

ASME TEAM LEADER EVALUATION

Team Leader:

ASME Certificate #:

Expiring:

Evaluated by:

Date: at Company:

located at:

Topic	Auditor *	Audit Checklist Reference	Activity Description	Results			Comments
				Sat	Sat with Obs	Unsat	
1		Conduct 3.3, TL Certification	Is the appointed TL certified the by ASME as ASME Designee?				
2		Conduct 4.6, Assignment of TL	Did ASME/Jurisdiction provide TL with Required Docs including previous QRR (Renewals)? Did TL obtaining the pertinent information from ASME staff and the Applicant (Checklist Item 3, Conduct 5.1.1);				
3		Conduct 5.1.1, TL Responsibilities	Did the TL fulfill the required responsibilities? See other Items for details to address following responsibilities; (a) obtaining the pertinent information from ASME staff and the Applicant (Item 2 of Checklist); (b) assigning duties to each Team Member, as necessary (Item 6 of Checklist); (c) speaking for the Team in official contacts with the Applicant's management (Item 8 of Checklist); (d) coordinating the findings of the Team Members;(Item 6 of Checklist); (e) reviewing findings with the team and preparing the official Team Report and obtaining the required signatures, when applicable (Item 7 of Checklist); (f) presenting an oral report to the Applicant including the Team's recommendation and a summary of findings observed during the survey or review(Note: A written copy of findings will be presented to the Applicant) (Item 8 of Checklist);				

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4		Conduct 5.1.4, Manual Review	Did the TL review with the Team the application and checklist for accuracy?				
			Was the critique of the Manual sufficient to determine that all controls and requirements specified by the applicable Code and/or Standard are adequately described for the scope of work being requested?				
			Was the critique sufficient to determine if the Program description is auditable?				
			The Team Leader shall remind those present of the rules of confidentiality attached to the deliberations (CD 5.9.1)?				
			Did the TL avoid imposing personal stylistic preferences on the Manual as corrections?				
			Were required changes substantiated by a requirement of the applicable Code?				

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5		Conduct 5.1.5, Entrance Meeting	Was executive/senior management encouraged to participate?				
			Review ASME policy on Joint Ventures (if applicable)?				
			Make proper introductions?				
			Describe the manner in which the review will be conducted?				
			Discuss and agree upon the scope of accreditation?				
			Discuss significant manual comments with Management?				
			Verify Applicant's receipt and understanding of Due Process and Confidentially Policies?				
			Discuss Applicant's safety rules				
			Request and receive an adequate shop tour?				

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6		Conduct 5.1.6, Implementation Demonstration	Were manual comments presented to Applicant with encouragement to make changes prior to the Exit Meeting?				
			Did the TL ensure that the all elements of the program were demonstrated?				
			Did TL assign duties to each Team Member, as necessary (Checklist Item 3, Conduct 5.1.1 (b));				
			Did TL reveal Team assignment and ensure the Applicant has personnel to support the Team?				
			Were revisions made during the review verified to assure adequate Code requirements have been incorporated?				
			Were corrective actions from the previous reviews verified?				
			Did TL verify that the program, including documents shown as exhibits or samples, is in fact being implemented?				
			Did TL coordinate the findings of the Team Members (Checklist Item 3, Conduct 5.1.1 (d))?				

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7		Conduct 5.1.7, Team Findings and Recommendation	Was a private Team meeting held to identifying findings and developing the Team recommendation?				
			Did the TL;				
			(1) Ensure only authorized persons were in attendance?				
			(2) Remind all present of the confidentiality attached to the deliberations?				
			(3) Ensure that the list of findings reflects the consensus of the team?				
			(4) Provide dissenting Members the opportunity to prepare a Minority Report?				
			(5) Review findings with the team and preparing the official Team Report and obtaining the required signatures, when applicable (Checklist Item 3, Conduct 5.1.1 (e));				

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8		Conduct 5.1.8, Exit Meeting	Was Exit Meeting held with Applicant?				
			(1) Encourage participation of senior management?				
			(2) Present and discuss the Team's findings and recommendation with written copy provided to the Applicant?				
			(3) Explain the relevant procedures for resolving deficiencies and reporting corrective actions?				
			(4) Provide the Applicant' an opportunity to ask questions?				
			(5) Remind the Appl. of the Due Process and Confidentiality policies and explain;				
			*That they may submit a written statement				
			*Team recommendation is not a final				
			*ASME will notify applicant of results				
			*Process for Extension of Expiration date				
			(6) speak for the Team in official contacts with the Applicant's management (Checklist Item 3, Conduct 5.1.1 (c));				

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9		Conduct 5.8, Rules Of Decorum	Was TL performance of duties and conduct professional?				
			(a) Adequate Leadership in conduct of review				
			(b) Appearance				
			(c) Attitude				
			(d) Respect of others				
			(e) Tact				
			(f) Sound judgment				
			(e) Effective communication skills (oral & written)				
			(f) Control conflicts with the audit team and with the auditee				
			(g) Makes decision objectively				
			(h) Void of misconduct, extreme or inappropriate behavior				
10		Conduct 7.0 Report	Did the TL prepare a report of the Review using Forms prescribed by ASME Staff?				
			Were the reported conditions and finding accurately, clearly and completely written with appropriate supporting Code references?				
			Did the report include all information necessary for the CBPVCA to make an informed decision regarding issuance of the Certificates?				

General Comments:

Signed: _____ Date: _____

(Signature of Auditor)

TL= Team Leader/ASME Designee

Conduct = CD = Conduct of ASME Surveys, Reviews, Audits, Surveys, Investigations and Interviews, Issue 1, Rev. 8.

ASME CBPVCA = ASME Committee on Boiler and Pressure Vessel Conformity Assessment