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**Procedures**  
**Standard Qualification Criteria**  
**For Designees for Accreditation and**  
**Product Certification Activities**  
**Issue 4, Revision 0**  
**Approved by BCA October 22, 2019**

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**CONTENTS**

	Scope .....	iii
1	General .....	1
2	Qualifications .....	4
3	Certification.....	8
4	Maintenance of Certification .....	10
5	Requalification .....	11
6	Documentation .....	12
7	Termination.....	14
8	Listing of Certified Auditors and Lead Auditors.....	15

**Exhibits**

Exhibit 1, Application Form for ASME Designee.....	16
Exhibit 2, Record of Qualification for ASME Designee (Auditor).....	20
Exhibit 3, Record of Qualification for ASME Designee (Lead Auditor).....	23
Exhibit 4, Maintenance of Certification for ASME Designee.....	25
Exhibit 5, Requalification of ASME Designee.....	27
Exhibit 6, Renewal Application for ASME Designee .....	29

**Tables**

2.5 Evaluation of Auditor Candidates.....	31
6.5 Record Retention.....	32

**Appendices – Requirements Relating to Specific Accreditation/Certification Programs**

A. Requirements Relating to Nuclear Certification.....	33
B. Requirements Relating to Specialty Team Member Certification .....	34

## **SCOPE**

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This procedure, approved by the Board on Conformity Assessment (BCA), establishes the minimum requirements for all ASME Designees who either lead or participate on conformity assessment activities (e.g. ASME Survey, Joint Review, Audit, Investigations, or Interviews).

This procedure establishes elements that provide for uniform qualification of Designees<sup>1</sup> that participate in ASME conformity assessment programs.

Additionally, these requirements may be supplemented by appendices to this procedure that address unique qualification requirements for certain accreditation/certification programs. Appendices are to be submitted to the Committee on Conduct of Conformity Assessment Activities for formatting and approval. Final approval of this procedure and any Appendices will be by the Board on Conformity Assessment (BCA).

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<sup>1</sup> Within the scope of this procedure, *Designee* will be synonymous with *ASME Designee* and are interchangeable within this qualification procedure.

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## **1 GENERAL**

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- 1.1** This procedure governs the qualification of Auditors and Lead Auditors who act as Designees when selected to perform conformity assessment activities on behalf of ASME.
- 1.2** This procedure is based on the Basic Requirements of ASME NQA-1 (2015 edition) and ISO 19011 (2011 edition).
- 1.3** Designees may be employees of, or independent consultants under contract with any of the following: ASME, Jurisdictional Authority, or ASME Designated Organizations. Throughout this document, the term “Supervising Organization” shall refer to the organization which employs individuals or contracts independent consultants as ASME Designees.
- 1.4** Designees are prohibited from providing consulting services which might lead to a conflict of interest.
- 1.5** All Designees (Auditors and Lead Auditors) who are employed by, or under contract with ASME, Jurisdictional Authority, or ASME Designated Organization are required to sign an agreement to adhere to
- (a) ASME Confidentiality Policy;
  - (b) ASME Code of Ethics of Engineers or an equivalent administered by the Jurisdictional Authority;
  - (c) ASME Conflict of Interest Policy or an equivalent administered by the Jurisdictional Authority;
  - (d) The procedures for the Conduct of ASME Surveys, Joint Reviews, Audits, Investigations, and Interviews while performing their duties as a Designee.
- 1.6** All individuals currently performing as Designees and qualified as an Auditor or Lead Auditor in accordance with the various ASME Conformity Assessment programs, prior to the date of approval of this procedure by the BCA, are considered qualified at their current level under these procedures. Therefore, the initial certification/qualification requirements of this procedure are waived for those individuals described above, who are currently performing as Designees. All other requirements of this procedure apply.

## **1.7 TERMINOLOGY**

Terms used in this document are defined as follows:

- (a) ASME Designated Organization. An entity appointed by ASME to perform an administrative activity in accordance with an applicable code or standard.
- (b) Audit. a documented evaluation performed to verify, by examination of objective evidence, that those selected elements of a previously approved quality

- management system have been developed, documented, and implemented in accordance with specific requirements. An audit does not include surveillance or inspection for the purpose of process control, or acceptance of material or items.
- (c) Auditor. An ASME Designee qualified to perform conformity assessment activities as an auditor
  - (d) Candidate. An individual under consideration for qualification and authorization as an ASME Designee.
  - (e) Conformity Assessment. An activity that develops the basis for confidence (or reasonable assurance) that the applicant's quality program effectively ensures that the product, material, item, or service conforms to the applicable Code or Standard. Conformity assessments shall emphasize:
    - (1) technically directed evaluations of the applicant's processes and activities, and verifications of the quality of products, materials, items, or services; and
    - (2) programmatic evaluations of the applicant's quality program, procedures, and documentation.
  - (f) ASME Designee. An ASME Designee (referred to in this document as the Designee) is an individual authorized by ASME to perform administrative functions on its behalf and who meets the requirements of this procedure either as an Auditor or Lead Auditor.
  - (g) Investigation. The result of voted action by the responsible Conformity Assessment Committee in response to findings made by ASME Teams. . Also, investigations can be authorized by the Director, Auditing and Inspection in response to written allegations of noncompliance with notification given to the responsible Committee Chair.
  - (h) Joint Review. A conformity assessment activity conducted where all elements of a quality program are audited by a Joint Review team
  - (i) Jurisdictional Authority. A Jurisdictional Authority is a governmental entity that references an ASME Code or Standard as a means of compliance with its regulatory or legislative requirements.
  - (j) Lead Auditor. An ASME Designee who organizes and directs conformity assessment activities, such as reporting findings, and evaluating corrective action.
  - (k) Specialty Team Member. An ASME Designee who participates in conformity assessment activities due to their unique knowledge and skill set within a particular ASME Conformity Assessment program.
  - (l) Supervising Organization. An organization which employs individuals or contracts independent consultants as ASME Designees.
  - (m) Survey. A documented evaluation of an organization's capability to provide an item in conformance with the governing standard as verified by a determination of the adequacy of all the elements of the organization's quality management system and by review of the implementation of that quality management system at the location of the work.

