

**PROCEDURES
ISSUE 1, REVISION 5**

**C-BPVCA ADMINISTRATIVE PROCEDURES
DELEGATED TO ASME CONFORMITY ASSESSMENT STAFF**

Approved by the Committee on Boiler and Pressure Vessel Conformity Assessment August 11, 2009

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PREFACE

Where a situation that requires staff action is not covered under this administrative procedure, ASME Conformity Assessment staff shall consult with the Committee Chair and/or Vice Chair to determine if the requested action requires C-BPVCA review in compliance with 7.2.1 of the procedures of the C-BPVCA.

If the staff and the Committee Chair and/or Vice Chair determine that C-BPVCA review is not required, the Committee Secretary shall report the action taken by staff in the Committee minutes under Staff Actions.

The items in this administrative procedure have been delegated to the ASME Conformity Assessment staff.

1 EXTENSION OF EXPIRATION DATE

1.1 REQUESTS AFTER EXPIRATION DATE

No extension of expiration date will be granted if the Certificate Holder's request is received or initiated after the Certificate expiration date.

1.2 RENEWAL – LATE APPLICATIONS

1.2.1 The staff may extend the expiration date of Certificate(s) to the expected evaluation completion date under the following conditions:

- (a) the Certificate Holder has made proper application with the required deposit at least three months prior to the expiration date and a Review Team is not available due to scheduling difficulty. The Certificate Holder's refusal of or cancellation of available review dates, will not be considered a scheduling difficulty; or
- (b) the Certificate Holder has made proper application with the required deposit at least three months prior to the expiration date and the review has been performed prior to the expiration date but Committee action has not been completed.

When the Certificate Holder refuses available, or cancels assigned dates, and rescheduling cannot provide a review date prior to the Certificate(s) expiration date or when the Applicant has not made proper application with the required deposit at least three months prior to the expiration date, the staff shall inform the Certificate Holder that the Certificate will expire on the expiration date unless, within the ten working days of receipt of notification, they request consideration of an extension and state the reason(s) for such request. Extensions will not be granted past the expiration date unless proper application with the required deposit is received.

1.2.2 Extension where the Application and Fees are Received Less Than Three Months Prior to Certificate Expiration Date

When the Certificate holder has submitted their renewal application and applicable fees less than three months prior to the original expiration date listed on their Certificate(s), staff may issue an extension of expiration date to the Certificate Holder under the following conditions:

- (a) The Certificate Holder's AIS submits an audit report and recommendation to ASME containing the following information:
 - (1) the date the audit was performed; and
 - (2) the Certificate Holder's Quality Control Manual was reviewed and addresses current applicable Code requirements; and

- (3) the Certificate Holder has demonstrated to the AIS that the Certificate Holder has the capability to continue to manufacture Code Items in compliance with their current Code Certification; and
 - (4) the number of Code Items currently under construction that will require Code stamping after the Certificate expiration date; and
 - (5) recommendation to ASME that the Certificate Holder's Certificate(s) expiration date be extended.
- (b) The Certificate Holder will be required to submit to ASME a letter/email explaining the reason why they failed to submit their application and fees to ASME prior to the three month cut-off date.

The letter from the AIS and the Certificate Holders will be submitted to the Committee Chair and/or Vice Chair for their approval.

If the application, required fees, AIS audit report, and the letter from the Certificate Holder (explaining why the Application and Fees were not submitted on time) are not received prior to the expiration date listed on the Certificate(s) then no extension of expiration date will be issued.

The extension, if approved by the Chair and/or Vice Chair will be issued by staff based on the above criteria and will not require C-BPVCA approval. Staff will issue an extension for ten days past the next scheduled meeting date of the Committee on BPV Conformity Assessment.

1.3 REREVIEW AND AI/NATIONAL BOARD FOLLOW-UP

1.3.1 Rereview

Where a Certificate Holder has failed the review, or has voluntarily terminated a review, and the Certificate is due to expire prior to scheduling a rereview, staff will issue an extension to allow for the rereview to be held if

- (a) a written request for an extension is received from the Certificate Holder; and
- (b) the application and applicable fees for a re-review are received within one month of the mailing of the deficiency letter or confirmation of voluntary termination letter.

1.3.2 AI/National Board Follow-Up

Where the Team recommendation is for AI or National Board follow-up, staff shall issue a sixty day extension to allow sufficient time for the AI or National Board report to be submitted and for evaluation by staff.

