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STANDARDS & CERTIFICATION

# CONFORMITY ASSESSMENT POLICIES

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#### **CAP-1 USE OF ASME MARK DURING AN APPEAL**

The use of the ASME mark for certification may be allowed by the Society until a decision is made on an appeal of an action of an ASME Subcommittee, Committee or Board.

#### **CAP-3 DEFINITION OF AN ASME DESIGNEE**

An ASME Designee is an individual authorized by ASME to act on its behalf for the purpose of performing reviews, surveys, audits, and examinations of organizations or persons holding, or applying for, accreditation or certification in accordance with the ASME Code or Standard.

- (a) An ASME Designee can be any of the following:
  - (1) Any individual or an employee of a not-for-profit organization or government agency and is not otherwise disqualified under (b) below;
  - (2) Any individual who is not employed by the organization being reviewed and doesn't engage in work of a conflicting nature.
- (b) An ASME Designee cannot be any of the following:
  - (1) An Employee of the Authorized Inspection Agency (AIA) performing "in-house" inspection for the organization under review, (This provision is not intended to disallow the present practice of individuals employed by the AIA which may have an inspection agreement with the organization under review from participating with the Team. Such individuals are not participating as the ASME Designee).
  - (2) An employee of another organization applying for, or holding, ASME accreditation in the program for which the individual is acting as a Designee. This provision does not apply to Industry Representatives for certification programs or ASME Designees assigned by The National Board of Boiler and Pressure Vessel Inspectors for the Pressure Relief Device Laboratory program.
  - (3) An ASME employee engaged in work related to that being reviewed or audited.
  - (4) Members and alternates of the ASME Board on Hearings and Appeals (BHA).
  - (5) An individual having a financial interest in the organization being reviewed.

#### **CAP-4 IDENTITY OF INDIVIDUALS IN CERTIFICATION ACTIVITIES**

In certification activities, the Certification Subcommittee shall not be advised of the identity of an individual, unless it is required that the individual appear at a hearing, and not be advised of the individual's employer unless it is relevant to the decision that needs to be made.

#### **CAP-6 NATIONAL BOARD STAMPING AND REGISTRATION OF DATA REPORTS**

It is neither required nor prohibited to register Data Reports with the National Board nor display the National Board registration stamp on products on which a manufacturer applies the ASME Product Certification Mark.

**CAP-7 ADMINISTRATION OF ACCREDITATION AND CERTIFICATION PROGRAM**

ASME will administer all of its accreditation and certification programs and that this directive be fully implemented by January 1, 1995.

As an example, administration includes but is not limited to ASME assignment of BPV Review Team Leaders where:

- (a) the Enforcement Authority has not designated an ASME Designee;
- (b) there is no Enforcement Authority; or
- (c) the Enforcement Authority serves as the Authorized Inspection Agency.

Such administration is in accordance with the words of the BPV Code.

**CAP-9 CONFIDENTIALITY STATEMENT**

It is required that all Conformity Assessment Committees and BCA members and alternates sign a confidentiality statement, when appointed to the Committee or Board.

**CAP-10 JOINT VENTURES APPLYING FOR ASME ACCREDITATION**

Joint Venture - Partnership

- (a) ASME Certificates may be issued on individual project or job basis. Requests for Certificates for a Joint Venture partnership which proposes to enter business on a continuing basis, beyond an individual project, shall require further consideration by the responsible Committee or Subcommittee.
- (b) All partners in the Partnership must sign the application with the Partner having overall responsibility identified in the form.
- (c) All Codes or Standards requirements must be met by the Joint Venture.

Joint Venture - Incorporated. Treated as a separate corporation which must meet all Codes or Standards requirements as an individual entity. Relationships between founding organizations are not considered.

**CAP-11 DEFINITION OF ENFORCEMENT AUTHORITY**

Enforcement Authority: A government entity that enforces regulations or laws and which formally recognizes an ASME Code or Standard as a means of compliance with those regulations or laws.

**CAP-12 POLICIES ON CONFLICT OF INTEREST, CODE OF ETHICS AND CONFIDENTIALITY FOR ASME DESIGNEES**

All ASME Designees shall be required to agree to adhere to the Society's Policy on Conflict of Interest, the Code of Ethics of Engineers and the Confidentiality Policy.