## **1.8 COMMITTEE ON DESIGNEES (COD)**

In general, the COD serves as an approval body for new Designees and an advisory group to staff on matters relating to the conduct of Designees.

The COD reviews the qualifications of potential Designees against the criteria in this procedure.

The COD, when requested by the staff Secretary, considers allegations of misconduct of Designees and makes recommendations to ASME.

The COD does not develop criteria nor does it develop Codes or Standards nor administer conformity assessment programs. The COD is responsible to the Board on Conformity Assessment, which assures that the COD is operating within its approved scope and its procedures, as approved by the BCA.

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## 2 QUALIFICATIONS

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### 2.1 CRITERIA

The Candidate shall have a minimum of twelve credits accumulated under the following scoring system, as outlined in 2.1.1, 2.1.2, 2.1.3 and 2.1.4, prior to being designated as an ASME Designee.

**2.1.1 Education (Four Credits Maximum).** The Candidate shall have a high school education (or equivalent) and shall provide documentation verifying the level of education attained, thereby supporting the credits scored

- (a) Associate Degree from an accredited institution, score 1 credit  
or  
Associate Degree in Engineering, Physical Sciences, Mathematics or Quality Assurance curriculum from an accredited institution, score 2 credits;  
or
- (b) Bachelors Degree from an accredited institution, score 2 credits;  
or  
Bachelors Degree in Engineering, Physical Sciences, Mathematics or Quality Assurance curriculum from an accredited institution, score 3 credits;  
and
- (c) Masters Degree in Engineering, Physical Sciences, Mathematics or Quality Assurance curriculum from an accredited institution, score 1 additional credit.

**2.1.2 Experience (Ten Credits Maximum).** The Candidate shall have technical experience in engineering, manufacturing, construction, quality assurance, auditing, operation, maintenance, or inspection. For each year, score one credit, with a maximum of six credits for this aspect of experience. Additional credit can be accumulated as follows:

- (a) If two or more years of this experience has been working with the ASME Codes or Standards associated with the activity score one additional credit; and
- (b) If two or more years of this experience has been in quality assurance, score one additional credit; and
- (c) If two or more years of this experience has been in auditing, score two additional credits.

**2.1.3 Professional Accomplishment (Two Credits Maximum).** Professional accomplishments demonstrated by experience and an examination may be considered to score one credit for each accomplishment. Such professional accomplishments may include

- (a) A Professional Engineers License (PE);
- (b) Certification by a national or professional society such as
  - (1) A National Board Commission;
  - (2) ASQ Certification;
  - (3) AWS Certification.

**2.1.4 Management (One Credit Maximum).** One credit may be granted for other performance factors applicable to auditing which may not be explicitly called out in this procedure. Examples of these factors are leadership, sound judgment, maturity, analytical ability, tenacity, etc.

The basis for the management judgment in granting the one credit shall be documented and filed by the Supervising Organization. Such records are subject to review.

## **2.2 COMMUNICATION SKILLS**

The Candidate is required to be able to effectively communicate both in writing and orally. This must be documented and filed by the Supervising Organization. Such records are subject to review.

## **2.3 TRAINING**

The Supervising Organization shall assess the Candidate's training needs, and shall ensure the Candidate receives the training to assure the competency in auditing skills in the following areas:

- (a) Related Codes and Standards;
- (b) General structure of quality programs as a whole and applicable elements;
- (c) Auditing techniques of examining, questioning, evaluating, and reporting methods of identifying and following up on corrective action items, and closing out audit findings;
- (d) Auditing of quality-related functions such as the following activities: designing, purchasing, fabricating, handling, shipping, receiving, storing, cleaning, erecting, installing, inspecting, testing, maintaining, repairing, and modifying components.

The Supervising Organization shall maintain training records for each candidate / Designee.

## **2.4 AUDIT PARTICIPATION**

The Candidate shall have participated either as a prospective Auditor or Lead Auditor in a minimum of three ASME Joint Reviews or Surveys within a period not to exceed one year prior to the date of qualification. ASME Designees whose audit participation was limited to that of a prospective Auditor during initial qualification shall additionally serve as a



prospective Lead Auditor on a minimum of two Surveys within a period not to exceed one year prior to the date of qualification.

The Candidate who will serve as a Lead Auditor (or Auditor as a BPV Joint Review Team Leader) shall independently prepare a Conformity Assessment Report (from the Candidate's point of view) on each of the assigned ASME Joint Reviews or Surveys under the direct supervision of an ASME Designee responsible for the conduct of the Joint Review or Survey. This Report shall be submitted to the assigned ASME Designee for review and comment.

The assigned ASME Designee shall submit the Candidate's report with their comments to the Supervising Organization. Also, the assigned ASME Designee shall provide a written evaluation of the Candidate's performance to the Supervising Organization.

For Candidates who will serve as a Lead Auditor, the evaluation shall include the Candidate's performance including areas such as assignment of Auditors, manual review, control of Team, presentation to the company, demonstrated leadership capability, and conduct of the entrance and closing meetings.

## 2.5 EVALUATING AUDITOR CANDIDATES

Candidates for Auditor or Lead Auditor shall demonstrate the knowledge of the applicable Codes and Standards and the ability to conduct and manage audits and audit teams in their specific area of expertise. The evaluation methods<sup>2</sup> used to determine competence shall be those shown in Table 2.5. When the Conformity Assessment Committee specifies written or oral examinations as the required evaluation method, they shall be in conformance with 2.5.1. The results of the evaluation shall be acceptable to the COD within the parameters established by this procedure. ASME staff shall perform an initial administrative review of each Candidate's application package for compliance to the requirements of this procedure (i.e., is each of the competencies noted in Table 2.5 addressed and evaluated in the application package). Any omissions or concerns shall be addressed prior to the application package being forwarded to COD for action.

