

**PROCEDURES
ISSUE 3, REVISION 5**

**STANDARD QUALIFICATION CRITERIA
FOR DESIGNEES FOR ACCREDITATION AND
PRODUCT CERTIFICATION ACTIVITIES**

Approved by Board on Conformity Assessment on September 22, 2009

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SCOPE

This procedure establishes the minimum requirements for all Designees who either lead or participate on conformity assessment activities (e.g. ASME Survey, Review, Audit, Investigations, or Interviews).

This procedure establishes elements that provide for uniform qualification of Designees that participate in ASME conformity assessments.

Additionally, these requirements may be supplemented by appendices to this procedure that address unique requirements for certain accreditation programs. Appendices are to be submitted to the Committee on Conduct of Conformity Assessment Activities for formatting and approval. Final approval will be by the Board on Conformity Assessment (BCA).

1 GENERAL

- 1.1** This procedure governs the qualification of Auditors and Lead Auditors who act as the Designees when selected to perform accreditation activities on behalf of ASME. This procedure does not address the requirements for ISO 9000 Certification.
- 1.2** This procedure is based on the Basic Requirements, Supplement 2S-3, and Appendix 2A-3 of ASME NQA-1 and ISO 10011-2.
- 1.3** Designees can be employees of, or independent consultants under contract with any of the following: ASME, Jurisdictional Authority, or ASME Designated Organizations. Throughout this document, the term “employer” shall refer to the organization which employs individuals or contracts independent consultants as ASME Designees.
- 1.4** Designees are prohibited from providing consulting services in any area which might lead to a conflict of interest.
- 1.5** All Designees (Auditors and Lead Auditors) who are employed by, or under contract with ASME, Jurisdictional Authority, or ASME Designated Organization are required to sign an agreement to adhere to
- (a) ASME Confidentiality Policy;
 - (b) ASME Code of Ethics of Engineers or an equivalent administered by the Jurisdictional Authority; and
 - (c) ASME Conflict of Interest Policy or an equivalent administered by the Jurisdictional Authority.
- 1.6** All individuals currently performing as Designees and qualified as an Auditor or Lead Auditor in accordance with the various ASME accreditation and product certification programs, prior to the date of approval of this procedure by the BCA, are considered qualified at their current level under these procedures. Therefore, the initial certification/qualification requirements of this procedure are waived for those individuals described above, who are currently performing as Designees. All other requirements of this procedure apply.
- 1.7 TERMINOLOGY**

Terms used in this document are defined as follows:

- (a) ASME Designated Organization. An ASME Designated Organization is an entity authorized by ASME to perform administrative functions on its behalf.
- (b) Audit. A planned and documented activity performed to determine by investigation, examination or evaluation of objective evidence the adequacy of

and compliance with established procedures, instructions, drawings and other applicable documents, and the effectiveness of implementation.

- (c) Auditor. Person qualified to perform audits.
- (d) Conformity Assessment. A conformity assessment develops the basis for confidence (or reasonable assurance) that the applicant's quality program effectively ensures that the product, material, item, or service conforms to the applicable Code or Standard. Conformity assessments shall emphasize:
 - (1) technically directed evaluations of the applicant's processes and activities, and verifications of the quality of products, materials, items, or services; and
 - (2) programmatic evaluations of the applicant's quality program, procedures, and documentation.
- (e) ASME Designee. An ASME Designee (referred to in this document as the Designee) is an individual authorized by ASME to perform administrative functions on its behalf and who meets the requirements of this procedure either as an Auditor or a Lead Auditor.
- (f) Investigation. An Investigation is the result of voted action by the Accreditation Subcommittee in response to findings made by ASME Teams or allegations of noncompliance. Also, investigations can be authorized by the Director, Accreditation and Certification, with the concurrence of the Accreditation Committee Chair.
- (g) Jurisdictional Authority. A Jurisdictional Authority is a governmental entity that references an ASME Code or Standard as a means of compliance with its regulatory or legislative requirements.
- (h) Lead Auditor. An individual who organizes and directs assessment activities, such as reporting findings, and evaluating corrective action.

1.8 COMMITTEE ON DESIGNEES (COD)

In general, the COD serves as an approval body for new Designees and an advisory group to staff on matters relating to the conduct of Designees.

The COD reviews the qualifications of potential Designees against the criteria in this procedure.

The COD, when requested by the staff Secretary, considers allegations of misconduct of Designees and makes recommendations to ASME.

The COD does not develop criteria nor does it develop Codes or Standards nor administer conformity assessment programs. The COD is responsible to the Board on Conformity Assessment, which assures that the COD is operating within its approved scope and its procedures, as approved by the BCA.

2 QUALIFICATIONS

2.1 CRITERIA

The prospective Auditor shall have a minimum of ten credits accumulated under the following scoring system, as outlined in 2.1.1, 2.1.2, 2.1.3 and 2.1.4, prior to being designated as an Auditor.

2.1.1 Education (Four Credits Maximum). The prospective Auditor shall have a high school education (or equivalent) and shall provide documentation verifying the level of education attained, thereby supporting the credits scored

- (a) Associate Degree from an accredited institution, score 1 credit
or
Associate Degree in Engineering, Physical Sciences, Mathematics or Quality Assurance curriculum from an accredited institution, score 2 credits;
or
- (b) Bachelors Degree from an accredited institution, score 2 credits;
or
Bachelors Degree in Engineering, Physical Sciences, Mathematics or Quality Assurance curriculum from an accredited institution, score 3 credits;
and
- (c) Masters Degree in Engineering, Physical Sciences, Mathematics or Quality Assurance curriculum from an accredited institution, score 1 additional credit.

2.1.2 Experience (Nine Credits Maximum). The prospective Auditor shall have technical experience in engineering, manufacturing, construction, quality assurance, auditing, operation, maintenance, or inspection. For each year, score one credit, with a maximum of five credits for this aspect of experience. Additional credit can be accumulated as follows:

- (a) If two or more years of this experience has been working with the ASME Codes or Standards associated with the activity score one additional credit; and
- (b) If two or more years of this experience has been in quality assurance, score two additional credits; and
- (c) If two or more years of this experience has been in auditing, score three additional credits.

