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Procedures Conduct of ASME Surveys, Reviews, Audits Investigations, and Interviews

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New revisions are shown with a vertical line in the left margin.

1 SCOPE

These procedures establish guidance for the conduct of accreditation activities relating to ASME Survey, Review, Audit, Investigation and Interview Teams. These are the elements to carry out the ASME purpose to protect the ASME marks and acceptance of the Applicant's demonstrated conformance with ASME Codes and Standards. ISO 9000 registration activities are covered by another document.

1.1 GLOSSARY OF TERMS

Terms used in these procedures are defined as follows:

- (a) “Applicant” refers to a company applying for any form of ASME accreditation.
- (b) “ASME Consultant” refers to an ASME Designee under contract to ASME.
- (c) “ASME Designated Organization” refers to an entity appointed by ASME to perform an administrative activity in accordance with an applicable Code or Standard.
- (d) “ASME Designee” refers to an individual authorized by ASME to perform administrative functions on its behalf.
- (e) Audit refers to a documented evaluation performed to verify, by examination of objective evidence, that those selected elements of a previously approved quality program have been developed, documented, and implemented in accordance with specified requirements. An audit does not include surveillance or inspection for the purpose of process control, or acceptance of material or items. As used in this document, audit refers to “audits for cause” or “unannounced program audits,” depending upon the context in which it appears.
 - (1) Audits for Cause refers to the result of voted actions by the Accreditation Subcommittees.
 - (2) Unannounced program audits refers to an audit that covers specific areas of interest and are scheduled on a programmed random basis.
- (f) Auditor refers to any member of an announced or unannounced Audit Team.
- (g) Authorized Inspection Agency refers to an organization accredited by ASME and designated by or acceptable to an Enforcement Authority, where applicable, and having an agreement with the Applicant when required by the applicable Code or Standard.
- (h) Conduct refers to an all inclusive term encompassing the ASME staff and Team activities for formation, performance, and reporting of ASME surveys, reviews, audits, investigations, and interviews.
- (i) Enforcement Authority refers to a government entity that enforces regulations or laws and which formally recognizes an ASME Code or Standard as a means of compliance with those regulations or laws.
- (j) Finding refers to a noncompliance to an ASME Code or quality assurance/control program requirement that renders an item or activity unacceptable or indeterminate.

- (k) Interview refers to verification done in lieu of a survey for an Applicant for a Nuclear Owner's Certificate.
- (l) Quality Program: Unless otherwise noted, the term “quality program” is intended to mean quality assurance or quality control depending on the requirements of the applicable Code or Standard.
- (m) Review refers to the evaluation of a manufacturer’s Quality Control System, including a demonstration of compliance with Code requirements covered by the scope of the Certificate(s) being applied for, including as applicable, design, material, fabrication, examination, testing, inspection, and certification.
- (n) Survey refers to a documented evaluation of an organization’s ability to perform Code activities as verified by a determination of the adequacy of the organization’s quality program and by a review of the implementation of that program at the location of the work.
- (o) Team Leader refers to an ASME Designee, who is also the Member of the Team who has complete responsibility for the conduct of the survey, review, audit, investigation or interview.

1.2 REVISIONS TO PROCEDURES

1.2.1 These procedures and revisions thereto, are the responsibility of the ASME Board on Conformity Assessment.

1.2.2 Proposed revisions shall be reviewed and accepted by the Committee on Conduct of Conformity Assessment Activities.

2 TEAM COMPOSITION

- 2.1 The Survey, Review, Audit and Interview Team make-up is shown in Appendix 1.
- 2.2 Members of an ASME Conformity Assessment Committee and the Standards Committee to which it reports shall not be used as ASME Designees on Survey or Review Teams organized to conduct surveys, reviews or audits connected with conformity assessment activities for which such Conformity Assessment and Standards Committee have overseeing responsibility. An exception is the ASME Senior Consultant who may serve as a nonvoting member on the ASME Conformity Assessment Committee.
- 2.3 Members of an ASME Conformity Assessment Committee and the Standards Committee to which it reports may participate in surveys or reviews as
- (a) Observers (see 5.5); or as
 - (b) Representatives of an Authorized Inspection Agency, Enforcement and Regulatory Authority, an ASME Designated Organization (see 2.2 for limitations).
- Representatives of the Applicant/Certificate Holder that hold such Committee membership shall not participate as a member of the Team.
- 2.4 The ASME Policy and Procedures on Conflict of Interest and Confidentiality shall be followed by the Team Members.
- 2.5 ASME Designees shall not participate on a Survey, Review, Audit or Interview Team if they have been employed by the organization, employed by the inspection agency that provided inspection services to the organization, or involved in providing consulting services to the organization within the last two years.

