

SURVEY TEAM SPECIAL NOTICE

Certificates of Authorization/Accreditation Scope Statements

On November 10, 1998, ASME announced completion of an effort to simplify and standardize scope statements that appear on Certificates of Authorization/Accreditation, including Quality System Certificates issued to Material Organizations. The new scope wording is based on Tables NCA-8100-1 and WA-8100-1 and provides more concise scope statements to describe the activities a Certificate Holder is authorized/accredited to perform. The following describes the changes, which will be implemented for surveys.

On March 3, 2000, additional scope wording was approved for Quality System Certificates issued to Material Organizations who manufacture Welding Material.

On December 10, 2001 a revision to this Special Notice was approved in response to changes in the Section III Code relative to the new NS Certificate for supports and the N3 Certificate for Division 3.

On May 9, 2005 a revision to this Special Notice was approved for the following changes:

- Correct the scope wording for NS Certificates to eliminate Class CS for consistency with ASME application form A. The NS Certificate is only for supports constructed to the requirements of Subsection NF and Subsection NF does not provide rules for Class CS supports because Core Supports are included in Subsection NG and are categorized as a component requiring an N stamp. The NPT Certificate has Class CS in its scope for fabrication of class CS parts, not class CS Supports.
- Limit Class TP as an available class for N and NPT Certificate scopes to only Certificate Holders that have a contract or purchase order requiring Class TP construction/fabrication. Class TC and SC are the available classes for Division 3 construction/fabrication.
- Limit the availability of the Design Owner Certificate for Class TP to organizations that have obtained a Certificate of Compliance or an Amendment to a Certificate of Compliance for a specific Transport Package design from a regulatory authority as required by WA-3220(a) and that have an existing contract/purchase order for that specific Class TP Transport Package design. The N3 Certificate is the available certificate for ASME III Division 3 design activities and Class TC and SC are the available classes for Division 3 construction/fabrication.
- Correct the WA-3800 paragraph references as a result of the 2004 Edition deleting WA-3830 through WA-3860 and invoking NCA-3820 through NCA-3960.

On April 21, 2008 a revision to this Special Notice was approved in response to Code Case N-755, Use of Polyethylene (PE) Plastic Pipe.

On February 2, 2009 a revision to this Special Notice was approved in response to Code Case N-520-2.

On August 10, 2009 a revision to this Special Notice was approved to correct the scope wording for N3 Certificates of Authorization (Subcontracting Type) and N Certificates of Authorization (Subcontracting Type) Class 3 PE plastic piping systems.

The following will be implemented for surveys:

A. N, NV, and N3 Certificates

N, NV, and N3 Certificate scopes will list individual components and their class of construction for which the Certificate Holder is accredited or authorized to construct with the exception of miscellaneous items (NCA-1270). Listing of miscellaneous items on Certificates will not be required. Organizations holding the appropriate N Type Certificate for construction, fabrication, and installation may construct, fabricate, or install miscellaneous items. An example of a full scope statement for each Division would be:

A.1 N Certificates

Division 1: "Construction of Class 1, 2, 3, & MC Vessels; Class 1,2, & 3 Pumps, Valves, Piping Systems; Class 3 PE Plastic Piping Systems; Class 2 & 3 Storage Tanks; and Class CS Core Support Structures."

Division 2: "Construction of Class CC Concrete Containments."

Division 3: "Construction of Class TP Transport Packaging." (**Limited Availability**)

Note: Class TP for Division 3 Transport Packaging is available on a limited basis for the N Certificate when working to the 1995 Edition, 1997 Addenda up to and including the 1998 Edition, 2000 Addenda. Class TP is available only when the N Certificate Holder has an existing contract/purchase order requiring this class of construction.

A.2 NV Certificates

Division 1: "Construction of Class 1, 2, & 3 Pressure Relief Valves."

A.3 N3 Certificates

Division 3: "Construction of Class TC Transportation Containments and Class SC Storage Containments."

