ASME CA-1–2020
(Revision of ASME CA-1–2014)

Conformity Assessment Requirements

The American Society of Mechanical Engineers

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The American Society of Mechanical Engineers
Two Park Avenue • New York, NY • 10016 USA

Date of Issuance: December 21, 2020

This Standard will be revised when the Society approves the issuance of a new edition.

ASME issues written replies to inquiries concerning interpretations of technical aspects of this Standard. Periodically certain actions of the ASME Committee on Conformity Assessment Requirements may be published as Cases. Cases and interpretations are published on the ASME website under the Committee Pages at http://cstools.asme.org/ as they are issued.

Errata to codes and standards may be posted on the ASME website under the Committee Pages to provide corrections to incorrectly published items, or to correct typographical or grammatical errors in codes and standards. Such errata shall be used on the date posted.

The Committee Pages can be found at http://cstools.asme.org/. There is an option available to automatically receive an e-mail notification when errata are posted to a particular code or standard. This option can be found on the appropriate Committee Page after selecting “Errata” in the “Publication Information” section.

The American Society of Mechanical Engineers
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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 2020 edition includes revisions to permit the use of alternate methods of applying the ASME Single Certification Mark. It also provides guidance concerning the reapplication of the ASME Single Certification Mark as well as requirements for the use of the PRT program. New definitions have been added, including Temporary Location and Field Site, along with pertinent requirements that provide guidance for their use.

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.

COMMITTEE
ON CONFORMITY ASSESSMENT REQUIREMENTS

(The following is the roster of the Committee as of May 2020.)

STANDARDS COMMITTEE OFFICERS

R. E. McLaughlin, *Chair*
P. Williams, *Vice Chair*
G. E. Moino, *Secretary*

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R. Campbell, Bechtel
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D. E. Tuttle, Emerson
R. V. Wielgoszinski, Hartford Steam Boiler Inspection and Insurance Co. of Connecticut
P. Williams, QRCS, Ltd.

CORRESPONDENCE WITH THE CONFORMITY ASSESSMENT REQUIREMENTS (CAR) COMMITTEE

General. ASME Standards are developed and maintained with the intent to represent the consensus of concerned interests. As such, users of this Standard may interact with the Committee by requesting interpretations, proposing revisions or a case, and attending Committee meetings. Correspondence should be addressed to:

Secretary, CAR Committee
The American Society of Mechanical Engineers
Two Park Avenue
New York, NY 10016-5990
http://go.asme.org/Inquiry

Proposing Revisions. Revisions are made periodically to the Standard to incorporate changes that appear necessary or desirable, as demonstrated by the experience gained from the application of the Standard. Approved revisions will be published periodically.

The Committee welcomes proposals for revisions. Such proposals should be as specific as possible, citing the paragraph number(s), the proposed wording, and a detailed description of the reasons for the proposal, including any pertinent documentation.

Proposing a Case. Cases may be issued to provide alternative rules when justified, to permit early implementation of an approved revision when the need is urgent, or to provide rules not covered by existing provisions. Cases are effective immediately upon ASME approval and shall be posted on the ASME Committee web page.

Requests for Cases shall provide a Statement of Need and Background Information. The request should identify the Standard and the paragraph, figure, or table number(s), and be written as a Question and Reply in the same format as existing Cases. Requests for Cases should also indicate the applicable edition(s) of the Standard to which the proposed Case applies.

Interpretations. Upon request, the CAR Standards Committee will render an interpretation of any requirement of the Standard. Interpretations can only be rendered in response to a written request sent to the Secretary of the CAR Standards Committee.

Requests for interpretation should preferably be submitted through the online Interpretation Submittal Form. The form is accessible at http://go.asme.org/InterpretationRequest. Upon submittal of the form, the Inquirer will receive an automatic e-mail confirming receipt.