2.1.3 Professional Accomplishment (Two Credits Maximum). Professional accomplishments demonstrated by experience and an examination may be considered to score one credit for each accomplishment. Such professional accomplishments may include

- (a) A Professional Engineers License (PE);
- (b) Certification by a national or professional society such as
 - (1) A National Board Commission;
 - (2) ASQC Certification;
 - (3) AWS Certification.

2.1.4 Management (Two Credits Maximum). Two credits may be granted for other performance factors applicable to auditing which may not be explicitly called out in this procedure. Examples of these factors are leadership, sound judgment, maturity, analytical ability, tenacity, etc.

The basis for the management judgment in granting the two credits shall be documented and filed by the employer. Such records are subject to review.

2.2 COMMUNICATION SKILLS

The prospective Auditor is required to be able to effectively communicate both in writing and orally. This must be documented and filed by the employer.

2.3 TRAINING

Prospective Auditors will have training to the extent necessary to assure their competency in auditing skills. Training will be given based upon evaluation of the particular needs of each prospective Auditor in the following areas:

- (a) Knowledge and understanding of the related Codes and Standards;
- (b) General structure of quality programs as a whole and applicable elements;
- (c) Auditing techniques of examining, questioning, evaluating, and reporting methods of identifying and following up on corrective action items, and closing out audit findings;
- (d) Auditing of quality-related functions such as the following activities: designing, purchasing, fabricating, handling, shipping, receiving, storing, cleaning, erecting, installing, inspecting, testing, maintaining, repairing, and modifying components.

2.4 AUDIT PARTICIPATION

The prospective Auditor shall have participated as a trainee in a minimum of three ASME Reviews or Surveys within a period not to exceed one year prior to the date of qualification.

The prospective Auditor shall prepare a Report (from their point of view) on each of the assigned ASME Reviews or Surveys under the direct supervision of an ASME qualified Lead Auditor. This Report shall be submitted to the assigned Lead Auditor.

The assigned Lead Auditor shall review the Report and make comments as required. The Lead Auditor shall submit the prospective Auditor's Report with their comments to the employer. Also, the assigned Lead Auditor shall provide a written evaluation of the prospective Auditor's performance to the employer.

2.5 EVALUATING AUDITOR CANDIDATES

Candidates for Auditor or Lead Auditor shall demonstrate the knowledge of the applicable Codes and Standards and the ability to conduct and manage audits and Audit Teams in their specific area of expertise. The evaluation methods^{*} used to determine competence shall be one or more of those shown in Table 2.5. When the Accreditation Subcommittee specifies written or oral examinations as the required evaluation method, they shall be in conformance with 2.5.1 and 2.5.2. The results of the evaluation shall be acceptable to the COD within the parameters established by this procedure. ASME staff shall perform an initial administrative review of each Candidate's application package for compliance to the requirements of this procedure (i.e., is each of the competencies noted in Table 2.5 addressed and evaluated in the application package). Any omissions or concerns shall be addressed prior to the application package being forwarded to COD for action.

2.5.1 Examination. Examinations shall be developed and conducted by either ASME, an ASME Designated Organization or an organization acceptable to ASME and shall be subject to review in accordance with ASME's Internal Audit Program.

2.5.1.1 Scope. The examination shall address the areas of knowledge the candidate will experience in performing the duties of an Auditor or Lead Auditor, i.e., conducting Nuclear Surveys, Boiler & Pressure Vessel Reviews, etc. These areas of knowledge are described in 2.3. The examination shall be documented as noted in 2.5.1.2. An Auditor or Lead Auditor shall pass the examination by achieving a grade of at least eighty percent.

*The Accreditation or Product Certification Committee shall identify the specific evaluation method(s) to be used to determine competency in accordance with this procedure, that results in a documented evaluation of each of the noted competencies, thereby providing sufficient evidence for COD to make their evaluation.

2.5.1.2 Examination. Examinations may be written, oral, or a combination of these types. However, the documentation of the examination shall provide for the following:

- (a) Name of the Candidate;
- (b) Level sought by the Candidate, i.e., Auditor or Lead Auditor (Team Leader);
- (c) Date of the Examination;
- (d) Printed Name and Signature of the Examiner;
- (e) A list of at least ten attributes (based on areas of knowledge described in 2.3) being examined (Oral examination only);
- (f) Overall Grade assigned by the Examiner. For written examinations, test questions along with the technical reference shall be maintained in accordance with Section 6. For Oral Examinations, a list of the attributes along with a justification for each of the assigned specific attribute grades shall be maintained in accordance with Section 6.

2.5.1.3 Reexamination. Candidates not achieving passing scores may be reexamined after thirty days. The reexamination shall be significantly different from the previous examination.

2.6 SELECTION OF LEAD AUDITORS

The employer selects prospective Lead Auditors from the active Auditors. The prospective Lead Auditor shall serve on a minimum of three audits as a Lead Auditor trainee. The assigned Lead Auditor turns over a portion of or the entire audit to the trainee under their direct supervision. The assigned Lead Auditor provides a written Report to the employer on the trainee's performance including areas such as assignment of Team, manual review, control of Team, presentation to the company, demonstrated leadership capability and conduct of the closing meeting.

3 CERTIFICATION

3.1 ASME staff will review the Documentation (see Section 6) for completeness prior to submittal to the COD. The COD will review the documentation and, on agreement, will accept an individual as an Auditor or Lead Auditor.

3.2 Candidates who are accepted by the COD will be issued a Certificate and an Identification Card. The Certification will be issued for a five year interval. The Certificate and Card will identify the scope of activities to be performed, issue and expiration date, and signature of the COD Secretary.