**2.5.1 Examination.** Examinations shall be developed and conducted by either ASME, an ASME Designated Organization, or an organization acceptable to ASME and shall be subject to review in accordance with ASME's Internal Audit Program.

**2.5.1.1 Scope.** The examination shall address the areas of knowledge the candidate will experience in performing the duties of an Auditor or Lead Auditor, i.e., conducting Nuclear Surveys, Boiler & Pressure Vessel Joint Reviews, etc. These areas of

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<sup>2</sup>The Conformity Assessment Committee shall identify the specific evaluation method(s) (written, oral, or both) to be used to determine competency in accordance with this procedure that results in a documented evaluation of each of the noted competencies, thereby providing sufficient evidence for COD to make their evaluation. The default examination method for Designees will be by written examination.

knowledge are described in 2.3. The examination shall be documented as noted in 2.5.1.2. A Candidate shall pass the examination by achieving a grade of at least eighty percent.

**2.5.1.2 Examination.** Examinations may be written, oral, or a combination of these types. However, the documentation of the examination shall provide for the following:

- (a) Name of the Candidate;
- (b) Level sought by the Candidate, i.e., Auditor or Lead Auditor (Team Leader);
- (c) Date of the Examination;
- (d) Printed Name and Signature of the Examiner;
- (e) A list of at least ten attributes (based on all areas of knowledge described in 2.3) being examined (Oral examination only);
- (f) Overall Grade assigned by the Examiner. For written examinations, test questions along with the technical reference shall be maintained in accordance with Section 6. For Oral Examinations, a list of the attributes along with a justification for each of the assigned specific attribute grades shall be maintained in accordance with Section 6.

**2.5.1.3 Reexamination.** Candidates not achieving passing scores may be reexamined after thirty days. The reexamination shall be significantly different from the previous examination.

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### **3 CERTIFICATION**

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**3.1** ASME staff shall review the documentation (see Section 6) for completeness prior to submittal to the COD. The COD will review the documentation and, on agreement, will accept an individual as an Auditor or Lead Auditor.

**3.2** Candidates who are accepted by the COD shall be issued a Certificate and an Identification Card. The certification will be issued for a five year interval. The Certificate and Card will identify the scope of activities to be performed, Certificate Number, expiration date, and signature of the COD Secretary.

### **3.3 RECERTIFICATION**

An individual whose ASME Designee certification has been terminated due to change in their Supervising Organization as specified in 7.1 may be recertified if the following conditions are met:

- (a) Documentation can be provided that the candidate was certified when termination occurred;
- (b) An application for recertification is submitted by the new Supervising Organization within six months after termination of the individual from their former Supervising Organization; and
- (c) The employee was actively working as an Auditor or Lead Auditor within six months of submitting an application for Recertification.

Documentation (see 6.4) supporting the recertification shall be submitted to ASME staff for review and acceptance.

### **3.4 RENEWAL**

An individual whose ASME certification is approaching expiration may be considered for renewal if the following conditions are met:

- (a) Certification has been maintained as required in Section 4 through current audit experience (see 4.1) and training (see 4.2).
- (b) Performance evaluations dates are current and submitted to ASME staff (see 4.3 and 6.2).
- (c) Completion of an on-site evaluation by an ASME appointed Designee within the last three years.

**3.4.1 Renewal Process.** Renewals shall be initiated by the Supervising Organization. The Supervising Organization shall submit a Renewal Application (Exhibit 6) to ASME, no later than sixty days prior to the expiration date of the Certificate. The Renewal

Application provides a summary of the individual activities to demonstrate compliance with this Standard as follows:

- (a) Dates of refresher training received (see 4.2);
- (b) Dates of audit activities (see 4.1); and
- (c) Dates of evaluations.
- (d) Date of the appointed ASME Designee's on-site evaluation.

The renewal application will be submitted to ASME staff for review and acceptance.

## **MAINTENANCE OF CERTIFICATION**

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Designees must maintain proficiency through current audit experience (see 4.1) and through appropriate training (see 4.2). Additionally, their performance shall be evaluated at least annually (see 4.3) by their Supervising Organization. The Maintenance of Certification Form (Exhibit 4) is used by the Supervising Organization to document the Designee's audit experience and training together with their annual performance evaluation. This form shall be certified by the Supervising Organization and submitted annually to ASME in a timely manner to ensure maintenance of Designee's certification.

### **4.1 EXPERIENCE**

Each certified Designee must participate in at least one audit (Survey or Joint Review) every twelve months using the criteria established in "Conduct of ASME Surveys, Reviews, and Interviews". This audit must be a complete Survey or Joint Review such that it shall include at least one day of on-site activity.

### **4.2 TRAINING**

In order to maintain proficiency, each Designee is required to attend, at least once within a two-year period, an ASME accepted training program conducted by ASME, or an ASME designated organization. The accepted training program shall include those areas of required knowledge and understanding established in 2.3 above and shall also include changes in Codes or Standards, auditing techniques, and relevant technologies. The development of a proficiency training program may take into consideration the experience and knowledge of the Designees in attendance.

### **4.3 PERFORMANCE EVALUATION**

Each Designee's performance shall be evaluated by their Supervising Organization, at approximately twelve month intervals. This evaluation shall be documented on the Maintenance of Certification Form (Exhibit 4) or attached thereto and shall include the following:

- (a) an evaluation of auditing techniques and style;
- (b) an evaluation of knowledge of the applicable Codes & Standards;
- (c) an evaluation of their written correspondence;
- (d) areas for improvement, including suggestions for additional training, when appropriate;
- (e) overall evaluation of performance.

## **5      REQUALIFICATION**

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ASME Designees whose certification has lapsed (see 3 above) or who fail to maintain their proficiency (see 4 above) shall require requalification. Requalification shall include retraining in accordance with the requirements of 2.3, evaluation in accordance with 2.5, and participation as an ASME Designee in at least one Survey, Joint Review, or Audit under a qualified ASME Designee. A lapse of more than 3 years shall require processing as a new qualification.

