

# **POLICY MANUAL FOR THE ANS STANDARDS COMMITTEE**



**2010**

(Updated 11/29/10)

# POLICY MANUAL FOR THE ANS STANDARDS COMMITTEE

## CONTENTS

<b>Standards Board Responsibilities</b>	<b>Page</b>
• Policy on the Objectives and Administration of the ANS Standards Board . . . . .	1
• Policy on the Certification of Consensus Committee Membership (Balance of Interests) . . . . .	4
• Policy on Developing Responses to Inquiries About Standards Requirements, Recommendations, and Permissions . . . . .	7
• Responsibilities of ANS Standards Committee Liaison Personnel . . . . .	10
 <b>Consensus Committee Responsibilities</b>	
• Policy on Completing the Consensus Balloting Process . . . . .	12
• Policy on Initiating Maintenance Procedures . . . . .	14
• Policy on the Implementation of Maintenance Procedures . . . . .	15
• Policy on the Development of Guidance Standards . . . . .	20
• Policy on Trial Use and Pilot Application Standards . . . . .	21
 <b>Consensus Committee, Subcommittee, and Working Group Responsibilities</b>	
• Policy on Committee Representation (Multiple Representation) . . . . .	22
• Policy on the Management of Standards Committees . . . . .	25
• Policy on Speaking for the ANS Standards Committee on Policy Matters . . . . .	28
 <b>Subcommittee and Working Group Responsibilities</b>	
• Policy on the Makeup of Working Groups . . . . .	29
• Policy on the Substantiation of Values Cited in ANS Standards . . . . .	30
• Policy on Issuing Comments on Behalf of the ANS Standards Committee . . . . .	32
 <b>Working Group Responsibilities</b>	
• Policy on Handling References in Standards . . . . .	34
 <b>ANS Staff Responsibilities</b>	
• Policy on Records Retention . . . . .	36

# **POLICY ON THE OBJECTIVES AND ADMINISTRATION OF THE ANS STANDARDS BOARD**

## **1. BACKGROUND**

The accredited rules and procedures for the Standards Committee address the scope and organization of the committee and set forth criteria for the conduct of business and for implementing due process and attaining consensus. This policy expands on those subjects and addresses the relationship between the Standards Committee and the governance of ANS.

## **2. RELATIONSHIP BETWEEN THE STANDARDS COMMITTEE, ANSI, AND ANS**

The American Nuclear Society is accredited by the American National Standards Institute for the purpose of developing and maintaining standards that are applied in nuclear science and technology.

The ANS Standards Committee is responsible for all standards activities called for in the rules and procedures. The membership of the Standards Committee consists of volunteers who have experience in the scope of their committee assignments and are not necessarily members of ANS. Since the process used to develop standards under the accredited rules and procedures also adheres to the principles of consensus, the standards are known as voluntary consensus standards.

In addition to the volunteers that make up the Standards Committees, ANS provides staff personnel who perform several essential services:

- Continuity of support in terms of identity, administration, and organizational leadership.
- A structured organization to provide editorial, secretarial, and administrative services.
- A sound process for publishing and distributing approved standards.

The ANS staff support is managed by the Standards Administrator. The Standards Committee manages all aspects of standards activities and makes recommendations to the ANS Board of Directors on policy matters related to standards. It reviews standards being developed by other organizations to ensure consistency among related standards and selects individuals who are willing to join related standards developing organizations as liaisons to assist in this coordination process.

Standards developed by the Standards Committee are intended to be issued as American National Standards, which means the development process fulfills the acceptance criteria established by ANSI. The use of any standard developed by the Standards Committee is intended to be voluntary and no organization is obligated to apply any requirements in such a standard even though it may have participated in the development or balloting process for the standard.

## **3. MEMBERSHIP OF THE STANDARDS COMMITTEE**

The Standards Committee consists of all the individuals who are engaged in standards development activities and the management of those activities. Members are appointed either as individuals or as representatives of organizations willing to participate and having a substantial concern for and competence in the scope of the assigned committee. Although each member represents an organization (or as an individual possessing special expertise), each member is expected to contribute and ballot as an individual professional. Representation is material only for the purpose of establishing an adequate balance of interests.

Individuals volunteering or nominated for membership shall complete a volunteer form that includes a description of their pertinent experience for review and acceptance by the SB. These forms shall be retained by the ANS Standards Administrator.

When an organization requests participation on the Standards Committee, the Standards Administrator shall refer the individual or organizational contact to the chairman of the committee whose scope offers the best match in terms of interest and technical capabilities. The committee chairman shall inform the Standards Administrator whether the individual or the organization's representative was successfully placed on a committee or working group. If the individual has not been placed, the Standards Administrator shall inform the SB chairman. Multiple representation from a single organization on any one committee shall be discouraged except as permitted by policy.

Non-members of ANS may serve on any committee or working group except the SB.

If no ANS member is available to represent the NRC, a liaison shall be sought. Liaisons to the SB may participate in SB meetings but shall not have voting privileges.

#### **4. RESPONSIBILITIES OF THE ANS STANDARDS BOARD**

The SB shall manage all standards activities and interests for ANS. The SB shall establish or disband consensus committees as the need dictates, shall define the scope of each consensus committee, shall evaluate and approve charters (or PINS forms) for new and revised standards, shall establish priorities for standards actions, and shall assign projects to appropriate consensus committees in case of disagreement.

The SB shall provide policy and procedural direction for all elements of the Standards Committee. These policies shall be consistent with the accredited rules and procedures and shall not unreasonably interfere with the normal management responsibilities assigned to consensus committees and subcommittees.

The SB shall review the balance of interests of each consensus committee annually and shall ensure that no category constitutes more than one third of the committee's membership. The SB shall confirm annually to the ANS Board of Directors that the balance of representation on each consensus committee is consistent with the accredited rules and procedures.

The performance of each consensus committee chairman shall be evaluated annually. The SB chairman shall seek to remedy unsatisfactory performance. If remedial action is unsuccessful, the SB chairman shall, with SB concurrence, appoint an interim chairman until a suitable replacement is selected in accordance with the procedures of that consensus committee.

The SB shall certify that the consensus process is fulfilled and shall ensure that due process procedures are implemented.

#### **5. RESPONSIBILITIES OF THE STANDARDS ADMINISTRATOR**

The Administrative Secretary shall be an ANS staff member appointed to the SB by the Executive Director to provide administrative services to the Standards Committee and to the SB in particular. The Standards Administrator shall act as the secretary to the SB and shall prepare minutes of all SB meetings, prepare and distribute agendas prior to each meeting, compile an annual Report of Activities, and maintain records on the Standards Committee membership. The Standards Administrator shall keep the official files for all Standards Committee projects, including their status,

ensure public review is conducted by ANSI, prepare approved standards for publication, and maintain adequate records for the SB to certify fulfillment of the consensus process.

The Standards Administrator shall keep the SB informed of Society activities, including proposed changes to the ANS Rules and Bylaws that could affect the conduct of Standards Committee activities.

The Standards Administrator shall maintain a complete listing of all Standards Committee members, including mailing addresses, telephone numbers, email addresses, and sponsoring organizations. The chairman of each organizational element, including consensus committees, subcommittees, and working groups, shall provide current membership information to the Standards Administrator.

The Standards Administrator shall prepare and issue an annual Standards Committee Report of Activities. This report shall include listings of the membership of each organizational element, the number and title of all standards under active development or revision, brief summaries of recent activities of the SB, consensus committees, and subcommittees, and related information on Standards Committee activities. The chairman of each organizational element shall provide the appropriate information to prepare the Activities Report to the Standards Administrator by the end of each calendar year.

## **6. PUBLICATION OF STANDARDS**

Standards published by ANS shall adhere to the guidance set forth in the ANSI Style Manual as implemented by ANS editorial practice. Final page proofs of American National Standards shall be approved by the chairman of the working group or the responsible subcommittee chairman prior to releasing the document for printing.

Standards developed by the ANS Standards Committee shall be published by ANS and shall include a statement regarding credit for references and copyright restriction:

*Any part of this standard may be quoted. Credit lines shall read, "Extracted from American National Standard ANSI/ANS-x-yyyy (year) with the permission of the publisher, the American Nuclear Society." Reproduction is prohibited under copyright convention unless written permission is granted by the American Nuclear Society.*

When ANS publishes a standard, a notice of its availability shall be published in *Nuclear News*.

