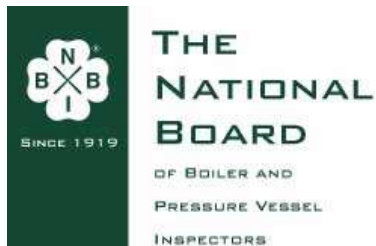

State of California Inspectors' Meeting

Presented by:

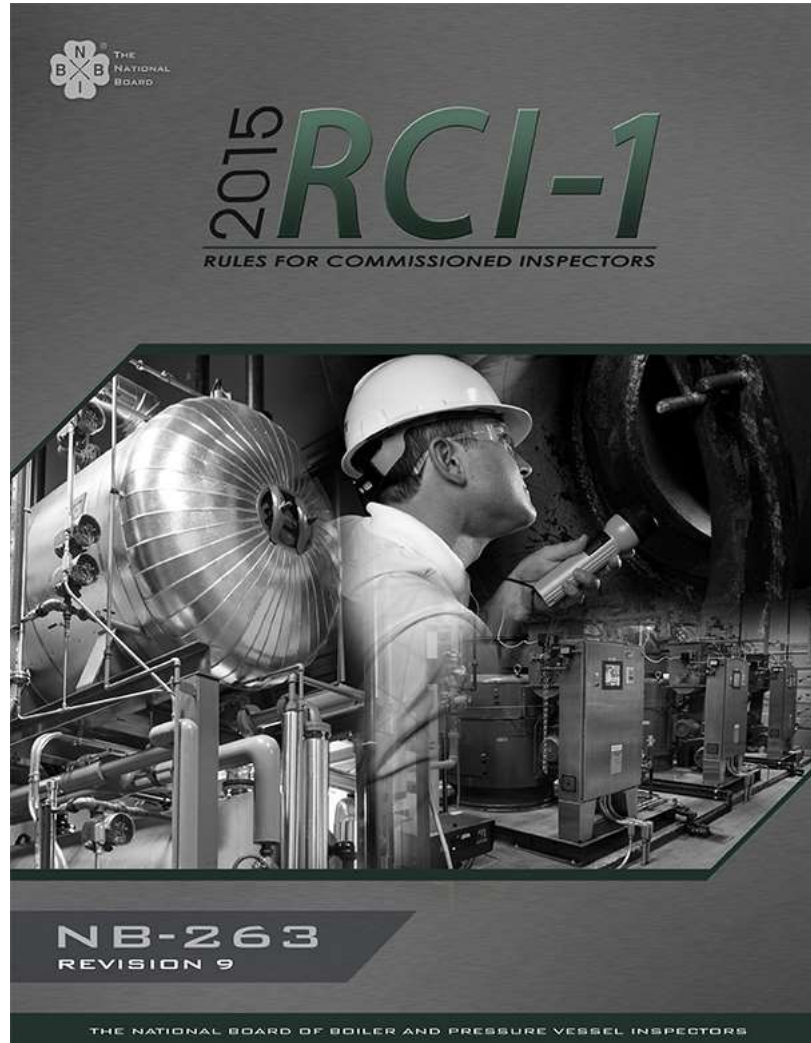
Chuck Withers – Assistant Executive Director – Technical

May 2015



RCI-1: Rules for Commissioned Inspectors (NB-263)

Date of
Issue:
October 6th,
2014



Effective
Date: July
1st, 2015



Objectives

- **Describe and discuss** the requirements for Rules for Commissioned Inspectors/Supervisors, RCI-1.

- **Qualifications and Duties**
 - Inservice
 - New Construction



RCI-1 Rules for Commissioned Inspectors

Restructured General Layout

- Sectioned into elements:
 - Foreword
 - Part 1 – National Board (NB) Commissions & Endorsements
 - Part 2 – Commission and Endorsement Examination
 - Part 3 – Commissioned Inspector and Inspector Supervisor/ Technical Manager Duties
 - Part 4 – Authorized Inspector Supervisor and Authorized Inspector Duties
 - Part 5 – Authorized Inspector/ Inspector Diary (Inspector Diary)
 - Part 6 – Code of Ethics
 - Part 7 – Complaints and Due Process
 - Glossary



RCI-1 Foreword

- **Scope:** provides a **general overview**, **purpose**, and **content** of the document, and requirements for inspection.

