

ASME CA-1–2014
(Revision of ASME CA-1–2013)

Conformity Assessment Requirements



**The American Society of
Mechanical Engineers**

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(Revision of ASME CA-1–2013)

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**The American Society of
Mechanical Engineers**

Two Park Avenue • New York, NY • 10016 USA

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FOREWORD

In February 2009, the ASME Board on Conformity Assessment (BCA) formed the Committee on Conformity Assessment Requirements. The mission of this Committee was to develop a separate standard that includes the necessary ASME conformity assessment requirements currently contained in various ASME Codes and Standards. This Standard is a result of that mission.

The first edition was published in 2013 and was written specifically to inform the non-nuclear boiler and pressure vessel industry of the direction in which ASME will be implementing and updating its conformity assessment programs. Future editions will be published to minimize content duplication and potential conflicts of statements for all of ASME's conformity assessment programs.

The 2014 edition has been revised to permit other ASME conformity assessment programs to reference the ASME CA-1 Standard.

These requirements were developed and are maintained by the ASME Committee on Conformity Assessment Requirements that reports to the ASME Board on Conformity Assessment. The Committee operates under the procedures accredited by the American National Standards Institute.

Requests for interpretations of or revisions to this Standard are welcome. They should be sent to The American Society of Mechanical Engineers; Attn: Secretary, Conformity Assessment Requirements Committee; Two Park Avenue; New York, NY 10016-5990.

COMMITTEE ON CONFORMITY ASSESSMENT REQUIREMENTS

(The following is the roster of the Committee as of May 2014.)

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STATEMENT OF POLICY ON THE USE OF THE ASME CERTIFICATION MARK IN ADVERTISING

ASME has established procedures to recognize the capabilities of organizations to provide items and/or services in conformance with governing standards. It is the aim of the Society to provide recognition of organizations authorized to apply the ASME Certification Mark under a Certificate of Authorization. An organization holding an ASME Certificate of Authorization may state its capability to provide items in conformance with the governing standard in its advertising literature.

Organizations that have demonstrated their capability to provide items in conformance with the governing standard are issued Certificates of Authorization and are authorized to mark such items with the Certification Mark when those items are constructed under the Certificate of Authorization. It is the aim of the Society to maintain the standing of the Certification Mark for the benefit of the users, the enforcement jurisdictions, and the holders of the Certification Mark who comply with all requirements.

Based on these objectives, the following policy has been established on the usage in advertising of facsimiles of the Certification Mark, Certificates of Authorization, and reference to Code construction. The American Society of Mechanical Engineers does not “approve,” “certify,” “rate,” or “endorse” any item, construction, or activity, and there shall be no statements or implications that might so indicate. An organization holding a Certificate of Authorization may state in advertising literature that items, constructions, or activities “are built (produced or performed) or activities conducted in accordance with the requirements of [identify the designation and name of the governing standard],” or “meet the requirements of [identify the designation and name of the governing standard].” An ASME corporate logo shall not be used by any organization other than ASME.

The Certification Mark shall be used only for stamping and nameplates as specifically provided in the governing standard. However, facsimiles may be used for the purpose of fostering the use of such construction. Such usage may be by an association or a society, or by a holder of the Certification Mark who may also use the facsimile in advertising to show that clearly specified items will carry the Certification Mark.

CONFORMITY ASSESSMENT REQUIREMENTS

1 INTRODUCTION

1.1 Scope

This Standard specifies the requirements for accreditation and certification of organizations supplying products and/or services that are intended to conform to the requirements of ASME standards listed in Table 1.

1.2 Definitions

Applicant: a company applying for ASME accreditation or certification.

ASME Designated Organization: an entity appointed by ASME to perform an administrative activity in accordance with an applicable code or standard.

ASME Designee: an individual authorized by ASME to perform administrative functions on its behalf.

audit: a documented evaluation performed to verify, by examination of objective evidence, that those selected elements of a previously approved quality management system have been developed, documented, and implemented in accordance with specific requirements. An audit does not include surveillance or inspection for the purpose of process control, or acceptance of material or items.

Authorized Inspection Agency: an organization accredited by ASME in accordance with ASME QAI-1.