3 TEAM ASSIGNMENTS

- 3.1** It is the responsibility of the ASME staff to select an ASME Consultant as Team Leader, or where applicable, notify the Enforcement Authority or ASME Designated Organization to appoint an ASME Designee as Team Leader.
- 3.2** Selection of ASME Consultants to serve as Team Leaders and Team Members for surveys, reviews and audits shall be from a list of currently qualified personnel maintained by ASME staff.
- 3.3** Team Leaders and Team Members selected by Enforcement Authorities or ASME Designated Organizations shall be certified by ASME as ASME Designees.
- 3.4** Where an Authorized Inspection Agency is required, it is the responsibility of the Applicant to assure that the required representatives of the Authorized Inspection Agency are available for the survey, review or audit.
- 3.5** For Interviews for Nuclear Owners Certificates, ASME staff will make arrangements to select the Team.

4 SCHEDULING

- 4.1 After fulfillment of application requirements, it is the responsibility of the assigned ASME Manager, Conformity Assessment, to arrange for a Team visit to the Applicant's facility(ies). The Manager shall coordinate with organizations represented on the Team, in accordance with staff procedures.
- 4.2 It is the Applicant's responsibility to arrange for a representative from their Authorized Inspection Agency, when required. The ASME Manager shall invite the Enforcement Authority, when applicable.
- 4.3 The ASME staff is responsible for scheduling audits and involving such personnel as is necessary for the type of audit being performed.
- (a) The audit frequency shall assure that each Holder of a Certificate subject to an unannounced audit program, is audited by ASME on the basis of 120 percent of the accredited organizations annually.
 - (b) Audits for cause shall be scheduled within the time frame determined by the Accreditation Subcommittee requiring such an audit.
- 4.4 It is the responsibility of the Applicant for an ASME Nuclear Owner's Certificate of Accreditation to request ASME for an Interview with their Authorized Inspection Agency and an ASME Designee.
- 4.5 It is the responsibility of the ASME staff to see that hotel arrangements are made for the ASME Team, or advise the ASME Designated Organization, Enforcement Authority and/or Team members concerning hotel information. The Authorized Inspection Agency representatives are responsible for making their own hotel arrangements.
- 4.6 It is the responsibility of ASME or the organization appointing the Team Leader to provide the Team Leader with all the information required for the conduct of the survey, review, audit, investigation or interview. For other than new Applicants, this shall include the Team Report from the previous survey, review or interview (and audit(s) and investigation(s), where applicable).
- 4.7 It is the responsibility of ASME staff to provide the Applicant with a copy of the Due Process and Confidentiality notice at the time the Applicant is provided with the checklist relevant to the requested survey or review.
- 4.8 If a problem prevents a full Team from being available, such as health or travel issues just before a Survey, the Team may proceed with the Survey upon consultation with the company concerning possible extension of the survey, if necessary. The ASME staff should

be contacted. The qualification and experience of the remaining Team should be considered by the staff in determining whether the survey should continue.

5 CONDUCT

5.1 SURVEYS AND REVIEWS

5.1.1 Team Leader Responsibilities. The Team Leader has complete responsibility for the conduct of the survey or review. This includes

- (a) obtaining the pertinent information from ASME staff and the Applicant;
- (b) assigning duties to each Team Member, as necessary;
- (c) speaking for the Team in official contacts with the Applicant's management.
- (d) coordinating the findings of the Team Members;
- (e) reviewing findings with the team and preparing the official Team Report and obtaining the required signatures, when applicable;
- (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);
- (g) reviewing and endorsing expense reports of ASME Consultants (and for National Board for N-Type surveys);
- (h) retaining Team Members' notes for 90 days unless otherwise notified by ASME staff;
- (i) transmitting to ASME staff the Team Report, and expense statements.

5.1.2 Team Member Responsibilities. The Team Members have responsibility for:

- (a) carrying out assignments (made by the Team Leader).
- (b) summarizing the results for assigned areas of survey or review for inclusion in the Team Report;
- (c) identifying any findings relative to the company's quality program in the areas assigned and reporting these to the Team Leader. Team Members shall be strictly guided in the preparation of findings by the applicable Code or Standard;
- (d) identifying any findings relative to the testing equipment, test procedures, personnel qualifications, and quality program, and reporting these to the Team Leader;
- (e) reviewing findings prior to exit meeting for concurrence with Team recommendation;
- (f) submitting required expense statement, when required.

5.1.3 Survey or Review Team Checklists and Presurvey Questionnaire. When a survey or review is scheduled, the Applicant receives an ASME survey or review announcement letter. A copy of the documents required by the applicable Accreditation program, such as checklists and presurvey questionnaires, are supplied by ASME staff. These required documents must be completed by the Applicant who then provides them to the Team for review along with the Applicant's Quality Manual. If there are apparent conflicts between the applicable Code or Standard and the corresponding guide, the Code or Standard shall prevail.

5.1.4 Manual Review. Prior to the entrance meeting, the survey or review team shall review and critique the written description of the quality program, scope sheet, and other documents required by the program. Specific points to be considered include the following:

- (a) All controls and requirements specified by the applicable Code and/or Standard are adequately described for the scope of work being requested.
- (b) The quality program is described in the Manual in a manner that renders it auditable.

The Team Leader shall remind those present of the rules of confidentiality attached to the deliberations. The Team should avoid, as much as possible, imposing personal stylistic preferences on the Manual as corrections to the program. Any changes recommended by the Team should be substantiated by a requirement of the applicable Code or Standard.

