ASME NQA-1–2000 Interpretations

Replies to Technical Inquiries
November 1991 through November 2001

FOREWORD

General Information

This publication includes all of the written replies issued between the indicated dates by the Secretarial Staff, speaking for the ASME Committee on Nuclear Quality Assurance, to inquiries concerning interpretations of technical aspects of ASME NQA-1, Quality Assurance Requirements for Nuclear Facility Applications.

These replies are taken verbatim from the original letters except for a few typographical corrections and some minor editorial corrections made for the purpose of improved clarity. In some instances, a review of the interpretation revealed a need for corrections of a technical nature; in these cases a corrected interpretation follows immediately after the original reply.

These interpretations were prepared in accordance with the accredited ASME procedures. ASME procedures provide for reconsideration of these interpretations when or if additional information is available which the inquirer believes might affect the interpretation. Further, persons aggrieved by this interpretation may appeal to the cognizant ASME committee or subcommittee. ASME does not "approve," "certify," "rate," or "endorse" any item, construction, proprietary device, or activity.

An interpretation applies to the Edition and Addenda stated in the interpretation itself or, if none is stated, to the latest published Edition and Addenda at the time it is issued. Subsequent revisions to the rules may have superseded the reply.

For detailed instructions on the preparation of technical inquiries, refer to the Preparation of Technical Inquiries to the Nuclear Quality Assurance Committee (p. vii of ASME NQA-1).

Subject and Numerical Indexes

Subject and numerical indexes have been prepared to assist the user in locating interpretations by subject matter or location in this Standard. These indexes, which are the compilation of former NQA-1 and NQA-2 interpretations indexes, will be updated with each Edition and Addenda.

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File: QA99-03

Subject: ASME NQA-1-1997, Subpart 2.15, Para. 403.1

Date Issued: July 5, 2001

Question (1): Does the vertical impact requirement of para. 403.1(a)(5), apply to the scenario of the cable breaking and the load falling and hitting a stop?

Reply (1): No. The impact load requirement of this section applies to the structural design for normal operation, and not for an accident condition as caused by a cable breaking.

Question (2): Does the minimum 10% vertical impact load requirement of para. 403.1(a)(5), if applied to a test load of 100 lb, require the impact load to be 110 lb, or 10 lb?

Reply (2): Neither. As stated in this section, the minimum vertical impact load is applied only to the maximum load to be handled, excluding test loads. If the maximum load handled, excluding test load, was 100 lb, then the minimum vertical impact load to be considered would be 10% of the 100 lb, which is 10 lb.

File: QA00-001

Subject: N45.2.11-1974, Para. 5.2.4 — Transmitting Design Information

Date Issued: April 6, 2001

Question (1): Does para. 5.2 of ANSI N45.2.11-1974 apply to information exchanged within the subdivisions or disciplines of a design organization?

Reply (1): Yes. Organization units that report to different supervisors or managers should have interfaces identified as prescribed by para. 5.2.1 to control the flow of design information.

Question (2): Do the documentation requirements of ANSI N45.2.11-1974 include:
(a) identification by name of those who provide design inputs to a design analysis?
(b) if so, is a signature of the provider required?

Reply (2): (a) Yes. Paragraph 4.2 requires that procedures include requirements for the identification of the source inputs. In addition, para. 6.3.1 requires independent verification that design inputs were correctly selected and incorporated into the design.

(b) No. The method of identifying individuals that provide, verify, or approve design inputs shall be documented in the design organization's procedures. A signature or initial, however, is an acceptable method of authentication.

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File: QA01-003

Subject: ASME NQA-1–1989 Edition; 1S-1, Para. 2.1; and 10S-1, Para. 2.1; Inspection Personnel — Reporting Independence

Date Issued: June 18, 2001

Question (1): How is production defined?

Reply (1): Production is not defined, but means the activity the supervisor is responsible for achieving.

Question (2): Does production apply to the first line supervisor in the store's warehouse?

Reply (2): Yes.

Question (3): What are the limits of production "influence boundaries" so the "reporting independence" is clear?

Reply (3): The reporting levels of inspectors should be at a sufficient level to ensure that any influence from "production" will have no undue effect on the inspectors' decisions related to quality or acceptability. The reporting levels should be established by management who have overall responsibility for the effectiveness of the QA program.

Question (4): May a Quality Control Inspector report to a First Line Supervisor responsible for the "Stores Warehouse" who also supervises store personnel?

Reply (4): No, not if the Quality Control Inspector is inspecting production work of their first line supervisor.