1.4 WORK-IN-PROGRESS EXTENSIONS

When a Certificate Holder's Certificate is due to expire with no plans to renew, but has a project to complete after the expiration date of the Certificate, the Certificate Holder may request in writing to ASME a work-in-progress extension provided the following are met:

- (a) the request and applicable fees are received at least thirty days prior to the current expiration date; and
- (b) the request contains a description of the work to be completed (including work/job order number) and when it is scheduled for completion; and
- (c) the Certificate Holder's AIA or ASME Designee, as appropriate, verifies the work to be completed and performs an audit to ensure the Certificate Holder Quality Program is still in place as accepted by ASME.

Staff on receipt of a satisfactory reports from the Certificate Holder, AIA or ASME Designee, as appropriate, may issue an extension for up to six months beyond the original expiration date on the Certificate.

Staff will advise, the Certificate Holder's AIA with copies to the C-BPVCA Chair and Vice Chair and the AIA, in writing of the scope and duration of the extension and that any work beyond the extension granted will require an application to be made to ASME for renewal of the Certificate. No further work-in-progress extensions will be granted.

1.5 STAFF SCHEDULING EXTENSIONS

Staff may extend the expiration date of Certificates to the expected evaluation completion date if the Certificate Holder has made proper application with the required deposit at least three months in advance prior to the expiration date and the review is not conducted and evaluation completed by the expiration date.

2 NAME CHANGES

Staff upon receipt of a request from the Certificate Holder will make a name change under the following conditions:

2.1 CERTIFICATES INVOLVING AN AIA

2.1.1 Staff needs a supporting letter from the AIA of Record to ASME documenting the following:

- (a) verification that the AIA has an inspection agreement with the Certificate Holder under the new name; and
- (b) summary of the review conducted by the AIA, including documentation as to how the Certificate Holder's Quality Control Manual has been revised to reflect the name change and the AIA has reviewed and accepted the revisions; and
- (c) verification that no changes in upper management or quality control personnel affecting the company's Quality Control Program have occurred.

2.1.2 Staff needs the Certificate Holder to provide a written statement to ASME indicating that the company accepts responsibility for all Code work performed under the Certificate prior to the name change. If the company refuses to accept this responsibility, a full ASME review will be required and a new Certificate will be issued upon successful completion of the review.

2.2 CERTIFICATES FOR V, HV, UV, UV3, UD, TV AND TD INVOLVING AN ASME DESIGNATED ORGANIZATION

2.2.1 Staff needs a supporting letter from the ASME Designated Organization documenting the following:

- (a) verification the Certificate Holder's Quality Control Manual has been revised to reflect the name change; and
- (b) verification that no changes in upper management or quality control personnel affecting the company's Quality Control Program have occurred.

2.2.2 Staff needs the Certificate Holder to provide a written statement indicating that the company accepts responsibility for all Code work performed under the Certificate prior to the name change. If the company refuses to accept this responsibility, a full ASME review will be required and a new Certificate will be issued upon successful completion of the review.

2.3 CERTIFICATES FOR H (CAST IRON) INVOLVING AN ASME DESIGNEE

2.3.1 Staff needs a supporting letter from the ASME Designee documenting the following:

- (a) verification the Certificate Holder's Quality Control Manual has been revised to reflect the name change; and
- (b) verification that no changes in upper management or quality control personnel affecting the company's Quality Control Program have occurred.

2.3.2 Staff needs the Certificate Holder to provide a written statement indicating that the company accepts responsibility for all Code work performed under the Certificate prior to the name change. If the company refuses to accept this responsibility than a full ASME review will be required and a new Certificate will be issued upon successful completion of the review.

3 RELOCATION/ADDRESS CHANGES

For relocation or address changes a new location review is required. Upon receipt of a request from the Certificate Holder, staff may grant an audit in lieu of a new location review provided the following are met:

3.1 CERTIFICATES INVOLVING AN AIA

Staff needs a letter from the AIA of Record to ASME documenting the following:

- (a) the relocation is within the same jurisdiction as the location currently listed on the Certificate, (if not within the same jurisdiction, staff shall forward to the Committee for action); and
- (b) the AIA has verified the new address; and
- (c) the current AIA of Record has an inspection agreement with the Certificate Holder at the new address; and
- (d) verification that no changes in upper management or quality control personnel affecting the company's Quality Control Program have occurred; and
- (e) there has been no change in the scope of activities as currently listed in the Certificate; and
- (f) the AIA provides a summary of the audit conducted at the new location to ensure that the Certificate Holder is implementing the Quality Control Program accepted by ASME at the last review.
- (g) Staff retains the option to forward any request for relocation to the Committee for consideration.