Certificate Holder: an organization that has been accredited or certified by ASME and is in possession of an ASME Certificate of Authorization.

Certified Individual: an individual employee of the Certificate Holder who is authorized by ASME under a Certificate of Authorization to apply the ASME Certification Mark on items that are in compliance with the governing standard, and who may serve as the Certificate Holder's authorized representative responsible for signing data reports or certificates of conformance.

Enforcement Authority: a government entity that enforces regulations or laws and that formally recognizes an ASME code or standard as a means of compliance with those regulations or laws.

evaluation: an assessment performed to determine the capabilities of an organization to meet the requirements

of the governing standard. The governing standard identifies the type of evaluation to be performed, i.e., audit, interview, review, survey.

governing standard: the code or standard that establishes the technical conformance requirements for the product and/or service to be certified.

organization: a legal entity that holds, or has applied for, ASME accreditation or certification.

Qualified Inspection Organization: an organization accredited by ASME in accordance with ASME QAI-1 that provides designated oversight through the use of Qualified Inspectors (QIs).

quality management system: an all-inclusive term that covers quality assurance, quality control, quality system, or quality program, depending on the requirements of the governing standard.

review: evaluation of a manufacturer's quality control system, including a demonstration of compliance with Sections of the ASME Boiler and Pressure Vessel Code covered by the scope of the Certificate(s) being applied for, including, as applicable, design, material, fabrication, examination, testing, inspection, and certification. This term is not applicable to certification programs addressed under Section III of the ASME Boiler and Pressure Vessel Code.

survey: documented evaluation of an organization's capability to provide an item in conformance with the governing standard as verified by a determination of the adequacy of the organization's quality management system and by review of the implementation of that quality management system at the location of the work.

Team Leader: an ASME Designee who is also a member of the team, who has complete responsibility for the conduct of the audit, interview, investigation, review, or survey.

2 CERTIFICATION PROCESS

2.1 Application

2.1.1 Any organization desiring a Certificate of Authorization shall apply to ASME. The application and related contract, forms, and information may be obtained from the ASME Conformity Assessment department (www.asme.org).

2.1.2 An application for each facility shall be submitted when an organization plans to produce items conforming to the requirements of ASME codes and standards, listed in Table 1, at more than one location.

2.1.3 The organization shall obtain and retain a copy of the governing standard(s) from an authorized seller of ASME codes and standards. Reproductions and translations from other sources are not acceptable for ASME accreditation and certification.

2.1.4 The organization shall agree that each Certificate of Authorization and each ASME Certification Mark are, and remain at all times, the property of ASME, that they will be used only in accordance with the governing standard, and that they will be promptly returned to ASME upon request, or when the organization discontinues the code or standard activities covered by this Certificate, or when the Certificate of Authorization has expired and a new Certificate has not been issued.

2.2 Quality Management System

2.2.1 Any organization holding or applying for a Certificate of Authorization shall demonstrate a quality management system that establishes that all requirements of the governing standard will be met. The quality management system shall be in accordance with the governing standard specified in Table 1.

The organization shall

(a) make available to the ASME Designees a copy of the quality management system manual during ASME's evaluation of the system

(b) provide the ASME Designees with access to all documents and areas covered under the scope of the quality management system

(c) require a controlled copy of the accepted quality management system manual to be filed with ASME when indicated in Table 1

2.2.2 A written description of the quality management system shall be provided in a quality management system manual that establishes the responsibilities, authority, and controls for the system and identifies the documents and procedures the organization will use to provide an item and/or service that conforms to the applicable standard. The quality management system manual shall be available for review and acceptance by the individual identified in Table 1 prior to its implementation.

2.2.3 An organization may make changes to its quality management system reflecting changes to its methods of achieving the results required to conform to a particular standard. These changes are subject to acceptance by the entity identified in Table 1 prior to their implementation. Depending on how substantive

and extensive the changes are, an on-site evaluation may be required to demonstrate the changes.

2.3 Evaluation of the Quality Management System

2.3.1 General. The issuance or renewal of a Certificate of Authorization is based upon ASME's evaluation and acceptance of the quality management system. The type of evaluation (audit, interview, review, survey) performed is determined by the governing standard.

