

BOILER AND PRESSURE VESSEL CERTIFICATES OF AUTHORIZATION
AND
THE CERTIFICATION MARK



FOR
SECTIONS I, IV, VIII DIV. 1, VIII DIV. 2
VIII DIV. 3, X AND XII

Informational Handbook

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1. Introduction and General Information

The purpose of this Guide is to provide applicants with the necessary information to understand the process to obtain or renew an ASME Certificate of Authorization to use the ASME Certification Mark for the latest edition of the ASME Boiler and Pressure Vessel Code, Sections I, IV, VIII Div. 1, VIII Div. 2, VIII Div. 3, X and XII, as applicable.

The ASME Certification Mark is used to indicate that items stamped conform to the requirements of the latest edition of the ASME Boiler and Pressure Vessel Code, Sections I, IV, VIII Div. 1, VIII Div. 2, VIII Div. 3, X or XII, as applicable. The ASME Certification Mark can only be used by a company that holds a valid Certificate of Authorization to use the Certification Mark. The requirement for possession of an official Certification Mark and Certificate is for the purpose of safeguarding the use of the Certification Mark when the applicant certifies that the equipment is built to the requirements of the ASME Code. It is not the intention of ASME to unduly restrict the use of the Certification Mark, but rather to prevent unauthorized use under all circumstances. ASME Certificates of Authorization and the Certification Mark are furnished from this office only.

The various sections of the Boiler and Pressure Vessel Code and other ASME publications required for obtaining ASME Certificates are located in this [brochure](#). Subscription to the indicated sections of the ASME Boiler and Pressure Vessel Code is required for certification to assure that Code users have the latest applicable Code rules. Effective with the issuance of the 2007 Edition of the Boiler and Pressure Vessel Code, the electronic version, purchased from a licensed reseller is acceptable, as well as the published version by ASME. The ASME Boiler and Pressure Vessel Code is continuously revised and all revisions are published every two years as the Code follows a 2-year publication cycle with the current edition being the 2017 edition. The edition becomes mandatory six months after the date of publication. Reproduced/unauthorized documents from any source are not accepted for ASME Certification, as they provide no assurance of completeness or that the user will be made aware of revisions and interpretations of the applicable Code sections.

All applicants are required to complete and return to ASME the completed [ASME Accreditation/Certification Agreement](#). Certificates of Authorization to use the ASME Certification Mark are issued for 3-years except for the H (Cast Iron and/or Cast Aluminum) Certificates from Section IV and the UM (Miniature Pressure Vessels) Certificate from Section VIII, Div. 1, which are valid for one year. Refer to [Exhibit A](#) for complete listing of Certificates and Validity of Certificates of Authorization. Note that a UM Certificate can only be issued to Applicants during the period that a valid U or S Certificate is held.

Note that for most of the ASME Certificates of Authorization to use the ASME Certification Mark, an agreement with an ASME Accredited Authorized Inspection Agency (AIA) is required. Refer to [Exhibit A](#) for list of Certificates of Authorization requiring an agreement with an ASME Accredited AIA.

Note that the PRT Certificate is for Manufacturers of parts who do not perform or assume any design responsibility for the parts they manufacture. The PRT Certificate Holder's quality control system needs to describe how the design documents are received from the purchaser of the part, are controlled, and how the part is controlled while in the custody of the parts manufacturer. Note: Certificate Scopes are currently available only for Sections I, IV, VIII Div. 1 and XII.

Applicants are advised that registration of data report forms may be required by the legal authority of a state or municipality of the United States or province of Canada. Information regarding such requirements is available from the applicable legal authority or The National Board of Boiler and Pressure Vessel Inspectors, 1055 Crupper Ave., Columbus, OH 43229-1108; telephone (614) 888-8320; fax (614) 847-1147, email info@nationalboard.org or website www.nationalboard.org. Additionally, a Synopsis of Boiler and Pressure Vessel Laws, Rules and Regulations in the United States and Canada is available from The National Board of Boiler and Pressure Vessel Inspectors.