JFM, 2/12/04  
(JFM revised, 12/16/04)

# **POLICY ON THE CERTIFICATION OF CONSENSUS COMMITTEE MEMBERSHIP (Balance of Interest)**

## **1. BACKGROUND**

The accredited rules and procedures for the Standards Committee require that no more than one-third of the membership of each consensus committee represent any one type of organization. In addition, the ANS Bylaws require that the Standards Board certify annually to the Board of Directors that this requirement is met. This policy provides direction to meet these requirements.

## **2. DEFINITIONS**

### **2.1 *Owners***

Any organization (including utilities) that owns a nuclear power facility. Includes operators of such facilities where the operator and owner are different companies. Includes national or international organizations established to represent or work on behalf of owners (e.g., NEI, INPO, EPRI, and WANO).

### **2.2 *Vendors***

Any organization that provides equipment (including fuel) to an owner, the government, or to another vendor. Includes organizations that also provide services to owners. (Vendors are also called suppliers or manufacturers.)

### **2.3 *Architect-Engineers***

Any organization that provides services (but not equipment) to an owner, the government, or a vendor. Includes organizations that provide design work (including architectural services), planning, and construction management.

### **2.4 *Consultants***

Any organization whose mission is to provide professional services (but not equipment) for addressing technical, research, development, safety, and regulatory issues among Owners, Vendors, Government, Universities, and National Laboratories.

### **2.5 *Government Agencies***

Any federal or state agency (such as departments, administrations, commissions, and boards) with missions to regulate use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to protect the environment, and to advance the national, economic, and energy security of the United States.

### **2.6 *National Laboratories***

Organizations managing and operating government owned facilities for the purpose of basic and applied research and development for industry or government.

## **2.7 Universities**

Any recognized institute of higher learning whose mission is to educate and to provide research through an environment of open and interactive collaboration with industry and government.

## **2.8 Societies**

Standards developing organizations, including insurance and nuclear inspection, whose mission is to develop standards, consensus or otherwise, that have potential relevance to ANS standards (ANS representation is not allowed).

## **2.9 Individuals**

A person who is nationally recognized for expertise within the scope of the assigned consensus committee and whose services or travel are not paid for by any other organization defined herein (with the exception of grants administered by ANS or a similar organization).

# **3. POLICY**

## **3.1 Sponsoring Organization**

The organization that is represented or pays for a person's participation in the activities of the consensus committee. Applies to employees of any organization defined herein regardless of financial support.

## **3.2 Certification of Standards Committee Membership**

In February of each year, the Standards Administrator shall request a complete listing of members from each consensus committee chair. This listing should include the name, sponsoring organization, mailing address, telephone number and email address of each member. Each consensus committee chair shall provide a complete membership listing to the Standards Administrator and the Standards Board Chair by May 15.

The Standards Administrator shall call each chairman who does not reply by April 1 to obtain the needed information.

The complete listing arranged by type of sponsoring organization shall be provided to the ANS Standards Board for certification at each annual meeting of ANS. The sponsoring organizations shall be those defined in 3.1 above and as set forth in the Definitions.

If a member of the Standards Board disagrees with the Chair's assignment of an individual member of a consensus committee to a specific sponsoring organization (that is, the application of the definitions), a vote may be requested. A majority of those present shall determine the appropriate assignment.

## **3.3 Maintenance of Balance of Interest**

The Chairman of the Standards Committee shall review the membership of each consensus committee annually to ensure that no one type of organization holds more than one-third of the total membership. Types of organizations include: owners; vendors; service providers; government agencies; universities and research organizations; standards and other industry organizations; and individuals.

The Chair of the Standards Committee shall work with the corresponding consensus committee chair and the Standards Administrator to develop a plan of action to immediately correct any instance where the one-third rule is violated.

06/18/82

(JFM edit, 8/16/99, revised, 1/20/04)

(JFM edit, 5/27/04; revised 6/29/04)

(JFM edit, 2/12/05, revised 2/25/05)

(CMH, 11/13/07 – approved at 6/20/08 SB Meeting)

# POLICY ON DEVELOPING RESPONSES TO INQUIRIES ABOUT STANDARDS REQUIREMENTS, RECOMMENDATIONS, AND PERMISSIONS

## 1. BACKGROUND

The Standards Committee shall make timely *responses* to *inquiries* about requirements, recommendations and/or permissive statements (i.e., “shall,” “should,” and “may,” respectively) in American National Standards that are developed and approved by ANS. ANS does not develop *Case Interpretations*.

## 2. DEFINITIONS

### 2.1 *Response*

A written *response* to an *inquiry* about the content of an American National Standard developed by ANS.

### 2.2 *Case Interpretation*

A statement concerning a requirement that falls within the scope of the original standard but supplements or modifies (or both) the requirements stated in the standard that is applicable to a specific design, operation, facility, or other unique situation only and is not intended for generic application.

### 2.3 *Inquiry*

A question about a specific ANS standard that relates to the generic requirements, recommendations, and/or permissive statement(s) in that standard.

### 2.4 *Not Relevant*

An *inquiry* about an ANS standard for which the standard does not, or should not, address the subject of the *inquiry*.

## 3. REQUIREMENTS FOR RESPONDING TO INQUIRIES

### 3.1 *Response*

The *response* should explain the requirement, recommendation, or permissive statement(s) in the standard and how it is intended to be applied generically (i.e., non-specifically) relative to the *inquiry*. The *response* shall not make any statement(s) that would modify (i.e., subtract or add to) a requirement as presented in the text of the standard.

## 4. PROCEDURE

### 4.1 *Tracking*

The Standards Administrator shall monitor the evaluation of all inquiries and shall assist the ANS Standards Board (SB) Chair in ensuring that the requirements of this policy are properly implemented.

## **4.2 Distribution**

The Standards Administrator shall send each *inquiry* to the ANS SB Chair, the responsible Consensus Committee Chair, and responsible Subcommittee Chair for their review to assure that the *inquiry* is relevant to the identified standard and does not qualify as a *Case Interpretation*. If the *inquiry* is determined to be a *case interpretation, not relevant* to the specified standard, or that there is no responsible Consensus Committee to respond to the *inquiry* the SB Chair shall provide an explanation of such circumstances to the requestor within 30 days of the receipt of the *inquiry*. Upon the determination by the SB Chair, Consensus Committee Chair, and Subcommittee Chair that the *inquiry* is not a *case interpretation* and is relevant to the referenced standard the Subcommittee Chair shall manage the development of a *Response* to the *Inquiry* according to Article 4.3. The Vice-Chairs (i.e., Standards Board, responsible Consensus Committee, and the responsible Subcommittee) shall provide the Chair functions of this policy in the event a Chair is unavailable or incapacitated from performing those functions.

## **4.3 Development and Approval of an Inquiry Response**

The *response* to an *inquiry* about a specifically dated standard shall be developed through the same consensus process as used for the development of the referenced specific standard. The only exception from that process is that voting periods for the development of the *response* may be less than the maximum voting periods permitted for developing and approving ANSI/ANS standards. Depending upon the availability of Working Group members, the following *inquiry response* development alternatives shall be considered in the following order of preference.

### 4.3.1 First Alternative

If a sufficient number of Working Group members who authored the specifically dated standard are available and can be reconstituted, then the Subcommittee Chair shall request that those Working Group members draft the *response* to the *inquiry*. The *response* shall meet the approval of the majority number of Working Group members who authored the specifically dated standard. Following the *response* approval by that majority, the draft *response* shall proceed through the same ANS standards consensus balloting process used for issuing ANS standards. If the *response* cannot meet the approval of that Working Group majority, then the development of the *response* shall be in accordance with Article 4.3.2.

### 4.3.2 Second Alternative

Failing the First Alternative, the Subcommittee Chair shall request that the present Working Group responsible for maintaining or revising the specifically dated or titled standard draft the *response* to the *inquiry*. Final approval of the *inquiry response* shall be in accordance with the same ANS standards consensus balloting process used for issuing ANS standards. If there is no Working Group maintaining the specifically dated or titled standard then the development of the *Response* shall be in accordance with Article 4.3.3.

### 4.3.3 Third Alternative

Failing the First and Second Alternatives, the Subcommittee Chair shall request that the responsible Subcommittee draft the *response* to the *inquiry*. Final approval of the *inquiry response* shall be in accordance with the same ANS standards consensus balloting process used for issuing ANS standards.

