ASME International

ASME ISO 9000 REGISTRATION PROGRAM

Procedure for Registration

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SCOPE

This document describes the procedure used by ASME for pre-assessments, assessments, surveillances, and registration. It also includes terms and conditions which form part of the registration agreement with the applicant/registered organization.

1 APPLICATION

1.1 Application for ASME ISO 9000 Registration shall be on forms supplied by ASME. All information requested shall be provided in the English language.

1.2 ASME will attempt to schedule preassessments and assessments on the date(s) requested by the applicant. If this is not possible, it will be scheduled at the earliest possible date acceptable to the applicant that ASME auditors are available.

2 PRE-ASSESSMENT

2.1 At the option of the applicant, a preassessment meeting may be scheduled at the applicant's facility. This meeting is used by the applicant to gain specific information on the assessment process, and by ASME to gain information on the applicant's size, nature of operation, readiness for assessment, and expertise and size of the assessment team required. It will include:

(a) verification of the requested scope of registration;
(b) tour of the facility;
(c) review of the quality manual;
(d) verification that the necessary procedures exist.

2.2 The applicant's quality manual and system procedures should be completed (or near completion) prior to the pre-assessment.

3 REVIEW OF QUALITY SYSTEM DOCUMENTATION

3.1 ASME will conduct a detailed appraisal of the applicant's quality manual and quality system procedures to determine conformance with these Procedures and the ISO 9001:2000 standard.

3.2 ASME will conduct the review of the applicant's quality manual in advance of the assessment and notify the applicant of any significant omissions or deviations from the requirements to allow the applicant to change its system and implement changes prior to or during the assessment visit, as applicable.

4 ASSESSMENT

4.1 The quality system shall be fully implemented, including management review and internal quality audits, prior to the assessment. The quality system shall be implemented at all times for all processes within the scope of registration.

4.2 The applicant shall appoint an authorized management representative who is responsible for ensuring that the system is observed and for assisting the lead auditor in the execution of the assessment functions. The appointment of an alternate to the management representative is also suggested.

4.3 The applicant shall ensure that the assessment team has free access to all quality system related documentation and records, and all areas of the applicant's facilities for which the scope of registration applies. The applicant shall also assure that, when requested, representatives from bodies which accredit ASME's registration program are permitted to accompany the assessment team.

4.4 The assessment team will conduct an opening meeting at the applicant's facility with the applicant's management as the first stage of the assessment with the following objectives:

(a) assuring a clear understanding of the assessment process;
(b) confirming the scope of activity for which application has been made;
(c) establishing an official channel of communication between the assessment team and applicant management through the lead auditor and the authorized management representative of the applicant;
(d) clarifying any points of misunderstanding on answering questions dealing with specific or sensitive matters and to reinforce confidentiality of processes observed during the assessment;
(e) assuring management commitment to the assessment process.

4.5 The assessment team will conduct an in-depth appraisal of the quality system documentation and determine the adequacy of the applicant's implementation of the quality system. An assessment may be aborted only at the written request of the applicant.

4.6 The assessment team will identify any deficient areas of the quality system, including implementation, which require corrective action by the applicant.

4.7 A closing meeting with the applicant's management will be held and the lead auditor will present a summary of the team activities, findings for corrective action, if any, and the team's recommendation to the Committee on ASME ISO 9000 Registration.

4.8 ASME will issue a written report to the applicant. The applicant may be required to complete corrective actions prior to continuation of the registration decision process.

4.9 A final assessment team report is then issued to the ASME Committee on ISO 9000 Registration to make the decision whether to grant registration to the applicant. A copy is also sent to the applicant.

5 REGISTRATION

5.1 In order for Registration to be granted, all major nonconformities must be corrected and the correction verified (by site visit or other appropriate form). A major nonconformity as used in this clause is the absence of, or failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence raise significant doubt as to the quality of what the organization is supplying.

5.2 If registration is granted by the ASME Registration Committee and all fees have been paid, ASME will:

(a) notify the applicant that registration has been granted for a period of three years provided the applicant continues compliance with the Registration Program requirements;
(b) provide the organization with an ASME ISO 9000 Certificate of Registration;
(c) include the applicant's registration status in the next available publication of the Directory;
(d) authorize the applicant to use the ASME Registration Mark and the marks of the accreditation bodies, subject to the provisions stated for their use (see section 13).

5.3 If registration is not granted, the applicant will be advised in writing of the findings upon which the decision was based and provided with information relating to reconsideration or appeal of the decision.

