Standards and Certification Training

Module B – Process
B3. Conformity Assessment: Committees and Staff Roles and Responsibilities
Module B contains eleven submodules. This is Module B3., Conformity Assessment: Committees and Staff Roles and Responsibilities
## REVISIONS

<table>
<thead>
<tr>
<th>Date</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/10/18</td>
<td>Revised and added new content for Conformity Assessment</td>
</tr>
<tr>
<td>06/30/14</td>
<td>Completely Revised the content and format of the entire Module</td>
</tr>
<tr>
<td>11/01/11</td>
<td>Minor changes to sub module titles 7, 9, 13, 14 and 16 Revised to remove ISO 9000 registration references 0, 11, 16 Updated to include current SBC Committees 19 Revised to note that ASME offers Team Leader Seminars</td>
</tr>
<tr>
<td>11/22/10</td>
<td>Changed “Codes and Standards Board of Directors” to “Council on Standards and Certification” throughout.</td>
</tr>
</tbody>
</table>
At the end of this module you will be able to:

- Understand the roles and responsibilities, related to conformity assessment, of the Council, the Board on Conformity Assessment and its associated committees
- Understand the roles of ASME Designees and Designated Organizations
- Describe the roles and responsibilities of ASME Staff and volunteers for Conformity Assessment
MODULE OUTLINE

I. Committee Hierarchy
II. Council on Standards and Certification, Board and Committees
III. ASME Designees, Designated Organizations, or Authorized Inspection Agencies
IV. Conformity Assessment Staff
V. Module Summary
VI. References
I. COMMITTEE HIERARCHY
The Board on Conformity Assessment it is one of nine Boards reporting to the Council on Standards and Certification. It is charged with administering all ASME Certification and Accreditation Programs.
The following committees report to the Board on Conformity Assessment

- Committee on Certification of Non-Destructive Examination Personnel and Quality Control Technicians (NDE)
- Committee on Designees (COD)
- Committee on BPE Certification
- Committee on Conformity Assessment Requirements (CAR)
- Committee on Nuclear Certification (CNC)
- Committee on Conduct of Conformity Assessment Activities (C3A2)
- Committee on Qualification of Resource Recovery Facility Operators (QRO)
- Committee on RTP Certification
- Committee on Hearings and Appeals
- Committee on Qualifications for Authorized Inspection (QAI)
- Committee on AIA Accreditation
- Committee on Boiler & Pressure Vessel Conformity Assessment (CBPVCA)

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

**NOTE**: Module B9, ASME Conformity Assessment Programs, addresses the relationship between the Board on Conformity Assessment activities and the standards committees reporting to other Supervisory Boards.
II. COUNCIL ON STANDARDS AND CERTIFICATION, BOARD AND COMMITTEES
Some of the specific responsibilities of the Council on Standards and Certification with regard to Conformity Assessment are:

- Establishment of overall policies governing the operations of accreditation and certification programs
- Approval of initiating and sun-setting of ASME certification and accreditation programs
- Approval of Board on Conformity Assessment (BCA) membership
- Annual evaluation of S&C programs and activities
- Final level of appeal
All Accreditation & Certification Committee meetings and correspondence are confidential. All meetings are closed to the public. The reason being that the Committee discusses confidential information about Applicants and Certificate Holders. Per CAP-9, it is required that all Conformity Assessment Committees and BCA members and alternates sign a confidentiality statement (CAP-9).

NOTE: Board on Conformity Assessment appeals are also confidential and closed meetings.

The Board on Conformity Assessment (BCA); Committee on Conformity Assessment Requirements (CAR); Committee on Conduct of Conformity Assessment Activities (C3A2); Committee on Designees (COD); and Standards Committee on Qualifications for Authorized Inspection (QAI); hold public meetings. The exception being that the Board on Conformity Assessment appeals are also confidential and closed meetings.
Board on Conformity Assessment responsibilities include:

• Supervision of Conformity Assessment Programs, including
  – Approval of procedures including committee procedures and procedures on the conduct of ASME reviews, surveys, investigations and audits
  – Approval of committee personnel for committees reporting directly to BCA
  – Monitoring of the internal audit program. 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)