2.3.2 Program Implementation and/or Demonstration.

The organization's quality management system and its implementation shall be evaluated by a team established by ASME.

(a) The organization shall demonstrate all elements of its quality management system to show knowledge, understanding, and ability to produce the items (including services) covered by the quality management system. The organization may use current work, a mock-up, or a combination of the two to demonstrate the ASME-required elements of the quality management system. If at the time of the evaluation there is work being performed in-house under the accepted quality management system manual, it shall be included as part of the demonstration and evaluated by the team.

(b) Under certain conditions, the quality management system may be implemented before receipt of a Certificate of Authorization (see para. 2.3.5).

(c) The team shall visit all addresses identified on an ASME Certificate of Authorization to witness and evaluate the activities being performed at that site under the quality management system.

2.3.3 Capacity Certification Testing. For Certificates of Authorization requiring capacity certification testing as indicated in Table 1, the organization shall demonstrate to the satisfaction of the ASME Designee that the manufacturing, production, test facilities, and quality control procedures ensure close agreement between the performance of random production samples and the performance of those devices submitted for capacity certification. The organization shall successfully complete operational and capacity tests in accordance with the governing standard in the presence of an ASME Designee at the ASME-accepted testing laboratory.

2.3.4 Written Report of Evaluation. The Team Leader shall submit a written report containing the results of the organization's demonstration of its quality management system. This report is reviewed by ASME, which will either issue a Certificate of Authorization or notify the organization of deficiencies revealed during the evaluation. If deficiencies cannot be closed during the evaluation process, the organization will either be given the opportunity to correct the open deficiencies or be informed that a reevaluation is required.

2.3.5 Implementation of the Quality Management System Before Receipt of a Certificate of Authorization. For the purpose of demonstrating its quality management system, an Applicant whose program requires designated oversight by an Authorized Inspection Agency (see Table 1) may start fabricating items that are intended to conform to the applicable governing standard before receipt of a Certificate of Authorization under the following conditions:

- (a) The activities are done with the participation and acceptance of the Authorized Inspection Agency.
- (b) The activities shall have been performed in conformance with the Applicant's accepted quality management system (see Table 1).
- (c) The item is marked with the ASME Certification Mark and certified only after the Applicant receives the ASME Certificate of Authorization.

2.4 Issuance of Certification

2.4.1 Authorization to use the Certification Mark may be granted or withheld by ASME at its discretion. If authorization is granted and the proper administrative fee paid, a Certificate of Authorization evidencing permission to use a Certification Mark will be forwarded to the Applicant. Each Certificate will identify the Certification Mark designator to be used and the scope, including the type of shop operations, field operations, or both, when authorization is granted.

2.4.2 Certificates are valid from the date of issuance for the period shown in Table 1.

2.4.3 ASME may at any time revise the requirements concerning the issuance and use of the Certification Mark as it deems appropriate, and all such requirements shall become binding upon the Holders of valid Certificates.

2.5 Maintaining Certification

2.5.1 The Certificate Holder shall contact ASME regarding any changes to the address, name, location, or scope on their Certificate of Authorization. Depending on how substantive and extensive the changes are, an on-site evaluation may be required to demonstrate the changes. The need for and type of evaluation will be determined by ASME based upon the complexity, magnitude, or impact of the change.

2.5.2 Certificate Holders are subject to evaluations at any time by an ASME Designee when authorized by ASME.

2.5.3 Table 1 identifies which certification programs require interim audits to be performed as a requirement for maintaining certification.

2.5.4 ASME may investigate an organization for allegations of nonconformance with the requirements of the governing standard.

2.6 Renewal

Certificate Holders are responsible for applying for renewal of the certification prior to expiration at a time specified by ASME.

2.7 Suspension

ASME may suspend the certification of an organization for nonconformance with ASME requirements. Suspended organizations are not permitted to apply the ASME Certification Mark.

2.8 Withdrawal

ASME may withdraw the certification of an organization for nonconformance with ASME requirements.

2.9 Appeal

An organization may request reconsideration of adverse certification decisions by ASME. Additional information on due process proceedings will be provided by ASME upon request.