5.1.5 Entrance Meeting. An entrance meeting will be held with the company prior to the start of the survey or review. At this meeting, the Team Leader shall

- (a) encourage participation of executive/senior management at the meeting;
- (b) if the company is a party to a Joint Venture and such is not evident from the application, review the relevant ASME policy (see Appendix 4) on Joint Ventures with the company;
- (c) carry out introductions;
- (d) describe the manner in which the survey or review will be conducted, including the fact that an interim report will be given by the Team Leader so that the Applicant can implement any appropriate corrective actions during the survey or review;
- (e) discuss and agree upon the scope of accreditation being requested;
- (f) discuss any results of the Team's review of the Quality Manual and the changes considered significant for senior management response;
- (g) verify Applicant's receipt and understanding of the Due Process and Confidentiality notice, and respond to any questions from the Applicant. If the Applicant does not have a copy of the notice, the Team Leader should supply a copy;
- (h) request information on safety requirements and proprietary aspects so that the Team can comply in all respects;
- (i) make the assignments for the implementation portion of the survey or review;
- (j) request a brief tour of the facilities for familiarization of the Team, when appropriate.

5.1.6 Implementation Demonstration

- (a) Required Manual revisions identified during the Manual Review shall be reported to the Applicant. The discussion shall take place following the entrance meeting. The Applicant shall be encouraged to complete any Manual revisions during the survey or review so that the revised Manual can be reviewed and accepted prior to the exit meeting.

- (b) The quality program described in the Quality Manual must be demonstrated in use. The program does not have to be demonstrated on Code/Standard work. NonCode/Standard work may be used provided it is representative of the Code/Standard work contemplated and is documented throughout as Code/Standard work.
- (c) The Team Leader shall ensure that the company provides appropriate personnel to accompany Team Members in their assigned portions of the survey or review.
- (d) Manual revisions made during the survey or review shall be verified to assure adequate Code requirements have been incorporated.
- (e) For renewals, resurveys or rereviews, corrective actions from the previous survey, review or audit will be verified.
- (f) The Team shall verify that the program described in the Manual, including documents shown as exhibits or samples, is in fact the program being implemented.

5.1.7 Team Findings and Recommendation. Meeting(s) of the Survey or Review Team shall be held prior to the exit meeting for the purpose of identifying findings and developing the Team recommendation to be submitted to ASME and for Applicant information. The Team Leader shall be responsible for the conduct of the meeting and shall

- (a) ensure that only Members of the Team, observers, and Internal Audit Team Members assigned to the survey or review by ASME staff are in attendance;
- (b) remind those present of the rules of confidentiality attached to the deliberations;
- (c) ensure that the list of findings reflects the consensus of the team and includes findings that were resolved before completion of the implementation; and
- (d) provide dissenting Members the opportunity to prepare a Minority Report and forward to the staff for inclusion in the Team Report.

The Team may choose not to cite in the Team Report as findings, items of a minor nature.

5.1.8 Exit Meeting. An exit meeting will be held with the Applicant at the conclusion of the survey or review. At this meeting, the Team Leader shall

- (a) encourage participation of executive/senior management at the meeting;
- (b) present and discuss the Team's findings and recommendation (Note: A written copy of findings will be presented to the Applicant);
- (c) when corrective action is to be taken by the Applicant and reported to ASME, explain the relevant procedures;
- (d) provide the Applicant's representatives an opportunity to ask questions they may have concerning the survey or review, findings and/or the Team recommendation;
- (e) remind the Applicant of the Due Process and Confidentiality notice and explain that:
 - (1) If they disagree with the findings, Team recommendation or general conduct of the survey or review, they may submit a written statement to the ASME Director, Accreditation and Certification, for consideration by ASME, as part of its evaluation of their application. In the event the company states intent to submit a statement to ASME, the Team Leader will note this in the Team Report.

- (2) The Team recommendation is not a final action. The determination to issue/renew their ASME accreditation or recommend resurvey/rereview will be decided by the applicable Accreditation Subcommittee on the basis of the Team's recommendation, including consideration of Minority Reports by other Team Members, and statements presented by the Applicant, if submitted. If appropriate, the Team Report may include recommendation for AIA follow-up in lieu of resurvey/rereview.
- (3) ASME staff will notify the Applicant of the Subcommittee's decision. If that decision is not to issue/renew the requested ASME accreditation, the notification will include the applicable procedures for requesting a reconsideration of that decision and provisions for due process.
- (4) If the Applicant has any questions about extension of the expiration date of Certificate(s), advise the Applicant to contact ASME staff.

5.1.9 Termination of Surveys or Reviews Before Completion. An ASME survey or review may be terminated before completion, by the Team Leader or ASME staff in an emergency situation, or upon written request from the Applicant. In such cases, a Report shall be prepared by the Team Leader concerning the summary of survey or review activities up to that point. The Report, together with the company letter, shall be sent to the applicable Accreditation Subcommittee for information. The Team shall not continue survey or review related activities subsequent to being advised that the company desires the survey or review to be terminated. The Team Leader shall advise the company that they should contact ASME staff concerning the consequences of early termination of a survey or review. If a problem such as health or an emergency during a survey prevents a full Team from being available, the Team may continue with the survey upon consultation with the company concerning possible extension of the survey, if necessary. The ASME staff should be contacted, if possible. The qualification and experience of the remaining Team should be considered in determining whether the survey should continue.