For assistance with the application or general questions, e-mail the Conformity Assessment Department at ca@asme.org

2. Application Process and Steps (New Certificates and Renewals)

The Applicant must complete the following steps in order to start the Certification Process to obtain a Certificate of Authorization to use the ASME Certification Mark:

- Application (New, Renewal or “New and Renewal” as applicable): Application must be completed and submitted through [CA Connect](#)
- Fees/Payments: Applicant must remit the required Review deposit and fees (refer to [Price Guide](#) for applicable deposits and fees)
- [ASME Accreditation/Certification Agreement Form](#): Applicant must complete and return the ASME Accreditation/Certification Agreement form.
 - o The completed ASME Accreditation/Certification Agreement Form must be e-mailed to ca@asme.org and physically mailed to the address herein:
ASME
Accreditation/Certification Processing Dept.
150 Clove Road
Little Falls, NJ 07424
- Authorized Inspection Agency (AIA) Inspection Agreement: For most of the Certificates, the Applicant must have an inspection agreement in place with an ASME Accredited Authorized Inspection Agency (AIA) (refer to [exhibit A](#) for list of Certificates requiring an AIA inspection agreement). Use this link to view the list of [Accredited Authorized Inspection Agencies](#).

For S, A, PP, E, M, H (other than Cast iron and/or Cast Aluminum), HLW, U, UM, U2, U3, RP, PRT and T Certificates:

Upon submittal of the completed application through [CA Connect](#), receipt of the completed ASME Accreditation/Certification Agreement form, and the proper fees (including Review deposit when applicable), ASME will request from the Applicant’s Authorized Inspection Agency (AIA) verification of an agreement for third party inspection (For applicable Certificates) and will verify the application for completeness. Once the Agreement with the AIA has been verified and the application reviewed for completeness, ASME will move forward with scheduling the Joint Review.

For Pressure Relief Devices (V, HV, UV, UV3, UD, TV and TD) Certificates

Upon submittal of the completed application through [CA Connect](#) and receipt of the completed ASME Accreditation/Certification Agreement form, as well as the Certificate and Certification Mark fees, ASME will notify the ASME Designated Organization, [The National Board of Boiler and Pressure Vessel Inspectors](#), to appoint an ASME Designee to conduct the review.

Note that for these Certificates, it is necessary that all required capacity certification tests be scheduled within ninety days from the date of the review. If the tests are not successfully completed within six months from the date of the review, a new review must be conducted. The website contains a list of [Testing Laboratories](#) Holding ASME Certificates of Acceptance for Conducting Tests of Pressure Relief Devices.

Renewal Process Additional Information – For Certificate Holders:

For Renewal of Certificates of Authorization, Certificate Holders are reminded by ASME ten months prior to the expiration date of the Certificates because of the time involved in the renewal process, which must be completed before the expiration date. ASME requests that you give this matter your immediate attention and complete the application in a timely manner along with the proper remittance to ASME. It is required that renewal applications, fees, and review deposit, as applicable, be received by ASME at least six months prior to the expiration date. If not received by at least six months before the expiration, the Certificate may expire on the expiration date, if the renewal process is not completed.

The H (Cast Iron and/or Cast Aluminum) Certificate of Authorization is issued for 1 year. An annual Joint Review is required to renew the Certificate and therefore an application must be completed and all associated fees remitted in order to schedule the Joint Review. The Joint Review is conducted by an ASME Designee appointed by ASME (No Authorized Inspection Agency involvement is required). It is required that renewal applications, fees, and review deposit, as applicable, be received by ASME at least five months prior to the expiration date.

The UM Certificate of Authorization is issued for 1 year, however the Joint Review is valid for 3 years. Renewal of the UM Certificate for Years 2 and 3 does not require a Joint Review, but rather an AIA Audit of your QCS to assure compliance with the Code requirements. ASME issues an e-mail notification to you and your AIA two months prior to the expiration day on the Certificate of Authorization, requesting the Audit be conducted. Once ASME is in receipt of a satisfactory report from your AIA, a new Certificate is issued. Note a renewal application need not be completed until the Renewal of the associated ‘S’ or ‘U’ Certificate is required.

For any manufacturer of mass produced or multiple duplicate pressure vessels or boilers operating to the requirements of Section VIII, UG-90(c)(2), Section IV, HG-515.4(b) Section X, RI-160 or Section XII, TS-200.7, the Team Leader is appointed by either ASME or the National Board of Boiler and Pressure Vessel Inspectors. In addition, the Jurisdiction is invited to appoint a third voting Team Member to participate on the review.

Certificate Holders have the option to request an extension for current work that is to be completed after the expiration of the current Certificate of Authorization. For more information refer to [Exhibit B](#).

3. Joint Review Process and Authority Conducting Review (ACR)

General.

The purpose of the Review Demonstration is to evaluate the Applicant's Quality Control System (QCS) and its implementation. The Joint Review will consist of an on-site evaluation of the Applicant's QCS encompassing both a review of the Applicant's written description (QC Manual) and a demonstration of implementation of the program. It is expected that fabrication functions be demonstrated using typical Code work. However they may be demonstrated using current work, a mock-up, or a combination of the two. Any current Code work ongoing at the time of the Joint Review is subject to the Team's review. While the Applicant must address each element of the QCS in the Code, the Applicant need only demonstrate those elements within the intended scope of activities that apply to their program.