If the Inquirer is unable to use the online form, he/she may mail the request to the Secretary of the CAR Standards Committee at the above address. The request for an interpretation should be clear and unambiguous. It is further recommended that the Inquirer submit his/her request in the following format:

Subject:	Cite the applicable paragraph number(s) and the topic of the inquiry in one or two words.
Edition:	Cite the applicable edition of the Standard for which the interpretation is being requested.
Question:	Phrase the question as a request for an interpretation of a specific requirement suitable for general understanding and use, not as a request for an approval of a proprietary design or situation. Please provide a condensed and precise question, composed in such a way that a “yes” or “no” reply is acceptable.
Proposed Reply(ies):	Provide a proposed reply(ies) in the form of “Yes” or “No,” with explanation as needed. If entering replies to more than one question, please number the questions and replies.
Background Information:	Provide the Committee with any background information that will assist the Committee in understanding the inquiry. The Inquirer may also include any plans or drawings that are necessary to explain the question; however, they should not contain proprietary names or information.

Requests that are not in the format described above may be rewritten in the appropriate format by the Committee prior to being answered, which may inadvertently change the intent of the original request.

Moreover, ASME does not act as a consultant for specific engineering problems or for the general application or understanding of the Standard requirements. If, based on the inquiry information submitted, it is the opinion of the Committee that the Inquirer should seek assistance, the inquiry will be returned with the recommendation that such assistance be obtained.

ASME procedures provide for reconsideration of any interpretation when or if additional information that might affect an interpretation is available. Further, persons aggrieved by an interpretation may appeal to the cognizant ASME Committee or Subcommittee. ASME does not "approve," "certify," "rate," or "endorse" any item, construction, proprietary device, or activity.

Attending Committee Meetings. The CAR Standards Committee regularly holds meetings and/or telephone conferences that are open to the public. Persons wishing to attend any meeting and/or telephone conference should contact the Secretary of the CAR Standards Committee.

STATEMENT OF POLICY ON THE USE OF THE ASME SINGLE CERTIFICATION MARK AND CODE AUTHORIZATION IN ADVERTISING

ASME has established procedures to authorize qualified organizations to perform various activities in accordance with the requirements of the ASME Boiler and Pressure Vessel Code. It is the aim of the Society to provide recognition of organizations so authorized. An organization holding authorization to perform various activities in accordance with the requirements of the Code may state this capability in its advertising literature.

Organizations that are authorized to use the ASME Single Certification Mark for marking items or constructions that have been constructed and inspected in compliance with the ASME Boiler and Pressure Vessel Code are issued Certificates of Authorization. It is the aim of the Society to maintain the standing of the ASME Single Certification Mark for the benefit of the users, the enforcement jurisdictions, and the holders of the ASME Single 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 ASME Single 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 the ASME Single Certification Mark and/or 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 the ASME Boiler and Pressure Vessel Code," or "meet the requirements of the ASME Boiler and Pressure Vessel Code." An ASME corporate logo shall not be used by any organization other than ASME.

The ASME Single Certification Mark shall be used only for stamping and nameplates as specifically provided in the Code. 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 ASME Single Certification Mark who may also use the facsimile in advertising to show that clearly specified items will carry the ASME Single 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 Tables 1.1-1 and 1.1-2.

1.2 Definitions

Applicant: a company applying for ASME accreditation or certification.

ASME Certificate: a certificate issued by ASME to attest to an organization's capabilities to provide items or services in conformance to the governing standard. The types of certificates issued include, but are not limited to, Certificate of Authorization, Certificate of Accreditation, and Certificate of Acceptance.

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.

Authorized Observer: an employee of the pressure relief device testing laboratory who is authorized by ASME under a current Certificate of Acceptance to provide supervision and oversight of capacity certification testing and verify the results.

Certificate Holder: an organization that has been evaluated by ASME and is in possession of an ASME Certificate.

Certified Individual: an individual employee of the Certificate Holder who is authorized by ASME under a Certificate of Authorization to apply the ASME Single Certification Mark on items that are in conformance 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.

Field Site: the location of final permanent installation of pressure-retaining equipment. All construction activities may be performed at this site.

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

organization: a legal entity that holds, or has applied for, an ASME Certificate.

Qualified Inspection Organization: an organization accredited by ASME in accordance with ASME QAI-1.

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 conformance 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.

Society: The American Society of Mechanical Engineers.

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.