2.10 Confidentiality

Information learned about an organization seeking accreditation or certification, currently accredited or certified, or formerly accredited or certified by ASME will be held in strict confidence in accordance with ASME's policies and procedures. The information learned is for the purpose of processing, evaluating, and maintaining ASME accreditation or certification, and will not be discussed with anyone outside of the accreditation or certification process.

3 DESIGNATED OVERSIGHT

Each ASME certification program that utilizes the ASME Certification Mark shall provide for one (or more, where applicable) of the following types of designated oversight as specified in Table 1: Authorized Inspection Agency, Qualified Inspection Organization, or Certified Individual.

3.1 Authorized Inspection Agency (AIA)

Authorized Inspection Agencies shall be accredited in accordance with ASME QAI-1.

3.1.1 Inspection Agreement. As a condition of obtaining and maintaining a Certificate of Authorization, the organization shall have at all times a valid and fully executed inspection contract or agreement with an ASME-accredited Authorized Inspection Agency (AIA)

Fig. 1 ASME Certification Mark and Placement of Certification Designator

to provide inspection services. This inspection agreement is a written agreement between the organization and the AIA that specifies the terms and conditions under which inspection services are to be furnished and that states the mutual responsibilities of the organization and the AIA. A Certificate Holder shall notify ASME whenever its agreement with an AIA is canceled or changed to another AIA.

3.1.2 Use of Multiple (Secondary) AIAs. As a condition of obtaining and maintaining certain types of ASME Certificates of Authorization, the manufacturer must have in force at all times an inspection contract or agreement with an accredited AIA. This AIA (herein identified as the AIA of Record) shall be identified on the manufacturer's application for new issuance or renewal of Certificates of Authorization.

(a) The AIA of Record shall perform all required inspections at the shop location identified in the Certificate of Authorization and for the type of work listed in the scope of the ASME Certificate of Authorization.

(b) Alternatively, at the request of the purchaser, another AIA may perform inspections in the shop on its project. The AIA of Record shall perform all inspections at field site locations as authorized in the scope of the ASME Certificate of Authorization except as follows:

(1) when the purchaser requests another AIA to perform inspections on its project

(2) whenever the AIA of Record cannot provide coverage for inspections at a specific field site

(c) The Certificate Holder's quality management system shall include the following provisions whenever an AIA other than the AIA of Record performs inspections as outlined in (b):

(1) how different AIAs will perform activities under the Certificate Holder's quality management system

(2) evidence that the AIA performing the field or shop activities, or both, has a contract or agreement with the Certificate Holder

(3) evidence that this quality management system has been accepted by the AIA of Record

(d) The Certificate Holder shall not use the provisions for the use of an AIA other than the AIA of Record for

shops operating under the mass-production provisions of the governing standard.

3.1.3 Authorized Inspectors (AI). Qualifications are defined in ASME QAI-1.

3.2 Certified Individual (CI)

The Certified Individual (CI) shall be qualified and certified by the Certificate Holder to criteria specified in the governing standard. The qualification and certification are subject to evaluation by ASME Designees. The CI is neither an AI as described in para. 3.1.3 nor a Qualified Inspector providing inspections as an employee of a Qualified Inspection Organization as described in para. 3.3.

The quality management system shall establish measures to designate, train, qualify, and certify an individual(s) to perform the duties of a CI.

3.3 Qualified Inspection Organization (QIO)

Qualified Inspection Organizations (QIOs) shall be accredited by ASME in accordance with ASME QAI-1. A QIO is not an AIA as described in para. 3.1, and is not an entity authorized by ASME to use its Certification Mark.

4 DATA REPORTS

Data reports shall be as specified in the governing standard.

5 ASME CERTIFICATION MARK AND CERTIFICATION DESIGNATOR

5.1 Marking Items With the ASME Certification Mark and Certification Designator

5.1.1 The arrangement of the ASME Certification Mark and the placement of the certification designator shall be as shown in Fig. 1.

5.1.2 The Certificate Holder is responsible for producing the appropriate certification designator. The certification designator is a letter or alphanumeric symbol,

as shown in Table 1, used to describe the item being certified and to identify the governing standard used in establishing the technical requirements of the item.