A.4 N Certificates of Authorization (Subcontracting Type)

N Certificates of Authorization that are issued to engineering organizations with scopes that authorize construction of components for which overall responsibility is retained and for which fabrication and installation are subcontracted to appropriate Certificate of Authorization Holders are typically referred to as N Certificates (Subcontracting). N Certificates (Subcontracting) scopes may list individual components and their class of construction or may identify the Division of the Code for all classes of components within that Division. An example of an N Certificate (Subcontracting) full scope statement for Division 1 and N3 Certificate (Subcontracting) Division 3 Components would be:

Division 1: "Construction of Section III, Division 1 Components including Class 3 PE plastic piping systems for which overall responsibility is retained at the above location and for which fabrication and installation are subcontracted to appropriate Certificate Holders."

Division 3: "Construction of Section III, Division 3 Components for which overall responsibility is retained at the above location and for which fabrication and installation are subcontracted to appropriate Certificate Holders."

Note 1: This scope is not available to an N Certificate Holder under Division 2 as engineering and design is the responsibility of the Division 2 Designer per NCA-3300 and not the Division 2 N Certificate Holder.

Note 2: Division 1, Class 3 PE plastic piping systems will be identified in the scope to indicate the Certificate Holder's ability to assume overall responsibility for Class 3 PE plastic piping systems. When included in the scope, a demonstration/implementation of Class 3 PE plastic piping systems activities is required to be included in the program demonstration/implementation presented to the ASME Survey Team.

A.5 N, NV, and N3 Certificates With Shop Assembly

For Division 1 N and NV Certificates and Division 3 N3 Certificates where shop assembly (NCA-8152/WA-8153) of components to components, or components to appurtenances and piping subassemblies or other items are to be included in the scope, the appropriate Class of assembly for which the Certificate Holder is accredited or authorized shall be added. An example of a full scope statement with shop assembly added for a Division 1 N and Division 3 N3 Certificate would be:

Division 1: "Construction of Class 1, 2, 3, & MC Vessels; Class 1, 2, & 3 Pumps, Valves, Piping Systems; Class 2 & 3 Storage Tanks; Class CS Core Support Structures; and Class 1, 2, & 3 Shop Assembly."

Division 3: "Construction of Class TC Transportation Containments, Class SC Storage Containments, and Class 1 Shop Assembly."

Note: Under Division 2, there is no shop assembly activities that require the application of an N stamp separate from the N stamp that is applied to the containment.

A.6 Discussion on Simplification of N, NV, and N3 Certificate Scopes

With the exception of the elimination of miscellaneous items, no changes have been made to the N, NV, and N3 certificate scope listing of individual components since the components identified in ASME, Section III, Tables NCA-8100-1 and WA-8100-1 are diverse in the controls that need to be addressed in the Quality Assurance Manual and demonstrated to a Survey Team.

B. NPT and NS Certificates

NPT and NS Certificate scopes will list two types of activities, **Fabrication Without Design Responsibility** and **Fabrication with Design Responsibility**. With the exception addressed below for support fabrication under an NPT Certificate to the 1998 Edition, 1998 Addenda and earlier, detailed listing of product forms on the NPT Certificate will not be required and NS Certificate scopes will address support fabrication in accordance with current Section III Code requirements.

Fabrication Without Design Responsibility authorizes/accredits fabrication of items that are designed by another Certificate Holder (N Certificate Holder) who retains Code design responsibility (i.e., items that require an NPT stamp including supports fabricated to the 1998 Edition, 1998 Addenda and earlier).

Fabrication With Design Responsibility authorizes/accredits the design and fabrication of "**appurtenances**" requiring an NPT stamp by the Holder of the NPT Certificate, who retains the Code design responsibility, or the design and fabrication of "**supports**" by an NS Certificate Holder. "**Appurtenances**" and "**Supports**" will be listed in the scope of each Certificate. "Fabrication With Design Responsibility" also authorizes/accredits "Fabrication Without Design Responsibility". The scope will include a combination of the two statements when both activities are performed.

An example of a full scope statement for each activity in each Division would be:

B.1 NPT Fabrication Without Design Responsibility

Division 1: “Class 1, 2, 3, CS & MC Fabrication Including Class 3 PE Plastic Pipe Fabrication Without Design Responsibility.”

Division 2: “Class CC Fabrication Without Design Responsibility.”

Division 3: “Class TC and SC Fabrication Without Design Responsibility.”