5.2 UNANNOUNCED PROGRAM AUDITS

5.2.1 Companies which have Certificates subject to unannounced program audits shall have at least two unannounced audits during the three year term of the Certificate. Companies receiving more than two audits are chosen on a random basis as described under ASME internal Conformity Assessment Department procedures, or by direction of the responsible Accreditation Subcommittee.

5.2.2 The Auditor has complete responsibility for the conduct of the audit. This includes

- (a) obtaining all the pertinent information from ASME staff.
- (b) arranging for a meeting with the Certificate Holder (QSC for ASME Section III) prior to the start of the audit. At this meeting, the Auditor shall
 - (1) carry out introductions;
 - (2) describe the purpose of and manner in which the audit will be conducted;
 - (3) discuss confidentiality and appeal procedure;

- (4) request information on safety requirements and proprietary aspects so the Auditor can comply in all respects;
- (5) provide the representative(s) an opportunity to ask questions they have concerning the conduct of the audit.
- (c) performing audit in accordance with the checklist prepared by the Auditor. The checklist shall include verification of corrective actions from the last audit or survey.
- (d) arranging for a meeting with the management at the conclusion of the audit. At this meeting, the Auditor shall
 - (1) present an oral report including a summary of all findings observed during the audit;
 - (2) explain the relevant procedures to the representative(s) when corrective action is to be taken by them and reported to ASME;
 - (3) provide the representatives an opportunity to ask questions concerning the audit and/or findings;
- (e) preparing the official Audit Report (all implementation and quality manual related findings in the Report shall be based on the applicable Code and/or Standard);
- (f) transmitting Auditor's notes, Audit Report, and expense statement to ASME staff.

5.3 AUDITS FOR CAUSE

5.3.1 An audit for cause may be announced or unannounced and may be required for one of the following reasons:

- (a) to verify completion of corrective actions required by ASME;
- (b) to review changes to the manual.

5.3.2 The Team Leader (or Auditor, where a single ASME Designee is assigned to conduct the audit) has complete responsibility for the conduct of the audit. In addition to the provisions of 5.2.2 (a) through (f), inclusive, the Team Leader shall

- (a) assign duties of each Team Member, when applicable;
- (b) speak for the Team in all official contacts with the representative(s);
- (c) coordinate finding(s) of the Team Members, when applicable.

5.3.3 Team Members have the same responsibility as outlined in 5.1.2.

5.4 INTERVIEWS FOR NUCLEAR OWNERS CERTIFICATES

5.4.1 The Interview Team shall meet with the Applicant to review and discuss the Applicant's Code responsibilities and duties relative to the Quality Assurance Program.

5.4.2 The Interview Team shall ascertain the Applicant understands Code responsibilities and that the Applicant has a documented policy statement, agreement, or letter from management to abide by these responsibilities.

5.4.3 After the interview, the Interview Team shall prepare a preliminary written report, including the team's recommendation. The contents of this report shall be discussed with the Applicant during the exit meeting.

5.4.4 The Team shall prepare and submit a final written report, including its recommendation, to the Director, Accreditation and Certification, after the exit meeting. The preliminary report may serve as the final report, provided no changes have been made.

5.5 OBSERVERS

5.5.1 Members and alternates of ASME Accreditation Subcommittees, Standard Committees to which an Accreditation Subcommittee reports, Board on Conformity Assessment, ASME Designee, ASME Designee Trainees, members of the ASME staff, members of the Committee on Conduct of Conformity Assessment Activities and Internal Auditors may be observers on ASME surveys, reviews, audits, investigations or interviews for the purpose of familiarizing themselves with the ASME accreditation activities. (see 5.7.1).

5.5.2 Representatives of ASME Designated Organizations, Authorized Inspection Agencies, and/or Enforcement Authorities, may accompany Survey or Review Teams as observers for indoctrination, training or overview.

5.5.3 All observers on ASME surveys, reviews, audits, investigations or interviews shall

- (a) report directly to the Team Leader and provide complete cooperation to the Team Leader;
- (b) hold all information relative to survey or review findings, recommendations, discussions, reports, and Applicant's operation as confidential;
- (c) communicate only to the Team Leader or Team Members on matters relative to the survey or review.
- (d) not participate in the Team consensus vote.

5.6 INTERNAL AUDITORS

5.6.1 Under the direction and supervision of the Committee on Conduct of Conformity Assessment Activities, members of the ASME Board on Conformity Assessment, Internal Audit Team (IAT), ASME staff, or other so designated, may periodically attend ASME surveys, reviews, audits, and interviews as Internal Auditors to perform audits of ASME Accreditation activities.