5.1.3 The Certification Mark and certification designator shall be discernible.

(a) When the size or use of the item will not permit the direct application of the Certification Mark and certification designator, or the use of a nameplate, an alternative method of marking that is traceable to certified documents shall be reviewed with and found acceptable by either ASME or the AIA providing designated oversight (see section 3) before being used by the Certificate Holder.

(b) When the Certification Mark and certification designator are applied to the certified document, the document shall identify the Certificate number and the expiration date of the Certificate. The Certificate number and expiration date shall be discernible.

5.2 Authorization and Time of Marking

A Certificate Holder is authorized to apply the ASME Certification Mark when in possession of a valid Certificate of Authorization. The ASME Certification Mark, in conjunction with the certification designator, shall be applied by the Certificate Holder only with the approval of the Authorized Inspector or Certified Individual, as applicable, and after all inspections and testing required by the governing standard and the quality management system have been satisfactorily completed. Such application of the ASME Certification Mark, together with final certification in accordance with the requirements of the governing standard, shall confirm that all applicable requirements have been satisfied.

5.3 Control

The Certificate Holder shall not allow any other organization to use the ASME Certification Mark.

6 ACCREDITATION OF TESTING LABORATORIES AND ACCEPTANCE OF AUTHORIZED OBSERVERS

6.1 Scope

These rules cover the ASME accreditation of testing laboratories and acceptance of Authorized Observers for conducting capacity certification tests of pressure relief devices.

6.2 Test Facilities and Supervision

The tests shall be conducted at a place where the testing facilities, methods, procedures, and test supervisors (Authorized Observers) meet the applicable requirements of ASME PTC 25, Pressure Relief Devices. The tests shall be made under the supervision of and certified by the Authorized Observer. The testing facilities, methods,

procedures, and qualifications of the Authorized Observer shall be subject to the acceptance of ASME on recommendation of an ASME Designee. Acceptance of the testing facility is subject to review within each 5-yr period. The testing laboratory shall have available for reference a copy of ASME PTC 25 and the governing standard.

6.3 Accreditation of Testing Facilities

An ASME Designee shall review the organization's quality management system and testing facility, and shall witness test runs. Before a favorable recommendation can be made to ASME, the testing facility must meet all applicable requirements of ASME PTC 25. Uncertainty in final flow measurement results shall not exceed $\pm 2\%$. To determine the uncertainty in final flow measurements, the results of flow tests on an object tested at the Applicant's testing laboratory will be compared to flow test results on the same object tested at a designated ASME-accredited testing laboratory.

6.4 Quality Control System of Testing Laboratory

6.4.1 The organization shall prepare a written description of the quality management system that shall clearly establish the authority and responsibility of those in charge of the quality management system. The written description shall include a description of the testing facility, testing arrangements, pressure, size and capacity limitations, and the testing medium used. An organizational chart showing the relationship among the laboratory personnel shall also be included.

6.4.2 The written description shall include, as a minimum, requirements of the governing standard and ASME PTC 25, including, but not limited to, a description of document control; the procedures followed when conducting tests; and the methods used to calibrate test instruments and gages, calculate test results, and identify and resolve nonconformities. Sample forms shall be included. If testing procedure specifications or other similar documents are referenced, the written description shall describe the methods of their approval and control.

6.5 Testing Procedures

Testing procedures shall be in accordance with the governing standard.

6.6 Authorized Observers

An ASME Designee shall review and evaluate the experience and qualifications of individuals who wish to be designated as Authorized Observers. Following such review and evaluation, the ASME Designee shall make a report to ASME. If a favorable recommendation is not made, full details shall be provided in the report.