3.3 RECERTIFICATION

An individual whose ASME certification has been terminated due to change in employer as specified in 7.1 may be recertified if the following conditions are met:

- (a) documentation can be provided that the candidate was certified when termination occurred;
- (b) an application for recertification is submitted by the new employer within six months after individuals termination from their former employer; and
- (c) the employee was actively working as an Auditor or Lead Auditor within six months of the termination.

Documentation (see 6.4) supporting the recertification shall be submitted to ASME staff for review and acceptance.

3.4 RENEWAL

An individual whose ASME certification is approaching expiration may be considered for renewal if the following conditions are met:

- (a) Certification has been maintained as required in Section 4 through current audit experience (see 4.1) and training (see 4.2).
- (b) Performance evaluations are current and submitted to ASME staff (see 4.3 and 6.2).

3.4.1 Renewal Process. Renewals shall be initiated by the employer. The employer shall submit a Renewal Application (Exhibit 6) to ASME, no later than sixty days prior to the expiration date of the Certificate. The Renewal Application provides a summary of the individual activities to demonstrate compliance with this Standard as follows:

- (a) dates of refresher training received (see 4.2);
- (b) dates of audit activities (see 4.1); and
- (c) dates of evaluations.

Upon receipt of the Renewal Application, it will be submitted to ASME staff for review and acceptance.

4 MAINTENANCE OF CERTIFICATION

Designees must maintain competency through current audit experience (see 4.1) and through appropriate training (see 4.2). Additionally, their performance shall be evaluated at least annually (see 4.3). The Maintenance of Certification Form (Exhibit 4) is used to document the Designee's audit experience and training together with their annual performance evaluation. This form shall be certified by the employer and submitted annually to ASME in a timely manner to ensure maintenance of Designee's certification.

4.1 EXPERIENCE

Each certified Designee must participate in at least one audit (survey or review) every twelve months using the criteria established in "Conduct of ASME Surveys, Reviews, and Interviews". This audit must be a complete survey or review such that it shall include at least one day of on-site activity.

4.2 TRAINING

Each Designee is required to attend a refresher course for revisions and changes that affect the requirements of the quality program conducted by ASME, or an ASME designated organization every two years. The training course should consist of changes in Codes or Standards, auditing techniques, and relevant technologies.

4.3 PERFORMANCE EVALUATION

Each Designee's performance shall be evaluated by their employer, at approximately twelve month intervals. This evaluation shall be documented on the Maintenance of Certification Form (Exhibit 4) or attached thereto and shall include the following:

- (a) an evaluation of auditing techniques and style;
- (b) an evaluation of knowledge of the applicable Codes & Standards;
- (c) an evaluation of their written correspondence;
- (d) area for improvement, including suggestions for additional training, when appropriate;
- (e) overall evaluation of performance.

5 REQUALIFICATION

Auditors who fail to maintain their proficiency or whose certification has lapsed shall require requalification. Requalification shall include retraining in accordance with the requirements of 2.3, evaluation in accordance with 2.5, and participation as an Auditor in at least one survey, review, or audit.

Documentation required by 6.3 shall be submitted to ASME for review.

6 DOCUMENTATION

The Employer shall complete and forward the necessary documentation to ASME for review by the COD for certification, and for review and acceptance by ASME staff for maintenance of certification, and requalification of an individual(s) as a Designee.

6.1 INITIAL APPLICATION

- (a) Auditor - The application package for certification as a Designee shall consist of the following documents:
 - (1) Application Form for ASME Designee, Exhibit 1;
 - (2) Record of Qualification for ASME Designee (Auditor), Exhibit 2;
 - (3) Examination Results;
 - (4) Survey or Review Reports prepared by the prospective Auditor who participated as a Trainee; and
 - (5) Evaluation Reports, prepared by the assigned individuals leading the survey or review, where the Prospective Auditor participated as a Trainee.

- (b) Lead Auditor (The prospective Lead Auditor must have qualified as an Auditor) - The application package shall consist of the following documents:
 - (1) Record of Qualification for ASME Designee (Lead Auditor), Exhibit 3;
 - (2) Survey or Review Reports prepared by the prospective Lead Auditor who participated as a Trainee; and
 - (3) Evaluation Reports, prepared by the assigned individuals leading the survey or review, where the Prospective Lead Auditor participated as a Trainee.

6.2 MAINTENANCE EVALUATION

To comply with the requirements of Section 4, the employer shall complete the Maintenance of Certification For ASME Designee Form (Exhibit 4) and submit the forms to ASME staff annually ensuring the maintenance of certification.

6.3 RENEWAL

To comply with the requirements of 3.4, the employer shall submit the Renewal Application (Exhibit 6) to ASME, no later than sixty days prior to the expiration date of the Certificate and Identification Card.

6.4 REQUALIFICATION

To comply with the requirements of Section 5, the employer shall complete the Requalification Form (Exhibit 5) and submit the form, and the documentation required by Section 5 to support the qualification, to ASME, for review and acceptance by the ASME staff..

6.5 RECERTIFICATION

The application package for Recertification of a Designee shall include the information required in 3.3. This may be documented on the Record of Qualification for ASME Designee, Exhibit 2 and, if applicable, Exhibit 3.

6.6 RETENTION

A file (consisting of the documents in 6.1, 6.2, 6.3 and/or 6.4, as applicable) shall be established, maintained, and controlled by the employer for each certified Designee.

ASME, shall establish, maintain and control a file for each Designee. This file shall contain all the documentation forwarded by the employer plus documentation from the COD indicating their acceptance of the individual as a Designee.

The employer and ASME shall maintain these files while the individual(s) provide these services as a Designee and for three years after an individual's services are no longer used. (See Table 6.5).

7 TERMINATION

7.1 TERMINATION BASED ON EMPLOYMENT

The Designee's certification shall be valid only when employed by ASME, Jurisdictional Authority, or ASME Designated Organization. The Designee's employer is responsible to notify ASME of employment termination in a timely manner.