Documentation required by 6.4 shall be submitted to ASME for review.

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## **6 DOCUMENTATION**

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The Supervising Organization shall complete and forward the necessary documentation to ASME for acceptance by the COD for certification, and for review and acceptance by ASME staff for maintenance of certification, and requalification of an individual(s) as a Designee.

### **6.1 INITIAL APPLICATION**

- (a) Auditor - The application package for certification as a Designee shall consist of the following documents:
  - (1) Application Form for ASME Designee, Exhibit 1;
  - (2) Record of Qualification for ASME Designee (Auditor), Exhibit 2;
  - (3) Examination Results;
  - (4) Survey or Joint Review Reports independently prepared by the prospective Auditor who participated as a Trainee; and
  - (5) Evaluation Reports, prepared by the assigned individuals leading the survey or joint review, where the Prospective Auditor participated as a Trainee.
  
- (b) Lead Auditor (The prospective Lead Auditor must have qualified as an Auditor) - The application package shall consist of the following documents:
  - (1) Record of Qualification for ASME Designee (Lead Auditor), Exhibit 3;
  - (2) Survey or Review Reports independently prepared by the prospective Lead Auditor who participated as a Trainee; and
  - (3) Evaluation Reports, prepared by the assigned individuals leading the survey or review, where the Prospective Lead Auditor participated as a Trainee.

### **6.2 MAINTENANCE EVALUATION**

To comply with the requirements of Section 4, the Supervising Organization shall complete the Maintenance of Certification for ASME Designee Form (Exhibit 4) and submit the forms to ASME staff annually ensuring the maintenance of certification.

### **6.3 RENEWAL**

To comply with the requirements of 3.4, the Supervising Organization shall submit the Renewal Application (Exhibit 6) to ASME, no later than sixty days prior to the expiration date of the designee's qualification.

### **6.4 REQUALIFICATION**

To comply with the requirements of Section 5, the Supervising Organization shall complete the Requalification Form (Exhibit 5) and submit the form, and the documentation required by Section 5 to support the qualification, to ASME, for review and acceptance by the ASME staff.

## **6.5 RECERTIFICATION**

The application package for Recertification of a Designee shall include the information required in 3.3. This may be documented on the Record of Qualification for ASME Designee, Exhibit 2 and, if applicable, Exhibit 3.

## **6.6 RETENTION**

A file (consisting of the documents in 6.1, 6.3 and/or 6.4 added together with ASME Designee's evaluation) shall be established, maintained, and controlled by the Supervising Organization for each certified Designee.

ASME shall establish, maintain and control a file for each Designee. This file shall contain all the documentation forwarded by the Supervising Organization plus documentation from the COD indicating their acceptance of the individual as a Designee.

The Supervising Organization and ASME shall maintain these files while the individual(s) provide these services as a Designee and for three years after an individual's services are no longer used. (See Table 6.6).



## **7 TERMINATION**

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### **7.1 TERMINATION BASED ON EMPLOYMENT**

The Designee's certification shall be valid only when employed or contracted by ASME, Jurisdictional Authority, or an ASME Designated Organization acting as the Supervising Organization filing the Designee's qualification documentation. The Designee's Supervising Organization is responsible to notify ASME of employment termination in a timely manner.

### **7.2 TERMINATION OF QUALIFICATION**

If a Designee is not able to satisfy the requirements to maintain certification for one or more years, certification is no longer valid. See Section 5 for Requalification.

### **7.3 TERMINATION FOR CAUSE**

ASME or by COD recommendation may terminate a Designee's certification for "reasonable cause."

## **8 LISTING OF CERTIFIED AUDITORS AND LEAD AUDITORS**

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ASME staff shall maintain and update the listing of certified Auditors and Lead Auditors on an ongoing basis. This listing shall be made available to members of the COD, ASME staff, internal auditors, etc.

**EXHIBIT 1**

**APPLICATION FORM FOR ASME DESIGNEE**

1. **Applicant's Name:** \_\_\_\_\_ (1)

Job Title/Position; \_\_\_\_\_ (2)

2. **SUPERVISING ORGANIZATION:**  
\_\_\_\_\_ (3)

Division/Department: \_\_\_\_\_ (4)

Supervisor: \_\_\_\_\_ (5)

Supervising Organization's Address:  
\_\_\_\_\_ (6)  
(Street and/or P. O. Box Number)

\_\_\_\_\_ (7)  
(City, State/Province and Zip)

Phone: \_\_\_\_\_ (8) Fax: \_\_\_\_\_ (8) e-mail: \_\_\_\_\_ (8)

3. **HOME ADDRESS:** \_\_\_\_\_ (9)

Phone: \_\_\_\_\_ (10) Fax: \_\_\_\_\_ (10) e-mail: \_\_\_\_\_ (10)

4. **SUPPLEMENT INFORMATION** (11)

PE Registration  Yes  No State(s):

Professional Organization Grade No. of Years

(12)

Citizenship (The Applicant's citizenship shall be indicated): \_\_\_\_\_ (13)

**EXHIBIT 1**

**5. EDUCATIONAL BACKGROUND** (This information may be used to document the education for which you are claiming as an ASME Designee.)

A. Circle below the highest grade or years attended and provide details in item "B" below:

- 1. Grade and high School: 7 8 9 10 11 12 (14)
- 2. College: 1 2 3 4 More than 4 Years

B. DETAILS OF EDUCATION (List education to document the credits claimed for ASME Designee) (15)

Name & Address of Educational Institution	Dates				Course of Study	Diploma, Degree, Certificate or Credits accumulated
	From Mo.	Yr.	To Mo.	Yr.		