Note: Class TP Fabrication Without Design Responsibility for Division 3 Transport Packaging Fabrication is available on a limited basis for the NPT Certificate when working to the 1995 Edition, 1997 Addenda up to and including the 1998 Edition, 2000 Addenda. Class TP is available only when the NPT Certificate Holder has an existing contract/purchase order requiring this class of fabrication.

B.2 NS Fabrication Without Design Responsibility

Division 1: “Class 1, 2, 3, & MC Fabrication Without Design Responsibility for Supports.”

Division 2: NS Scope not available

Division 3: NS Scope not available

B.3 NPT Fabrication with Design Responsibility

Division 1: “Class 1, 2, 3, CS & MC Fabrication With Design Responsibility for Appurtenances.”

Division 2: “Class CC Fabrication With Design Responsibility for Appurtenances.”

Division 3: NPT Scope with Design Responsibility not available

Note: Under Division 3, design responsibility is retained only by the organization that obtains an N3 Certificate of Authorization (Design Owner’s Certificate of Accreditation for Class TP Division 3 Transport Packaging to the 1995 Edition, 1997 Addenda up to and including the 1998 Edition, 2000 Addenda) and, therefore, a scope of “Fabrication With Design Responsibility” is not available to an NPT Certificate Holder for Division 3 NPT stamped items.

B.4 NS Fabrication with Design Responsibility

Division 1: “Class 1, 2, 3, & MC Fabrication With Design Responsibility for Supports.”

Division 2: NS Scope not available

Division 3: NS Scope not available

B.5 NPT Fabrication Without and With Design Responsibility

Division 1: “Class 1, 2, 3, CS & MC Fabrication Including Class 3 PE Plastic Pipe Fabrication Without Design Responsibility and Class 1, 2, 3, CS & MC Fabrication With Design Responsibility for Appurtenances”.

Division 2: “Class CC Fabrication Without Design Responsibility and With Design Responsibility for Appurtenances”.

Division 3: NPT Scope with Design Responsibility not available (See B.1 - "NPT Fabrication Without Design Responsibility").

Note: Under Division 3, design responsibility is retained only by the organization that obtains a N3 Certificate of Authorization (Design Owner's Certificate of Accreditation for Class TP Division 3 Transport Packaging to the 1995 Edition, 1997 Addenda up to and including the 1998 Edition, 2000 Addenda) and, therefore, a scope of "Fabrication With Design Responsibility" is not available to an NPT Certificate Holder for Division 3 NPT stamped items.

B.6 NS Fabrication Without and With Design Responsibility

Division 1: "Class 1, 2, 3, & MC Fabrication Without Design Responsibility and With Design Responsibility for Supports".

Division 2: NS Scope not available

Division 3: NS Scope not available

B.7 Exception for Supports Fabrication under an NPT Certificate to the 1998 Edition, 1998 Addenda and earlier

Class 1, 2, 3, & MC Fabrication of Supports with or without Design Responsibility is available for the NPT Certificate but is limited to the 1998 Edition, 1998 Addenda and earlier. The 1998 Edition, 1999 Addenda and later requires Supports to be fabricated by an NS Certificate Holder. Additionally, the 2001 Edition (NCA-3681 footnote 5) authorizes an NS Certificate Holder to provide supports to previous Code Editions and Addenda without stamping and ANI inspection. An example of a full scope statement with Fabrication of Supports to the 1998 Edition, 1998 Addenda and earlier would be:

Division 1: "Class 1, 2, 3, CS & MC Fabrication Including Class 3 PE Plastic Pipe Fabrication Without Design Responsibility and With Design Responsibility for Class 1, 2, 3, CS & MC Fabrication for Appurtenances and Class 1, 2, 3, & MC Supports (Supports Limited to the 1998 Edition, 1998 Addenda and Earlier Editions and Addenda of the Code)".