7.2 TERMINATION OF QUALIFICATION

If a Designee is not able to satisfy the requirements to maintain certification for one or more years, certification is no longer valid. See Section 5 for Requalification.

7.3 TERMINATION FOR CAUSE

A Designee's certification may be terminated for reasonable cause.

8 LISTING OF CERTIFIED AUDITORS AND LEAD AUDITORS

ASME staff will maintain and update the listing of certified Auditors and Lead Auditors at least semiannually. This listing shall be made available to members of the COD, ASME, internal auditors, etc.

APPLICATION FORM FOR ASME DESIGNEE

1. **Applicant's Name:** _____(1)_____

Job Title/Position; _____(2)_____

2. **EMPLOYER:** _____(3)_____

Division/Department: _____(4)_____

Supervisor: _____(5)_____

Employer's Address: _____(6)_____

(Street and/or P. O. Box Number)

_____ (7) _____

(City, State/Province and Zip)

Phone: _____(8)_____ Fax: _____(8)_____ e-mail: _____(8)_____

3. **HOME ADDRESS:** _____(9)_____

Phone: _____(10)_____ Fax: _____(10)_____ e-mail: _____(10)_____

4. **SUPPLEMENT INFORMATION** (11)

PE Registration Yes No State(s):

Professional Organization Grade No. of Years

(12)

Citizenship (The Applicant's citizenship shall be indicated): _____(13)_____

Instruction for Completing the Application Form for ASME Designee

No.	Description
	The information should be clearly printed or typed. The information on this form will be used to support the credits claimed on the corresponding Record of Qualification.
1.	Enter the name, middle initial and last name of the Applicant.
2.	Enter the Applicant's current job title or position with his/her employer (e.g., Consultant, Manager, Chief Inspector, Process Engineer, Senior QC Engineer, etc.)
3.	Enter the name of your employer (e.g., State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
4.	Enter the department or division in which the Applicant works, if applicable.
5.	Enter the Applicant's primary supervisor. If working under contract as a Consultant, enter the name of the primary contact of the organization with which the contract is held.
6.	Enter the street address and PO box number of the Applicant's employer. If under contract as a Consultant, enter the address of the organization with which the contract is held.
7.	Enter the City, State/Province and zip code of the Applicant's employer. If under contract as a Consultant, enter the information for the organization with which the contract is held.
8.	Enter the phone and fax numbers and the e-mail address of the Applicant's primary supervisor. If working under contract as a Consultant, enter the information for the primary contact of the organization with which the contract is held.
9.	Enter the Applicant's home address (i.e., Street Address, Apt. Number, City, State/Province and zip code). If the Applicant's mailing address is different than the home address, enter the mailing address.
10.	Enter the Applicant's home phone and fax numbers and e-mail address.
11.	Check the appropriate block and if the Applicant is a PE, enter the State(s) where registered.
12.	Enter the Applicant's membership in any professional organizations, the grade of membership and the number of years as a member of the professional organization (e.g., ASME, Fellow, 25 years; American Society for Quality, member, 14 years, etc.).
13.	Enter the Applicant's citizenship.
14.	Circle the highest grade or year of school completed (e.g., if you have two years of college, circle the number "2" on line A.2).
15.	The Applicant is required to provide the name and address of the school attended, the dates attended, the course of study, and certificate, diploma, degree or credits accumulated. For example: <ul style="list-style-type: none"> • West Chester H.S., West Chester, PA – 1956 to 1960 – Commercial – Diploma • RCCI, Providence, RI – 1962 to 1964 – Engineering – 45 credits
16.	The Applicant is required to provide the needed information to support credits claimed for ASME Designee. For example: <p>8/81 – 10/84 Company A 10 Main Street Lakesville, MI 12345 Product Engineer Al Smith 616-555-5462 Design Engineer responsible for calculations and drawings as part of pressure vessel.</p> <p>11/84 – 2/90 Self Employed Consultant – Pressure Design</p> <p>3/90 – 2/00 Company B 11 Moving Street Hills, CA 67891 Senior Product Engineer Bill Bigger 606-986-1295 Design Engineer responsible for calculation for design of pressure vessel as an ASME "U" Code Stamp Holder.</p>
17.	The Applicant is required to sign his/her name as it appears in Item (1) and date the application.

EXHIBIT 2

RECORD OF QUALIFICATION FOR ASME DESIGNEE (AUDITOR)

Name:	(1)	Date:	(2)
Employer: Address: City/State/Zip:	(3)		
I. Qualification Requirements			
Education (List the name and address of the school)	Max. 4 Credits	Credits	
(a) High School or Equivalent:	(4)	0	
(b) Associate Degree (1 Credit) or Associate Degree in Engineering, Physical Sciences, Mathematics, Quality Assurance (2 Credits):	(5)		
(c) Bachelors Degree (2 Credits) or Bachelors Degree in Engineering, Physical Sciences, Mathematics, Quality Assurance (3 Credits):	(5)		
(d) Masters Degree in Engineering, Physical Sciences, Mathematics, Quality Assurance (1 Credit):	(5)		
II. Experience			
(List the name and address of the company or organization)	Max. 9 Credits		
Technical (engineering, manufacturing, construction, quality assurance, auditing, operation, maintenance or inspection (1 credit for each year, with 5 credits maximum):	(6)		
(a) If 2 or more years are working with ASME (1 credit):	(6)		
(b) If 2 or more years are working with quality assurance (2 credits):	(6)		
(c) If 2 or more years are working in auditing (3 credits):	(6)		
III. Professional Accomplishment			
	Max. 2 Credits		
1. Certification by National or Professional Society (1 Credit):			
2. P. E. (1 Credit):	(7)		
IV. Management Evaluation			
	Max. 2 Credits		
Explain:	(8)		
Total Credits			(9)