**EXHIBIT 1**

**6. QUALIFYING WORK EXPERIENCE (16)**

Date of Each Position		Complete the following items for each organization, beginning with your present and most recent experience. You need only list that experience for which you are claiming credit for qualification as an ASME Designee, however any gaps in relevant experience should be explained. If you held more than one position with the same organization, list each one separately. Information regarding each position need not be confined to one space, and a supplementary sheet may be appended if this page is inadequate.
From Mo.    Yr.	To Mo.    Yr	
		<b>Supervising Organization/Company:</b> <b>State Address:</b> <b>City/State/Zip:</b> <b>Job Title:</b> <b>Supervisor:</b> _____ <b>Phone:</b> _____ <b>Duties &amp; Responsibilities:</b>
		<b>Supervising Organization/Company:</b> <b>State Address:</b> <b>City/State/Zip:</b> <b>Job Title:</b> <b>Supervisor:</b> _____ <b>Phone:</b> _____ <b>Duties &amp; Responsibilities:</b>
		<b>Supervising Organization/Company:</b> <b>State Address:</b> <b>City/State/Zip:</b> <b>Job Title:</b> <b>Supervisor:</b> _____ <b>Phone:</b> _____ <b>Duties &amp; Responsibilities:</b>
		<b>Supervising Organization/Company:</b> <b>State Address:</b> <b>City/State/Zip:</b> <b>Job Title:</b> <b>Supervisor:</b> _____ <b>Phone:</b> _____ <b>Duties &amp; Responsibilities:</b>

I, the undersigned attest to the accuracy of the completed application. Any deliberate omission or false statement shall be cause for rejection of this application or withdrawal of certification.

Applicant's Signature: \_\_\_\_\_ (17) \_\_\_\_\_ Date: \_\_\_\_\_ (18) \_\_\_\_\_

# EXHIBIT 1

## Instruction for Completing the Application Form for ASME Designee

No.	Description
	The information should be clearly printed or typed. The information on this form will be used to support the credits claimed on the corresponding Record of Qualification.
1.	Enter the name, middle initial and last name of the Applicant.
2.	Enter the Applicant's current job title or position with his/her Supervising Organization (e.g., Consultant, Manager, Chief Inspector, Process Engineer, Senior QC Engineer, etc.)
3.	Enter the name of your Supervising Organization (e.g., State of New Jersey, if employed by a State; ASME, if under contract with ASME).
4.	Enter the department or division in which the Applicant works, if applicable.
5.	Enter the Applicant's primary supervisor. If working under contract as a Consultant, enter the name of the primary contact of the organization with which the contract is held.
6.	Enter the street address and PO box number of the Applicant's Supervising Organization. If under contract as a Consultant, enter the address of the organization with which the contract is held.
7.	Enter the City, State/Province and zip code of the Applicant's Supervising Organization. If under contract as a Consultant, enter the information for the organization with which the contract is held.
8.	Enter the phone and fax numbers and the e-mail address of the Applicant's primary supervisor. If working under contract as a Consultant, enter the information for the primary contact of the organization with which the contract is held.
9.	Enter the Applicant's home address (i.e., Street Address, Apt. Number, City, State/Province and zip code). If the Applicant's mailing address is different than the home address, enter the mailing address.
10.	Enter the Applicant's home phone and fax numbers and e-mail address.
11.	Check the appropriate block and if the Applicant is a PE, enter the State(s) where registered.
12.	Enter the Applicant's membership in any professional organizations, the grade of membership and the number of years as a member of the professional organization (e.g., ASME, Fellow, 25 years; American Society for Quality, member, 14 years, etc.).
13.	Enter the Applicant's citizenship.
14.	Circle the highest grade or year of school completed (e.g., if you have two years of college, circle the number "2" on line A.2).
15.	<p>The Applicant is required to provide the name and address of the school attended, the dates attended, the course of study, and certificate, diploma, degree or credits accumulated. For example:</p> <ul style="list-style-type: none"> <li>• West Chester H.S., West Chester, PA – 1956 to 1960 – Commercial – Diploma</li> <li>• RCCI, Providence, RI – 1962 to 1964 – Engineering – 45 credits</li> </ul>
16.	<p>The Applicant is required to provide the needed information to support credits claimed for ASME Designee. For example:</p> <p>8/81 – 10/84      Company A                                    10 Main Street                                    Lakesville, MI 12345                                    Product Engineer                                    Al Smith            616-555-5462                                    Design Engineer responsible for calculations and drawings as part of pressure vessel.</p> <p>11/84 – 2/90      Self Employed                                    Consultant – Pressure Design</p> <p>3/90 – 2/00      Company B                                    11 Moving Street                                    Hills, CA 67891                                    Senior Product Engineer                                    Bill Bigger        606-986-1295                                    Design Engineer responsible for calculation for design of pressure vessel as an ASME                                    "U" Code Stamp Holder.</p>
17.	The Applicant is required to sign his/her name as it appears in Item (1) and date the application.

**EXHIBIT 2**

**RECORD OF QUALIFICATION FOR ASME DESIGNEE (AUDITOR)**

Name: (1)	Date: (2)	
Supervising Organization: Address: City/State/Zip: (3)		
<b>I. Qualification Requirements</b>		
<b>Education</b> (List the name and address of the school)	Max. 4 Credits	<b>Credits</b>
(a) High School or Equivalent:	(4)	0
(b) Associate Degree (1 Credit) or Associate Degree in Engineering, Physical Sciences, Mathematics, Quality Assurance (2 Credits):or	(5)	
(c) Bachelors Degree (2 Credits) or Bachelors Degree in Engineering, Physical Sciences, Mathematics, Quality Assurance (3 Credits):plus	(5)	
(d) Masters Degree in Engineering, Physical Sciences, Mathematics, Quality Assurance (1 Additional Credit):	(5)	
<b>II. Experience</b>		
(List the name and address of the company or organization)	Max. 10 Credits	
Technical (engineering, manufacturing, construction, quality assurance, auditing, operation, maintenance or inspection (1 credit for each year, with 6 credits maximum):	(6)	
(a) If 2 or more years are working with ASME (1 additional credit):	(6)	
(b) If 2 or more years are working with quality assurance (1 additional credits):(6)		
(c) If 2 or more years are working in auditing (2 additional credits):(6)		
<b>III. Professional Accomplishment</b>		
	Max. 2 Credits	
1. Certification by National or Professional Society (1 Credit):		
2. P. E. (1 Credit):	(7)	
<b>IV. Management Evaluation</b>		
	Max. 1 Credit	
Explain:	(8)	
<b>Total Credits</b>		(9)