In the event that the responsible Subcommittee no longer exists, or is unable to draft a consensus response, the responsible Consensus Committee Chair shall provide a statement to that effect to the SB Chair for transmittal to the Requestor.

#### **4.4 Response to Requestor**

After all appropriate approvals have been obtained, the SB Chair shall send the *response* to the requestor and to the Standards Administrator. The response shall be sent to the requestor within six months after receipt of the request by the ANS Standards Administrator, unless an alternate schedule is developed and understood by the requestor within three months of receipt.

#### **4.5 Publication**

Approved *inquiry responses* shall be published in *Nuclear News* within two months after the reply was sent to the requestor.

CMH, 11/16//09 – approved 1/31/10  
(CMH edit, 5/14/10)

# RESPONSIBILITIES OF ANS STANDARDS COMMITTEE LIAISON PERSONNEL

## 1. BACKGROUND

The development of standards for the nuclear industry is performed by a number of technical societies. In many cases it is not possible to develop a standard whose scope is solely within the purview and interest of one society. In addition, the requirements of any one standard will often affect the criteria, and their interpretation, of several other standards. To assist in keeping track of these interactions and to help ensure a reasonable level of consistency in approach, many societies designate representatives or liaison personnel to participate in the deliberations and balloting of the consensus committees of other societies.

The purpose of this policy is to set forth guidance for those individuals selected to provide liaison between the ANS Standards Committee and certain consensus committees sponsored by other technical societies. It also addresses the qualifications of such individuals to ensure they have the requisite experience to be able to effectively fulfill these liaison responsibilities.

## 2. POLICY

### ***2.1 Selection of Individuals to Provide Liaison Services***

The ANS Standards Board (SB) shall determine whether a liaison function is required between the ANS Standards Committee and a consensus committee or other standards program of another society. Upon the identification of such a need, the SB shall appoint a representative. The selected individual shall be responsible to the SB, shall be willing to assume the duties set forth in this policy, and should be a member of ANS. This person shall have recognized expertise in the technology of primary interest to the assigned consensus committee. The individual selected should have been an active member of a working group or subcommittee of a standards committee whose responsibility is closely associated with the area of the assignment. The person shall be familiar with ANS standards that are relevant to the assignment and shall be (or shall become) familiar with the ANS standards development process.

### ***2.2 Requirements of Liaison Personnel***

A representative of the ANS Standards Committee assigned to the consensus committee of another society should become a voting and balloting member of that committee. If the individual is a balloting member, he shall actively participate in the committee's business, including balloting on proposed American National Standards, voting on issues of policy (if qualified), and participating in discussions of the merits of proposed standards.

When balloting on proposed or revised standards, the representative should seek the review, evaluation, and comment of other members of the ANS Standards Committee or ANS Technical Divisions who are technically qualified in the subject. The individual may request the assistance of the Standards Administrator in seeking this advice. The form of this input may vary depending on the time allowed for the ballot and the importance of the subject to the ANS Standards Committee, but should be adequately broad to reasonably complement the knowledge and experience of the representative. (The importance of the standard to the ANS Standards Committee shall be determined based on its relevance to standards already issued or in an advanced stage of development within ANS.)

The representative shall specifically seek the review and comment of members of the appropriate ANS consensus committee when the committee's scope of responsibility closely resembles that of the standard being balloted. Requests for such input shall be sought through the chairman of the consensus committee.

The representative shall report the results of these liaison activities to the SB during the Winter meeting, either orally or in writing. The report shall indicate the number of meetings attended, the number of ballots submitted (and the total number of ballots requested by the consensus committee), whether input was requested and received from ANS Standards Committee members, and any major issues of direct relevance to the ANS Standards Committee (such as conflicts in scope or approach).

When a standard is balloted or offered for discussion at the consensus committee to which the representative is assigned (including initial discussions of scope, working group membership, and other relevant interface issues), the representative shall become sufficiently familiar with the pertinent issues to fully present the ANS Standards Committee's viewpoint or position. This may be fulfilled by having another member of the ANS Standards Committee in attendance at the meeting or having that individual draft an appropriate position paper.

The representative shall adhere to the SB policy on speaking for the ANS Standards Committee, and especially the last paragraph of that policy. If policy issues arise as part of this assignment, the representative should seek the guidance of the Standards Board Chairman.

06/14/88  
(JFM edit, 8/16/99)  
(JFM revised, 1/13/04)  
(JFM edit, 5/27/04)

# **POLICY ON COMPLETING THE CONSENSUS BALLOTING PROCESS**

## **1. BACKGROUND**

Difficulty is often encountered in completing the necessary procedures to demonstrate consensus following the initial consensus balloting process. This procedure is intended to help expedite the implementation of the consensus requirements. It is not meant to be a complete guide for all consensus procedures.

## **2. POLICY**

Each working group chairman and the responsible subcommittee chairman shall make every effort to complete all requirements to demonstrate consensus as rapidly as possible following closure of the consensus ballot. Consensus committee chairmen shall assist as called upon to ensure full cooperation from the members of the responsible consensus committee with the working group.

## **3. PROCEDURE**

### ***3.1 Collation and Review of Ballot Comments***

The secretary of the consensus committee shall report the results of the ballot to the working group chairman within ten days after closure of the ballot period. The working group shall meet or otherwise communicate to discuss major comments immediately upon receipt of the ballot tally. It is the responsibility of the working group to (a) catalog all comments by section in the standard, (b) decide how to respond to each major comment, and (c) assign a working group member to prepare responses to specific comments. Most of this work can be done prior to the discussion if specific assignments are made to working group members and a system developed and implemented for proper distribution of comments before ballot closure.

### ***3.2 Responding to Comments***

The working group shall agree on how to respond to each comment and who will make the response. Individual responses shall be sent to each person who submitted a negative ballot. Responses shall be sent to each person who submitted an approved with comment ballot either individually or in some logical, collated fashion. A copy of a draft that has been revised to incorporate comments is not sufficient (as a response to comments) unless it is clearly annotated to indicate where changes have been made and in response to whose comments (e.g., using the commenter's initials). One objective in documenting individual responses is to provide traceability on why modifications were made. Each negative balloter shall be requested to upgrade the negative ballot to approved or approved with comment as a result of the working group's attempt to resolve the negative comments.

The working group shall respond to all ballot comments within 90 days after ballot closure. Negative balloters shall respond to the working group's request for an upgraded ballot within 30 days after receipt of the working group response to the ballot comments.

### ***3.3 Subsequent Actions***

If negative ballots remain after the above process, members of the consensus committee shall be permitted a 30 day period in which to reconsider their vote as a result of any outstanding negative

ballots. This process shall be handled by the secretary of the consensus committee, keeping the ANS Standards Administrator informed of progress at all times.

### **3.4 Expediting Responses**

If the working group does not address all ballot comments within 90 days, the responsible subcommittee chairman shall immediately offer assistance to complete this procedure. After 120 days, the consensus committee chairman shall also offer active assistance. In all cases, the ANS Standards Administrator will assist, as requested. After 150 days, the consensus committee chairman and the Standards Board Chairman shall be notified by the subcommittee chairman in writing of the actions taken, outstanding problems, and planned actions to have responses made expeditiously.

If negative balloters do not respond to the working group within 30 days, the working group chairman shall call the balloter and agree upon a final date for a response; the call and agreement date shall be documented (with copies to the subcommittee chairman and the ANS Standards Administrator). If the agreed-upon date is not met, the subcommittee chairman shall attempt to determine why there has been no response. The subcommittee chair shall also determine at that time whether to consider a further extension of time; if no extension is believed to be appropriate, a recommendation shall be made to the consensus committee chairman and the Standards Board Chairman to proceed with the consensus process without requiring further written response from the balloter. This decision shall be made within 30 days. The basis for any decision shall be documented with copies to the balloter, working group chairman, and ANS Standards Administrator.

01/07/83  
(JFM edit, 8/16/99)  
(JFM revised, 1/20/03)

# POLICY ON INITIATING MAINTENANCE PROCEDURES

## 1. BACKGROUND

ANSI requires that all standards be maintained within five years after approval as American National Standards. Maintenance requires action to reaffirm, revise, or withdraw a standard. The evaluation of these options and reaching a decision typically requires more than a year. Therefore, the initiation of the maintenance process should begin in time to permit the approval of a reaffirmation or withdrawal within six years or approval of a revision within seven years of the last approval.