5.6.2 Internal Audits shall be conducted in accordance with the current Internal Audit Team procedures, approved by the Committee on Conduct of Conformity Assessment Activities.

5.6.3 Internal Audit Team Members, while performing audits of ASME surveys, reviews, audits, and interviews, shall

- (a) be under the direct control and supervision of the Internal Audit Team Leader;
- (b) communicate only with the Internal Audit Team Leader on matters relative to the internal audit;
- (c) not participate in any function of a survey, review, audit or interview;
- (d) hold all information relative to survey or review findings, observations, recommendations, discussions, reports, and Applicant's operation as confidential.

5.6.4 The conduct of the Internal Audit Team shall in no way, nor at anytime during the audit, be performed in a manner that can be construed as either a parallel survey or review of the Applicant.

5.7 ARRANGEMENTS FOR OBSERVERS AND INTERNAL AUDITORS

5.7.1 The ASME Conformity Assessment staff shall be responsible for making all arrangements with the Applicant to avoid potential conflicts of interest and an excessive number of observers and Internal Auditors on a survey, review, audit, investigation or interview. No more than two observers shall be assigned to any Team, except for nuclear surveys in which three observers may be assigned.

5.7.2 Assignment as an observer or Internal Auditor(s) is contingent upon the following:

- (a) acceptance by the Applicant for observer(s) or Internal Auditor(s) to be present during the survey, review, audit, investigation or interview; and
- (b) determination by each individual observer or Internal Auditor that a potential conflict of interest does not exist with the Applicant being surveyed, reviewed, audited, investigated or interviewed.

5.8 RULES OF DECORUM

5.8.1 Team Members shall at all times perform their duties and conduct themselves in a professional manner during surveys, reviews, audits, investigations or interviews.

5.8.2 Any apparent violations, misconduct, or extreme or inappropriate behavior shall be reported in writing to the ASME Special Committee on ASME Consultants and Designees. At least two individuals shall have witnessed the incident so that the allegation can be validated.

5.9 CONFIDENTIALITY

5.9.1 All discussion held in the process of arriving at a consensus with regard to the Team's recommendation to be reported to ASME and the position taken by each Team Member with regard to the recommendation, is strictly confidential.

5.9.2 Unauthorized communication of confidential information to the Applicant or any non Team Member shall be considered in violation of the confidentiality policy and shall be reported in writing to the ASME Special Committee on ASME Consultants and Designees.

5.10 LANGUAGE

The Quality Document and supporting procedures/records shall be in English. If another language Manual is prepared, the English Manual shall govern for accreditation or authorization of the organization by ASME.

Oral communication shall be made in the English language. In those situations where all participants in an audit, review or survey fluently speak and understand a common language other than English, the Team Leader or leading Auditor may authorize oral communication in that common language provided it facilitates a more effective and efficient activity.

6 INVESTIGATIONS

6.1 INITIATION

- 6.1.1** When a written complaint is received by ASME alleging Code violations in items produced and/or activities performed under an ASME instrument of accreditation, an investigation may be required. Investigations, if conducted, shall determine if items or activities as identified in the complaint are in compliance with Code requirements and if the Certificate Holder's Quality requires corrective action.
- 6.1.2** ASME staff shall acknowledge receipt of a complaint in writing to the originator if known with notification that review and processing of the complaint will be in accordance with ASME procedures.
- 6.1.3** If a complaint is identified involving an organization which is not a current Certificate Holder, the issue may be referred to the ASME's legal counsel and/or appropriate jurisdictional authority(ies) for action as may be warranted.
- 6.1.4** The ASME staff shall coordinate investigation activities with the ASME Consultant, ASME Designated Organizations, Jurisdictions, Authorized Inspection Agencies, owners/users, and other affected parties, as appropriate to the scope of an investigation and involvement of the organization.

6.2 AUTHORIZATION

- 6.2.1** The initiation of an investigation shall be by authorization of the Director, Accreditation and Certification, with concurrence of the responsible Subcommittee or Subcommittee Chair.
- 6.2.2** A determination by the ASME staff that an allegation lacks sufficient information or an appropriate basis to conduct an investigation, or that an investigation is otherwise not warranted, shall be reported to the responsible Subcommittee.

6.3 PERSONNEL

- 6.3.1** Assignment of an organization or personnel for the conduct of investigations shall be by the ASME staff. Normal sources for investigators will include Authorized Inspection Agencies, Jurisdictions, ASME Designated Organizations, ASME Consultants, and the ASME staff.

- 6.3.2** If an outside organization (i.e., persons other than ASME Consultants or staff) is to perform an investigation on behalf of ASME, the assigned investigation personnel shall be acceptable to ASME. Investigators shall not be selected from an organization contracted as an authorized inspection agency of the organization being investigated
- 6.3.3** The qualification of the assigned investigator(s) shall relate to the scope of the investigation. In most cases, qualifications for an ASME Designee will suffice. However, there may be times when investigations must be conducted in a specific area and therefore other qualifications as considered necessary by the ASME staff may be appropriate. In all cases, the ASME staff shall assure that assigned investigation personnel acknowledge compliance with the ASME's policies on confidentiality, conflict of interest and code of conduct.