3.2 CERTIFICATES FOR V, HV, UV, UV3, UD, TV AND TD INVOLVING AN ASME DESIGNATED ORGANIZATION

Staff needs a letter to ASME from the ASME Designated Organization documenting the following:

- (a) the ASME Designated Organization has verified the new address; and
- (b) verification that no changes in upper management or personnel affecting the company's Quality Control Program have occurred; and
- (c) there has been no change in the scope of activities as currently listed in the scope of the Certificate; and
- (d) there is no major equipment change; and
- (e) a summary of the audit conducted by the ASME Designated Organization at the new location is provided to ASME to ensure that the Certificate Holder is implementing the Quality Control Program accepted by ASME at the last review; and
- (f) the ASME Designated Organization has tested two pressure relief devices per test medium manufactured/assembled at the new location and the tested pressure relief devices have met the applicable requirements of the B&PV Code.

3.3 CERTIFICATES FOR H (CAST IRON) INVOLVING AN ASME DESIGNEE

Relocation of a Cast Iron facility will require a review at the new location.

3.4 ADDRESS CHANGE POSTAL REDESIGNATION

Staff on receipt of a request from a Certificate Holder for an address change, due to Postal redesignation of building number, street address, etc., will issue a revised Certificate provided the request contains sufficient documentation to support the address change.

4 ISSUANCE OF ADDITIONAL CERTIFICATE WITHOUT ASME REVIEW

4.1 “A” AND “PP” CERTIFICATION/AND RENEWAL

Current holders of the “S” Certificate may be issued a Certificate for the “A” and/or “PP” without a team review of the Quality Control System provided ASME receives confirmation, that the Certificate Holder’s Quality Control System contains all the requirements for the requested Certificate, from both members of the review team (ASME Designee and AIA) that conducted the most recent review of the Quality Control System for the “S.”

4.2 “UM” CERTIFICATION

Current holders of the “S” or “U” Certificate may be issued a Certificate for the “UM” without a team review of the Quality Control System provided ASME receives confirmation, that the Certificate Holder’s Quality Control System contains all the requirements for the request Certificate, from both members of the review team (ASME Designee and AIA) that conducted the most recent review of the Quality Control System for the “S” or “U.” The AI (AIS) performing the audit shall include their National Board and/or jurisdiction number on the report, indicate that the audit was performed to the latest applicable Code requirements and the Certificate Holder’s C.I. has been qualified to the Certificate Holders approved Quality Systems Manual.

The “UM” renewal report submitted by the Certificate Holder’s AIA of Record shall include the following information:

- (a) Company Name and “UM” Certificate Number;
- (b) Number of “UM” stamped vessels manufactured in the past year;
- (c) Verification that the CI is qualified to the current Section VIII Division 1 requirements;
- (d) Date the “UM” audit was performed;
- (e) Recommendations and “UM” scope to be issued.

4.3 ADDITION OF “FIELD SITE” CODE ACTIVITIES TO CERTIFICATE SCOPE

Upon receipt of a written request from a Certificate Holder to add “field site” to the scope of their current Certificate(s), staff will inform the Certificate Holder that their Quality Control Manual must be revised to define how “field site” activities will be controlled from the shop address listed on the Certificate. The Quality Control Manual revisions must be accepted by the by the AI and then forwarded to ASME for acceptance. Staff will forward the revised Quality Control Manual to the Team Leader who performed the last review for their review and acceptance. Upon acceptance of the Quality Control Manual revisions by the Team Leader and with a recommendation to revise the Certificate scope to include “field site” activities, staff will issue a revised Certificate(s).

4.4 MULTIPLE DUPLICATE CERTIFICATES

Current Certificate Holders who do not perform multiple duplicate fabrications may request ASME for certification to provide multiple duplicates. The current Certificate Holder must make a new application for multiple duplicate items under ASME Section IV, Section VIII, Division 1 or Section X. On receipt of this request, ASME staff will arrange for a review of the shop for a new Certificate with a scope for multiple duplicates at the expense of the Certificate Holder. An ASME Designee (ASME Consultant or National Board and Jurisdiction) and the AIA shall conduct the review.

4.5 OTHER TYPES OF CERTIFICATION

Upon receipt of a request for additional certification for other than for the “A,” “PP,” and “UM” described in 4.1 and 4.2, ASME staff will arrange for a review of the shop for the new Certificate(s) at the expense of the Certificate Holder. An ASME Designee, ASME Designated Organization and/or AIA shall conduct the review, as appropriate.