• Establishes policies for protection of the ASME Single Certification Mark
• Works with Standards Committees on accreditation and certification requirement issues
• Approve criteria developed by the Committee on Designees for qualification of ASME Team Leaders and Designees
• Prepares and approves Conformity Assessment Policies (CAP)
Committee on Conformity Assessment Requirements (CAR)

Responsible for the development and maintenance of CA-1. This standard:
• includes the necessary ASME accreditation and product certification requirements
• was developed to consolidate and ultimately replace the conformity assessment requirements in all ASME Codes and Standards by reference to the CA-1 standard.
• does not cover personnel certification requirements

Committee on Conformity Assessment Requirements Committee is responsible for the development and maintenance of CA-1. This standard:
• includes the necessary ASME accreditation and product certification requirements
• was developed to replace current conformity assessment requirements in all ASME Codes and Standards by reference to the CA-1 standard
• does not cover personnel certification requirements
The Committee on Designees (COD) is responsible for the following:

- Serves as an approval body for new Designees (e.g. ASME team leaders, team members and auditors. These will be discussed later on in this Module)
- Establishes elements that provide for uniform qualification of Designees that participate in various ASME Conformity Assessment programs
- Reviews allegations of misconduct of Designees and makes recommendations to the Board on Conformity Assessment
Committee on Conduct of Conformity Assessment Activities (C3A2) is responsible for the following documents:

- Standards Qualification Criteria for Designees for Accreditations and Product Certification Activities
  - Establishes minimum requirements for all ASME Designees who either lead or participate on conformity assessment activities
  - Used for initial qualification and renewal of ASME Designee certification
- Conduct of ASME Surveys, Reviews, Audits, Investigations, and Interviews
  - These procedures establish guidance for conducting ASME surveys, reviews, audits, and investigation for all ASME certification and accreditation programs
  - The purpose of these guidelines is to protect the ASME Single Certification Mark and ensure that the Applicant has demonstrated the ability to comply with requirements of applicable ASME Codes and Standards

The Standards Qualification Criteria document:

- Establishes minimum requirements for all ASME Designees who either lead or participate on conformity assessment activities
- Used for initial qualification and renewal of ASME Designee certification

The conduct document:

- Establishes guidelines for the ASME Review Team for conducting ASME surveys, reviews, audits, and investigation for all ASME certification and accreditation programs. An important aspect of the guidelines for the ASME Team Leaders is ASME’s Confidentiality and Due Process Policy which is part of the “Conduct Document.”
- The purpose of these guidelines is to protect the ASME Single Certification Mark and ensure that the Applicant has demonstrated the ability to comply with requirements of applicable ASME Codes and Standards
The Committee on Qualifications for Authorized Inspection (QAI) is responsible for the development and maintenance of the standard on “Qualifications for Authorized Inspections” (QAI-1).

QAI-1 Standard provides requirements for:

- The accreditation of organizations as Authorized Inspection Agencies (AIA)
- The certification of individual Authorized Inspectors/Authorize Inspector Supervisors (AI/AIS). Certification is done by the AIA
- The certification of Certified Individuals (CI). Certification is done by their employer
  - For Boiler Code certification, the CI is certified by the Certificate Holder

Additionally, the Committee on Qualifications for Authorized Inspection (QAI):

- Accredits organizations as ASME “Authorized Inspection Agencies” (AIA)
- Holds hearing on reports of misconduct or failure to provide adequate inspection services involving AIAs and may terminate or suspend ASME accreditation
  - Note: For individual Inspectors, these Hearing would be conducted by the National Board and may result in the loss or suspension of the Inspector’s certification
Currently, the following accreditation & certification committees report to the Board on Conformity Assessment (BCA):

- Committee on Boiler & Pressure Vessel Conformity Assessment (CBPVCA)
- Committee on Nuclear Certification (CNC)
- Committee on AIA Accreditation
- Committee on RTP Certification
- Committee on BPE Certification
- Y14 Subcommittee 5.2 – Certification
- Committee on Qualification for Resource Recovery Facility Operators (QRO)
- Committee on Certification Non-Destructive Examination Personnel and Quality Control Technicians (ANDE)
As mentioned earlier, Accreditation and Certification Committees utilize existing ASME codes and standards developed by Standards Committees operating under other Boards. They are responsible for:

- Approve the issuance, renewal, revision, suspension, and termination of ASME certification/accreditation based on reports submitted by ASME designees
- Review and evaluate deficiencies, non-conformities, or alleged violations
- Recommend program changes
- Prepare committee procedures for BCA approval
- Hear initial appeals or requests for re-consideration from Applicants or Certificate Holders
Some of the people and organizations performing the conformity assessment activities are not members of ASME staff or ASME committees. These are the ASME Designees and Designated Organizations, or Authorized Inspection Agencies.
An ASME Designee is:
- An ASME Consultant under contract to ASME
- Shall be accepted by the Committee on Designees (COD) and obtain Certification as an ASME Designee
- Acts on ASME’s 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 applicable ASME Code or Standard
- For reviews for Boiler Code certification (non-nuclear) Designees can be employees of, or independent consultants under contract with any of the following:
  - ASME, Jurisdictional Authority, or ASME Designated Organizations (i.e. National Board)
• Designees are prohibited from providing consulting services in any area which might lead to a conflict of interest

• All Designees are required to sign an agreement to adhere to ASME policies

• Designees who perform consulting services shall notify ASME Conformity Assessment so they are not assigned to any Conformity Assessment activities

• Qualification criteria for accreditation of a Designee is contained in “Standard Qualification Criteria for Designees for Accreditation and Product Certification Activities”
• 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
  – 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
  – An individual having a financial interest in the organization being reviewed

• In cases where an ASME Designee has either worked for or provided consulting or inspection services to an Applicant, the ASME Designee is required to inform ASME of this situation
The National Board of Boiler and Pressure Vessel Inspectors is the only current ASME Designated Organization and is qualified to conduct the following:

- BPV Team Leader Examinations to determine Code knowledge for type of boiler reviews Team Leader will perform
- Boiler Code reviews on behalf of Jurisdictional Authorities when designated by the Jurisdiction
- all reviews of Pressure Relief Device Manufactures/Assemblers and Valve Testing Laboratory (PRD) reviews
- Team Leader Seminars for Continued Certification (Boiler Code only)

This only applies within the United States.
• An Authorized Inspection Agency is an organization that is accredited by ASME in compliance with the QAI-1 Standard
• ASME accredited Authorized Inspection Agencies provide inspection service for ASME conformity assessment programs when third party inspection is required
• The AIA shall perform all required inspections at the shop location identified in the Certificate of Authorization for the scope of work listed on the Certificate
• As a requirement for obtaining and maintaining certain types of ASME Certificates of Authorization (BPVC Section I, III, IV, VIII, X and XII) the manufacturer must have an inspection contract or agreement with an ASME accredited Authorization Inspection Agency (AIA)
The Certified Individual (CI) is allowed under specific ASME certification programs within the Boiler and Pressure Vessel Code to provide inspection services to the Certificate Holder.

Certified Individuals:

- Must comply with the requirements in the QAI-1 standard and Boiler and Pressure Vessel Code Sections.
- Are employees of the Certificate Holder
- Must be certified by the Certificate Holder via written examination as to knowledge of Code requirements and manufacturing process for the specific program
- Potentially responsible for signing data reports or certificates of conformance
- Used for certain types of Boiler Code activities as defined by the individual Boiler and Pressure Vessel Code Sections

NOTE: CIs are used in the following Boiler Code certification programs:

- UM (miniature pressure vessels) certification
- Manufacture/assembly of valves and rupture discs
- Manufacture/assembly of H[cast] heating boilers
- Mass production of certain types of Section I, IV, VIII, X and XII Code stamped items
IV. CONFORMITY ASSESSMENT
STAFF
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, suspensions, terminations and revisions
  - Scheduling of surveys, reviews, audits, investigations, and interviews
  - Review technical reports submitted by ASME Designees for all ASME conformity assessment programs to determine if certification/accreditation should be issued
  - Quality System (QS) Manual review
CONFORMITY ASSESSMENT STAFF

