

# CONFORMITY ASSESSMENT POLICIES

*Effective Date: May 6, 2020*

## CONTENTS

<u>CAP</u>	<u>Page Number</u>
1 Use of ASME Mark during an Appeal.....	3
2 Deleted	
3 Definition of an ASME Designee .....	3
4 Identity of Individuals in Certification Activities .....	3
5 Deleted	
6 National Board Stamping and Registration of Data Reports .....	3
7 Administration of Accreditation and Certification Program .....	4
8 Deleted	
9 Confidentiality Statement.....	4
10 Joint Ventures Applying for ASME Accreditation.....	4
11 Definition of Enforcement Authority .....	4
12 Policies on Conflict of Interest, Code of Ethics and Confidentiality for ASME Designees.....	5
13 Establishment of Conformity Assessment Programs .....	5
14 Access to Conformity Assessment Committee and Subcommittee Meetings.....	5
15 Portions of Reports to be Left by Team at Accreditation and Product Certification Activities.....	5

---

16	Scheduling of Reviews and Surveys .....	5
17	Certificate Numbers.....	6
18	Certified Individual (CI) .....	6
19	Manufacturer's "Authorized Representative" .....	6
20	Representation of the Applicant/Certificate Holder by other Parties at a Conformity Assessment Hearing .....	6
21	Criteria for reapplication of an ASME Certification Mark .....	7
22	Authorized Inspection Agency of Record .....	7
23	Performance of Designated Oversight Activities .....	8
Appendix	Summary of Changes.....	9

#### **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 stamping of the Certification Mark with appropriate designator becomes indistinct or the nameplate is illegible or lost, but traceability to the original certification can be established, the Single Certification Mark and designator may be reapplied to the item. For the purpose of this provision, application of the Single Certification Mark with the appropriate designator shall be equivalent to the Code Symbol stamping required by earlier Code editions and addenda if applicable.
2. Reapplication of the Certification Mark and designator shall only apply to finished and completed components, and not apply to parts that have been assembled/installed into a finished component.
3. Reapplication of the Single Certification Mark and designator shall only be permitted under the following conditions:
  - (a) The Owner has requested the reapplication of the Single Certification Mark and designator by the original Certificate holder.
  - (b) Where applicable, the jurisdiction has granted permission for the reapplication.
  - (c) The reapplication shall be performed by the original Certificate holder. Where responsibility for the original Code certification has been maintained, reapplication by a successor organization to the original Certificate holder is permitted.
  - (d) The reapplication shall be authorized and witnessed by any National Board Commissioned Inspector providing designated oversight for the protection of the Single Certification Mark as governed by the relevant standard on which the Single Certification Mark is based.

## **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.

### **CAP-23 PERFORMANCE OF DESIGNATED OVERSIGHT ACTIVITIES**

The protection of the ASME Mark under Codes and Standards Policy (CSP) 53 establishes the general requirements for designated oversight and identifies the utilization of Certified Individuals (CI), Authorized Inspectors (AI), and Qualified Inspectors (QI).

The duties and responsibilities of the Authorized Inspection Agency (AIA), Qualified Inspection Organization (QIO), and Certified Individuals (CI), providing designated oversight for the protection of the use and application of the ASME Mark in accordance with the appropriate ASME codes and standards, shall be performed by the individual on-site at the facility where activities are being performed under an ASME certificate.

During a time of crisis that jeopardizes people's safety, health, and welfare, such as, but not limited to, natural disaster, public health crisis, regional instability, or government-imposed restrictions prohibiting travel to a region, the Certificate Holder employing Certified Individuals, Authorized Inspectors, or Qualified Inspectors, shall inform ASME when continued operations affect the safety, health and welfare of its employees. ASME shall deem an event to be a crisis when credible sources of information indicate that factors beyond the control of the Certificate Holders are of a significant magnitude and rise to the level of a state of an emergency to impact the operations of multiple Certificate Holders under an ASME accreditation or certification scheme within a region of a country, a country, or multiple countries.

During the time of a crisis, the use of technology supporting live audio, video, and sharing of documents electronically fulfills the requirement for designated oversight activities to be performed on-site at the facility. The measures to control this activity and the technology to be used shall be found acceptable to the ASME, the AIA, and the Certificate holder. Acceptance is based on providing reasonable assurances that the activities are performed at a level of equivalency to that of being physically present on site of the facility where activities are performed under an ASME certificate. These activities are subject to an ASME surveillance.



## 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

---

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
	Ballot 19-3361	Revised
CAP-22	Ballot 07-07	Added
	Ballot 15-1694	Revised
	Ballot 16-3496RC1	Revised
	Ballot 18-2660	Revised
CAP-23	Ballot 20-1254	Added