Requests for additional Certificates made within three months following a full ASME review may be brought to the Committee by staff for approval without requiring an additional ASME review.

5 ISSUANCE OF CERTIFICATES

5.1 TEAM REPORT

At least two individuals from the Conformity Assessment Staff appointed by the Director, Accreditation and Certification, shall promptly and personally review all Qualification Review Reports (QRR) as received from the Team Leader and shall take the appropriate actions listed below

- (a) If there is no disagreement or objection by the reviewers with the Team recommendation, staff shall take the appropriate action to issue, renew, or inform the Applicant/Certificate Holder that a rereview or AI/ASME Designated Organization follow-up is required. If there is any reason to question the QRR, staff will contact the Team Leader/ASME Designee to resolve any outstanding concerns.
- (b) If there is disagreement or objection by the reviewers or Applicant/Certificate Holder with the Team recommendation, staff will contact the Team Leader to resolve any outstanding concerns or obtain clarification. If the additional information does not resolve the reviewer's concerns, the report shall be submitted to the Committee for action. Staff will issue an extension of expiration date to the Certificate Holder to allow sufficient time for the Committee to resolve the issues or hear the request for consideration and the Committee Secretary will advise the Applicant/Certificate Holder in writing of the Committee decision.

5.2 MINORITY REPORTS

If a Minority Report is received from the AIA, the minority report and the Qualification Review Report will be submitted to the Committee for letter ballot consideration or reviewed at the next Committee meeting.

5.3 REREVIEW

5.3.1 If the Team's recommendation is to require a re-review, or if the review is voluntarily terminated by the Certificate Holder, staff shall advise the Applicant/Certificate Holder of such action with a brief definitive description of any findings upon which the decision was based. The Applicant/Certificate Holder shall be provided with information regarding extensions, reconsideration, and appeals as a result of the Committee action.

5.3.2 A copy of the Qualification Review Reports (QRR) and any supporting information shall be forwarded to the Subcommittee members. In the event that the Certificate Holder voluntarily terminates a review, the Team Leader is expected to complete the QRR describing all deficiencies and findings up to that point that the review was terminated.

- 5.4** The Committee Chair and Vice Chair shall be informed of all staff actions to withhold a Certificate.
- 5.5** All staff actions shall be recorded in the Committee agenda for review at the next meeting.
- 5.6** Certificates for a Certificate Holder who voluntarily terminates a renewal review shall be handled in accordance with 1.3.

6 CERTIFICATE SUSPENSION AND REINSTATEMENT

- 6.1** A Certificate may be suspended by voted action of the Committee following failure of a Certificate Holder to respond to a request from ASME Conformity Assessment.
- 6.2** A suspended organization shall not have any rights accorded to a Certificate Holder including utilization of the Mark until reinstated by action of the Committee.
- 6.3** Reinstatement requires Subcommittee action. Committee action may be by a meeting of the Committee or by letter ballot.

7 RECONSIDERATION/APPEALS

- 7.1** A reconsideration request by an Applicant/Certificate Holder may either be submitted to the Committee for letter ballot consideration or placed on the next meeting agenda of the Committee. Staff will issue an extension during the reconsideration process.
- 7.2** The Committee Secretary shall inform the Applicant/Certificate Holder of the Committee action within ten days of the meeting or letter ballot result by certified mail, return receipt requested, or equivalent communication. Also the Applicant/Certificate Holder will be advised of their right to appeal the decision of the Committee.

8 CERTIFICATE NUMBERS

It is ASME policy to assign a new Certificate number under the following situations:

- (a) on the issue of a new Certificate for the first time;
- (b) when a Certificate Holder's Certificate expires and a new Certificate is to be issued. However, the same Certificate number may be issued upon written request from the company with the reason why they wish the same number. ASME staff may grant this request provided
 - (1) There is no lapse in certification from the expiration date of more than three months, or
 - (2) When a review has been scheduled within three months after the expiration of the Certificate and ASME staff has not processed the Team's recommendation within the three months since the Certificate's expiration date.