EXHIBIT 2

Communication Skills: (10)			
Training Course(s) [Course Title or Topic and Location]:			
1. (11)			
2.			
3.			
V. Audit Participation (12)			
Name of Company/Location	Date	Type of Audit	Lead Auditor
1.			
2.			
3.			
4.			
5.			
VI. Examination (13)			
Written _____ Date _____ Pass _____ Fail _____ Grade _____			
Oral _____ Date _____ Pass _____ Fail _____			
Interview _____ Date _____ Pass _____ Fail _____			
Employer's signature and Title: (14)			Date:

EXHIBIT 2

Instruction for completing the “Record for Qualification for ASME Designee (Auditor)”

No.	Description
1.	Enter the name, middle initial and last name of the Applicant.
2.	Enter the date the form was completed.
3.	Enter the name and address of the Applicant’s employer (e.g., State of Massachusetts, if employed by a state; ASME, if under contract with ASME).
4.	Enter the applicant’s High School name and address or where the Applicant’s GED was obtained.
5.	List the degree and the name and location of the school where the degree was earned. Show the credits taken for each category.
6.	Enter the name and address of each employer with dates and area of experience and record the credits taken. If additional space is required, reference any attached resume or supplemental sheets here. Include resume and supplemental sheet with this form.
7.	List the name of the Society or organization along with the certification/accomplishment for which credit is taken. List the state or states in which the Applicant is registered as a Professional Engineer. Record the credits taken.
8.	Give a brief explanation of why credit is being given (e.g., leadership, judgment, maturity, etc.) and enter the credits taken.
9.	Enter the total credits taken, which is the sum of Education, Experience, Professional Accomplishment and Management Evaluation.
10.	Give a brief description of the Applicant’s verbal and written communication skills.
11.	List only those training course(s) by title and location needed to support the Applicant’s auditing competency.
12.	Enter the name and location of the company, the type of audit (e.g., BPV Review; Nuclear Survey), the date performed, and the Lead Auditor on that audit.
13.	Indicate the type of examination, the date of the examination, and the results (i.e., pass or fail). If the examination was written, enter the grade.
14.	The Record is to be signed and dated by the Applicant’s employer. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

EXHIBIT 3

RECORD OF QUALIFICATION FOR ASME DESIGNEE (LEAD AUDITOR)

Name: _____ (1)	Date: _____ (2)		
Qualified as an ASME Designee (Auditor) on: _____ (3)			
Employer: _____ Address: _____ (4) City/State/Zip: _____			
I. Management Evaluation			
Explain: _____ (5)			
Communication Skills: _____ (6)			
Training Course(s) [Course Title or Topic, Location and Date]:			
1. _____ (7)			
2. _____			
3. _____			
II. Audit Participation (8)			
Name of Company/Location	Date	Type of Audit	Lead Auditor
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
III. Examination (9)			
Written	_____ Date _____	Pass _____ Fail _____	Grade _____
Oral	_____ Date _____	Pass _____ Fail _____	
Interview	_____ Date _____	Pass _____ Fail _____	
Employer's signature and Title: _____ (10)			Date: _____

EXHIBIT 3

Instruction for completing the “Record for Qualification for ASME Designee (Lead Auditor)”

No.	Description
1.	Enter the name, middle initial and last name of the Applicant.
2.	Enter the date the form was completed.
3.	Enter the date the Applicant qualified as an ASME Designee (Auditor).
4.	Enter the name and address of the Applicant’s employer (e.g., of State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
5.	Give a brief explanation of the basis for credit(s) (e.g., assignment of Team, manual review, audit results presentations, etc.).
6.	Give a brief description of the Applicant’s verbal and written communication skills.
7.	List only those training course(s) by title and location needed to support the Applicant’s auditing competency.
8.	Enter the name of the company, the type of audit (e.g., BPV Review; Nuclear Survey), the date performed, and the Lead Auditor on that audit. Refer to 2.6 of the criteria.
9.	Indicate the type of examination, the date of the examination, and the results (i.e., pass or fail) If the examination was written, enter the grade.
10.	The Record is to be signed and dated by the Applicant’s employer. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

EXHIBIT 4

MAINTENANCE OF CERTIFICATION FOR ASME DESIGNEE

Name: (1) Certificate # (3)) Exp. Date (3))	Date: (2)												
Employer: Address: (4)													
I. TRAINING (5)													
Course Title, Location and Date; identify organization that conducted the training: 1. 2.													
II. AUDIT (REVIEWS/SURVEYS) PARTICIPATION (6)													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Name of Company/Location</th> <th style="width: 20%;">Type of Audit</th> <th style="width: 20%;">Date</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">1.</td> <td></td> <td></td> </tr> <tr> <td style="padding: 5px;">2.</td> <td></td> <td></td> </tr> <tr> <td style="padding: 5px;">3.</td> <td></td> <td></td> </tr> </tbody> </table>	Name of Company/Location	Type of Audit	Date	1.			2.			3.			
Name of Company/Location	Type of Audit	Date											
1.													
2.													
3.													
III. PERFORMANCE EVALUATION (7)													
All of the following should be addressed: <ul style="list-style-type: none"> • Auditing technique and style: • Knowledge of applicable Codes and Standards: • Written correspondence: • Areas needing improvement and suggested training, as appropriate: • Overall Evaluation: 													
Employer's Signature and Title: (8) _____ _____	Date: _____												

EXHIBIT 4

Instruction for completing the “Maintenance of Certification for ASME Designee”

No.	Description
1.	Enter the name, middle initial and last name of the Designee.
2.	Enter the date the form was completed.
3.	Enter the Designee’s ASME Certificate number and expiration date.
4.	Enter the name and address of the Applicant’s employer (e.g., of State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
5.	List only those training course(s) by title/topic and location needed to support the Applicant’s auditing competency and knowledge of Codes, standards and relevant technologies Refer to 4.2 of the Criteria.
6.	Enter the name of the company, the type of audit (e.g., BPV Review; Nuclear Survey), and the date performed.
7.	Enter the appropriate evaluation for each element.
8.	The Record is to be signed and dated by the Applicant’s employer. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