- Monitor and assure training of ASME Designees
- Issuance of Temporary Code (Shop) Authorization for up to one year
- Direct, coordinate and provide administrative support for ASME Designees
- Coordinate investigation of non-conformance by Certificate Holders
- Investigate improper use of the ASME Single Certification Mark
- Coordinate activities with other organizations
- Assure confidentiality

- Monitor and assure training of ASME Designees
- Issue Temporary Code (Shop) Use Authorization for up to one year for a Shop Operating under a Code Shop to perform Code activities Under the Certificates issued to the Code shop
- Direct, coordinate and provide administrative support for ASME Designees
- Coordinate investigation of possible non-conformance by Certificate Holders that comes to the attention of the Society
- Investigate improper use of the ASME Single Certification Mark on products or in advertising by Certificate Holders and those who do not hold ASME Certification or Accreditation
- Coordinate activities with other organizations, including jurisdictions and regulatory bodies
- Assure the confidentiality of information with regard to Applicants
ASME conformity assessment programs are administered by the ASME Board on Conformity Assessment (BCA) which reports to the Council on Standards and Certification.

The Committee on Designees (COD) develops the criteria and approves applicants as ASME.

The Committee on Conduct of Conformity Assessment Activities (C3A2) establishes the criteria for conduct of reviews by ASME Designees to which staff member is assigned.

The Committee on Conformity Assessment Requirements (CAR) maintains the CA-1 standard which defines conformity assessment requirements.
V. MODULE SUMMARY

- The CA-1 standard should be referenced in all ASME codes and standards that have conformity assessment programs administered by ASME
- The Committee on Qualifications for Authorized Inspection (QAI) developed and maintains the QAI-1 standard, which
  - defines the criteria to accredit inspection organizations that perform third party inspections, and
  - contains criteria for the certification of individuals (CI) that perform inspections at facilities that have received ASME certification or accreditation
- ASME accredited Authorized Inspection Agencies (AIAs) provide inspection service for ASME conformity assessment programs when third party inspection is required

- The CA-1 standard should be referenced in all ASME codes and standards that have conformity assessment programs administered by ASME
- The Committee on Qualifications for Authorized Inspection (QAI) developed and maintains a standard (QAI-1) the defines the criteria to accredit inspection organizations that perform third party inspections and criteria for the certification of individuals (CI)
- ASME accredited Authorized Inspection Agencies provide inspection service for ASME conformity assessment programs when third party inspection is required
V. MODULE SUMMARY

• The National Board of Boiler and Pressure Vessels Inspectors is the only ASME Designated Organization (ADO) and conducts all reviews and provides oversight for ASME certified valve and rupture disc manufacturers and Valve Testing Laboratories
• ASME STAFF is responsible for administering all ASME conformity assessment programs including:
  - Processing of reports and issuance of ASME certification and accreditation to organizations and individuals having been audited by ASME Designees and recommended to receive certification
  - Protection of the ASME Single Certification Mark
  - Processing of allegations of misconduct by ASME Certificate Holders, Team Leaders and AIAs
  - Handling issues related to certification programs (e.g. scheduling, extension requests, shop re-locations, name changes, QS Manual reviews, etc.)
VI. REFERENCES

- Procedures for ASME Codes and Standards Development Committees
  https://cstools.asme.org/csocket/CommitteePages.cfm?Committee=100102393&Action=7609

- Codes and Standards Policy (CSP)
  http://cstools.asme.org/csocket/FileUpload.cfm?View=yes&ID=7614

- Board on Conformity Assessment Operating Procedures and Conformity Assessment Policies (CAP)
  https://cstools.asme.org/csocket/CommitteePages.cfm?Committee=40299999

- Standard Qualification Criteria for Designees for Accreditation and Product Certification Activities
  https://cstools.asme.org/csocket/CommitteePages.cfm?Committee=100045318
VI. REFERENCES

- Conduct of ASME Surveys, Reviews, Audits, Investigations and Interviews
  http://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=3720
- Application for ASME Certification/Accreditation Programs
  http://www.asme.org/shop/certification-accreditation
- CA-1, Conformity Assessment Requirements
- QAI-1, Qualifications for Authorized Inspection