File: QA01-005

Subject: ASME NQA-1–1997, Programmable Logic Control Systems

Date Issued: November 2, 2001

Question (1): Is ASME NQA-1–1997, Subpart 2.7 applicable to the computer-programmed portion of a programmable logic control system?

Reply (1): Yes. See Subpart 2.7, para. 100, General, for applicability.

Question (2): Is ASME NQA-1–1997, Part I, Requirement 3, Design Control, applicable to the computer-programmed portion of a programmable logic control system?

Reply (2): Yes. See Requirement 3, para. 800, Software Design Contorl.

Question (3): Is ASME NQA-1–1997, Part I, Requirement 11, Test Control, applicable to the computer-programmed portion of a programmable logic control system?

Reply (3): Yes.

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ASME NQA-1–2000 Interpretations

Replies to Technical Inquiries
November 1991 through July 1999

FOREWORD

General Information

This publication includes all of the written replies issued between the indicated dates by the Secretarial Staff, speaking for the ASME Committee on Nuclear Quality Assurance, to inquiries concerning interpretations of technical aspects of ASME NQA-1, Quality Assurance Requirements for Nuclear Facility Applications.

These replies are taken verbatim from the original letters except for a few typographical corrections and some minor editorial corrections made for the purpose of improved clarity. In some instances, a review of the interpretation revealed a need for corrections of a technical nature; in these cases a corrected interpretation follows immediately after the original reply.

These interpretations were prepared in accordance with the accredited ASME procedures. ASME procedures provide for reconsideration of these interpretations when or if additional information is available which the inquirer believes might affect the interpretation. Further, persons aggrieved by this interpretation may appeal to the cognizant ASME committee or subcommittee. ASME does not "approve," "certify," "rate," or "endorse" any item, construction, proprietary device, or activity.

An interpretation applies to the Edition and Addenda stated in the interpretation itself or, if none is stated, to the latest published Edition and Addenda at the time it is issued. Subsequent revisions to the rules may have superseded the reply.

For detailed instructions on the preparation of technical inquiries, refer to the Preparation of Technical Inquiries to the Nuclear Quality Assurance Committee (p. vii of ASME NQA-1).

Subject and Numerical Indexes

Subject and numerical indexes have been prepared to assist the user in locating interpretations by subject matter or location in this Standard. These indexes, which are the compilation of former NQA-1 and NQA-2 interpretations indexes, will be updated with each Edition and Addenda.

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File: QA98-001

Subject: ASME NQA-1-1989, Supplement 2S-1, Para. 2.6, Evaluation of Performance

Date Issued: April 22, 1999

Question (1): Does the phrase "performing inspection and testing activities" in NQA-1, Supplement 2S-1, para. 2.6 limit activities to field-performed inspection or testing functions?

Reply (1): No. See Appendix 2A-1, Sections 2.1, 2.2, and 2.3.

Question (2): Can inspection and testing activities include planning inspections and tests, setting up tests including preparation and set-up of related equipment, supervising or maintaining surveillance over the inspections or tests, supervising and evaluating the validity and acceptability of inspection and test of same and lower level personnel?

Reply (2): Yes. Inspection and testing activities is to be defined in the user's implementing procedures. See Appendix 2A-1, Sections 2.1, 2.2, and 2.3.

Question (3): Does an annual review of an individual's inspection and testing activities in his qualified areas performed by a designated certifying authority on or before the anniversary date of the original certification date satisfy the requirements of NQA-1, Supplement 2S-1, para. 2.6 in assuring the individual is performing in his qualified areas for a period of 1 year?

Reply (3): The annual evaluation is only to determine if the certified inspection or test personnel have performed inspection or test activities in those areas for which they are qualified. This evaluation should be documented and dated at 1-year intervals from the initial certification date.

File: QA99-01

Subject: ASME/ANSI N45.2.11-1974

Date Issued: June 22, 1999

Question (1): Are inputs to design analysis that are developed by one or more individuals required to be documented by ASME/ANSI N45.2.11-1974?

Reply (1): Yes.

Question (2): Are the originators of design inputs and design analysis required to be identified and documented in accordance with ASME/ANSI N45.2.11-1974?

Reply (2): Yes.

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File: QA99-02

Subject: ASME NQA-1-1994, Supplement 3S-1 and Supplement 15S-1

Date Issued: July 6, 1999

Question: In accordance with NQA-1-1994, do nonconformances to design requirements dispositioned as "Use-As-Is" or "Repair" require the application of design control measures commensurate with the original design?

Reply: Yes. Refer to NQA-1-1994, Supplement 3S-1, para. 5, and Supplement 15S-1, para. 4.4. In addition, refer to NQA-1-1997, Requirement 15, para. 404.

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