- **Highlights:**
 - Describes each endorsement
 - Progression
 - Inspectors/Supervisors
 - Relationships
 - Jurisdictions
 - Authorized Inspection Agencies (AIA)



Part 1 – National Board Commissions and Endorsements

Scope: Describes general topics for obtaining and maintaining Commissions and Endorsements such as:

- Qualification requirements – Inservice, New Construction
- Issuance and renewal
- Reinstatement and change of employment
- Continuing Education requirements

Changes:

- References to applications for Commissions and Endorsements and where to locate them
- Requires the applicant to submit **verifiable evidence** for qualifying work experience
- Qualification criteria
- Continuing Education



Continuing Education Courses - 2015

■ “IS” Inservice courses

- Pressure relief device installation
- Potable water heaters
- Combustion controls

■ “A” New Construction courses

- Calibration
- Determining joint efficiencies (2 parts)
- Inspection and testing requirements

■ Nuclear courses

- ASME Section III Div. 1 (“N” endorsement)
 - Material organizations/suppliers
 - Unqualified source material

■ More courses in development for ASME Section XI (“I” endorsement) and ASME Section III Div. 2 (“C” endorsement)



Part 2 – Commissions and Endorsement Examinations

- Scope:
 - Describes examination requirements for all commissions and endorsements. This includes re-examination activities.
- Locations
 - Classroom, On-Demand provider locations, National Board member jurisdictions, and other locations approved by the Executive Director
- Examinations time periods – 3 per year
 - Wait 12 months from date of 3rd exam attempt to retake
- Grade of 70% required to pass



Part 3 – Commissioned Inspector and the Inspector Supervisor/Technical Manager Duties

- **Scope:** Specifies required duties for:
 - Inservice Commissioned Inspectors, and
 - Inservice Supervisors and Technical Managers
- **Changes:**
 - For Supervisor/Technical Manager: Added oversight duties for Inspectors performing Repairs and Alterations
 - Inservice Inspector: Added duties for performing Repair and Alteration inspections
 - Example: 3-2.2.2 – “monitor the repair organization’s accepted quality program on a continual basis”

**Inquiry 2015-1*



RCI-1 Inquiries

Inquiry 2015-01

Question: In Paragraph 3-2.2.2(c), it is required that the Inservice Commissioned Inspector monitor the repair organization's accepted quality program on a continual basis. Is it also a requirement in Paragraph 5-4.2, that the Authorized Inspector (new construction) monitor the repair organization's accepted quality program on a continual basis, or at least every twelve months?

Reply: Paragraph 3-2.2.2(c) specifies that monitoring of the repair organization's quality program by an Inservice Commissioned Inspector shall be performed on a continual basis. Paragraph 5-4.2 specifies that each element should be monitored at least once every twelve months by either an appropriate Inspector (Inservice Commission) or an Authorized Inspector (New Construction) as appropriate.



Part 3 – Commissioned Inspector and the Inspector Supervisor/Technical Manager Duties

Inspector Supervisor/Technical Manager Duties

- Maintaining competency of the Inspector
- Maintaining a record of Inspector assigned
- Document nonconforming activities reported by the Inspector
- **For Repairs and Alterations:**
 - Auditing the performance of each Inspector New
 - Confirming corrective actions have been verified by the Inspector New
 - Ensuring each Inspector maintains an Inspector Diary New
 - Recording audits and supervisory activities in the Inspector Diary New

*Note: Only applicable to Repairs and Alterations – not inservice type inspections
Follow jurisdictional requirements*



Part 3 – Commissioned Inspector and the Inspector Supervisor/Technical Manager Duties

Inspector:

■ Inservice Inspections:

- No Changes. Still includes:
 - Performing external and internal inspections
 - Witnessing pressure tests
 - Verifying nameplate stamping is legible and represents the item
 - Reporting inspection results incl. nonconforming conditions

Note: Follow jurisdictional requirements

■ Repairs and Alterations:

- Detailed list of duties similar to shop inspection activity of “A” endorsed New Construction Inspector



Part 4 – Authorized Inspector (AI) Supervisor and AI Duties

- **Scope:** Required duties for Inspectors and Supervisors holding New Construction Commission (A) and associated endorsements (N, I, C, B, NS, NS_I, NS_C)
- **Changes:**
 - Added a detailed list of Inspector duties.
 - These duties complement those duties specified in the ASME Code, and
 - ASME QAI-1* (Qualifications for Authorized Inspection)

Note: Supervisors shall, as a minimum, hold the same endorsement as the Inspector being supervised.



Part 4 – QAI Duties (Some Examples)

- QAI 5-3.2 (Inspector) – Audit performed by Supervisor 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*
- QAI 5-2.2.5 (Supervisor) – Audit the performance of each Inspector
 - Performed at least once each year and additional times as requested by the Inspector
 - Audit at shop or field location
 - Accompanied by the Inspector during the audit
 - Not required if Inspector has not been engaged in code activity
- QAI 5-2.2.6 – Audit shall be recorded in writing, contain the status of each item audited, and a brief description of objective evidence



Part 4 - AI Supervisor and AI Duties

AI Supervisor Duties – New Construction

- No changes to existing duties:
 - Maintaining competency of the AI
 - Maintaining a record of AI assigned
 - Auditing the performance of each AI
 - Documenting nonconforming activities reported by the AI
 - Confirming corrective action have been verified by the AI
 - Ensuring AI maintains an Inspector Diary
 - Recording audits and supervisory activities in the Inspector Diary



