Module B - Process
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B3. Conformity Assessment: Roles and Responsibilities – Volunteers and Staff
Objectives

This submodule will explain the roles and responsibilities of Conformity Assessment volunteers and staff.
AGENDA

I. Overview
II. Codes and Standards Board of Directors, Board and Committees
III. ASME Consultants, Designees and Designated Organizations
IV. Conformity Assessment Staff

Agenda
Part I - Overview
Conformity Assessment

Board on Conformity Assessment (cont’d):
The Board on Conformity Assessment carries out its work through these groups:
The Standards Committees
The Accreditation, Certification and Registration Committees
The Conformity Assessment Staff
ASME Consultants, Designees and Designated Organizations

Let’s take a look at how each of these groups contributes to the process.

NOTE: Submodule B9, ASME Conformity Assessment Programs, addresses the relationship between the Board on Conformity Assessment activities and those of Standards Committees reporting to other Supervisory Boards.
Part II – Codes and Standards Board of Directors, Board and Committees
Codes and Standards Board of Directors

Conformity Assessment responsibilities:
Some of the specific responsibilities of the Codes and Standards Board of Directors with regard to Conformity Assessment are:
- Establishment of overall policies governing the operations of registration, accreditation and certification
- Approval of the membership of the Board on Conformity Assessment
- Annual evaluation of Codes and Standards programs and activities, to determine continuation or sun-setting
- The final level of due process within the Society for appeals related to accreditation, registration, and certification, accomplished through its Board on Hearings and Appeals.
Board on Conformity Assessment

Responsibilities:
Supervise Conformity Assessment Programs, including
Approval of procedures
Approval of committees reporting to BCA
Supervision of the internal audit program
Establish policies for protection of ASME marks

NOTE: Internal audits are conducted for various aspects of the Conformity Assessment Programs (e.g., conduct of review/survey; conduct of Accreditation Subcommittee meeting; ASME Conformity Assessment Dept.; Designated Organization activities.) The purpose of internal audits is to verify compliance with pertinent procedural requirements and provide recommendations for possible improvement of the program.
Board on Conformity Assessment

Responsibilities (cont’d):
Works with Standards Committees on accreditation and certification requirement issues
Approves the criteria and selection procedures for ASME Designees
Prepares positions and policies for approval by Codes and Standards Board of Directors

NOTE: The board receives recommendations from committees reporting to it and communicates policies to them.
Standards Committees

Responsibilities:
Standards Committee:
Create Accreditation and Certification Subcommittees (or may act as the Accreditation or Certification Subcommittee)
Approve personnel of Accreditation or Certification Subcommittees
Approve standards containing criteria upon which accreditation or certification action is considered
Recommend BCA approval of Accreditation or Certification Subcommittee Procedures
Accreditation, Certification and Registration Committees

The Accreditation, Certification and Registration committees do this:
Approve the issuance, renewal, extension, revision, and withdrawal of Certificates
Review and evaluate all apparent deficiencies, non-conformities, or alleged violations and the corrective actions taken
Recommend changes for the improvement of the program
Prepare Committee Procedures for BCA approval
POP QUIZ #1

Establishment of criteria for qualification of ASME Designees is the responsibility of

a. Codes and Standards Board of Directors
b. Board on Conformity Assessment
c. Standards Committees
d. Accreditation, Certification and Registration Committees

Pop Quiz #1

Answer: b
Part III – ASME Consultants, Designees and Designated Organizations

Some of the people and organizations the Board on Conformity Assessment uses to carry out its work are not actually members of ASME staff or ASME committees. These are the ASME Consultants, Designees and Designated Organizations.
ASME Designee & Consultant

**Definition – Designee:**
An ASME Designee is an individual authorized by ASME to act on its behalf for the purpose of performing reviews, surveys, assessments, audits, surveillances, investigations and examinations of organizations or persons holding, or applying for, accreditation or certification in accordance with the ASME Code or Standard or for ISO Registration. ASME Designees are either under contract to ASME, or employed either by Jurisdictions or The National Board of Boiler and Pressure Vessel Inspectors.

**Definition – Consultant:**
An ASME Consultant is an ASME Designee under contract to ASME.
ASME Designee

An ASME Designee may be any of the following:
Any individual or an employee of a not-for-profit organization or government agency and is not otherwise disqualified below;
Any individual who is not employed by the organization being reviewed and doesn't engage in work of a conflicting nature.

An ASME Designee may not be any of the following:
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).
An employee of another organization applying for, or holding, ASME accreditation or certification 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.
An ASME employee engaged in work related to that being reviewed or audited.
Members and alternates of the ASME Board on Hearings and Appeals (BHA).
An individual having a financial interest in the organization being reviewed.
ASME Designee (cont’d)

Certification:
ASME Designees are accepted by the ASME Committee on Consultants and Designees based on criteria approved by BCA. The ASME Committee on Consultants and Designees reports to the Board on Codes and Standards Operations.
ASME Designated Organization

Definition:
An ASME Designated Organization is an organization designated by ASME to perform administrative functions defined in ASME Codes and Standards.

For example, The National Board of Boiler and Pressure Vessel Inspectors is the Designated Organization responsible for:
BPV Team Leader Examinations
Team Leader Seminars for Continued Certification
Pressure Relief Device and Testing Laboratory Reviews
ASME Designated Organization (cont’d)

Authorization:
An organization is designated by ASME through an agreement based on ASME accepted criteria.
Pop Quiz #2

Answers: c, d
Part IV - Conformity Assessment Staff

We will conclude this submodule by taking a look at the work of Conformity Assessment’s permanent staff.
Staff

Duties:
The duties of Conformity Assessment’s permanent staff include the following:
Act as Secretary for the BCA and Conformity Assessment Committees
Perform all administrative functions involved in the application for and issuance of Certificates, including new issuances, renewals, extensions, withdrawals and revisions
Monitor and schedule Conformity Assessment Teams
Monitor and assure training of ASME Consultants (cont’d)
Staff

Duties (cont’d):
Direct, coordinate and provide administrative support for ASME Consultants and Designees
Coordinate investigation of possible non-conformance by Certificate Holders that comes to the attention of the Society
Investigate improper use of ASME marks on products or in advertising by Certificate Holders and those who do not hold ASME Accreditation
Coordinate activities with other organizations, including jurisdictions and regulatory bodies
Provide staff operations and quality manuals
Assure the confidentiality of information with regard to Applicants
Pop Quiz #3

Answers:
1 e
2 d
3 f
Summary

I. Overview
II. Codes and Standards Board of Directors, Board and Committees
III. ASME Consultants, Designees and Designated Organizations
IV. Conformity Assessment Staff
REFERENCES

- Codes and Standards Board of Directors Procedures
- Assignment of Duties to the Codes and Standards Board of Directors by the Board of Governors
- Board on Conformity Assessment Operating Procedures
- Accreditation/Certification Committee Procedures
- Codes and Standards Policy CSP-19 ASME Designee and ASME Designated Organization
  - http://cstools.asme.org/wbpms/CommitteePages.cfm?
    Committee=A01000000&Action=7009
- Procedures on Standard Qualification Criteria for Designees for Accreditation Programs