## 2. POLICY

- Each consensus committee shall designate an individual to monitor the status of each American National Standard developed by that committee. This individual shall notify the chairs of the consensus committee and the responsible subcommittee and working group, as well as the Standards Administrator, when initiation of maintenance procedures is required for each standard. This notification, together with a request for a prompt reply, shall be issued by January 31 of the fifth year following the standard's approval as an American National Standard.
- The responsible chairs of the subcommittee and working group shall confer and shall decide which maintenance procedure is the most appropriate (revision, reaffirmation, or withdrawal). If a decision is made to initiate a revision, the responsible subcommittee chair shall identify any related standards that might be affected by the revision and shall notify the affected subcommittee and working group chairs.
- The working group chair (or the subcommittee chair, in the absence of a working group chair) shall respond to the designated individual, with copies to the chairs of the consensus committee and subcommittee and the Standards Administrator, indicating the planned maintenance action. The reply shall be made by June 30 of that same year. If a revision is planned, a schedule shall be included that shows completion within seven years or that provides a justification for a longer schedule, which shall not exceed nine years.
- If no response is received by June 30, the designated individual shall so inform the Standards Administrator and the chairs of the SB and consensus committees and shall enlist their assistance in the development of a suitable maintenance plan.
- If reaffirmation or withdrawal is the planned action, a technical justification shall be provided that specifies why a revision is not appropriate. Reaffirmation should be completed within six years and withdrawal within nine years of the last approval.
- If a decision is made to revise the standard, a Project Initiation Notice (PIN) shall be submitted by the subcommittee chair to the Standards Administrator, who will forward the PIN to the consensus committee for its approval. Action on the revision shall be initiated by the end of the fifth year following approval.

06/05/84  
(JFM edit, 8/16/99)  
(JFM revised, 1/13/04)  
(JFM edit, 5/27/04)

# POLICY ON THE IMPLEMENTATION OF MAINTENANCE PROCEDURES

## 1. BACKGROUND

This policy provides criteria to determine whether a standard is to be revised, reaffirmed, or withdrawn. This decision, concerning the future of a standard as it approaches its fifth anniversary of approval, is important to users of the standard and for determining the most effective application of the limited number of volunteers, and especially members of the working group.

This policy also prescribes the statements to be included in the forewords and in the reference sections of new, revised, and reaffirmed standards to alert users about certain features in each standard. Also, for withdrawn standards that are offered for sale, this policy specifies how the title page is to be marked to clearly communicate that the standard is no longer an American National Standard.

This policy does not address two related activities that are pertinent to the planning of revisions to a standard: setting priorities and making decisions based on the availability of personnel. The personnel issue involves locating the needed experts who are willing to give their time and assigning them to the most important projects. These actions constitute the most difficult challenges in managing a subcommittee but do not lend themselves to firm criteria, so none are included in this policy.

## 2. POLICY

Requirements for the performance of maintenance activities are set forth in the accredited rules and procedures, Article 5.10, and in the Policy on Initiating Maintenance Procedures. This policy provides the basis for implementing the second bullet in the cited policy.

The subcommittee chair shall decide whether to revise, reaffirm, or withdraw a standard and shall conduct a vote of the subcommittee for concurrence in the decision. Also, the consensus committee chair may seek the advice or a vote of concurrence of the consensus committee on the option approved by the subcommittee.

The standards administrator shall be responsible for including

- The appropriate statements in the forewords of new, revised, and reaffirmed standards.
- The statement to be included in the references section.
- The statement to be added to the title page of withdrawn standards.

### ***2.1 Criteria for Determining Whether to Revise, Reaffirm, or Withdraw a Standard***

#### **Revisions Are Preferred**

A revision of a standard shall be initiated prior to the fifth anniversary of its approval unless a recommendation for reaffirmation or withdrawal is made after completing the process described below under criteria.

## **Establish a Task Group**

The subcommittee chair shall appoint a task group of two to four members to review the standard against the criteria set forth below and to make a recommendation on whether to revise, reaffirm, or withdraw the standard. This task group shall include the responsible working group chair or, in the chair's absence, a key member of the working group and a member of the subcommittee. All members of the task group shall have expertise or experience in the scope of the standard. The task group shall be appointed prior to the fifth anniversary of the approval of the standard and its recommendation provided to the subcommittee chair within 60 days of appointment.

## **Recommending Revision or Reaffirmation**

The criteria listed below address individual portions or attributes of the standard under consideration and shall be used to develop a recommendation concerning revision or reaffirmation. If any one of the evaluations called for in the first four criteria leads to a recommendation for revision, then the final judgment should be to revise the standard. Conversely, reaffirmation shall be recommended only if all the evaluations are favorable for reaffirmation.

## **Recommending Withdrawal**

If any of the evaluations in the following list indicates that withdrawal is the most appropriate choice, then a broader assessment shall be conducted to determine the viability of making a revision that would avoid withdrawal. Unless the standard is deemed to be of no practical value to potential users, every effort shall be made to revise the standard.

## **Criteria for Deciding on the Most Effective Maintenance Action**

*(1) Usefulness.* The usefulness of the standard shall be evaluated. Usefulness shall be gauged using the knowledge of the task group members (and others they are able to consult), the sales record of the standard, and its apparent applicability to activities currently being pursued (or expected in the near future). If the standard is deemed useful, either currently or within the next five years, a recommendation shall be made for revision or reaffirmation. If the standard is no longer useful or its usefulness is highly questionable, withdrawal should be recommended.

In assessing the usefulness of a standard, it shall be considered separately from other documents that are not consensus standards but address the same topic, such as regulatory guidance or NEI documents. Interfaces with other consensus standards are also pertinent to this assessment. In addition, the evaluation of usefulness shall address the potential application of the standard to the siting, design, manufacture, construction, and operation of nuclear facilities, even though the original objective of the standard may have been to focus on one or two of these areas only.

*(2) Purpose.* The purpose of the standard shall be evaluated. The task group shall determine whether the purpose is valid for application currently or within the next five years based on the knowledge of the task group members (and others they are able to consult). If the purpose appears valid, a recommendation for revision or reaffirmation shall be made.

*(3) Technical Content.* The technical content of the standard shall be evaluated and a determination shall be made on whether the criteria (that is, the requirements) are still valid and are expected to remain valid for several years. This evaluation shall include requirements that affect or interface with other standards. If the criteria are expected to remain valid, reaffirmation should be recommended. If any criteria are believed to be invalid or inappropriate, revision shall be recommended.

The technical content of the standard shall be compared to current, documented regulatory expectations (regulations and regulatory guidance). If the criteria contained in the standard are

inconsistent with these expectations, the task group shall assess whether a revision is appropriate to include modified criteria. If the criteria remain applicable, reaffirmation should be recommended. If the criteria need to be modified, revision should be recommended.

If the evaluation of technical content reveals that strict application of one or more criteria could result in equipment inoperability or a violation of a safety or technical specification, withdrawal shall be recommended. If the standard continues to be useful, however, immediate action shall be taken by the subcommittee to establish a working group and to gain a commitment that a suitable revision will be developed and issued within 24 months.

(4) References. The validity of the references shall be evaluated, including whether they are adequately current. If the references are invalid, revision shall be recommended. If they are adequate, reaffirmation should be recommended.

(5) Contingency. If a decision is not reached on the most appropriate maintenance action within the standard's five-year anniversary or even several years later, the decision options become increasingly constrained, and the situation could force an inappropriate action (had a timely decision been made). To preserve the viability of a standard that continues to be useful, the subcommittee chair and the appointed task group could conclude that reaffirmation is the only reasonable choice to serve current users. Under these circumstances, a decision to reaffirm shall be made only if a working group has been established and a commitment obtained to develop and issue a suitable revision within 24 months of initiating a committee vote on reaffirmation.

## **2.2 Marking Standards That Have Been Withdrawn**

Standards can be withdrawn for several reasons.

- Standard was replaced by a new revision or new standard.
- Standard is no longer considered useful.
- Criteria are incorrect or no longer applicable, and there is insufficient priority to develop a revision.
- Revision not developed before the standard reached its 10-year anniversary.