**EXHIBIT 2**

Communication Skills: <span style="float: right;">(10)</span>			
<b>Training Course(s)</b> [Course Title or Topic and Location]:			
1.	(11)		
2.			
3.			
<b>V. Audit Participation</b> <span style="float: right;">(12)</span>			
Name of Company/Location	Date	Type of Audit	Lead Auditor
1.			
2.			
3.			
4.			
5.			
<b>VI. Examination</b> <span style="float: right;">(13)</span>			
Written _____ Date _____ Pass _____ Fail _____ Grade _____			
Oral _____ Date _____ Pass _____ Fail _____			
Interview _____ Date _____ Pass _____ Fail _____			
Supervising Organization's signature and Title: (14)			Date:



**EXHIBIT 2****Instruction for completing the “Record for Qualification for ASME Designee (Auditor)”**

No.	Description
1.	Enter the name, middle initial and last name of the Applicant.
2.	Enter the date the form was completed.
3.	Enter the name and address of the Applicant’s Supervising Organization (e.g., State of Massachusetts, if employed by a state; ASME, if under contract with ASME).
4.	Enter the applicant’s High School name and address or where the Applicant’s GED was obtained.
5.	List the degree and the name and location of the school where the degree was earned. Show the credits taken for each category.
6.	Enter the name and address of each Supervising Organization with dates and area of experience and record the credits taken. If additional space is required, reference any attached resume or supplemental sheets here. Include resume and supplemental sheet with this form.
7.	List the name of the Society or organization along with the certification/accomplishment for which credit is taken. List the state or states in which the Applicant is registered as a Professional Engineer. Record the credits taken.
8.	Give a brief explanation of why credit is being given (e.g., leadership, judgment, maturity, etc.) and enter the credits taken.
9.	Enter the total credits taken, which is the sum of Education, Experience, Professional Accomplishment and Management Evaluation.
10.	Give a brief description of the Applicant’s verbal and written communication skills.
11.	List only those training course(s) by title and location needed to support the Applicant’s auditing competency.
12.	Enter the name and location of the company, the type of audit (e.g., BPV Review; Nuclear Survey), the date performed, and the Lead Auditor on that audit.
13.	Indicate the type of examination, the date of the examination, and the results (i.e., pass or fail). If the examination was written, enter the grade.
14.	The Record is to be signed and dated by the Applicant’s Supervising Organization. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

**EXHIBIT 3**

**RECORD OF QUALIFICATION FOR ASME DESIGNEE (LEAD AUDITOR)**

Name: _____ (1)	Date: _____ (2)		
Qualified as an ASME Designee (Auditor) on: _____ (3)			
Supervising Organization: Address: _____ City/State/Zip: _____ (4)			
<b>I. Management Evaluation</b>			
Explain:  _____ (5)			
<b>Communication Skills:</b>  _____ (6)			
<b>Training Course(s)</b> [Course Title or Topic, Location and Date]:			
1. _____ (7)			
2. _____			
3. _____			
<b>II. Audit Participation</b> (8)			
Name of Company/Location	Date	Type of Audit	Lead Auditor
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
<b>III. Examination</b> (9)			
Written	_____ Date _____	Pass _____ Fail _____	Grade _____
Oral	_____ Date _____	Pass _____ Fail _____	
Interview	_____ Date _____	Pass _____ Fail _____	
Supervising Organization's signature and Title: (10)			Date: _____

**EXHIBIT 3**

**Instruction for completing the “Record for Qualification for ASME Designee  
(Lead Auditor)”**

No.	Description
1.	Enter the name, middle initial and last name of the Applicant.
2.	Enter the date the form was completed.
3.	Enter the date the Applicant qualified as an ASME Designee (Auditor).
4.	Enter the name and address of the Applicant’s Supervising Organization (e.g., of State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
5.	Give a brief explanation of the basis for credit(s) (e.g., assignment of Team, manual review, audit results presentations, etc.).
6.	Give a brief description of the Applicant’s verbal and written communication skills.
7.	List only those training course(s) by title and location needed to support the Applicant’s auditing competency.
8.	Enter the name of the company, the type of audit (e.g., BPV Review; Nuclear Survey), the date performed, and the Lead Auditor on that audit. Refer to 2.6 of the criteria.
9.	Indicate the type of examination, the date of the examination, and the results (i.e., pass or fail) If the examination was written, enter the grade.
10.	The Record is to be signed and dated by the Applicant’s Supervising Organization. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

**EXHIBIT 4**

**MAINTENANCE OF CERTIFICATION FOR ASME DESIGNEE**

Name: <b>(1)</b>	Date: <b>(2)</b>		
Certificate # ( <b>(3)</b> ) Exp. Date ( <b>(3)</b> )			
Supervising Organization:			
Address: <b>(4)</b>			
<b>I. TRAINING (5)</b>			
Course Title, Location and Date; identify organization that conducted the training:			
1.			
2.			
<b>II. AUDIT (REVIEWS/SURVEYS) PARTICIPATION FOR EACH PROGRAM (6)</b>			
Name of Company/Location	Type of Audit	Type of Role	Date
1.			
2.			
3.			
<b>III. PERFORMANCE EVALUATION (7)</b>			
All of the following should be addressed:			
<ul style="list-style-type: none"> <li>• Auditing technique and style:</li> <li>• Knowledge of applicable Codes and Standards:</li> <li>• Written correspondence:</li> <li>• Areas needing improvement and suggested training, as appropriate:</li> <li>• Overall Evaluation:</li> </ul>			
<b>Evaluator's Signature and Title: (8)</b>			<b>Date:</b>
_____			_____