6.4 CONDUCT OF INVESTIGATIONS

- 6.4.1 Notification.** Upon action to initiate an investigation, the ASME staff shall notify the affected organization(s) of the action. When determined appropriate by the Director, Accreditation and Certification, and Subcommittee or Subcommittee Chair, investigations may be conducted on an unannounced basis. Jurisdictional Authorities, eligible to serve as members of the Survey or Review Team, shall be notified of the conduct of the investigation.

Details and preparations for performance of the investigation will be arranged with the involved parties by the assigned investigator(s). The owner's authorization shall be secured as necessary for review of installed or inservice items.

Instructions provided by ASME staff to the Investigator(s) shall include pertinent information related to the area of investigation, as well as the time period for which the investigation is to be conducted.

- 6.4.2 Entrance Meeting.** The investigator(s) shall meet with representatives of the organization at the beginning of the investigation to explain the purpose and scope of the investigation review. The responsibility of the investigator(s) shall be clearly stated, that is, to perform the investigation review, document findings, and provide recommendations for consideration in accordance with procedures of ASME. The investigator(s) shall explain that a verbal report of findings and proposed recommendations will be provided to the organization prior to conclusion of the investigation and that a written report will be provided to the responsible Subcommittee. Affected parties will be requested to advise the Investigator(s) if they disagree with any reported finding so that it may be rechecked and agreement reached, if possible. It should be made clear that they have this right, and that they are invited to contact the ASME staff if agreement cannot be reached on an issue.

6.4.3 Implementation. Performance of the investigation shall include review of relevant portions of the Quality Program, inspection of items and equipment, examination of records, and evaluation of activities affecting Code or Standard Compliance, as appropriate to the purpose and scope of the investigation. The aforementioned evidence shall be examined as necessary to determine the nature, extent, and validity of alleged Code or Standard violations. This may include examination of items at the Certificate Holder's facility, field sites, or in service at the location of installation. Any deficiencies identified in implementation of the Quality Program or in Code or Standard compliance of items shall be brought to the attention of the organization. The affected parties shall be provided the opportunity to respond to identified deficiencies prior to conclusion of the investigation.

6.4.4 Exit Meeting. The findings of the investigator(s) shall be verbally reported to the organization at the completion of the investigation. The report must be clear, and accurate, with opportunity for questioning of findings and reverification, if necessary, as stated during the opening meeting.

6.5 WRITTEN REPORT

6.5.1 Submittal. The Investigator(s) shall forward a written report on the results of the investigation to the Director, Accreditation and Certification, for distribution and consideration by the responsible Subcommittee in accordance with Subcommittee procedures. The written report shall be submitted as soon as possible, but no later than fifteen days, after completion of the investigation.

6.5.2 Content. The written report shall include a description of conditions found relative to the purpose and scope of the investigation. This should include conditions found at the Certificate Holder's facilities and at the location of installation, as appropriate. The report should also include a discussion of any items or conditions not part of the original complaint, but relevant to the investigation; recommendations as considered appropriate for resolution of identified concerns; and any response, action, or documentation provided by the organization or as part of the original complaint.

6.6 RESULTS

6.6.1 Follow-up. After the responsible Subcommittee has made its determination relative to an investigation, the Subcommittee Secretary shall notify the Certificate Holder of the actions taken by the Subcommittee. Follow-up action shall be in accordance with Subcommittee procedures.

6.6.2 Where applicable, the Subcommittee Secretary shall notify the Jurisdictional Authority in which the item subjected to the investigation is located, of actions taken by the Subcommittee.

- 6.6.3** When determined appropriate by the Subcommittee or Director, Accreditation and Certification, a summary of the investigation results may be provided by the Subcommittee Secretary to the Investigator(s), Authorized Inspection Agency, Jurisdiction, ASME Designated Organization, owner/user, and the individual reporting the original complaint, if known.

7 REPORTS

- 7.1 The Team Report shall include sufficient detail to record location, scope, duration, and nature of the visit; Team Members, observers, and other participants; findings, observations, and conclusions; and Team recommendations, as appropriate.
- 7.2 If the Survey or Review Team recommendation is to resurvey/rereview, the deficiencies in the Applicant's quality program will be included in the Team Report, so that ASME staff can extract the deficiencies for inclusion in correspondence to the company surveyed or reviewed.
- 7.3 If a Member of the Team does not agree with the decisions of the consensus of the Team, the Member may file a Minority Report. Minority Reports shall define the areas of disagreement and present reasons for the disagreement. Minority Reports will be included with the Team Report by ASME staff for review and consideration by the applicable Subcommittee on Accreditation.
- 7.4 The Team Report will be transmitted to ASME by the Team Leader for consideration and appropriate action within thirty days of the completion of the visit. Minority Reports should be submitted by the Team Member writing the Report to the ASME Director, Accreditation and Certification, within fifteen days of the completion of the visit for submittal to the applicable Subcommittee on Accreditation by ASME staff.
- 7.5 At the exit meeting for an unannounced program audit, the Auditor will advise the Certificate Holder of the requirement to respond to corrective actions. The date of response will depend on the requirements of each ASME program. The audit findings will be given in the Audit Report and a written report submitted to the Certificate Holder by the ASME staff upon receipt of the Audit Report. Corrective actions to be taken by the Certificate Holder shall be mailed to the ASME staff for submittal to the Auditor for review and acceptance. The ASME staff will then submit the Auditor's response to the Certificate Holder and take what further action may be required.
- 7.6 The Team recommendation on new issuance or renewal surveys or reviews shall generally be selected from variations of the following options, as applicable to each program:
- (a) issue requested Certificate(s) to the location(s) indicated;
 - (b) issue Certificate(s) after receipt and acceptance of a follow-up Report (from Applicant or Authorized Inspection Agency);
 - (c) issue Certificate(s) subject to announced audit, or unannounced early audit specified by the applicable Accreditation Subcommittee; or
 - (d) resurvey or rereview.