Alternative policies imposed by Enforcement Authorities on their employees satisfy this requirement.

**CAP-13 ESTABLISHMENT OF CONFORMITY ASSESSMENT PROGRAMS**

Any ASME conformity assessment program being established must be based on a Code or Standard, in accordance with CSP-20, and not only on a Code Case.

**CAP-14 ACCESS TO CONFORMITY ASSESSMENT COMMITTEE AND SUBCOMMITTEE MEETINGS**

General access to Conformity Assessment Committee or Subcommittee meetings is limited to members and alternates of the Conformity Assessment Committee or Subcommittee, the ASME staff, the ASME Senior Consultant(s), members of the ASME Internal Audit Team and the Chair of BCA. Other specific individuals may be invited by the Chair of the Committee or Subcommittee to attend to provide information to the Committee or Subcommittee. Conformity Assessment Committees or Subcommittees may permit general access to others for portions of meetings when nonconfidential items are being discussed.

**CAP-15 PORTIONS OF REPORTS TO BE LEFT BY TEAMS AT ACCREDITATION AND PRODUCT CERTIFICATION ACTIVITIES**

ASME Teams will leave a written copy of findings and deficiencies and their status with the company for all accreditation and product certification activities.

Full reports will be made available to the company following review by staff.

**CAP-16 SCHEDULING OF REVIEWS AND SURVEYS**

All ASME reviews and surveys for accreditation and product certification activities shall be scheduled to assure the assigned Team has adequate time to perform a professional review or survey in accordance with current policies, procedures and practices.

Each review and survey shall be scheduled based on:

- (a) scope and type of accreditation or product certification activity;
- (b) complexity and size of the Applicant's program;
- (c) performing a complete review or survey in an efficient and effective manner;
- (d) minimal impact on the Applicant; and
- (e) an allowance for unexpected delays or problems which may require additional time.

Note: Reviews and surveys should not be scheduled causing the Team undue pressure to complete a review or survey in order to attend the next scheduled review or survey.

**CAP-17 CERTIFICATE NUMBERS**

It is the ASME policy to assign a new Certificate number when a Certificate expires, and a new Certificate is subsequently issued to the same company. However, exceptions to this policy may be made by ASME Conformity Assessment staff. There shall be no exceptions to the policy when there is a lapse in accreditation or certification for more than six months, except when a review/survey has been scheduled within three months after the expiration date of the Certificate and the Certificate and the recommendation to issue has not been processed.

**CAP-18 CERTIFIED INDIVIDUAL (CI)**

The Certified Individual authorized to provide designated oversight as defined in CSP-53 may also serve as the Certificate Holder's authorized representative responsible for signing data reports or certificates of conformance.

**CAP-19 MANUFACTURER'S "AUTHORIZED REPRESENTATIVE"**

The manufacturer's "Authorized Representative" for the signing and certification of data reports or certificates of conformance may be any individual so designated by the Certificate Holder's quality system program.

**CAP-20 REPRESENTATION OF THE APPLICANT/CERTIFICATE HOLDER BY OTHER PARTIES AT A CONFORMITY ASSESSMENT HEARING**

The designated party should evaluate whether or not it has a conflict of interest situation and should accept or decline to represent the Applicant/Certificate Holder.

Prior to the hearing, the Applicant/Certificate Holder must provide in writing to the Committee or Subcommittee the name of the individual(s) and/or designated organization to represent them and a description of the responsibility and authority granted to said designated party to act on its behalf.

If the designated party has a representative on the Conformity Assessment Committee or Subcommittee, the member shall not vote on the outcome of the hearing because of potential conflict of interest.

**CAP-21 CRITERIA FOR REAPPLICATION OF AN ASME CERTIFICATION MARK**

- 1 After an item has been certified under an ASME standard, if the ASME certification mark (e.g. Code Symbol Stamp) becomes indistinct or the nameplate is illegible or lost, but traceability to the original certification can be established, the certification mark may be reapplied to the item.
- 2 Reapplication of certification marks shall only be permitted under the following conditions:
  - 2.1 The owner has requested the reapplication.

