

Accredited Test Facility

On-Site Audit Q. A. Manual and On-Site Audit Checklists

Q. A. MANUAL CHECKLIST QUESTIONS 1 TO 18

(Important Note: Be sure to read the requirements on the Checklist as they contain more detailed information on what is required for your QA Manual.)

Instructions: Please answer questions 1 through 18 and write your answer only in the Q. A. M. Index section with the corresponding page or section number of your Quality Assurance Manual.

Topic	Q.A.M. Index Section #	Auditor Review of the Manual: Sat. / Unsat.	Auditor Confirmation of Implementation: Sat. / Unsat.
1) Does the QA Manual contain a policy statement that clearly asserts that the Test Facility will meet all requirements of codes, specifications or contract documents that they use in their activities?			
2) Specifically, are QC7 and QC4 listed?			
3) Is there an Organizational Chart that includes names of the individuals involved?			
4) Are the Facility Representative and the Test Supervisor specifically designated on the Organization Chart?			
5) Is the Test Supervisor (s) a current CWI? Is the CWI number listed?			
6) Is a single person (QA Manager, supervisor or other designee) assigned the responsibility to verify the Company policy is being complied with?			
7) Does the QA Manager have direct access to Executive Management?			
8) Are the operational and functional duties of the Facility Representative, Test Supervisor, and QA Manager clearly defined?			
9) Are general Quality Control procedures spelled out or incorporated by reference?			
10) Are written procedures and/or checklists available for specific tests or inspections?			
11) Are the written procedures spelled out or incorporated by reference?			
12) Are all required reference documents listed?			
13) Are there formal procedures for handling non-conformances?			
14) Are there procedures for dealing with technical complaints, comments and suggestions?			
15) Are subcontracting procedures defined and controlled?			
16) Are there procedures and/or checklists for documenting and reviewing test results?			
17) What records are placed in the welder's file?			
18) What records are sent to the AWS Certification Business Unit?			

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On-Site Audit Checklist Questions Part I to XII

(Important Note: Be sure to read the requirements on the Checklist as they contain more detailed information on what is required for your QA Manual.)

Instructions: Please answer questions from Part 1 through Part 12 in the Q. A. M. Index section with the corresponding page or section number of your Quality Assurance Manual.

Part I – Procedures Questions 1 to 3	Q. A. M. Index Section #	Y/N
1) Procedure for procurement of materials including filler metals.		
a) Is there a written procedure?		
b) Does it include a sample purchase order?		
c) Does the P.O. require material test reports on base metal and certificates conformance on filler metals?		
d) Is the material and certifications checked on receipt?		
e) Are the mill test reports and certificates of conformance on file?		
2) Initial discussions with candidate for the certified welders Program.		
a) Is a sample application available?		
b) Is it filled out so that it may be used as a sample?		
c) Is the welder advised of the testing procedures including safety rules, fit up tolerances, and testing requirements?		
3) Please describe in a separate sheet of paper the procedure for traceability of materials. Begin with use of certified materials through welding of test coupons and visual examination, mechanical or radiographic testing, and recording of results.		
a) Is the candidate welder assigned an identification code?		
b) Is the identification code recorded on the coupon and the paper work?		
c) Does the Test Supervisor verify that certified materials are used?		
d) Is the test materials identification recorded on the test records?		
e) Is the welder identification code transferred to the bend specimens?		
f) Is the welder identification code shown on the x-ray film when radiography is used?		
Part II – Personnel Questions 1 to 10	Q. A. M. Index Section #	Y/N
1) Are the inspection and testing services of the Test Facility under the authority of a technical manager?		
2) Does the technical manager have at least 5 years technical experience in inspection and testing of metals or welding?		
3) Who is the Facility Representative?		
4) Are the Test Supervisors employees or contractors?		
5) Are they currently certified as CWIs under AWS QC 1?		
a) List the Test Supervisors and their Certificate numbers:		
6) If radiography is used, are the NDE personnel employees or contractors?		
7) Is ASNT Recommended Practice SNT-TC-1A followed in the qualification of NDE personnel?		
8) Are NDE results interpreted by a certified technician?		
9) Are job descriptions or job duties available for the positions described in QC4 and the organizational chart?		
10) Who performs function of "Quality Assurance Manager"?		

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Part III – Operations Questions 1 to10	Q. A. M. Index Section #	Y/N
1) Are written instructions and sketches available for the candidate to use in fitting the test assembly?		
2) Is the fit up inspected prior to welding? How is it documented?		
3) Are the Welding Procedures available for use by the candidate?		
4) Are written procedures or checklists available for preparation and inspection of bend specimens?		
5) Are written procedures or checklists available for testing and evaluation of bend specimens?		
6) Are radiographic acceptance criteria available to the radiographic interpreter?		
7) Are the results of the bend test or film interpretation recorded on the test records?		
8) Does the welders file consist of:		
a) The welders initial application?		
b) The welder test checklist?		
c) The bend test report or the radiographic and the radiographers report?		
d) The Performance Qualification Test Record?		
9) If welders are to be tested off site, is it covered in the QA manual?		
10) How are outside testing activities controlled?		
Part IV - Reference Documents Questions 1 to 3	Q. A. M. Index Section #	Y/N
1) Does the Test Facility maintain a library?		
2) Are there current copies of applicable Welder Qualification Codes and Standards?		
3) Does the library contain the following mandatory documents?		
a) Cert-CW-Certified Welder Application		
b) ATF WPQR Blank Form		
c) Cert-Maintenance of Welder Certification		
Qualification and Certification	Q. A. M. Index Section #	Y/N
AWS QC 1 Standard for Certification of Inspectors		
AWS QC 4 Standard for Accreditation of Test Facilities for AWS Certified Welder Program		
AWS QC 7 Standard for AWS Certified Welders (and applicable supplements)		
AWS Supplement G, AWS Performance Qualification Test		
AWS Supplement C, Welder Performance Qualification Sheet Metal Test Requirements		
Welding Procedure Specifications (WPS*)	Q. A. M. Index Section #	Y/N
1) Does the Test Facility maintain a list of WPSs/PQRs used for the testing of welders?		
2) Are there copies of the applicable WQTR or WPQR in the Welder's record?		
3) Are the WQTR or WPQR properly filled out?		
4) Does the library contain copies of all the WPSs/PQRs?		
5) Does the Welding Supervisor (CWI) understand these documents?		
Specification Key:		
WPS = Welding Procedure Specifications PQR = Procedure Qualification Record WQTR = Welding Qualification Test Record WPQR = Welding Performance Qualification Record		