## EXHIBIT 4

### Instruction for completing the “Maintenance of Certification for ASME Designee”

No.	Description
1.	Enter the name, middle initial and last name of the Designee.
2.	Enter the date the form was completed.
3.	Enter the Designee’s ASME Certificate number and expiration date.
4.	Enter the name and address of the Applicant’s Supervising Organization (e.g., of State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
5.	List only those training course(s) by title/topic and location needed to support the Applicant’s auditing competency and knowledge of Codes, standards and relevant technologies Refer to 4.2 of the Criteria.
6.	Enter the name of the company, the type of audit (e.g., BPV Review; Nuclear Survey), the type of role (e.g. Team Leader, Team Member) and the date performed.
7.	Enter the appropriate evaluation for each element.
8.	The Record is to be signed and dated by the Applicant’s Supervising Organization. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

**EXHIBIT 5**

**REQUALIFICATION OF ASME DESIGNEE  
(1)  AUDITOR     LEAD AUDITOR**

Name: _____ (2)	Date: _____ (3)		
Supervising Organization: _____			
Address: _____ (4)			
City/State/Zip: _____			
<b>I. REQUALIFICATION</b>			
Training Course(s) [Course Title or Topic and Location]:			
1. _____ (5)			
2. _____			
3. _____			
4. _____			
5. _____			
<b>II. AUDIT (Reviews/Surveys) PARTICIPATION (6)</b>			
Name of Company/Location	Type of Audit	Date	Lead Auditor /Auditor
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
6. _____	_____	_____	_____
7. _____	_____	_____	_____
<b>III. EXAMINATION (7)</b>			
Written	_____ Date _____	Pass _____ Fail _____	Grade _____
Oral	_____ Date _____	Pass _____ Fail _____	
Interview	_____ Date _____	Pass _____ Fail _____	
Examiner / Examining Organization _____			
Supervising Organization's signature and Title: _____ (8)			Date: _____

**EXHIBIT 5**

**Instruction for completing the “Requalification of ASME Designee  
(Auditor or Lead Auditor)”**

No.	Description
1.	Indicate whether the Requalification is for an Auditor or Lead Auditor.
2.	Enter the name, middle initial and last name of the Applicant.
3.	Enter the date the form was completed.
4.	Enter the name and address of the Applicant’s Supervising Organization (e.g., of State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
5.	List only those training course(s) by title/topic and location needed to support the Applicant’s auditing competency. Refer to 2.3 of the Criteria.
6.	Enter the name of the company, the type of audit (e.g., BPV Review; Nuclear Survey), and the date performed.
7.	Indicate the type of examination, the date of the examination, and the results (i.e, pass or fail). If the examination was written, enter the grade.
8.	The Record is to be signed and dated by the applicant’s Supervising Organization. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

**EXHIBIT 6**

**RENEWAL APPLICATION  
FOR ASME DESIGNEE  
[ ] B&PV TEAM LEADER [ ] TEAM LEADER [ ] AUDITOR**

Name: (1)		Certificate No.: (2)		Expiration Date: (3)	
Supervising Organization: (4)					
Address: (4)			City: (4)	State: (4)	Zip: (4)
Supervisor's Name and Title: (5)					
<b>TRAINING SEMINAR</b> – (Each Designee is required to attend a refresher course for revisions and changes that affect the requirements of the quality program conducted by ASME, or an ASME Designated Organization every two years.) Please list in chronological order the seminars attended by Date, Title, Location and Conducted By during this 5 year Certification period below:					
<b>Chronological Order</b>	<b>Date</b>	<b>Title</b>	<b>Location</b>	<b>Conducted By</b>	
First		←(6)→			
Second					
Third					
<b>AUDIT PARTICIPATION</b> – (Each certified Designee must participate in at least one audit (survey or review) every twelve months using the criteria established in “Conduct of ASME Surveys, Reviews, Audits, Investigations and Interviews”. This audit must be a complete survey or review such that it shall include at least one day of on-site activity.) Please list in chronological order the date of review, Company, Location, and Conducted By during this 5 year Certification period below:					
<b>Chronological Order</b>	<b>Date of Review</b>	<b>Company</b>	<b>Location</b>	<b>Conducted By</b>	
First		←(7)→			
Second					
Third					
Fourth					
<b>ANNUAL EVALUATION</b> – (To comply with this requirement, the Supervising Organization shall evaluate the individual's performance by completing the Maintenance of Certification Form and submit it to ASME Staff annually.) Please list in chronological order the Date of Evaluation and Conducted By and Title during this 5 year Certification period below:					
<b>Chronological Order</b>	<b>Date of Evaluation</b>	<b>Conducted By and Title</b>			
First		←(8)→			
Second					
Third					
Fourth					
<b>CERTIFICATION</b>					
In accordance with ASME “Standard Qualification Criteria For Designees,” I certify that the individual listed above has maintained his/her proficiency as an ASME Designee and that the ASME Certificate can be renewed.					
_____ (Supervisor's Signature)			_____ (Date)		

**Instruction for completing the  
“Renewal Application” for ASME Designee**



**EXHIBIT 6**

No.	Description
1.	The name, middle initial and last name on the ASME Designee's Certificate or Card.
2.	The Certificate or Identification Card Number.
3.	The expiration date as shown on the Certificate or Card.
4.	The name and address of Organization (Main Office) that the individual works for or under contract.
5.	The name and title of the individual's Supervisor.
6.	List in chronological order the seminars attended by Date, Title, Location and Conducted By. For example: During the five year Certificate validation as an ASME Designee, the individual shall have attended at least two seminars during the first five years and at least three during the second five years, the third five years at least two seminars, the fourth five years at least three seminar, etc.
7.	List in chronological order the date of review, Company, Location, and Conducted By for each year during this five year Certificate period.
8.	List in chronological order the Date of Evaluation and Conducted By for each year during this five year Certification period.
9.	The Record is to be signed and dated by the individual's Supervisor named above.