B.8 Discussion on Simplification of NPT and NS Certificate Scopes

The ASME has determined that the detailed listing of product forms on an NPT Certificate is not necessary, since the controls that need to be demonstrated are the same for all NPT stamped products, with the exception of design and Class 3 PE Plastic Pipe Fabrication. An N or an NPT Certificate Holder may retain Code responsibility for the design of "Appurtenances" and an N or an NS Certificate Holder may retain Code responsibility for the design of "Supports". Accordingly, an NPT Certificate Holder who designs and fabricates "Appurtenances" and an NS Certificate Holder who designs and fabricates "Supports" would need to demonstrate design capability and design controls to a Survey Team, whereas an NPT or NS Certificate Holder who fabricates to requirements provided by an N Certificate Holder retaining the Code design responsibility would demonstrate fabrication activities only. The new NPT and NS Certificate scopes will therefore list Fabrication either with or without Design Responsibility and NPT Certificate scopes will not restrict the product forms that may be fabricated by an NPT Certificate Holder with the exception of Class 3 PE Plastic Pipe Fabrication. A demonstration of Class 3 PE Plastic Pipe Fabrication activities is required to be included in the program demonstration/implementation presented to the ASME Survey Team for inclusion of the "Class 3 PE Plastic Pipe Fabrication" scope. If an NPT Certificate Holder desires to provide their customers with a more detailed description of their fabrication capabilities, it is suggested they provide that description in their QA program and their sales literature.

C. NA Certificates

NA Certificate scopes will list two types of activities, "Field Installation" and "Shop Assembly". Detailed listing of product forms on the NA Certificate will not be required. "Field Installation" authorizes/accredits installation of items requiring an NA stamp at a field site, and "Shop Assembly" authorizes/accredits the assembly of items requiring an NA stamp in a shop and furnishing the assembled items to another Certificate Holder for completion of construction and application of the N stamp. An example of a full scope statement for each activity under Division 1 would be:

C.1 Field Installation

Division 1: "Class 1, 2, 3, CS & MC Field Installation Including Class 3 PE Plastic Pipe Installation"

C.2 Shop Assembly

Division 1: "Class 1, 2, & 3 Shop Assembly Including Shop Assembly of Class 3 PE Plastic Pipe."

Note: Under Division 2 and 3, an N Certificate Holder performs assembly activities, and, therefore, there is no shop or field activity requiring an NA stamp.

C.3 Discussion on Simplification of NA Certificate Scopes

The ASME has determined that the detailed listing of product forms on an NA Certificate is not necessary, since the controls that need to be demonstrated for either installation or assembly are the same for all NA stamped items with the exception of Class 3 PE Plastic Pipe. The NA Certificate scopes will therefore list either "Field Installation" or "Shop Assembly" and will not restrict the product forms that may be installed or assembled by an NA Certificate Holder with the exception of Class 3 PE Plastic Pipe. A demonstration of Class 3 PE Plastic Pipe installation or assembly activities is required to be included in the program demonstration/implementation presented to the ASME Survey Team for inclusion of the "Class 3 PE Plastic Pipe" scope. If an NA Certificate Holder desires to provide their customers with a more detailed description of their installation capabilities, it is suggested they provide that description in their QA program and in their sales literature.

D. QS Certificates

QS Certificate scopes will list two types of activities, "Manufacturing" and "Supplying," for three types of material, "Ferrous", "Nonferrous" and "Nonmetallic". With the exception of "Manufacturing of Welding Material" detailed listing of product forms on the QS Certificate will not be required. The manufacture of welding material is sufficiently unique to warrant listing in the scope. However, the controls that need to be demonstrated for supply of welding material are the same for other material product forms. Accordingly, a similar listing is not available for suppliers of welding material. The use of "Manufacturing" and "Supplying" in QS Certificate scopes is intended to describe, not restrict, the primary activities of the accredited "Material Organization" under NCA-3800 requirements. The following additional operations may be added to QS Certificates upon request of the applicant and demonstration to an ASME Survey Team:

- "Shipment of Material from Qualified Material Organizations to other parties"(Division 1 only)
- "Qualification of Nonaccredited Material Organizations"
- "Utilization of Unqualified Source Material"
- "Approval and Control of Suppliers"

D.1 Examples of a full scope statement with optional operations for material manufacturing and supplying activities under Division 1 would be:

- **Manufacturing**

“Material Organization Manufacturing Ferrous, Nonferrous & Nonmetallic Material Including Shipment of Material from Qualified Material Organizations to other parties, Qualification of Nonaccredited Material Organizations, Utilization of Unqualified Source Material, and Approval and Control of Suppliers.”

