



Two Park Avenue

tel 1.212.591.7575

New York, NY

fax 1.212.591.8599

10016-5990

U.S.A.

www.asme.org

### **Information and Description of the ASME Joint Review Process for Applicant's Applying for ASME Boiler and Pressure Vessel Code Certification**

The intent of this notice is to supplement the information contained in the Applicant's Guide for ASME Review Teams for Review of Applicants for ASME Certificates of Authorization (A 1.20) (Checklist). The "Checklist" must be filled out by the Applicant prior to the Joint Review and submitted to the Team Leader for use during the Joint Review.

Applicants for new issuance or renewal of an ASME Certificate(s) of Authorization should be aware that the Joint Review will require implementation and demonstration of their Quality Control Program.

The ASME policies and Operating Procedures require the Joint Review Team to make a comprehensive review of the Applicant's Quality Control Manual prior to visiting the Applicant's facilities. The manual review is normally performed remote from the Applicant's facility.

The Applicant shall make ASME aware of any additional buildings operating as part of the Code facility at the time of submittal of the Application for Certification to ASME as extra time may be required to complete the Joint Review.

If there are additional buildings that need to be reviewed, Applications for these additional buildings shall be submitted to ASME prior to the Joint Review.

At the Entrance Meeting the Team Leader will verify with the Applicant's information contained in the Application and verify that the Agreement Form (Part of Application) has been signed by the Applicant.

For Certificate renewals, the Applicant shall provide the Team Leader with a listing of all Code work performed, both in the shop and at field sites, since the last Joint Review was conducted.

It is the responsibility of the Applicant to have at least two copies of their Q.C. Manual and the completed Applicant's Checklist available for the Joint Review Team's use prior to the Manual Review. The Q.C. Manual must be the latest edition/revision accepted by the AIA and currently in use. If the Applicant is proposing changes to the Manual, copies of the proposed changes shall be provided for review by the Review Team at the time the Manual is submitted.

It is acceptable to include conformity assessment provisions of requirements for non ASME programs (e.g. ISO 9000) in the quality control manual submitted to the Joint Review Team. However, these inclusions should be clearly identified and may increase the length of the time to complete the Joint Review. Also this may result in findings reported that are related to the inclusion of the non ASME requirements.

The Quality Control System (QCS) shall be demonstrated. The purpose of the demonstration is to have the Applicant provide evidence of their knowledge of and compliance with requirements of each Certificate and scope they are requesting. All elements of the Program must be demonstrated.

For Applicants requesting multiple stamps, it is not necessary to have a demonstration item with design calculations for each Code Section. An item fabricated to any one of the requested Certificates may be used as the demonstration item. However, if the demonstration item is not to the most stringent Code requirements, the Applicant must provide additional calculations or another documentation package that contains Code calculations to the most stringent Code requirements and administrative documentation to sufficiently demonstrate compliance with all aspects of the company's QC System. The demonstration item should be similar to the type of Code item normally manufactured by the Applicant.

To illustrate, an Applicant applying for "S" certification and normally manufactures power boilers, the demonstration would be a power boiler or power boiler part(s). The use of a B31.1 piping spool as a demonstration item for "S" certification is not acceptable since it does not demonstrate the ability to manufacture power boilers. Similarly the use of a B31.1 piping spool as a demonstration item for "U" certification is not acceptable since it does not demonstrate the ability to manufacture Pressure Vessels.

For Applicant(s) applying for U and U2 Certificates could demonstrate their QCS on a Section VIII, Div. 1 pressure vessel including design. However, due to the nature of Section VIII, Div. 2 requirements, in addition to the Section VIII Div. 1 demonstration, an Examination and Inspection Plan and Manufacturer's Design Report with supporting User Design Specification in accordance with Section VIII, Div. 2 would be prepared and presented. Certification of the Design documents by an Engineer meeting the criteria as defined in Section VIII, Div. 2 would also need to be demonstrated.

If there is any on-going Code work in the shop at the time the Joint Review is conducted, the Applicant will be required to use a Code item being fabricated for Demonstration.

If ongoing Code work is not sufficient in implementing all aspects of the Program then a mock-up shall be used to address the missing elements of the Program. If there is no ongoing Code work, implementation of the quality control program shall be demonstrated using a mock-up not intended to be Code stamped.