- 2.2 Where applicable, the Jurisdiction has granted the request for reapplication.
  - 2.3 The reapplication shall be performed by the original manufacturer of the Code item. Where responsibility to the original Code certification has been maintained, reapplication by a successor organization to the original manufacturer is permitted.
  - 2.4 The reapplication shall be authorized and witnessed by an Inspector from an ASME accredited Authorized Inspection Agency, or by an authorized representative of the Qualified Inspection Organization or a Certified Individual, as applicable under the associated certification program.
  - 2.5 The reapplication of the mark shall be documented on a data report form which is retained as required for the original data report.
- 3 Reapplication of the certification mark shall only be provided to restore evidence of original compliance with the standard. Reapplication of the mark shall not be applied for certification of the current condition of the item or for certification to different requirements than originally constructed.

#### **CAP-22 AUTHORIZED INSPECTION AGENCY OF RECORD**

1. This policy only applies to Certificates of Authorization for which the Code requires an Authorized Inspection Agency.
2. As a condition of obtaining, maintaining, and working under certain types of ASME Certificates of Authorization (Sections I, III, IV, VIII, X and XII) the Certificate Holder must have in force at all times an inspection contract or agreement with an accredited Authorized Inspection Agency (AIA).
3. The AIA identified on the ASME application for a new issuance or renewal of Certificates of Authorization is known as, and hereafter referred to as, the Authorized Inspection Agency of Record. The AIA of Record is responsible for all inspection services under the scope of the Certificate of Authorization.
4. Certificate Holders are required to submit to ASME a request for use of an additional AIA. ASME may grant the use of an additional AIA in lieu of the AIA of Record when:
  - a. The AIA of Record confirms they are unable to perform their required inspections, or
  - b. The item will be supplied to a second party, who is a valid ASME Certificate Holder, and as part of the contract requirements requires the use of the second party's AIA of Record.

5. At the discretion of ASME, ASME is permitted to audit the activities performed by the Certificate Holder and additional AIA(s), and may require the additional AIA(s) to be present at a Review, at the expense of the Certificate Holder.

The provisions for the use of an AIA other than the AIA of Record are not permitted for facilities operating under the mass production provisions of the Code.



## APPENDIX SUMMARY OF CHANGES

| Policy No. | BCA Action No. | Change  |
|------------|----------------|---------|
| CAP-1      | 88-06.2        | Added   |
| CAP-2      | 91-23          | Added   |
|            | Ballot 10-13   | Deleted |
| CAP-3      | 91-23          | Added   |
|            | 96-126         | Revised |
|            | Ballot 01-29   | Revised |
| CAP-4      | 92-27.2        | Added   |
| CAP-5      | 93-42-14       | Added   |
|            | Ballot 10-13   | Deleted |
| CAP-6      | 94-9           | Added   |
|            | 12-16          | Revised |
| CAP-7      | 94-10          | Added   |
|            | 96-125         | Revised |
| CAP-8      | 94-20          | Added   |
|            | Ballot 10-13   | Deleted |
| CAP-9      | 94-130         | Added   |
|            | Ballot 01-30   | Revised |
|            | Ballot 10-13   | Revised |
| CAP-10     | 95-26          | Added   |
| CAP-11     | 95-30          | Added   |
| CAP-12     | 96-127         | Added   |
| CAP-13     | 97-58          | Added   |
|            | Ballot 10-13   | Revised |
| CAP-14     | 97-72          | Added   |
|            | Ballot 10-13   | Revised |
| CAP-15     | 97-73          | Added   |
|            | Ballot 10-13   | Revised |
|            | 12-37          | Revised |

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|--------|--------------------|---------|
| CAP-16 | 98-22              | Added   |
|        | 98-65              | Revised |
|        | Ballot 10-13       | Revised |
| CAP-17 | 99-23              | Added   |
|        | 15-588             | Revised |
|        | BCA 8/4/15 Minutes | Revised |
| CAP-18 | 03-07              | Added   |
| CAP-19 | 03-07              | Added   |
| CAP-20 | Ballot 03-30       | Added   |
|        | Ballot 10-13       | Revised |
| CAP-21 | Ballot 07-01       | Added   |
| CAP-22 | Ballot 07-07       | Added   |
|        | Ballot 15-1694     | Revised |
|        | Ballot 16-3496RC1  | Revised |
|        | Ballot 18-2660     | Revised |