Table 1 ASME Certification Programs

ASME Certification Designator and Description	Governing ASME Standard	Certification Period, yr	Designated Oversight	Acceptance of Quality Management System Manual	Additional Requirements
A — Boiler Assembly	Boiler and Pressure Vessel Code, Section I	3	Authorized Inspection Agency	Authorized Inspector	...
BPE — Bioprocessing Equipment	BPE, Bioprocessing Equipment	5	Certified Individual	ASME Designee	Two interim unannounced audits during certification period Controlled copy of quality management system manual filed with ASME
E — Electric Boiler	Boiler and Pressure Vessel Code, Section I	3	Authorized Inspection Agency and Certified Individual	Authorized Inspector	...
H — Heating Boiler (except cast iron and cast aluminum)	Boiler and Pressure Vessel Code, Section IV	3	Authorized Inspection Agency	Authorized Inspector	...
H — Heating Boiler (cast iron and/or cast aluminum)	Boiler and Pressure Vessel Code, Section IV	1	Certified Individual	ASME Designee	Controlled copy of quality management system manual filed with ASME
HLW — Potable Water Heater and Storage Tanks	Boiler and Pressure Vessel Code, Section IV	3	Authorized Inspection Agency	Authorized Inspector	...
HV — Heating Boiler Safety Relief Valve	Boiler and Pressure Vessel Code, Section IV	3	Certified Individual	ASME Designee	Capacity certification test
M — Miniature Boiler	Boiler and Pressure Vessel Code, Section I	3	Authorized Inspection Agency	Authorized Inspector	...
PP — Pressure Piping	Boiler and Pressure Vessel Code, Section I	3	Authorized Inspection Agency	Authorized Inspector	...
RP — Reinforced Plastic Vessel	Boiler and Pressure Vessel Code, Section X	3	Authorized Inspection Agency	Authorized Inspector	...
RTP — Corrosion-Resistant Equipment	RTP-1, Reinforced Thermoset Plastic Corrosion-Resistant Equipment	3	Certified Individual	ASME Designee	Two annual audits during certification period Controlled copy of quality management system manual filed with ASME
S — Power Boiler	Boiler and Pressure Vessel Code, Section I	3	Authorized Inspection Agency	Authorized Inspector	...
T — Transport Tank	Boiler and Pressure Vessel Code, Section XII	3	Authorized Inspection Agency, Certified Individual, or Qualified Inspection Organization	Authorized Inspector when providing designated oversight; otherwise, by ASME Designee	Controlled copy of quality management system manual filed with ASME when designated oversight is performed by Certified Individual or Qualified Inspection Organization

Table 1 ASME Certification Programs (Cont'd)

ASME Certification Designator and Description	Governing ASME Standard	Certification Period, yr	Acceptance of Quality Management System Manual			Additional Requirements
			Designated Oversight	ASME Designee	Authorized Inspector	
TD — Transport Tank Pressure Relief Device	Boiler and Pressure Vessel Code, Section XII	3	Certified Individual	ASME Designee	ASME Designee	Capacity certification test
TV — Transport Tank Pressure Relief Valve	Boiler and Pressure Vessel Code, Section XII	3	Certified Individual	ASME Designee	ASME Designee	Capacity certification test
U — Pressure Vessel, Division 1	Boiler and Pressure Vessel Code, Section VIII, Division 1	3	Authorized Inspection Agency	Authorized Inspector	Authorized Inspector	...
U2 — Pressure Vessel, Division 2	Boiler and Pressure Vessel Code, Section VIII, Division 2	3	Authorized Inspection Agency	Authorized Inspector	Authorized Inspector	...
U3 — Pressure Vessel, Division 3	Boiler and Pressure Vessel Code, Section VIII, Division 3	3	Authorized Inspection Agency	Authorized Inspector	Authorized Inspector	...
UD — Pressure Vessel Pressure Relief Device	Boiler and Pressure Vessel Code, Section VIII, Division 1	3	Certified Individual	ASME Designee	ASME Designee	Capacity certification test
UM — Miniature Vessel	Boiler and Pressure Vessel Code, Section VIII, Division 1	1	Certified Individual	Authorized Inspector	Authorized Inspector	...
UV — Pressure Vessel Pressure Relief Valve	Boiler and Pressure Vessel Code, Section VIII, Division 1	3	Certified Individual	ASME Designee	ASME Designee	Capacity certification test
UV3 — Pressure Vessel Pressure Relief Valve, Division 3	Boiler and Pressure Vessel Code, Section VIII, Division 3	3	Certified Individual	ASME Designee	ASME Designee	Capacity certification test
V — Boiler Safety Relief Valve	Boiler and Pressure Vessel Code, Section I	3	Certified Individual	ASME Designee	ASME Designee	Capacity certification test

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