When using subcontracted services, such as NDE, the qualification records of procedures and personnel shall be made available for review by the Team at the location of the Joint Review.

Records and documentation of all Code work manufactured since the last Joint Review shall be available to the Team at the time of the Joint Review.

It is permissible to implement the Quality Program on Code work to the requirements of a previous Code Edition as long as the Applicant also demonstrates their knowledge of the requirements of the most current Code.

The Joint Review will be conducted in five phases or segments as follows:

1. **Manual Review:** On the first day the Manual Review will normally be held offsite of the Applicant's facility. The Manual Review will normally take between 3-5 hours depending on the volume and complexity of the manual. Review of the Team's finding(s) regarding review of the Manual will be discussed at the Entrance Meeting.

Prior to the close of the Joint Review, the Applicant will provide the Team with a corrected copy of the Quality Manual which incorporates the corrections required by the Team and accepted by the Applicant's AI/AIS (or the Team Leader where there is no AIA involved in the Certification program(s)).

2. Entrance Meeting / Facility Tour: This will normally be held on the afternoon of the first day. The entrance meeting will provide the Applicant and the Joint Review Team an opportunity to: introduce themselves, review the application including the Certificates and Scopes applied for, and to explain the Joint Review schedule. The Team Leader will also explain the ASME Due Process and Confidentiality Policy.

During this meeting the Applicant may, if they wish, give a presentation of their company, products, personnel, etc. ASME fully encourages executive/senior management support in attending the entrance meeting. A brief tour of the facilities will be given to the Joint Review Team at the conclusion of the entrance meeting.

3. Implementation: The Applicant's Quality Manual shall be demonstrated on actual Code work, or a mock up, or a combination of both. If any deficiencies are identified during the implementation, they will be immediately discussed with the Applicant, in order to provide the opportunity for corrective action prior to the conclusion of the Joint Review. If any deficiencies identified affect past Code work, or current Code items in fabrication, documentation shall be provided to the Team to determine the extent of the deficiency that requires corrective action by the Applicant.

During the Implementation, the Applicant will have the opportunity to correct any open findings observed by the Team. These open findings are either failure to comply with applicable Code requirements or failure to comply with the requirements contained in the Applicant's Quality Manual, or both. Failure to close out deficiencies during the Joint Review, will result in either a Team recommendation for a Re-review or a follow-up within 30 days. In either case, reported open findings must be corrected by the Applicant.

4. Team Closed Meeting: At the conclusion of implementation, the Team will hold a closed meeting to discuss the results and determine a Joint Review recommendation to ASME.
5. Exit Meeting: ASME fully encourages executive / senior management support in attending the exit meeting. The Team Leader will present the results of the Joint Review, including any Q.C. Manual and/or implementation deficiencies that were observed during the Joint Review, resolution of the deficiencies, and the Team's recommendation to ASME, who shall make final decision on Certificate actions. The Applicant is encouraged to ask any questions pertinent to the Joint Review and indicate any concerns or disagreements they have with either the reported findings observed during the Joint Review or the Team's recommendation to ASME.

The Team Leader will leave a copy of Form QA (Part IV of QRR), Form QB (Manual Deficiencies), Form QC (Implementation Deficiencies), and Form QCFR (Request for Corrective Action Follow-Up), as applicable, with the Applicant prior to the completion of the Review.

At the conclusion of the exit meeting the Joint Review is officially ended and there will be no more discussion of the Joint Review.

### **Applicant's Termination of the Joint Review**

At any time during the Joint Review, the Applicant may request that the Joint Review be terminated. This request shall be submitted to the Team Leader in writing on company Letterhead.

At the time the Applicant terminates the Joint Review, the Team will stop all actions associated with the conduct of the Joint Review. The QRR shall document all activities performed by the Team, including any deficiencies, up to the termination of the Review. The Applicant will receive a copy of all Findings uncovered by the Team.

If the Applicant wishes to obtain an ASME Certificate of Authorization, a Re-Review will be required.

No extension of current Certificate(s) expiration date will be issued.

The Applicant relinquishes the right to dispute any Findings identified up to the point of termination.