However, many withdrawn standards continue to meet certain user needs, and their application endures. Ideally, the user should be informed why the standard was withdrawn, especially if it contains inappropriate or incorrect requirements. Experience shows that the complexities involved in marking individual standards with the reason for withdrawal are too difficult to successfully manage, especially when the reason for withdrawal of many standards was never explicitly stated.

To facilitate the marking of withdrawn standards, a generic statement has been established. This statement shall be used on all withdrawn standards. This statement refers the user to the standards administrator, who can often provide a more specific basis for the withdrawal.

*This standard is no longer being maintained as an American National Standard. It may contain outdated material or may have been superseded by another standard. The ANS standards administrator can be contacted for details.*

### **2.3 Statements to be Included in the Foreword and in the References Section of All Standards**

After a standard is issued, the currency of references cited may decline with time requiring revision or other action. The purpose of this part of the policy is to provide guidance to the user on how to handle changes in the references. This user guidance is provided in the foreword as a generic caution and in the references section, which provides more specific direction. See Policy on Handling References in Standards.

As standards are maintained (revised or reaffirmed), consideration is sometimes given as to whether to include requirements related to important industry and regulatory initiatives. The application of risk-informed and performance-based concepts are examples of such initiatives. Because these initiatives are not always applicable to a particular standard or are believed inappropriate at the time the standard is issued, a statement to be included in the foreword has been established to alert the user about this situation. This should not be taken as a weakening of ANS's resolve to improve the standards program by employing risk-informed and performance-based concepts, but as a recognition that such initiatives take considerable time to fully implement.

The following two statements shall be included in the foreword of all new, revised, or reaffirmed standards. The second statement shall be incorporated into those standards where the application of risk-informed insights, performance-based requirements, or a graded approach to quality assurance is appropriate. If one of more of these three elements is addressed in the standard, that portion of the statement shall be deleted. If the working group determines that this statement is not relevant to the subject included in the standard, the entire statement may be eliminated, but only with the written concurrence of the consensus committee chair.

*This standard might reference documents and other standards that have been superseded or withdrawn at the time the standard is applied. A statement has been included in the references section that provides guidance on the use of references.*

*This standard does not incorporate the concepts of generating risk-informed insights, performance-based requirements, or a graded approach to quality assurance. The user is advised that one or more of these techniques could enhance the application of this standard.*

The following statement shall be included at the beginning of the references section of all new and revised standards.

*The user is advised to review each of the following references to determine whether it, a more recent version, or a replacement document is the most pertinent for each application. When alternate documents are used, the user is advised to document this decision and its basis.*

JFM, 7/28/05  
(Rev. 11/29/05)  
(Rev. PS 11/30/05)  
(Rev. NPK 2/11/07)

**Maintenance Determination Form**  
(Stapled to inside front of hanging file folder)

<b>1. Numeric designation:</b>	
<b>2. Title:</b>	
<b>3. Maintenance decision (revision, reaffirmation, withdrawal):</b>	
<b>4. Reason for decision (if revision, see the PINS form; otherwise, select a code number and provide details):</b>	
<b>5. Approval provided by:</b>	
<b>6. Date maintenance determined:</b>	

Explanation Code Numbers:

#1 – Reaffirmed: Standard remains current.

#2 – Reaffirmed: Standard is under revision but is incomplete at the 10<sup>th</sup> anniversary.

#3 – Reaffirmed: Standard is acceptable but working group unavailable to develop a revision prior to the 10<sup>th</sup> anniversary.

#4 – Withdrawn administratively at 10<sup>th</sup> anniversary – no working group chair available.

#5 – Withdrawn administratively at 10<sup>th</sup> anniversary – revision not completed in time.

#6 – Withdrawn administratively at 10<sup>th</sup> anniversary – reaffirmation process not completed in time. (Include details of the delay and planned actions.)

#7 – Considered for reaffirmation but standard no longer current. (Include detailed reasons under “Reason for decision” above.)

#8 – Considered for reaffirmation, but standard determined to be of limited use. (Include detailed reasons under “Reason for decision” above.)

#9 – Withdrawn after failed reaffirmation. See ballot file for negative comments. (Include summary of comments received in reaffirmation under “Reason for decision” above.)

# **POLICY ON THE DEVELOPMENT OF GUIDANCE STANDARDS**

## **1. BACKGROUND**

The accredited rules and procedures of the ANS Standards Committee specify that standards developed by the committee are intended to become American National Standards. Standards developed by the ANS Standards Committee are criteria-based, containing specific requirements to be implemented by the user. (Many of these standards also contain guidance in the text or in appendices.)

In the development of PRA and risk-informed standards, the Nuclear Risk Management Coordinating Committee (a joint ASME and ANS committee) has decided to consolidate the requirements from existing American National Standards into a single standard. Since the existing standards also contain valuable guidance for the user, it was also decided to retain this guidance information in a set of guidance standards. The purpose of this policy is to permit the development and publication of ANS guidance standards.

## **2. POLICY**

The ANS Standards Committee may develop guidance standards that do not contain requirements but provide valuable information for the implementation of criteria contained in American National Standards. These guidance standards shall be developed using the accredited rules and procedures of the ANS Standards Committee, including those related to due process and consensus.

Guidance standards shall be developed only with the agreement (that is, formal vote for approval) of the responsible consensus committee and the Standards Board. In addition, a PINS form, or equivalent, shall be prepared for review and comment by the consensus committee and by the Standards Board.

Guidance standards shall not be submitted to ANSI for accreditation as American National Standards, but shall be certified by the Standards Board as having followed due process and consensus procedures. Guidance standards shall be issued as copyrighted ANS standards.

This policy may be applied by any ANS consensus committee.

Because this policy establishes a process for the development and issuance of ANS guidance standards, it is not addressed in the accredited rules and procedures.

JFM, 9/22/04  
(JFM revised, 12/16/04)  
(JFM revised, 8/17/05)

# POLICY ON TRIAL USE AND PILOT APPLICATION STANDARDS

## 1. BACKGROUND

This policy provides guidance for issuing a standard for trial use and pilot applications.

## 2. POLICY

An ANS consensus committee may determine that the state of technology or the expected general industry understanding or acceptance of the technical content of a proposed standard does not warrant its publication as an American National Standard until prospective users have had an opportunity to evaluate it under pilot conditions. The consensus committee may then elect to recommend to the ANS Standards Board that the proposed standard be issued for “Trial Use and Pilot Applications” (TUPA). A TUPA has the following characteristics:

- The TUPA designation applies for a fixed period established on a case basis.
- The technical content of a TUPA standard has been balloted by the consensus committee pursuant to the applicable ANS rules and procedures.
- The Standards Board certifies that the ANSI-approved process has been followed, and agrees with the recommendation that the document be withheld from submittal to ANSI until the results of the trial use and pilot applications are incorporated into the document.
- It is available to the public as an ANS standard until it is certified by ANSI or at the end of the TUPA duration, whichever comes first.
- If and when the standard is issued as an American National Standard, the TUPA version shall be withdrawn but will be available as a historical document.
- The process at the consensus committee level is as follows:
  - The TUPA standard is balloted in a normal manner, but explicitly contains the justification, duration for its issuance in this manner, and an action plan for obtaining ANSI approval.
  - The consensus committee chair presents the TUPA recommendation to the Standards Board, documenting the deliberations on this matter (including any opposition heard) and proposing a schedule for action by the SB.
  - The consensus committee chair alerts the ANS Standards Administrator at the first indication that a TUPA standard is being considered.

(NPK, 7/7/2010 – approved 7/20/10)

# POLICY ON COMMITTEE REPRESENTATION

## 1. BACKGROUND

This policy provides guidance on the composition of working groups, subcommittees, and consensus committees. It supplements the criteria set forth in Articles 3.2, 3.3, and 3.4 of the accredited rules and procedures. In addition, criteria are provided for accepting more than one representative on a consensus committee from a single organization. These criteria supplement the criteria for consensus committee membership given in Article 3.2.2 of the accredited rules and procedures.

## 2. POLICY

### 2.1 *Representation*

Requests for representation on a specific committee shall be referred to the proper chair. More general requests to join the standards committee shall be handled by the standards administrator in conjunction with appropriate committee chairs (see Policy on the Objectives and Administration of the ANS Standards Board, Article 3, paragraph 3 for additional guidance). Also, see the Policy on the Administration of the Standards Committees, Articles 2, 3, and 4 for the structure and management of all committees.