- **Supplying**

“Material Organization Supplying Ferrous, Nonferrous & Nonmetallic Material Including Shipment of Material from Qualified Material Organizations to other parties, Qualification of Nonaccredited Material Organizations, Utilization of Unqualified Source Material, and Approval and Control of Suppliers”.

D.2 Examples of a scope statement that includes reference to “manufacturing welding material” would be:

- **Manufacturing* Material including Welding Material**

“Material Organization Manufacturing Ferrous & Nonferrous Material Including Welding Material” (The organization manufactures material in addition to welding material.)

- **Manufacturing* Welding Material only**

“Material Organization Manufacturing Ferrous & Nonferrous Welding Material” (The organization manufactures welding material only.)

* Note: Such scopes are not available for suppliers of welding material.

D.3 Discussion on Simplification of QS Certificate Scopes

The ASME has determined that the detailed listing of material product forms in QS Certificate scopes is not necessary, since the controls that need to be demonstrated are the same for all material with the exception of the manufacture of welding material and PE Plastic Pipe. The additional activities under the provisions of NCA-3841 (g), (h), (i), and (j) will be listed when applied for and demonstrated to an ASME Survey Team. Accordingly, QS Certificates will list the primary activities, **“Manufacturing”** (**“Manufacturing Welding Material” as applicable**) and **“Supplying”**; the primary types of material, **“Ferrous”**, **“Nonferrous”** and **“Nonmetallic”**, and additional activities under the provisions of NCA-3841 (g), (h), (i), and (j). If only Ferrous, Nonferrous, or Nonmetallic is manufactured or supplied the appropriate listing will be made. The use of “Manufacturing” and “Supplying” for Ferrous and Nonferrous material in QS Certificate scopes is intended to describe, not restrict, the primary activities of the accredited “Material Organization” under NCA-3800 requirements. NCA-3851.2 requires the Quality System Manual to define the specific activities included in the scope of work that the Material Organization proposes to perform, including any combination of NCA-3851.2 (a)(l) through (a)(6). This definition of work is demonstrated to an ASME Survey Team and accepted when the Manual is accepted. It is not intended that QS Certificates restrict the product forms (other than material types “Ferrous”, “Nonferrous” and “Nonmetallic”) or the activities that may be performed by a QS Certificate Holder, other than the “Manufacturing of Welding material” and the additional activities requested under the provisions of NCA-3841(g), (h), (i), and (j). It is also not intended that QS Certificates

restate specific activities identified in the Quality System Manual as scopes of work under NCA-3851.2. If a QS Certificate Holder desires to provide their customers with a more detailed description of their material capabilities, it is suggested they provide that description in their QS program and in their sales literature.

E. Material Scopes on N Type Certificates

In accordance with NCA-3820(c), an N, NV, N3, NA, NPT, or NS Certificate Holder may furnish material when stated in the scope of the Certificate. In this case, the phrase “and as a Material Organization Manufacturing and Supplying Ferrous & Nonferrous Material” will be added to the scope of the N Type Certificate. An N or NPT Certificate Holder may furnish straight unfused lengths of PE Plastic Pipe in addition to furnishing ferrous and nonferrous material. In this case, the phrase “and as a Material Organization Manufacturing and Supplying Ferrous, Nonferrous & Nonmetallic Material” will be added to the scope. A demonstration/implementation of the Material Organization activities is required to be included in the program demonstration/implementation presented to the ASME Survey Team for issuance of the N Type Certificate of Authorization. Since N Type Certificates of Accreditation may be the result of a QA Manual review only by an ASME Survey Team with no program demonstration/implementation (replaces interim letter) or may be the result of a partial program demonstration/implementation to an ASME Survey Team (Corporate Certificate that requires extension for stamp), a demonstration/implementation of the Material Organization activities must be presented to an ASME Survey Team as a prerequisite to inclusion of the Material Organization activities in the scope of the N Type Certificate of Accreditation.

E.1 As an example, an NA Certificate Holder with a full Division 1 Certificate scope for field installation who is also authorized/accredited to furnish ferrous and nonferrous material would have the following scope statement:

- **Division 1:** “Class 1, 2, 3, CS, & MC Field Installation and as a Material Organization Supplying Ferrous, Nonferrous & Nonmetallic Material.”