EXHIBIT 5

**REQUALIFICATION OF ASME DESIGNEE
(1) [] AUDITOR [] LEAD AUDITOR**

Name: _____ (2)	Date: _____ (3)	
Employer: _____ Address: _____ (4) City/State/Zip: _____		
I. REQUALIFICATION		
Training Course(s) [Course Title or Topic and Location]:		
1. _____ (5)		
2. _____		
3. _____		
4. _____		
5. _____		
II. AUDIT (Reviews/Surveys) PARTICIPATION (6)		
Name of Company/Location	Type of Audit	Date
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____
7. _____	_____	_____
8. _____	_____	_____
III. EXAMINATION (7)		
Written	_____ Date _____	Pass _____ Fail _____ Grade _____
Oral	_____ Date _____	Pass _____ Fail _____
Interview	_____ Date _____	Pass _____ Fail _____
Employer's signature and Title: _____ (8)	Date: _____	

EXHIBIT 5

Instruction for completing the “Requalification of ASME Designee (Auditor or Lead Auditor)”

No.	Description
1.	Indicate whether the Requalification is for an Auditor or Lead Auditor.
2.	Enter the name, middle initial and last name of the Applicant.
3.	Enter the date the form was completed.
4.	Enter the name and address of the Applicant’s employer (e.g., of State of Massachusetts, if employed by a State; ASME, if under contract with ASME).
5.	List only those training course(s) by title/topic and location needed to support the Applicant’s auditing competency. Refer to 2.3 of the Criteria.
6.	Enter the name of the company, the type of audit (e.g., BPV Review; Nuclear Survey), and the date performed.
7.	Indicate the type of examination, the date of the examination, and the results (i.e, pass or fail). If the examination was written, enter the grade.
8.	The Record is to be signed and dated by the applicant’s employer. In addition to the signature, the name and title of the individual signing the Record is to be typed or legibly printed.

EXHIBIT 6

**RENEWAL APPLICATION
FOR ASME DESIGNEE
[] B&PV TEAM LEADER [] TEAM LEADER [] AUDITOR**

Name: (1)	Certificate No.: (2)	Expiration Date: (3)		
Employer: (4)				
Address: (4)	City: (4)	State: (4) Zip: (4)		
Supervisor's Name and Title: (5)				
<p>TRAINING SEMINAR – (Each Designee is required to attend a refresher course for revisions and changes that affect the requirements of the quality program conducted by ASME, or an ASME Designated Organization every two years.) Please list in chronological order the seminars attended by Date, Title, Location and Conducted By during this 5 year Certification period below:</p>				
Chronologica l Order	Date	Title	Location	Conducted By
First		←(6)→		
Second				
Third				
<p>AUDIT PARTICIPATION – (Each certified Designee must participate in at least one audit (survey or review) every twelve months using the criteria established in “Conduct of ASME Surveys, Reviews, Audits, Investigations and Interviews”. This audit must be a complete survey or review such that it shall include at least one day of on-site activity.) Please list in chronological order the date of review, Company, Location, and Conducted By during this 5 year Certification period below:</p>				
Chronological Order	Date of Review	Company	Location	Conducted By
First		←(7)→		
Second				
Third				
Fourth				
<p>ANNUAL EVALUATION – (To comply with this requirement, the employer shall evaluate the individual’s performance by completing the Maintenance of Certification Form and submit it to ASME Staff annually.) Please list in chronological order the Date of Evaluation and Conducted By and Title during this 5 year Certification period below:</p>				
Chronological Order	Date of Evaluation	Conducted By and Title		
First		←(8)→		
Second				
Third				
Fourth				
CERTIFICATION				
<p>In accordance with ASME “Standard Qualification Criteria For Designees,” I certify that the individual listed above has maintained his/her proficiency as an ASME Designee and that the ASME Certificate can be renewed.</p>				
<p>(9) _____</p> <p>(Supervisor's Signature)</p>			<p>(9) _____</p> <p>(Date)</p>	

**Instruction for completing the
“Renewal Application” for ASME Designee**

No.	Description
1.	The name, middle initial and last name on the ASME Designee’s Certificate or Card.
2.	The Certificate or Identification Card Number.
3.	The expiration date as shown on the Certificate or Card.
4.	The name and address of Organization (Main Office) that the individual works for or under contract.
5.	The name and title of the individual’s Supervisor.
6.	List in chronological order the seminars attended by Date, Title, Location and Conducted By. For example: During the five year Certificate validation as an ASME Designee, the individual shall have attended at least two seminars during the first five years and at least three during the second five years, the third five years at least two seminars, the fourth five years at least three seminar, etc.
7.	List in chronological order the date of review, Company, Location, and Conducted By for each year during this five year Certificate period.
8.	List in chronological order the Date of Evaluation and Conducted By for each year during this five year Certification period.
9.	The Record is to be signed and dated by the individual’s Supervisor named above.

TABLE 2.5, EVALUATION OF AUDITOR CANDIDATES

Auditor/Lead Auditor Competencies	Evaluation Methods
Management skills – leadership, sound judgment, maturity, analytical ability, tenacity, etc. (2.1.4)	<ul style="list-style-type: none"> • Attestation by employer • Direct observation
Communication skills – written and oral (2.2)	<ul style="list-style-type: none"> • Attestation by employer • Direct observation • Review of reports and other written communication
Knowledge and understanding of the related Codes and Standards (2.3)	<ul style="list-style-type: none"> • Documented experience • Documented education and training • Direct observation • Examination • Interview
Knowledge of general structure of quality programs as a whole and applicable elements (2.3)	<ul style="list-style-type: none"> • Documented experience • Documented education and training • Direct observation • Examination • Interview
Knowledge of auditing techniques – examining, questioning, evaluating, and reporting methods of identifying and following up on corrective action items, and closing out audit findings (2.3)	<ul style="list-style-type: none"> • Documented experience • Documented education and training • Direct observation • Examination • Interview
Knowledge of auditing of quality-related functions such as the following activities: designing, purchasing, fabricating, handling, shipping, receiving, storing, cleaning, erecting, installing, inspecting, testing, maintaining, repairing, and modifying components(2.3)	<ul style="list-style-type: none"> • Documented experience • Documented education and training • Direct observation • Examination • Interview