#### 2.1.1 Working Groups

Members of working groups should be selected for their recognized expertise in the scope of the assigned standard. The makeup of a working group should include representatives from appropriate types of organizations (see Policy on Certification of Consensus Committee Membership, which defines categories of interest). However, there is no requirement to achieve balance on a working group among types of organizations; membership should be based on the expertise required to develop the standard.

The size of and diversity of disciplines represented on the working group shall be consistent with the goals of efficiency, user interest, and useful technical content of the proposed standard. Although members may be drawn from a spectrum of involved interests, the total membership should be limited to enhance close working relationships and good communication, and to help ensure an efficient standards development process.

#### 2.1.2 Subcommittees

Members of subcommittees should be selected for their experience and competence in the scope of the committee and for their ability and willingness to participate in committee activities, and for their ability to provide credible technical comments on proposed standards. Although balance is not required, subcommittee members should represent each type of organization that has a material interest in the scope of the committee (see Policy on Certification of Consensus Committee Membership). Multiple representatives from a single organization should be avoided unless these individuals have expertise in different disciplines needed to address the scope of the committee. In addition, not more than 40 percent of the membership should be from any one interest group.

The number of members on a subcommittee should be sufficient to provide a broad range of perspectives and review comments. Members should be selected from supervisory personnel,

licensed operators, and highly experienced engineers and scientists. Members should have substantial experience as members of working groups.

### 2.1.3 Consensus Committees

Representation on consensus committees should be as broad as possible, and shall include representatives from each type of organization that has a material interest in the scope of the committee (see Policy on Certification of Consensus Committee Membership). Members of consensus committees should be selected for their experience in the scope of the committee; for their ability and willingness to participate in committee activities; and for their ability to provide credible review and ballot comments on issues involving policy, feasibility of implementation of proposed standards, and commercial fairness and impartiality.

Consensus committee members should be selected from management personnel, licensed operators, and the most experienced engineers and scientists. Members should have substantial experience as members of subcommittees. Multiple representatives from a single organization, if deemed necessary by the chair, shall adhere to Article 2.2 of this policy.

## **2.2 Multiple Representatives from a Single Organization on Consensus Committees**

In establishing the membership of consensus committees, the requirements of due process and consensus always supersede any other objective. Specifically, the provisions of Articles 3.2.2 and 5.1 of the accredited rules and procedures shall be fulfilled in every respect. This policy applies to the chair of each consensus committee.

### 2.2.1 Criteria for Selecting Multiple Members from a Single Organization

The criteria contained in this article pertain to committee membership only and do not apply to balloting privileges, which are addressed in Article 2.2.2 of this policy.

Two representatives from a single organization may be appointed to a consensus committee if they comply with the criteria listed below. Alternatively, two representatives from a single organization may be members of a consensus committee if one of the individuals is an elected chair of a subcommittee and is compelled to be a member in accordance with the rules of that consensus committee.

In addition, three representatives from a single organization may be appointed to a consensus committee if at least one individual is an elected chair of a subcommittee and is compelled to be a member in accordance with the rules of that consensus committee, and the other representatives comply with the following criteria.

#### Criteria

- Each member shall be an employee of the organization under consideration and each member (other than a subcommittee chair) shall represent different interests as determined by their assignments to separate and distinct product lines or service areas. Examples of these functional and organizational distinctions are given below.
- The different interests between two candidates shall be measured by how much their job responsibilities and their technical perspectives differ from each other. An assessment of the functional responsibilities of the individuals and their organizational separation shall be made to determine whether they have different interests. Geographic location shall not be a factor.

## Examples of functional and organizational distinctions

- For a vendor or service provider, typical areas that demonstrate distinct assignments are services (such as consulting, analytical, or field services), component manufacture and supply, fuel manufacture and supply, and equipment design and supply. Organizational separation is usually defined by being the responsibility of different corporate officers.
- For an owner/operator, distinct assignment areas are typically engineering (including support services, such as purchasing, QA, and licensing), operations (including operators, maintenance personnel, outage support functions, HP, and chemistry), and training.
- For a government organization, distinct assignment areas are typically regulatory related (including licensing, compliance, inspection, security, and project management), materials and research, and field management. Distinct areas are usually under the responsibility of different offices. Two members shall not represent a single national laboratory even if the functions are apparently distinct.
- For university and research organizations, the two distinct areas are university and non-university research establishments not defined under government.

### 2.2.2 Criteria for Multiple Ballots from Members Representing a Single Organization

Each organization should provide a single ballot. The Standards Board shall concur with (or deny) any situation in which two ballots from a single organization are deemed necessary by the chair of a consensus committee. The sole basis for Standards Board concurrence shall be whether the criteria set forth in this policy are complied with, including adherence to the spirit and intent of due process and balance of interests.

If two members of a consensus committee represent a single organization, they should decide between them which one will develop comments and submit a ballot. This agreement may be for all ballots or may be done on a subject basis, where one individual casts a ballot on certain defined subject areas, and the other on the remaining areas. This agreement shall be provided to the committee chair in writing.

If two ballots from a single organization are considered desirable and appropriate by the members because they represent different interests, and a single ballot would not fairly represent their separate interests, a memo from the two members shall be sent to the chair requesting permission to submit two ballots. The memo shall include a clear explanation of why this decision is reasonable and necessary. The chair shall review the request, shall apply the above criteria, and shall make a binding decision. If the request for two ballots is denied and both members believe the denial is unfair, they can appeal to the consensus committee to vote on the matter. If still denied, the members may appeal to the Standards Board for a final judgment.

The number of members permitted to submit a ballot together with another member from the same organization shall not exceed 15 percent of the membership of the committee that are allowed to ballot.

In no case shall members of a single organization be permitted to submit more than two ballots.

JFM, 7/27/05  
(JFM revised, 11/29/05)

# **POLICY ON THE MANAGEMENT OF STANDARDS COMMITTEES**

## **1. BACKGROUND**

The accredited rules and procedures of the Standards Committee provide criteria for those activities required to develop and approve American National Standards. This policy sets forth implementing details for the administration of consensus committees, subcommittees, and working groups.

## **2. CONSENSUS COMMITTEES**

Consensus committees shall manage the development of proposed standards within their scopes of responsibility as assigned by the SB and shall develop consensus as the basis for approval of proposed standards. Each consensus committee shall be responsible for establishing and managing the activities of those subcommittees it requires to fulfill its assigned scope.

The chairman of a consensus committee is responsible for establishing and conducting all meetings of the committee, for promptly informing the Standards Board and the Standards Administrator of all significant committee activities and project status, and for requesting advice from the Standards Board on policy matters. Consensus committee chairmen shall be members of ANS and the Standards Board.

## **3. SUBCOMMITTEES**

Subcommittees are established by consensus committees. Subcommittee chairmen shall be appointed by the consensus committee. Subcommittees are responsible for establishing working groups, for appointing working group chairmen, and for managing the development of new and revised standards, including assisting working groups respond to ballot comments.

Subcommittees shall meet at the request of their chairmen to manage working group activities and other projects and to fulfill the directives of the responsible consensus committee and the Standards Board. The subcommittee shall participate in the development of responses to requests for clarification and interpretation as called for in the rules and procedures and implementing policies.

The chairman should be a member of the responsible consensus committee and shall ensure that the accredited rules and procedures as well as the Standards Board and consensus committee policies are fulfilled. The chairman shall ensure that the subcommittee reviews all proposed projects for technical need, relevance to current requirements, technical acceptability, and conformance with related American National Standards. The chairman shall submit a report of subcommittee activities to the Standards Administrator by the end of each calendar year for inclusion in the annual Report of Activities.

The subcommittee, or its chairman, shall appoint a secretary who is responsible for notifying members of meetings and teleconferences, preparing meeting minutes for approval by the subcommittee, and for issuing approved minutes to the Standards Administrator.

Each subcommittee should establish a procedure for the election of and term of office for its chairman and vice chairman. Subcommittees may also set up other procedures for the conduct of its business.

Subcommittees shall conduct detailed technical reviews of proposed standards prior to forwarding them to the responsible consensus committee for review or balloting. Written comments developed

from the technical review shall be provided by subcommittee members to the working group. The subcommittee chairman may request a vote on proposed standards.