Note: The additional operations that may be added to QS Certificates (i.e., “Shipment of Material from Qualified Material Organizations to other parties”, “Qualification of Nonaccredited Material Organizations”, “Utilization of Unqualified Source Material”, and “Approval and Control of Suppliers”) are not required to be listed on N, NV, N3, NA, NPT, or NS Certificates as these operations are already included among the activities that may be performed under an N Type Certificate and are included in the N Type Certificate Holders QA Program demonstration to an ASME Survey Team.

F. Corporate Certificates of Accreditation, Location Qualifiers and Extensions to Include Field Operations

In addition to the above scope wording, certificates will include the appropriate location qualifiers for the particular Certificate type as follows:

F.1 Corporate Certificates of Accreditation do not authorize Code N Type symbol stamping or certification on a Code Data Report but accredit the Certificate Holder as having had the adequacy of their QA program verified by an ASME Survey Team for the Certificate scope. Corporate Certificates of Accreditation are extended to specific locations by issuance of a location specific Certificate of Authorization and an N Type symbol stamp after a successful ASME survey at that location. The NS Certificate of Accreditation for the welding of supports is an exception to this. Accordingly, the scope wording of Corporate Certificates of Accreditation will include the location qualifier “**at various locations Accredited by ASME**”.

- F.2** When Corporate Certificates of Accreditation are extended to a specific location such as a field site by issuance of a Certificate of Authorization, the scope wording for that Certificate extension will include a location qualifier such as “**at the xxx Power Plant (field site address)**”. The scope wording for Shop/Location specific Certificates of Authorization and the NS Certificate of Accreditation will include the location qualifier “**at the above location only**”.

Extensions to Corporate Certificates of Accreditation are numbered with the Corporate Certificate number and with a -1, -2, -3, ...-n for the 1st, 2nd, 3rd, or nth extension.

- F.3** Certificates of Accreditation may be the result of a QA Manual review only by an ASME Survey Team with no program demonstration/implementation (replaces interim letter) or may be the result of a partial program demonstration/implementation to an ASME Survey Team (Corporate Certificate that requires extension for stamp), or the result of a full program demonstration/implementation to an ASME Survey Team (NS Certificate of Accreditation). When Certificates of Accreditation are converted to a Certificate of Authorization or when Corporate Certificates of Accreditation are extended to a specific location such as a field site, the QA Program activities that were not previously demonstrated/implemented to an ASME Survey Team are required to be demonstrated/implemented to a subsequent Survey Team that will either recommend the issuance of a Certificate of Authorization or recommend a re-survey prior to the issuance of a Certificate of Authorization. Until a Certificate of Authorization is issued, a Certificate of Accreditation Holder may perform all program activities to present a full program demonstration/implementation to an ASME Survey Team except for Code N Type symbol stamping and Code Data Report certification. Only Certificates of Authorization authorize Code N Type symbol stamping and certification of Code Data Reports.

G. Design Owner Certificates (ASME III, Division 3 Class TP Transport Packaging)

A Design Owner Certificate of Accreditation is available on a limited basis for Class TP Transport Packaging to the 1995 Edition, 1997 Addenda up to and including the 1998 Edition, 2000 Addenda. The Design Owner Certificate of Accreditation is available only to organizations that have obtained a Certificate of Compliance or an Amendment to a Certificate of Compliance for a specific Transport Package design from a regulatory authority as required by WA-3220(a) and that have an existing contract/purchase order for the specific Class TP Transport Package design identified by the Certificate of Compliance or an Amendment to a Certificate of Compliance. Under the 2001 Edition and later of the ASME III, Division 3 Code, the Design Owner Certificate of Accreditation has been eliminated, design responsibility has been assigned to the N3 Certificate Holder (see A.1), and Class TP Transport Packaging has been replaced by Class TC Transportation Containments. An organization that has a need for a Design Owner Certificate of Accreditation and satisfies the above prerequisites can apply for the Certificate. When issued, Design Owner Certificates of Accreditation will have the following scope statement:

Division 3: “Design Owner of Class TP Transport Packaging.”

H. Issuance of Temporary Certificates Under Code Case N-520-2

The scope wording that had appeared on the expired certificate will be preceded by the words “Completion of partial data reports and stamping of interrupted code activities in accordance with Code Case-N-520-2 for . . .”