TABLE 6.5 RECORD RETENTION

Exhibit	Title	Retention Period	ASME Office	Office other than ASME
INITIAL APPLICATION				
1	Application Form For Designee	3 Years after services are no longer used	X	X
2	Record of Qualification for ASME Designee (Auditor)	3 Years after services are no longer used	X	X
	Examination results	3 Years after services are no longer used	X	X
	Survey or Review Report by the Trainee (Auditor)	3 Years after services are no longer used	X	X
	Evaluation Report of Auditor's Trainee by the Lead Auditor	3 Years after services are no longer used	X	X
3	Record of Qualification for ASME Designee (Lead Auditor)	3 Years after services are no longer used	X	X
	Survey or Review Report by the Lead Auditor Trainee	3 Years after services are no longer used	X	X
	Evaluation Report of Lead Auditor's Trainee by the Lead Auditor	3 Years after services are no longer used	X	X
MAINTENANCE OF CERTIFICATION				
4	Maintenance of certification for ASME Designee	Replace after receipt and verification of information on the Renewal Application	X	X
6	Renewal Application	Until Replaced*	X	X
REQUALIFICATION				
5	Requalification of ASME Designee	Until Replaced*	X	X
RECERTIFICATION				
	Evidence of previous certification	Until Replaced*	X	X
2 and/or 3	Record of Qualification for ASME Designee	Until Replaced*	X	X
	Evidence of actively working	Until Replaced*	X	X

* Replaced by a later revision or replacement document.

APPENDIX A, REQUIREMENTS RELATING TO BOILER AND PRESSURE VESSEL (CBPVCA)

This appendix sets forth the requirements for individuals performing ASME Reviews for Boiler and Pressure Vessel Manufacturer's obtaining ASME Certificates of Authorization and Certificates of Acceptance. On reading the basic Criteria document, the changes, additions, apply in lieu of the standard wording:

1 GENERAL

Par. 1.1 The term "Auditor and Lead Auditor" shall be replaced with the term "individuals".

Par. 1.5 Revise by deleting the term "(Auditor and Lead Auditor)".

Par. 1.6 Revise by deleting "and qualified as an Auditor or Lead Auditor".

Par. 1.7(c) Delete.

Par. 1.7(e) Revise to read: "ASME Designee. An ASME Designee (referred to in this document as the Designee) is an individual authorized by ASME to perform administrative functions on its behalf and who meets the requirements of this procedure."

Par. 1.7(h) Replace the words "Lead Auditor" with "Designee"

2 QUALIFICATIONS

The term "Auditor" throughout Section 2 shall be replaced with "Designee".

The term "Lead Auditor" throughout Section 2 shall be deleted and, where appropriate, replaced with "Designee".

Par. 2.4 Revise the first paragraph to read "The prospective Designee shall have participated as a trainee in a minimum of three ASME Reviews within a period not to exceed one year prior to the date of qualification."

Par. 2.5.1 Revise to read: "Examinations may be developed and conducted by either the ASME or an ASME Designated Organization. In order to qualify, the candidates must take a written examination and attain a passing grade of 70%."

Par. 2.5.1.1 Revise to read: "The examination shall address areas of knowledge the candidate will experience in performance of duties as a Designee, i.e., Boiler and Pressure

Vessel. The body of knowledge to be tested is described in 2.3. All aspects of the examination shall be documented.”

Par. 2.6 Delete.

3 CERTIFICATION

Par. 3.1 and Par. 3.3(c) The term “Auditor” and/or “Lead Auditor” shall be replaced with “Designee”.

4 MAINTENANCE OF CERTIFICATION

No changes.

5 REQUALIFICATION

The term “Auditor(s)” shall be replaced with “Designee”.

6 DOCUMENTATION

Par. 6.1(a), 6.1(a)(4) and 6.1(a)(5) The term “Auditor” shall be replaced with “Designee”.

Par. 6.1(b) Delete.

7 TERMINATION

No changes.

8 LIST OF CERTIFIED AUDITOR AND LEAD AUDITORS

The term “Auditor” and/or “Lead Auditor” shall be replaced with “Designee”.

EXHIBIT 2 This exhibit will be used to document the criteria for Designee and the word “(Auditor)” deleted.

EXHIBIT 3 This exhibit is not needed and shall be deleted.

EXHIBIT 4 This exhibit will be used to document the criteria for Designees and the words “(Auditor) and (Lead Auditor)” deleted.

EXHIBIT 5 This exhibit will be used to document the criteria for Designees and the words “(Auditor) and (Lead Auditor)” deleted.

EXHIBIT 6 This exhibit will be used to document the renewal of Designees and the words “[] Team Leader and [] Auditor” can be deleted.

APPENDIX B, REQUIREMENTS RELATING TO AUTHORIZED INSPECTION AGENCIES (QAI-SCA)

This appendix sets forth the requirements for individuals who either lead or participate in conformity assessment activities relating to Authorized Inspection Agency Accreditation (QAI-SCA). On reading the basic Criteria document, the following changes apply in lieu of the standard wording:

1 GENERAL

Terminology When reading the Criteria document, the term “Lead Auditor” shall be replaced with the term “Survey Team Leader”.

2 QUALIFICATIONS

Par. 2.1.4 Revise the second paragraph to read “The basis for the management judgment in granting the two credits shall be documented, attested to and filed by the employer. Such records are subject to review.”

Par. 2.2 Revise to read “The prospective Auditor is required to be able to effectively communicate both in writing and orally. This must be documented, attested to and filed by the employer”.