6 SURVEILLANCE

6.1 After registration has been granted, surveillance audits of the registered organization are conducted at least annually to assure that the organization's quality system is being maintained. Surveillance audits will be conducted as described in section 4, although less comprehensive in scope.

6.2 Except as noted in paragraph 6.3, ASME will notify the organization not less than 30 days prior to the date of the surveillance.

6.3 In programs where the organization coordinated the assessment with accreditation under an ASME program which requires unannounced audits [e.g. the ASME Material Organization (QSC) program], the combined audit and surveillance will be unannounced.

7 RENEWAL OF REGISTRATION

ASME will notify registered organizations 8 months prior to the expiration of registration. If the organization applies for a renewal of registration, it will be scheduled approximately 8 to 12 weeks prior to the current expiration date to assure continuity of registration.

8 MODIFICATIONS TO SCOPE OF REGISTRATION

8.1 A registered organization may apply to ASME for a modification to its scope of registration.

8.2 ASME will review the request for modification of the organization's scope of registration and inform them of its acceptance or rejection.

9 CHANGES TO QUALITY SYSTEM

9.1 The registered organization shall supply ASME with a controlled copy of its quality manual.

9.2 The registered organization shall notify ASME promptly of any changes to its quality system or other changes which may effect conformity. ASME may require a surveillance as a result of such changes.

10 COMPLAINTS

The registered organization shall maintain a record of complaints received from customers or other interested parties concerning its registered program and remedial action taken for the review and evaluation by ASME. On receipt of a complaint the organization should establish, and where appropriate report on, the cause of the nonconformity, including any predetermining (or predisposing) factors within the organization's quality management system.

11 WITHDRAWAL OR SUSPENSION OF REGISTRATION

11.1 An organization may at any time withdraw or suspend its participation and responsibility as a registered organization by advising ASME in writing of its intention to do so and returning the ASME Certificate of Registration.

11.2 ASME may withdraw or suspend the registration of an organization for cause, such as violation of the terms of registration. ASME maintains an impartial and nondiscriminatory appeals program to evaluate consideration of appeals against its decisions (see section 14).

12 CHANGES IN REGISTRATION CRITERIA

In the event that ASME makes changes in its registration criteria or scope of accreditation, ASME will:

(a) notify affected registered organizations of the proposed changes and afford a chance to comment in writing;
(b) notify affected registered organizations of the effective date of the changes and the time allotted for implementation by agreement with the organization. The decision to reassess shall be at ASME's discretion.

13 USE OF REGISTRATION, CERTIFICATES, AND MARKS

13.1 A registered organization shall only make claims that it is registered with respect to those activities for which is has been granted registration. It shall only indicate that its quality system is in conformity with ISO 9001 and shall not uses its registration to imply that any product is approved by ASME nor use its registration in any other misleading manner.

13.2 The Certificate of Registration and Mark are the sole property of ASME and are on loan to the registered organization for its use in accordance with ASME requirements during the period that registration is maintained current and in compliance with the appropriate registration requirements specified in the agreement with ASME.

13.3 The organization shall have physical control of the Certificate of Registration and the Mark as documented in written procedures.

13.4 The organization shall designate the authorized management representative responsible for the control and approval for the application, and reproduction of the Certificate of Registration and the Mark.

13.5 The ASME 9000 Registration Mark is a registered trademark of ASME which retains the exclusive rights therein. Permission to use the Mark is granted to registered organizations for the limited purposes of announcing their registration. ASME reserves the right to control the use of the term "ASME" and the Mark itself.

(a) Permission granted above is limited to announcements that accurately represent the scope for which registration has been granted by ASME.
(b) Organizations may refer to their registration status in professional, technical, trade or other business publication. However, such references must not imply product endorsement based solely on registration by ASME.
(c) Organizations shall not display the Registration Mark on any product or on product labels, containers, or packaging.
(d) The Mark shall not be used in such a way that it implies product certification.

13.6 When a mark of an accreditation body is used in conjunction with the ASME Registration Mark, it shall be made clear that the accreditation mark signifies accreditation of ASME by the accreditation body rather than accreditation of the organization.

13.7 Upon withdrawal or suspension of registration, the organization shall discontinue the use of all advertising and other matter which contains any reference to its registration.

14 HEARINGS AND APPEALS

ASME has hearings and appeals procedures describing due process whereby an applicant, registered organization, or any other organization or individual may dispute any assessment, registration, or surveillance activity.