For evaluation of the QCS, the Applicant must demonstrate to current Code rules sufficient administrative and fabrication functions of the QCS to show that they have the knowledge and ability to produce the Code items typical of those covered by the QCS. The written description and documentation which support understanding of the program must be in English.

The Applicant is required to complete the "Guide for ASME Review Teams for Review of Applicants" checklist applicable to the requested Certificate(s). Four checklists are available as follows:

- The [BPV "Pressure Relief Devices" Checklist](#): applicable to the V, HV, UD, UV3, UD3, TD and TV Certificates;
- The [BPV "RP" Checklist](#): applicable to the RP Certificate (Section X);
- The [BPV "H Cast Boilers" Checklist](#): applicable to the H (Cast Iron/Aluminum Boilers) Certificates; and
- The [BPV "General" Checklist](#): applicable to the A, M, PP, S, E, H, HLW, U, UM, U2, U3, PRT and T Certificates.

Each guide provides a checklist of the elements of a Quality Control System that need to be addressed. The Applicant is required to indicate the corresponding cross references to the provisions in their written description (QC Manual) which address these elements. The completed Guide must be provided by the Applicant to the ASME Review Team. The ["Information and Description of the ASME Joint Review Process for Applicants"](#) provides additional guidance to the Applicant and describes the phases of the Joint Review.

It is recognized that the scope of work, written description and implementation will vary from Applicant to Applicant. Therefore, the ASME Review Teams are advised that all aspects of this Guide may not apply and that this Guide may not outline all possible aspects of each Review. The Manual need not follow the format of this Guide.

Once the Joint Review has been completed, the Review Team will advise the Applicant of its recommendation to ASME and will issue the Qualification Review Report (QRR) along with all other pertinent Joint Review documentation to ASME for review.

Following receipt and evaluation of the QRR prepared by the Review Team, ASME will advise the Applicant that the Certificate(s) and Certification Mark(s) (as applicable) are to be issued or renewed for the length of time outlined in [Exhibit A](#), or that additional requirements must be met prior to further consideration of the application.

Authority Conducting Review (ACR)

The Joint Review is conducted by an ASME Designee acting as Team Leader, and a representative of the Accredited Authorized Inspection Agency (for Certificates that require an AIA Agreement), which is referred to as the "Review Team". The ASME Designee is appointed by the Jurisdiction, ASME, or an organization designated by the Jurisdiction (such as the National Board of Boiler and Pressure Vessel Inspectors). The AIA representative, known as the Authorized Inspector is appointed by the Authorized Inspection Agency.

An ASME Designee appointed by [ASME](#) conducts the review for the following:

- (1) [United States](#): Idaho, Wyoming, Puerto Rico and the Virgin Islands.
- (2) [Canada](#): All provinces.
- (3) All H (Cast Iron and/or Cast Aluminum) reviews
- (4) All RP reviews
- (5) All reviews where the Jurisdiction (State or Province) is the Authorized Inspection Agency (AIA).

An ASME Designee appointed by the [Jurisdiction](#) conducts the review for the following:

- (1) [United States](#): Alaska, Delaware, Hawaii, Louisiana, Minnesota, Nebraska, Oklahoma, Texas, Washington

An ASME Designee appointed by the [National Board](#) conducts the review for the following:

- (1) All Safety Valves and Safety Relief Devices (i.e. [V, HV, UV, UV3, UD, TV and TD](#)) reviews
- (2) United States: States other than those listed above for which either ASME or the Jurisdiction appoint the Designee (i.e. Alabama, Arizona, California, Florida, Indiana, Maine, etc.)

4. Payment Information – Deposit and Fees

The Applicant shall pay directly to the Jurisdiction, ASME, The National Board of Boiler and Pressure Vessel Inspectors, and Accredited Authorized Inspection Agency such charges for the qualification review as those bodies require.

For reviews conducted by an ASME Designee appointed by ASME, the Applicant is responsible for all the fees and expenses incurred by the ASME Designee while en route to and from, and at the Applicant's facility, and ASME administrative fees. Please refer to the ASME [Price Guide](#) for applicable Joint Review deposits and fees. Prices are based on USD and are subject to change. If you have any questions, please contact the ASME Conformity Assessment Department at ca@asme.org.