**TABLE 2.5, EVALUATION OF AUDITOR CANDIDATES**

<b>Auditor/Lead Auditor Competencies</b>	<b>Evaluation Methods</b>
Management skills – leadership, sound judgment, maturity, analytical ability, tenacity, etc. (2.1.4)	<ul style="list-style-type: none"> <li>• Attestation by Supervising Organization</li> <li>• Direct observation</li> </ul>
Communication skills – written and oral (2.2)	<ul style="list-style-type: none"> <li>• Attestation by Supervising Organization</li> <li>• Direct observation</li> <li>• Review of reports and other written communication</li> </ul>
Knowledge and understanding of the related Codes and Standards (2.3)	<ul style="list-style-type: none"> <li>• Documented experience</li> <li>• Documented education and training</li> <li>• Direct observation</li> <li>• Examination</li> <li>• Interview</li> </ul>
Knowledge of general structure of quality programs as a whole and applicable elements (2.3)	<ul style="list-style-type: none"> <li>• Documented experience</li> <li>• Documented education and training</li> <li>• Direct observation</li> <li>• Examination</li> <li>• Interview</li> </ul>
Knowledge of auditing techniques – examining, questioning, evaluating, and reporting methods of identifying and following up on corrective action items, and closing out audit findings (2.3)	<ul style="list-style-type: none"> <li>• Documented experience</li> <li>• Documented education and training</li> <li>• Direct observation</li> <li>• Examination</li> <li>• Interview</li> </ul>
Knowledge of auditing of quality-related functions such as the following activities: designing, purchasing, fabricating, handling, shipping, receiving, storing, cleaning, erecting, installing, inspecting, testing, maintaining, repairing, and modifying components(2.3)	<ul style="list-style-type: none"> <li>• Documented experience</li> <li>• Documented education and training</li> <li>• Direct observation</li> <li>• Examination</li> <li>• Interview</li> </ul>

**TABLE 6.6 RECORD RETENTION**

<b>Exhibit</b>	<b>Title</b>	<b>Retention Period</b>	<b>ASME Office</b>	<b>Office other than ASME</b>
<b>INITIAL APPLICATION</b>				
1	Application Form For Designee	3 Years after services are no longer used	X	X
2	Record of Qualification for ASME Designee (Auditor)	3 Years after services are no longer used	X	X
	Examination results	3 Years after services are no longer used	X	X
	Review Report by the (Auditor Candidate, Survey Auditor or prospective BPV Team Leader)	3 Years after services are no longer used	X	X
	Evaluation Report of Auditor Candidate by the assigned ASME Designee	3 Years after services are no longer used	X	X
3	Record of Qualification for ASME Designee (Lead Auditor)	3 Years after services are no longer used	X	X
	Survey / Audit Report by the Lead Auditor Candidate	3 Years after services are no longer used	X	X
	Evaluation Report of Lead Auditor Candidate by the qualified Lead Auditor	3 Years after services are no longer used	X	X
<b>MAINTENANCE OF CERTIFICATION</b>				
4	Maintenance of certification for ASME Designee	Replace after receipt and verification of information on the Renewal Application	X	X
6	Renewal Application	Until Replaced*	X	X
<b>REQUALIFICATION</b>				
5	Requalification of ASME Designee	Until Replaced*	X	X
<b>RECERTIFICATION</b>				
	Evidence of previous certification	Until Replaced*	X	X
2 and/or 3	Record of Qualification for ASME Designee	Until Replaced*	X	X
	Evidence of actively working	Until Replaced*	X	X

\* Replaced by a later revision or replacement document.

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## APPENDIX A, REQUIREMENTS RELATING TO NUCLEAR CERTIFICATION (CNC)

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This appendix sets forth the requirements for ASME Designees who either lead or participate in conformity assessment activities relating to Nuclear Certification (CNC). On reading the basic Criteria document, the following additions apply to the standard wording:

### 2 QUALIFICATIONS

**Par. 2.1.2(b)** For Candidates seeking certification as an auditor or lead auditor for Nuclear programs the following applies to Par.2.1.2(b): “If two or more years of this experience has been in nuclear quality assurance, score one additional credit; and”

**Par. 2.1.2(c)** For Candidates seeking certification as an auditor or lead auditor for Nuclear programs the following applies to Par.2.1.2(c): “If two or more years of this experience has been in nuclear auditing, score two additional credits.”

**Par. 2.5.1.1** For Candidates seeking certification as an auditor or lead auditor for nuclear programs the following additional requirement applies to Par.2.5.1.1: “An Interview with ASME’s Senior Nuclear Consultant shall be conducted to address areas of knowledge the candidate will encounter in the performance of duties as a Nuclear Auditor or Lead Auditor. The body of knowledge to be addressed is described in 2.3. All aspects of the interview shall be documented.”

## **APPENDIX B, REQUIREMENTS RELATING TO “SPECIALTY TEAM MEMBER” CERTIFICATION**

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This appendix sets forth the requirements for individuals to be a participant in ASME conformity assessment activities due to their unique knowledge and skill set within a particular ASME Certification or Accreditation program.

### **1. Selection of a Specialty Member**

A candidate who will participate on a Survey or Joint Review of companies requesting new or renewed certification, shall meet the following requirements:

- (a) Submit a Curriculum Vitae with emphasis on the specialty area being sought.
- (b) Submit an application to become an ASME Designee (Exhibit 1). The education, training, and experience shall support the specialty area being sought.
- (c) Submit Record of Qualification For ASME Designee (Exhibit 2).

### **2 QUALIFICATIONS**

Candidates for Specialty Team Members shall be evaluated by interview to assess the candidate’s relevant knowledge to a particular ASME Conformity Assessment program per 2.5. All aspects of the interview shall be documented. The results of the evaluation shall be acceptable within the parameters established by this procedure. ASME staff shall perform the review of each Candidate’s application package for compliance to the requirements of this procedure (i.e., is each of the competencies noted in Table 2.5 addressed and evaluated in the application package).