Part 4 - AI Supervisor and AI Duties

Authorized Inspector Duties – New Construction

- Verifying Certificates of Authorization and Code books
- Monitoring
- Notifying Supervisor of nonconforming conditions
- Drawings & Calculations
- Materials
- Examinations and Inspections
- Welding
- Heat Treatment
- Nondestructive Examination
- Calibration
- Nonconforming conditions are closed out
- **ASME Data Reports & Stamping***



Part 4 – Common Data Report Deficiencies

- National Board authorization to register – new process
- Drawing numbers including revision levels incorrect
- Nozzles missing/incorrect
- Joint efficiencies incorrect
- *Certificate of Authorization* number and/or expiration date incorrect
- Materials incorrect
- Manufacturer's name and/or postal code not meeting *Certificate of Authorization*
- Certification signatures missing



Part 5 - Authorized Inspector/Inspector Diary

- **Scope:** Specifies requirements for Inspectors to record inspections and related activities for:
 - Repairs and alterations inspections
 - ASME Code inspections on newly constructed items
- **Changes:**
 - Includes detail to record activities
 - Bound – not loose leaf
 - Controls for electronic diaries
 - Instructions for performing and recording monitoring activities for both new construction and repairs/alterations
 - Availability – reviews, investigations
 - Meet employer's requirements



Part 5 - Authorized Inspector/Inspector Diary

Example: 5-4.2 – Methods

1. Accomplished while performing in-process inspection, or through an established, predetermined schedule
2. Each element monitored at least once every twelve months
3. Based on amount of work

*Inquiry 2015-2



RCI-1 Inquiries

Inquiry 2015-02

Question: If a Certificate Holder's scope and/or quality program is "Repairs and Alterations" only (no inservice), then would the requirements of Part 3 and Part 5, with respect to monitoring, still apply?

Reply: Yes, both Part 3 and Part 5 apply



Part 6 – Code of Ethics

- **Scope:** Establishes criteria for all National Board Inspectors to act in an ethical manner with **integrity**.
 - Integrity - quality of being honest, having strong moral principles.
- **Ethics:** involves concept of right and wrong conduct (individual values and morals)
- **Changes:**
 - Assist in understanding and applying
 - This is a new section that includes the following areas of interest:
 - *Conflicts of Interest*
 - *Good Faith Actions*
 - *Public Perception*
 - *Independence, Impartiality, and Integrity*



Part 6 – Code of Ethics

6-1 – Conflict of Interest

- Activities that compromise or appear to compromise independence, objectivity, or integrity
 - Financial interest, compensation, gifts, or other acceptances that would improperly influence impartiality

6-2 – Good Faith Actions (Professional Expert)

- Perform or express opinions within areas of education, training, and experience
- Should be objective and maintain confidentiality
- All safety hazards identified should be immediately disclosed



Part 6 – Code of Ethics

6-3 – Public Perception

- Avoid activities that may harm public, discredit the inspector, or reduce public confidence in the professionalism of the inspector
- Respect individuals and property

6-4 – Independence, Impartiality, and Integrity

- Free from commercial, financial, and other pressures that can potentially affect judgment
- Independent from functions such as designing, manufacturing, supplying, installing, purchasing, owning, or maintaining items which are inspected by the inspector



Part 7 – Complaints and Due Process

- **Scope:** Requirements covering complaints against National Board Commissioned inspection personnel and provisions for due process.
- **Changes:**
 - Falsification of an application
 - Neglect of duties or falsification of a report
- **Appeal:**
 - Within 30 days to the Executive Director



RCI-1 Inquiries

Inquiry 2015-03

Question: Would the mandated audit(s) of the “Authorized Inspector specified in Part 4, 4-1.1.3 fulfill the mandated audit for the “Commissioned Inspector” specified in Part 3, 3-1.2.1.1, if the individual is qualified as both an Authorized Inspector and Commissioned Inspector, and is performing new construction and some level or repair and alteration inspection activities?

Reply: Yes.

Inquiry 2015-04

Question: To meet the mandate specified in Part 5 (5-3.1) to include “the requirement that prompted the activity” in the Inspector’s diary, is it permissible to specify either the applicable paragraph number from RCI-1 Part 3, Part 4, or ASME QAI-1 that is specifically related the inspection activities being performed?

Reply: Yes.



RCI-1 Glossary

- **Scope:** Includes definitions of terms used throughout this document.
- **Added definitions** for the following terms:
 - **Inspection Points** – Inspections stipulated by the Authorized Inspector/Inspector that the Authorized Inspector that the Authorized Inspector/Inspector intends to make in order to fulfill the requirements of the NBIC or the ASME BPV Code. These may also be known as witness points, hold points, or some other term that denotes a specific area or item to be inspected or document to be reviewed.
 - **Monitor** – To observe or verify an activity is systematically consistent over a period of time with the Certificate Holder's accepted quality program.
 - **Verify** – To determine the particular action has been performed in accordance with the requirements either by witnessing the action or reviewing records.
 - **Witness** – To be present at an event and have first-hand knowledge of the action and be able to attest that it occurred.



RCI-1



Questions ?

