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

The intent of this notice is to supplement the information contained in the Applicant's Guide for ASME Review Teams for Review of Applicants for ASME Certificates of Authorization (BPV-GUI-01) (Checklist). The "Checklist" must be filled out by the Applicant prior to the Joint Review and submitted to the Team Leader for use during the Joint Review.

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

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

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

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

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

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

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

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

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

Demonstration Item<sup>1</sup>: An Applicant<sup>2</sup> requesting a single Certificate of Authorization (e.g. “A”; “S”; “PP”; “PRT”; etc.) must demonstrate on an item that will be fabricated for the requested Certificate Designator and scope of Certificate of Authorization. The demonstration must be an implementation of ALL aspects of the QC System and is to include a demonstration of actual welding if welding is included in the scope of Code activities. If computer calculations are to be used, the Applicant shall demonstrate that the computer program has the capability of producing acceptable calculations.

For Applicants requesting multiple Certificates of Authorization, it is not necessary to have a demonstration item with design calculations for each Certificate Designator. A demonstration item fabricated to any one of the requested Certificates may be used as the demonstration item for the implementation portion of the Review. The applicant is advised to select a demonstration item based on type of code item normally and most frequently manufactured. However, please note that if the demonstration item selected does not cover all the Certificates requested, the applicant will be required to prepare and present to the Review Team design documents for those Certificate designators not covered by the selected demonstration item.

For example, an Applicant for U and U2 Certificates could demonstrate its QCS on a Section VIII, Div. 1 demonstration item including design. However, since the Section VIII, Div. 1 demonstration item does not cover the U2 Certificate Designator, the applicant will also be required to prepare and present to the Review Team design documents for Section VIII, Div. 2 such as, Examination and Inspection plan, Manufacturer’s Design Report with supporting User Design Specification, Certification of the design documents by an Engineer, as applicable.

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<sup>1</sup> The demonstration item shall be based on the latest Code Edition in effect at the time a complete Application is received by ASME.

<sup>2</sup> This does not apply to an Engineering Contractor under Section I. For an Engineering Contractor Organization under Section I, without a fabricating facility, a physical demonstration item is not required. However, a design specification must be provided as well as additional administrative functions to demonstrate compliance with the organization’s QCS.

For guidance in the selection of the demonstration item recommended/required based on Certificate Designator requested, refer to Table 1 below:

**Table 1  
Demonstration & Certificate Coverage Matrix**

| Demonstration                | Certificate Coverage                      |
|------------------------------|---|
| B31.1 [BEP]                  | PP  |
| Section I (*)                | PP, S, E, M, H, HLW                       |
| Section IV                   | H, HLW                                    |
| Section VIII, Div. 1         | PP, S, H, HLW, U, UM, T                   |
| Section VIII, Div. 2 Class 1 | PP, S, H, HLW, U, UM, T, U2 Class 1       |
| Section VIII, Div. 2 Class 2 | PP, S, H, HLW, U, UM, T, U2 Classes 1 & 2 |
| Section VIII, Div. 3         | U3  |
| Section X                    | RP  |
| Section XII                  | T   |

**Note:** For “PRT” or “A” Certificates, no design calculations are required. However the applicant shall demonstrate the QCS using a demonstration item representative of the Certificate scope (e.g. For “PRT” fabrication of a part shall be demonstrated and for “A” fabrication/assembly of a Section I boiler shall be demonstrated). When applying for PRT Certificates for multiple Codes of Construction, such as Section I, IV ,VIII, etc., the applicant must show Code knowledge of the unique requirements of the different Code Sections (e.g. Heat Treatment requirements for Section I, VIII, Impact requirements for Section VIII, etc.

(\*) If the demonstration is Section I item and U and/or UM Certificate(s) is/are required to be covered, the Applicant shall demonstrate the QCS for compliance to requirements applicable to ASME Section VIII, Div. 1 stated under Drawings, Design Calculations, and Specification Control as outlined on the BPV General Checklist.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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