The subcommittee chairman shall perform a thorough technical and editorial review of proposed standards after subcommittee comments have been addressed and incorporated to ensure the standard can be reviewed and balloted by the consensus committee without having to address technical inconsistencies or editorial inadequacies. The subcommittee chairman may request ANS staff assistance in the editorial review.

Once satisfied with the format, presentation, and technical adequacy of the standard, the subcommittee chairman shall formally (by letter or email) issue the document to the consensus committee chairman or secretary recommending review or ballot. The subcommittee chairman may also request guidance on policy matters associated with the standard from the consensus committee.

#### **4. WORKING GROUPS**

Upon appointment by a subcommittee, the working group chairman shall select the members of the working group with the advice and consultation of the subcommittee, as desired. The number of members of the working group should be limited for developmental efficiency but shall be of adequate size and diversity to develop a standard that will be beneficial to anticipated users and reflects the current state of knowledge and practice.

The chairman of the working group shall be responsible for calling and conducting all meetings of the group and for keeping the chairman of the subcommittee and the Standards Administrator informed of all significant activities of the working group, including project status, group membership, and schedules. The chairman should be a member of the responsible subcommittee. The chairman is responsible for the development of new or revised standards within its approved scope and for ensuring group membership of appropriate expertise and level of participation. The chairman shall ensure that all ballot comments are addressed and that technical responses are sent to all balloters explaining how the comments were handled.

#### **5. RELATIONSHIP WITH ANS PROFESSIONAL DIVISIONS**

Consensus committees and subcommittees shall enlist the sponsorship and support of closely related professional divisions within ANS. Assistance from professional divisions may include recommending members for subcommittees and working groups, having proposed standards reviewed during their development for technical need, relevance, and acceptability, and advising on the need for new standards.

#### **6. CONDUCT OF STANDARDS COMMITTEE MEETINGS**

Meetings of consensus committees, subcommittees, and working groups shall be open to any interested or affected individual. Attendance at SB meetings by non-members of ANS shall be by invitation of an SB member or an elected officer of ANS only. Notice of all SB and consensus committee meetings shall be published in *Nuclear Standards News (NSN)*, as well as in *Nuclear News* or the official program of ANS meetings. Subcommittee and working group meetings shall be published in *NSN*. Published notices of all meetings shall depend on whether timing permits such notification.

All actions of committees (except working groups) shall be decided by a vote of a quorum of the committee membership. A quorum shall consist of more than 50 percent of the membership,

including designated alternates. A simple majority of those present shall determine the official actions of the committee, except for consensus balloting.

Approved minutes of all SB, consensus committee, subcommittee, and working group meetings shall be promptly submitted to the Standards Administrator. Minutes shall be available for reading at ANS or through the standards website by any Standards Committee member, or by others with the prior approval of the chairman of the Standards Committee.

JFM, 2/12/04  
(JFM revised, 8/17/05)

# **POLICY ON SPEAKING FOR THE ANS STANDARDS COMMITTEE ON POLICY MATTERS**

## **1. BACKGROUND**

Members of the ANS Standards Committee may be requested to express an opinion on a policy matter while attending a meeting. This policy describes the steps to be taken to help ensure that such oral statements are well considered and are consistent with the objectives of the ANS Standards Committee.

## **2. POLICY**

Designated representatives from the ANS Standards Committee to other organizations and members of the ANS Standards Board (SB) may make oral statements regarding ANS Standards Committee policy as believed appropriate. Such statements shall be made only within the individual's scope of responsibility, experience, and knowledge. If done extemporaneously, the spokesperson shall indicate that the remarks may be subject to clarification by the SB.

Other members of the Standards Committee may make policy statements on behalf of the ANS Standards Committee if (1) the statements are within the scope of the policy for issuing comments on behalf of the ANS Standards Committee, or (2) the person has received specific direction or approval from the SB prior to making the statement.

A conscientious attempt shall be made by any person who anticipates having to make a policy statement to receive prior approval from the SB. If this is not feasible, the individual shall report to the Chairman of the SB within five working days after the statement, indicating the essence of what was said. The SB, or its Chairman, shall document the acceptability of the statement or shall take appropriate steps to clarify, modify, or retract what was said.

Any statements made that imply Society concurrence or endorsement shall be made only with prior approval of the ANS President or the ANS Public Policy Committee.

Nothing in this policy shall be construed to apply to the normal conduct of business as it relates to ANS Standards Committee representation on committees of other standards developing organizations, such as committee administration, technical reviews and discussions, and balloting procedures. Such individuals are obligated to exercise their best technical and professional judgment in these situations.

06/13/83  
(JFM edit, 1/13/04)  
(JFM edit, 5/27/04)

## **POLICY ON THE MAKEUP OF WORKING GROUPS**

The composition of a working group shall include a balanced representation from the principal designers of the system or technology and the ultimate users. Each member shall be an interested individual with expertise in the area under consideration. Although members should be drawn from a spectrum of involved interests, the total membership shall be kept as small as possible to enhance close working relationships and good communication.

This balanced representation is different from the concept of balance used in establishing consensus committees, which involves representation from all parties with a material interest.

05/05/80  
(JFM edit, 8/16/99)  
(JFM revised, 1/13/04)

# POLICY ON THE SUBSTANTIATION OF VALUES CITED IN ANS STANDARDS

## 1. BACKGROUND

Numerical values given as part or all of a requirement or criterion in an American National Standard need to be based on the results of high quality, professional research, development, and analysis. These methods and results are expected to be evaluated by a peer review process or the equivalent to ensure their validity. This policy provides criteria and a procedure for ensuring that required values have been established and agreed upon through a suitable review process.

## 2. POLICY

The validity of numerical criteria (including equations, formulas, or methods used to obtain such values) shall be substantiated and documented by the responsible working group. Values that are made a part of the requirements of a standard shall have a sound technical basis.

One or more of the following methods shall be used to provide substantiation of required values in standards developed by ANS.

- Results from the deliberations of the working group. The validity of this method relies on the multiple reviews inherent in the consensus process, which are often more rigorous than reviews given to published work. These results shall be based on work that is considered publishable and non-proprietary but might not have appeared in a document that is generally available in the public domain. This source may include a survey conducted by the working group. Documentation shall be included in the project file, which is kept by the Standards Administrator, that describes the logic used to arrive at the value, equation, formula, or method prescribed in the standard.
- Reference to another American National Standard.
- Reference to a published technical article or textbook. See (a) and (b) below for special precautions.
- Reference to a regulation or widely accepted regulatory position.

Several precautions shall be observed in using any of these techniques.

- The working group shall be technically satisfied that the value is adequate for the intended purpose.
- The current acceptability of the referenced work shall be evaluated by the working group and agreed upon as having been subjected to a generally-accepted peer review or the equivalent.
- The composition of the organizations that will perform the technical review (ANS subcommittee) and the consensus ballot shall be evaluated by the responsible subcommittee chair if 2.1 is the primary technique used. Although the consensus process will usually provide the widest technical review of all the above options, it might not embody all the needed ingredients of technical expertise. The subcommittee chair shall ensure that an adequate technical review is conducted.

- The working group shall attempt to avoid any specification that could lead to restraint of trade as a result of citing a particular value.
- The working group shall evaluate the total impact of imposing a value that represents a significant escalation of a current requirement and ensure that it is justified from a safety and economic viewpoint.
- Since safety is the primary objective, any proposed change from general practice that might be perceived as reducing a safety margin shall be technically supported.

The following actions shall be taken to ensure the proper implementation of this policy.

- The provisions of this policy shall be monitored by the responsible subcommittee and consensus committee chairs by asking specific questions about required values where substantiation is not clearly documented.
- The working group chair shall ensure that a separate file is created and submitted to the ANS Standards Administrator prior to publication of the document as an American National Standard that documents compliance with this policy.
- The retention of adequate records shall be the responsibility of the ANS Standards Administrator as specified in the policy on records retention.
- The implementation of this policy shall follow the “rule of reason.” The policy does not require precise traceability, but does require that the working group take reasonable actions to ensure that the policy is met and is documented. The policy requires that the subcommittee and its chairman take actions to train its working groups on the requirements of the policy, that it perform an adequate review to ensure the policy is being met, and to ensure that appropriate documentation is filed and retained by the ANS Standards Administrator.