9 USE OF DBA's AND AKA's ON CERTIFICATES

- 9.1** Only one name will appear on a Certificate. In addition one abbreviation may be noted on the application.
- 9.2** It is ASME policy to issue Certificates in the name of the company certifying the ASME Manufacturer's Data Report.
- 9.3** The name appearing on the Certificate does not have to be the Applicant's legal name. The Applicant's legal company name shall be listed on page 2 of the Application Form submitted to ASME.
- 9.4** In the case of a joint venture, the Certificate will be issued to the Partner having overall responsibility. Relationships between funding organizations will not be considered.
- 9.5** The company that is issued certification is permitted to use abbreviations in the ASME Code Stamping on the Boiler or Pressure Vessel provided the company has indicated the abbreviations on the ASME application. An abbreviation shall not be construed as an AKA/DBA. An example would be ISC for International Steel Company.
- 9.6** In those cases where ASME has issued Certificates with DBA's and/or AKA's, ASME will inform the Certificate Holder on renewal of the Certificate(s) that only one name will be allowed.

10 MULTIPLE BUILDINGS (SHOPS) AT THE SAME LOCATION

Multiple buildings located at the same general location, although they may have different street addresses, may be operated under the same Certificate provided

- (a) the AIA is the same for all the buildings and has an inspection agreement for all the buildings; and
- (b) the buildings are controlled and operated by the same upper management, quality control personnel and Quality Control Program.
- (c) Staff retains the option to forward any request for multiple buildings at the same location to the Committee for consideration.

11 STAFF HANDLING OF ALLEGATIONS PRIOR TO REVIEW

When an allegation of Code non-conformance is received by ASME staff, the Committee Secretary shall, within one week of receipt of the allegation, inform the Committee Chair and Vice Chair of the allegation and forward a copy of the allegation to them for review.

The allegations may be in the form of Team Leader Report (QRR) of serious Implementation Deficiencies discovered while conducting a renewal review, audit, or investigation, reports from jurisdictional authorities or the National Board, concerns which are documented and/or received from Certificate Holders or their employees or from the General Public.

Within one week of forwarding the allegations to the Committee Chair and Vice Chair, the Secretary shall contact them to determine if the information provided is sufficient to proceed. If the information is deemed to be sufficient to proceed, the Secretary shall send a return letter to the person or organization making the allegation acknowledging receipt of the allegation, if not sufficient to proceed, the Secretary shall inform them that the information provided was insufficient.

If the information is sufficient the Secretary shall within one week of corresponding with the Chair and Vice Chair, forward the allegation and supplied documentation to the Certificate Holder via certified mail, with a copy to the Certificate Holder's AIA of Record and request a response to the allegations within two weeks of receipt.

Information obtained relating to the allegation shall be included in the next Committee Agenda. If a response has not been obtained from the Certificate Holder due to the brief amount of time between the receipt of the allegation by ASME and the next scheduled Committee meeting, the Secretary shall initiate a letter ballot. The letter ballot shall contain the allegation(s), the Certificate Holder's response, and response from the AIA of Record, and query the Committee as to whether the allegations require no further action, or a corrective action plan is required by the Certificate Holder and/or a show cause hearing is required based on the nature of the allegations.

12. STAFF MONITORING

Staff shall monitor the Certificate Holders currently on the Company Audit/Monitoring Report for compliance with their corrective action plan. After one review cycle and a minimum of three years, the Secretary shall have the Certificate Holder's case reviewed by the Committee.

13 AUDITING

If the Committee takes a voted action to require a Certificate Holder to correct a nonconformance based on the reported findings being serious enough to require additional measures beyond the submittal and completion of a corrective action plan by the Certificate Holder, the Committee may require that the Certificate Holder agree to have periodic audits performed by ASME or an ASME Designee. The audit is to ensure compliance with voted actions taken by the Committee or to verify that corrective actions agreed to by the Certificate Holder have been satisfactorily completed.

The Certificate Holder shall bear all costs associated with an audit voted by the Committee. Failure of the Certificate Holder to agree to the audit(s) voted by the Committee may result in a show cause hearing before the Committee.

The number and frequency of audits shall be determined by Committee voted action. The Auditor assigned to perform the audit(s) of a Certificate Holder shall be supplied with a copy of the letter to the Certificate Holder informing them of the Committee voted action, a copy of the allegation/documented code nonconformance, the Certificate Holder's response and any other documentation necessary to perform the audit.

The Auditor shall submit a report to the Secretary of the results of the audit and indicate the Certificate Holder's compliance, or failure to comply, with the Committee voted action and the corrective action plan approved by the Committee. The Auditor shall also make a recommendation as to the need for future audits of the Certificate Holder.

Audits may be scheduled as frequently as every six months. To the extent practical, audits should be conducted no later than three weeks prior to the next scheduled Committee meeting to ensure that the Committee will be able to review and discuss the audit report at the meeting.