifying Design Specifications to be correct and complete and to be in compliance with the requirements by Certifying Engineers qualified by the Owner or their Designee	
NCA-3211.20 (a) HAB-3220(l) HAB-3260(a)	Reviewing Design Reports to determine that all the Design and Service Loadings as stated in the Design Specification have been evaluated, and that the acceptance criteria have been considered	
HAB-3220(m)	For Division 5, Graphite and Composite Materials only, reviewing and approving the Construction Specification, Design Drawings, and Construction Report	
NCA-3211.20 (b)&(c) HAB-3260 (b)	Provide documentation to indicate that the review required by NCA-3211.20 (a) & HAB-3260 (a) above has been conducted	
NCA-3211.21	Designating the overpressure protection requirements for each component or system, including the Class of overpressure protection rules assigned to each component or system and the location of the overpressure protection devices	
NCA-3211.22	Providing and filing the Overpressure Protection Report (NCA-3270) required for the nuclear power system	
NCA-3211.23	For Division 2 construction, reviewing and approving the Construction Specification, Design Drawings, and Construction Report (Table NCA-3200-2)	
NCA-3211.24 HAB-3220 (o)	Providing for the design and arrangement of components (or Division 5 Core Components) to permit accessibility in accordance with Section XI	
NCA-3211.25 HAB-3220 (q) HAB-3290	Designating records to be maintained and providing for their maintenance including continued maintenance of the records required by Section III and Section XI at the nuclear facility, the Certificate Holder's shop or field facility, or other locations determined by the Owner. The Owner shall advise the regulatory and enforcement authority having jurisdiction over the nuclear facility in writing regarding the location of the records	
NCA-3211.26 HAB-3220 (Last paragraph)	Controls for assigning duties (except for those describe in Part A and restricted in this Checklist) to Designee(s) including, as a minimum, the name and address of the designee, the responsibilities being assigned, and the applicable nuclear facility or facilities	
NCA-3211.34 HAB-3255	Establish controls for document distribution as shown in Table NCA-3200-2 (for Division 5, Table HAB-3255-1)	



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PART C - ADDITION INFORMATION PROVIDED BY THE OWNER TO THE INTERVIEW TEAM		
List of known Designees to be assigned major Responsibilities		
List Attached Documents		
Other Information		

Prepared by: _____ Dated: _____