At the conclusion or termination of the review, an invoice will be rendered. The Applicant may be entitled to a refund of the excess deposit. If it is preferred that the refund be done electronically, please provide banking particulars in [CA Connect](#). If there is a balance due to ASME, Certificates and Stamps will not be issued until the invoice is paid.

For reviews conducted by an ASME Designee appointed by a Jurisdiction or Designated Organization, ASME will notify them and they will contact the Applicant concerning the scheduling of the review. They will provide information concerning any review deposit required. If you have any questions concerning who will appoint the ASME Designee to conduct your review, please contact ASME at ca@asme.org

For V, HV, UV, UV3, UD, TV and TD Certificates, a deposit for review is not required to be sent to ASME. The National Board of Boiler and Pressure Vessel Inspectors will advise the Applicant directly concerning the requirement for a deposit. The Applicant shall pay directly to the National Board of Boiler and Pressure Vessel Inspectors and Authorized Inspection Agency such charges for the qualification review as those bodies require. For those Certificates, ASME does, however, require that the Certificate fee, and fee for use of the Certification Mark be submitted to ASME with the application.

If the Applicant withdraws their application after the remittance is received by ASME, there is an administrative fee of \$1,000.00 which will be deducted from the original remittance.

Cancellation of review/survey dates and withdrawal of applications, where the review/survey is conducted by ASME, is subject to a monetary penalty.

EXHIBIT A			
ASME BPVC Certificates of Authorization			
Validity of Certificates and AIA Agreement Requirements			
BPVC Section	Certificates of Authorization	Certificate Valid For (In Years)	AIA Agreement Required (Yes/No)
Section I	S- Power Boiler	3	Yes
	A- Assembly of Power Boilers	3	Yes
	E- Electric Boilers	3	Yes
	M- Miniature Boiler	3	Yes
	PP- Pressure Piping	3	Yes
	V- Boiler Pressure Relief Valves	3	No
	PRT- Parts Fabrication	3	Yes
Section IV	H- Heating Boilers (except Cast Iron and/or Cast Aluminum)	3	Yes
	H- Heating Boilers (Cast Iron and/or Cast Aluminum only)	1	No
	HLW- Lined Potable Water Heaters	3	Yes
	HV- Heating Boiler Safety Valves	3	No
	PRT- Parts Fabrication	3	Yes
Section VIII, Div. 1	U- Pressure Vessels	3	Yes
	UM- Miniature Pressure Vessels	1	Yes ¹
	UV- Pressure Vessel Pressure Relief Valves (Div. 1 and Div. 2)	3	No
	UD- Pressure Vessel Pressure Relief Devices (Div. 1 only)	3	No
	PRT- Parts Fabrication	3	Yes
Section VIII, Div. 2	U2-Pressure Vessels (Alternative Rules for Pressure Vessels)	3	Yes
Section VIII, Div. 3	U3- High Pressure Vessels	3	Yes
	UV3- High Pressure Vessel Pressure Relief Valves	3	No
	UD3- High Pressure Vessel Pressure Relief Devices	3	No
Section X	RP-Fiber-Reinforced Plastic Vessels	3	Yes
Section XII	T- Transport Tanks	3	Yes
	TV- Transport Tanks Pressure Relief Valves	3	No
	TD- Transport Tanks Pressure Relief Devices	3	No
	PRT- Parts Fabrication	3	Yes

Note:

1. An AIA Agreement is required indirectly for the UM Certificate since it can only be issued to companies that already hold a Valid Certificate of Authorization for the 'S' or 'U' Certificates which require an AIA Agreement for Third Party Inspection.

EXHIBIT B

Extension Option for Certificate Holders to Complete Current Work after Expiration of Certificates

Certificate Holders have the option to request an extension to their current Certificate expiration date to complete current work. Such a request for extension to complete work in progress must be received, by ASME, thirty days prior to the current expiration date. A check for \$2,000.00 per Certificate must accompany the request. The request must contain information concerning a description of the work to be completed and when it is scheduled for completion. A copy of the request must be sent to the Jurisdiction for the location of the work in progress, and your Accredited Authorized Inspection Agency. The Certificate Holder shall also request their Accredited Authorized Inspection Agency to evaluate their present activity and provide a report to ASME. The evaluation shall include the current effectiveness of the management and quality control system relative to what was in place and presented to the ASME Review Team at the last review.

For V, HV, UV, UV3, UD, TV and TD, the National Board of Boiler and Pressure Vessel Inspectors must also be informed and requested to perform the evaluation. An extension, if granted, will be for six months, with no further extension. The extension will only cover work listed in the request. A Certificate Holder who voluntarily terminates a review in progress is not eligible for this type of extension of expiration date.