02/04/83  
(JFM edit, 8/16/99)  
(JFM revised, 1/20/04, 12/16/04, 8/18/05)

# **POLICY ON ISSUING COMMENTS ON BEHALF OF THE ANS STANDARDS COMMITTEE**

## **1. BACKGROUND**

Frequently a government agency or another standards developing organization will propose a new or revised document that would apparently overlap a draft standard or an American National Standard developed by ANS. Members of the ANS Standards Committee may determine that it is appropriate to provide formal comments on such proposals. This policy delineates how to develop and issue these comments.

This policy does not affect the Standards Committee's obligation to seek membership on relevant standards committees, to implement the current agreement between ANS Standards and the NRC Staff, or to seek other methods of fruitful dialogue in an effort to establish complementary documents that are not in conflict.

## **2. POLICY**

Each chairman within the ANS Standards Committee (working group, subcommittee, consensus committee, and Standards Board) may issue comments on behalf of the responsible committee on proposed documents from a government agency or from another standards development organization (SDO). Comments shall be developed with the participation and concurrence of the respective committee and shall be done in a professional manner, consistent with Society objectives. The procedures set forth in this policy shall be followed in the preparation and issuance of such comments.

## **3. PROCEDURES**

Comments shall be issued by the chairman of the committee making the comments.

- The comment letter shall be sent to the management person most directly involved with the issue at the SDO or government agency with copies to the consensus committee and Standards Board chairs. Copies of the letter to other agency personnel shall be limited so that the individual who is expected to reply is clearly identified.
- Comments shall be directly related to an existing draft standard or American National Standard developed by or under the management of the committee submitting the comments.
- The comment letter shall clearly indicate in the first paragraph that the comments are the product of that committee only. No inference shall be made that the comments reflect the ideas of other committees or organizations, unless a specific reference is used.
- All members of the committee under whose name the comments are made shall have an opportunity to contribute to the letter. The chairman shall determine that the committee agrees with and supports the letter and shall document this determination for inclusion in the official project files. Members abstaining from the decision, such as representatives of the agency to which the comments are being sent, shall be provided an opportunity to be noted as abstaining in the letter.

- Comments should be issued by the chairman of the most senior committee in the standards hierarchy as is feasible with due consideration of the importance of the issue, the most appropriate addressee, and the urgency of the matter.
- Comment letters shall be sent or read to the SB Chairman prior to submittal to help avoid areas of special sensitivity. In the Chairman's absence, this review shall be conducted by the vice chairman or secretary.
- Comments may be issued on behalf of the Society instead of some portion of the Standards Committee, if the issue is sufficiently important. Comments shall be issued over the signature of the ANS President or other Society official only if prior approval is obtained from the President, the Public Policy Committee, or both. (See also, policy on speaking for the ANS Standards Committee.)
- A copy of the comment letter shall be sent to the ANS government liaison if a government agency is involved. If specific follow-up action or status is desired that cannot otherwise be obtained readily by the committee, the responsible chairman may request this type of assistance from the government liaison. Requests shall be specific and reasonable in nature. This office may be used to assist in establishing meetings.

06/13/83  
(JFM edit, 1/20/04)  
(JFM edit, 5/27/04)

# POLICY ON HANDLING REFERENCES IN STANDARDS

## 1. BACKGROUND

Standards typically use references to substantiate or supplement its requirements. Referencing other American National Standards is usually done in the text of a standard, but referencing other types of documents, including regulations, other government documents, and draft documents, requires special instructions. This policy addresses all types of references and provides related guidelines on where to use references.

## 2. POLICY

### ***2.1 Referencing Regulations and American National Standards***

References to and quotes from regulations and American National Standards may be included in the text of a standard.

When a reference to or a quote from a regulation is made a requirement, a “shall” statement shall be used. The verbs “should” and “may” shall not be used in referring to or quoting from a regulation.

When referencing or quoting from an American National Standard, the verb used (shall, should, or may) shall accurately reflect whether the document or its excerpt is being made a requirement, is being recommended for use, or is permitting its use.

If a regulation or American National Standard is used to justify a value used in the standard or to support a requirement in the standard, a footnote shall be used to cite the reference. An example of the use of a footnote follows.

*A similar requirement is set forth in a regulation.<sup>a</sup>*

<sup>a</sup> See 10CFR50.76(b).

Also, a footnote shall be used when the standard points out that a regulation or American National Standard addresses the same, similar, or alternative concept as that being discussed in the standard.

### ***2.2 Referencing Published Documents Other Than Regulations and American National Standards***

Referencing or quoting from any published document, including regulatory documents that are not regulations, shall adhere to the same requirements as set forth in Article 2.1 for American National Standards.

Excerpts from a government document may be used without quotation marks because they are not copyrighted. However, the source of the material used shall be given in a footnote.

Any document relied on by the standard shall be available to all potential users.

If a referenced document can be obtained only by purchase, the cost shall be nominal; that is, the cost shall be similar to the cost of the standard itself and the cost of other American National Standards being referenced or quoted. If the cost of the referenced document exceeds this general

range, the document shall not be referenced or quoted. However, the document may be included in a footnote, as noted in Article 2.1.

### **2.3 Referencing Draft Documents and Withdrawn Standards**

Draft documents may be referenced in a standard under the following conditions only.

- The draft document shall not be quoted.
- The draft document shall not be included in a requirement (“shall” statement).
- A draft document may be used to support an observation or a “should” or “may” statement by characterizing (or paraphrasing) the pertinent portion of the draft. When used for such a purpose, a footnote shall be included that provides the title, identifier (such as working group number in the case of a draft standard, or other unique designator for other documents), the status of the draft (such as a revision number or date), the location of the pertinent text within the draft, and contact information for the responsible owner, author, or correspondent. Also, the scope of the draft document should be included in the footnote.

In the case where a standard has been approved but not issued, the requirements of Article 2.1 shall be applied, but the referenced standard shall be indicated by “(draft).”

If a standard that has been withdrawn is referenced, the requirements of Article 2.1 shall be applied, but the referenced standard shall be indicated by “(withdrawn).”

### **2.4 Statement to be Included in the References Section of All Standards**

A statement shall be included in the references section of all new and revised standards concerning the allowed use of subsequent revisions to referenced standards. The statement to be incorporated is set forth in the Policy on the Implementation of Maintenance Procedures, at the end of Article 2.3.

JFM, 8/16/05  
(JFM revised, 11/29/05)

# POLICY ON RECORDS RETENTION

## 1. BACKGROUND

The ANS Standards Committee produces a large volume of documents, including meeting minutes, draft standards, ballots, policies and procedures, and correspondence. In addition to historical interest in this material, many of these documents must be retained to provide adequate evidence of due process and to confirm that consensus has been reached on approved standards. This policy sets forth criteria for the retention of all documents developed by the Standards Committee.

## 2. POLICY

### ***2.1 Documents Required to Substantiate Due Process***

ANSI procedures require that American National Standards undergo maintenance procedures every five years. To accommodate the revision process, ANSI permits the extension of the viability of a standard for up to an additional five years, or a total of ten years from the initial approval of the standard. To ensure that records are retained for at least this ten-year period, the following documents associated with each American National Standard, if held at ANS as of November 16, 2004, shall be retained by ANS for 11 years (after the last ANSI approval).

- Ballots
- Resolution of comments
- Correspondence related to retained negative ballots, including reconsideration of ballots
- Correspondence related to any appeals and their disposition
- SB letter ballots
- Official ANSI forms (e.g., PINS, BSR-8, and BSR-9)
- Correspondence
- Consensus committee rosters and minutes
- Annual certifications of balance of interests

### ***2.2 Draft Standards and Policy-Related Documents***

Many documents provide the basis for important policy decisions related to the format and content of standards and transcend the requirement to perform maintenance on American National Standards. The following documents shall be retained by ANS indefinitely:

- Policies and procedures and all revisions thereto
- Drafts of all standards circulated for review or ballot
- Published versions of American National Standards
- Documents that provide substantiation of values used in each American National Standard
- Correspondence related to clarifications and interpretations, including their final disposition

### **2.3 Other Documents**

All other documents produced by the Standards Committee shall be retained by ANS as deemed appropriate by the Standards Administrator, including SB meeting minutes and consensus committee meeting minutes. The retention of all documents should be based in part on their historical significance.

06/08/99  
(JFM edit, 11/01/99)  
(JFM revised, 1/13/03)  
(JFM edit, 5/27/04, 12/16/04)