Additional recommendations may be made if required by circumstances.

8 RECORDS

- 8.1** Team Reports which recommend and result in the issuance of a Certificate shall be retained in ASME files as long as the Certificate remains in effect.
- 8.2** Team Reports which recommend against issuance or renewal of Certificates shall be retained in ASME files until superseded by a complete report of a resurvey or rereview and voted action of the cognizant ASME Accreditation Subcommittee recommending issuance of a Certificate; until the application is withdrawn by the Applicant; or after a fixed time established by ASME policy has elapsed.
- 8.3** The personal notes of Team Members will be held confidential and retained only to assist the Team Leader during a resurvey or rereview. They shall be destroyed upon issuance of the appropriate Certificate.
- 8.4** Team Reports based on an audit for cause, or investigation, shall be retained in ASME files in accordance with ASME record retention policy. If it has been determined that the Certificate Holder has been found to be in violation of the Code or Standard, the Team Report shall be retained in ASME files until the violations have been remedied.

APPENDIX 1
ASME SURVEY, REVIEW, AUDIT, AND INTERVIEW TEAM MEMBERSHIP

1. The membership on ASME Survey, Review, Audit and Interview Teams will be based on the procedures of the responsible Accreditation Subcommittee when included in their procedures, or as mandated in the Code or Standard, which is the basis of the program.
2. When not included in the Code, Standard or applicable procedures, membership will be as follows:

TYPE	ASME Team Leader	ASME Team Member
New Issuance	*	*(1)
Renewal	*	*(1)
Resurvey	*	*(1)
Relocation Audit	*	--
Expansion of Certificate Scope Audit	*	--
Unannounced Audit	*	--
Audit for Cause	*	(2)
Interview	*	(2)

(1) Not required for QEI Program.

(2) Decision on need for Team Member(s) to be determined by responsible Subcommittee on case by case basis.

APPENDIX 2
ADDITIONAL REQUIREMENTS RELATING TO BOILER AND
PRESSURE VESSEL REVIEWS

1 SCOPE

This appendix establishes guidance for the conduct of accreditation activities relating to ASME Review, and Audit Teams for Certificates of Authorization and Certificates of Acceptance administered by the Subcommittee on Boiler and Pressure Vessel Accreditation (SC-BPVA).

2 REVIEW TEAMS

The Review Team shall be in accordance with the Team Assignments described in the base procedures, with the exception of the specific Team assignments for each type of Certificate listed below.

3 SUPPLEMENTAL REQUIREMENTS

3.1 UM Certificate of Authorization (Valid for 1 year)

3.1.1 For other than initial issuance and the triennial review, the Authorized Inspection Agency representative shall conduct and document the renewal reviews after the first and second year.

3.1.2 The Authorized Inspection Agency shall provide verification to ASME prior to the expiration date verifying that the review has been performed and that the AIA has accepted the Certificate Holder's Quality Control System for use of the UM stamp.

3.2 UG-90(c)(2); HG-515.4(b), Section X Code Case 2225 Multiple Duplicate Certificate of Authorization

3.2.1 The review shall be conducted by an ASME Designee appointed by ASME or an ASME Designated Organization.

3.2.2 The Review Team shall also include the Authorized Inspection Agency and the Jurisdiction, where applicable.

3.3 H (Cast Iron) Certificate of Authorization

3.3.1 The review shall be conducted by an ASME Designee appointed by ASME. The Designee shall provide a report to ASME verifying that the Applicant's Quality Control System has been accepted prior to issuance of the Certificate.

3.4 V, UV, HV, UD and UV3 Certificate of Authorization

- 3.4.1** The review shall be conducted by an ASME Designee appointed by ASME Designated Organization in accordance with 5.1 of the procedures except that the Manual review (see 5.1.4) may be conducted following the Entrance meeting (see 5.1.5).
- 3.4.2** For each V, UV, HV, UD, and UV3 Certificate of Authorization, the Applicant shall demonstrate implementation of their Quality Control System by producing sample Pressure Relief Devices of a model/type that has been capacity certified in accordance with the applicable section of the ASME BPV Code.
- 3.4.3** The ASME Designated Organization shall provide a report to ASME verifying that the Applicant's Quality Control System has been accepted and that the capacity certification of at least one of the Applicant's Pressure Relief Devices model/type has been verified in accordance with the applicable section of the ASME BPV Code prior to issuance of the Certificate.