Par. 2.5.2 Revise this paragraph to read “ASME staff shall conduct an interview. Documentation of the interview shall provide for the following:

- Name of the Candidate
- Level of qualification sought by the Candidate
- Date of interview
- Printed name and signature of interviewer
- A list of at least ten attributes based on the areas of knowledge described in paragraph 2.3
- Overall grade assigned by the interviewer.”

3 CERTIFICATION

No changes.

4 MAINTENANCE OF CERTIFICATION

No changes.

5 REQUALIFICATION

No changes.

6 DOCUMENTATION

No changes.

7 TERMINATION

No changes.

8 LISTING OF CERTIFIED AUDITORS AND LEAD AUDITORS

No changes.

APPENDIX C, REQUIREMENTS RELATING TO NUCLEAR CERTIFICATION (CNC)

This appendix sets forth the requirements for ASME Designees who either lead or participate in conformity assessment activities relating to Nuclear Accreditation (SC-NA). On reading the basic Criteria document, the following changes apply in lieu of the standard wording:

1 GENERAL

Par. 1.7(c) The term Team Member shall be understood as being synonymous with the term Auditor.

Par. 1.7(h) The term Team Leader shall be understood as being synonymous with the term Lead Auditor.

2 QUALIFICATIONS

Par. 2.1.2(b) Revise to read: “If two or more years of this experience has been in nuclear quality assurance, score two additional credits; and”

Par. 2.1.2(c) Revise to read: “If two or more years of this experience has been in nuclear auditing, score three additional credits.”

Par. 2.1.4 Revise the second paragraph to read “The basis for the management judgment in granting two credits shall be documented and filed by ASME. Such records shall be reviewed by the COD.”

Par. 2.4 Add to read “As an alternative, two of the three required training surveys may be performed by a National Board qualified Team Leader for the NR program. The qualified Team Leader shall provide the report and evaluation of the two surveys to the National Board, that shall be transmitted to ASME, which will become part of the evaluation program that is finalized by the ASME Auditor, when the trainee participates in the third survey.”

Par. 2.5.1 Revise to read “An Interview shall be conducted to address areas of knowledge the candidate will encounter in the performance of duties as a Nuclear Auditor or Lead Auditor. The body of knowledge to be addressed is described in 2.3. All aspects of the interview shall be documented.”

3 CERTIFICATION

No changes.

4 MAINTENANCE OF CERTIFICATION

Par. 4.1 Revise to read “Each certified Designee must participate in at least one nuclear audit, survey, review or investigation, every twelve months using the criteria established in the Conduct of ASME Surveys, Reviews, Investigations and Interviews. This conformity assessment activity must be complete such that it includes at least one day of on-site activity.”

5 REQUALIFICATION

No changes.

6 DOCUMENTATION

No changes.

7 TERMINATION

Par. 7.3 Revise to read “The COD or ASME, may terminate a Designee’s certification for reasonable cause.”

8 LISTING OF CERTIFIED AUDITORS AND LEAD AUDITORS

No changes.

APPENDIX D, REQUIREMENTS RELATING TO RTP ACCREDITATION (SCA-RTP)

This appendix sets forth the requirements for individuals who either lead or participate in conformity assessment activities relating to RTP Accreditation (SCA-RTP). On reading the basic Criteria document, the following changes apply in lieu of the standard wording:

1 GENERAL

Par. 1.7(c) Replace with: Specialty Member. The industry expert who is included as a member of the Survey Team.

Par. 1.7(h) The term Team Leader shall be understood as being synonymous with the term Lead Auditor.

Add **Par. 1.7(i)** Survey. The Conformity Assessment activity conducted with a full Team for new issuance and renewal of RTP Accreditation.

2 QUALIFICATIONS

Par. 2.5.1 Revise to read “Examination of Team Leaders and Specialty Members conducting Conformity Assessment activities under the jurisdiction of the Subcommittee on RTP Accreditation, shall be done through interview.”

Par. 2.1.5.6 Add to read “The RTP Specialty Member, who participates on surveys of companies requesting new or renewed RTP accreditation, shall meet the following requirements:

(a) RTP-1 Knowledge

The Specialty Member must have a good working knowledge of RTP-1 including

- (1) understanding the requirements of the quality assurance program in RTP-1;
- (2) understanding the requirements for qualification and design basis of laminates;
- (3) understanding the requirements for laminator, secondary bonder and shop qualification;
- (4) understanding relationships between user’s basic requirements specification (UBRS) and fabricator’s design report; and
- (5) understanding the types and limits of nonconformities.

(b) Fabrication Knowledge

- (1) Assess fabricating techniques included in the scope
- (2) Assess mechanical test results

(c) Desirable Practical Experience

- (1) Ten years working in an RTP shop involved with production and quality control, or
- (2) Ten years in industry involved with design, inspection and repair of FRP (fiber reinforced plastic) equipment

3 CERTIFICATION

No changes.

4 MAINTENANCE OF CERTIFICATION

No changes.

5 REQUALIFICATION

No changes.

6 DOCUMENTATION

No changes.

7 TERMINATION

No changes.

8 LISTING OF CERTIFIED AUDITORS AND LEAD AUDITORS

No changes.

APPENDIX E, REQUIREMENTS RELATING TO QEI ACCREDITATION

This appendix sets forth the requirements for individuals who either lead or participate in conformity assessment activities relating to QEI Accreditation. On reading the basic Criteria document, the following changes apply in lieu of the standard wording:

1 GENERAL

No changes.

2 QUALIFICATIONS

Par. 2.5.1 Revise to read “Examination shall be done through interview”.

3 CERTIFICATION

No changes.

4 MAINTENANCE OF CERTIFICATION

No changes.

5 REQUALIFICATION

No changes.

6 DOCUMENTATION

No changes.

7 TERMINATION

No changes.

8 LISTING OF CERTIFIED AUDITORS AND LEAD AUDITORS

No changes.