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Safety and Health				Q. A. M. Index Section #	Y/N
ASC Z49 Safety in Welding and Cutting					
Other(s) (Specify):					
Part V- General Questions 1-2				Q. A. M. Index Section #	Y/N
Are there training programs to maintain and improve skills?					
Does management review QA Program on a routine basis?					
If yes, how often?					
Who is responsible for the review?		Title:			
Part VI - Welding Tests Questions 1-6				Q. A. M. Index Section #	Y/N
1) Does the Test Supervisor have a checklist for the set-up and administration of the welding test?					
2) How is the WPS available to the candidate in the test station?					
3) Is safety equipment verified?					
4) Is material checked?					
5) Is fit-up verified?					
6) How do you verify that the test plates are not repositioned without approval?					
Part VII - Welded Test Assembly Handling Questions 1-7				Q. A. M. Index Section #	Y/N
1) Are written procedures or other methods available to define the visual inspection criteria to be applied to test assemblies?					
2) Are written procedures or other methods available to define the steps and examinations to be performed to comply with the Supplements?					
3) Are nondestructive test methods controlled by written procedures?					
4) Are contracted nondestructive testing methods properly defined in purchase orders to assure accurate testing and the application of the proper acceptance standards?					
5) Are sketches, drawings, etc. used to define the steps in performing the cutting and preparation for destructive testing (bends, nick-breaks, etc.?)					
6) Is there proper documentation as to the disposal of test specimens?					
7) Are internal nondestructive technicians trained, tested, and certified to SNT-TC-1A?					
Part VIII - Final Disposition Questions 1 to 2				Q. A. M. Index Section #	Y/N
1) What records are placed in the welders file?					
2) What records are forwarded to AWS Certification Department?					
Part IX - Welding Equipment and Controls Questions 1 to 6				Q. A. M. Index Section #	Y/N
1) SMAW					
a. Number of Units					
b. Number of AC					
c. Number of DC					
d. Number of AC/DC					
2) GMAW					
a. Number of Units					

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Part IX - Welding Equipment and Controls Questions 1 to 6 (Cont'd)	Q. A. M. Index Section #	Y/N
3) GTAW		
a. Number of Units		
b. Number of AC HF		
c. Number of DC		
d. Number of AC/DC		
4) FCAW		
a. Number of Units		
5) SAW		
a. Number of Units		
6) Other processes - (list each)		
Part X - Cutting Equipment Questions 1 to 4	Q. A. M. Index Section #	Y/N
1) OFC		
a. Number of Stations		
b. Type fuel gas utilized		
2) CAC		
a. Number of Units		
3) PAC		
a. Number of Units		
4) Mechanical cutting		
a. Mechanical		
b. Milling Machines		
c. Angle grinder		
d. Lathe		
e. Other equipment (list each)		
Part XI - Measuring & Testing Equipment Questions 1 to 6	Q. A. M. Index Section #	Y/N
1) Measuring/Testing Item - (For each item of equipment used in welder qualification, the following information shall be provided)		
a. Is a maintenance procedure or schedule established?		
b. Is maintenance log up to date?		
c. Does equipment appear abused?		
d. Are proper equipment records maintained?		
i. Is equipment identified?		
ii. Does it have calibration tag (if required)?		
iii. Are operating manuals available?		
e. Are calibration methods defined?		

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Part XI - Measuring & Testing Equipment Questions 1 to 6 (Cont'd)	Q. A. M. Index Section #	Y/N
2) Bend Testing Equipment		
a. Wrap-around fixture?		
b. Die & plunger fixture?		
c. Adjustable radius fixture?		
3) Other Testing Equipment		
a. Fillet break/nick break fixture?		
b. Tensile test machine?		
c. Impact Testing Machine?		
d. Other Testing Equipment?		
4) Other measuring equipment available: (Check all available)		
a. Tapelines		
b. Micrometers		
c. Calipers		
d. Scales		
e. Optical aids		
f. Fillet weld gauge		
g. Weld reinforcement gauge		
h. Hi-Low gauge		
i. Under-cut gauge		
5) Does facility perform any chemical tests?		
a. Mass spectrometer analysis		
b. Wet chemical method		
c. Macro Etch		
d. Are written procedures available?		
6) If the above tests are performed, are the applicable standards from AWS, ASME and ASTM available for control of procedures?		
Part XII - Records and Test Reports Questions 1 to 3	Q. A. M. Index Section #	Y/N
1) Are written procedures on file for record retention?		
2) Are records retained for the 5-year requirement per AWS QC-4-89?		
3) Are records secured?		

*** If more space is needed to answer any of the Checklist questions, please feel free to attach additional answers or relevant information to the back of this checklist.**

IMPORTANT: If there are any changes to the Quality Manual and supporting documentation between the time the application is submitted and the date of the audit, the revisions must be provided to AWS. AWS will in turn provide the latest revision(s) to the assigned auditor.