3.5 PRD – Testing Laboratory Certificate of Acceptance

- 3.5.1** The review shall be conducted by an ASME Designee appointed by ASME or by an ASME Designated Organization in accordance with 5.1 of the procedures except that the Manual review (see 5.1.4) may be conducted following the Entrance meeting (see 5.1.5).
- 3.5.2** For each service fluid, one or more Pressure Relief Devices and other flow devices (nozzle or other object with a fixed flow path) shall be flow tested by the Applicant and then comparison flow tested at an ASME Accepted Laboratory.
- 3.5.3** The ASME Designee either directly or through an ASME Designated Organization shall provide a report to ASME verifying that the Applicant's Quality Control System has been accepted and that the comparison testing between laboratories was acceptable.

3.6 PRD – Authorized Observer Certificate of Acceptance

- 3.6.1** The review shall be conducted by an ASME Designee appointed by ASME or by an ASME Designated Organization. The applicant shall demonstrate to an ASME Designee or to a Representative from the ASME Designated Organization that the minimum education and experience requirements have been met and the applicant has the ability to conduct and supervise flow laboratory testing.

- 3.6.2** The ASME Designee or ASME Designated Organization shall provide a report to ASME verifying that the Applicant's demonstration was acceptable.

4 SHOP REVIEW TIME GUIDELINES

The time spent on the implementation portion of Shop Reviews should normally be between 4 and 12 hours. When the time spent is outside of this range, an explanation shall be included in the report.

- (a) Some examples of rationale for short implementation review times include the following:
 - (1) Small number of employees;
 - (2) No or very few certified items fabricated within the past three years;
 - (3) Mature quality program and experienced staff;
 - (4) Limited certification scope.

- (b) Some examples of rationale for long implementation review times include the following:
 - (1) Large site or additional buildings at other non-contiguous locations;
 - (2) Language – interpreter required;
 - (3) New applicant and/or inexperienced staff;
 - (4) Significant number of findings.

**APPENDIX 3
ADDITIONAL REQUIREMENTS RELATING TO
AIA ACCREDITATION SURVEYS**

1 SCOPE

This Appendix establishes guidelines for the conduct of accreditation activities relating to ASME Survey, and Audit Teams for Authorized Inspection Agency (AIA) Certificates of Accreditation administered by the Qualifications for Authorized Inspection (QAI) Subcommittee on Accreditation (SCA).

2 GENERAL

The requirements of the base procedure apply except as noted herein:

- (a) Paragraph 2.3(b) is not applicable.
- (b) Substitute 5.1.5(b) with:
- (b) If the Applicant is delegating part or all of the functions to an agent organization, then both the Applicant and the delegated organization should be represented during the survey or audit.

APPENDIX 4 JOINT VENTURES APPLYING FOR ASME ACCREDITATION

1 SCOPE

This Appendix specifies administrative guidance for teams when reviewing or surveying Applicants who are party to a Joint Venture.

2 JOINT VENTURES

Joint venture – Partnership

- (a) ASME Certificates may be issued on individual project or job basis. Requests for Certificates for a Joint Venture partnership which proposes to enter business on a continuing basis, beyond an individual project, shall require further consideration by the responsible Subcommittee.
- (b) All partners in the Partnership must sign the application with the Partner having overall responsibility identified in the form.
- (c) All Codes and Standards requirements must be met by the Joint Venture.

Joint Venture – Incorporated. Treated as a separate corporation, which must meet all Code or Standards requirements as an individual entity. Relationships between founding organizations are not considered.

APPENDIX 5
ADDITIONAL REQUIREMENTS RELATING TO BPE CERTIFICATION
SURVEYS AND AUDITS

1 SCOPE

This Appendix establishes guidelines for the conduct of product certification activities relating to ASME Survey, and Audit Teams for Certificates of Authorization administered by the Committee on BPE Certification (CBPEC).

2 GENERAL

The requirements of the base procedures apply and it is understood that:

- (a) The BPE Program is a product certification program and not an accreditation program.
- (b) The term “Accreditation Subcommittee” is in reference to the Committee on BPE Certification (CBPEC). The CBPEC reports directly to the Board on Conformity Assessment.
- (c) The term “Standards Committee” and “Main Committee” as used in these procedures is in reference to the BPE Standards Committee., the Committee responsible for the development and maintenance of the BPE Standard and the Quality Assurance requirements contained within.
- (d) Paragraph 4.3(a) shall not apply. Revise to read, “The audit frequency shall assure that each Holder of a Certificate is subject to two unannounced audits during the five year term of the Certificate.
- (e) Paragraph 5.2.1 shall not apply. Revise to read, “Each Holder of a Certificate shall have two unannounced audits during the five year term of the Certificate. Companies requiring more than two audits are chosen by direction of the Committee on BPE Certification.”