

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

**2016**

(Change approved November 5, 2016,  
with editorial updates)



**American Nuclear Society**

## **Change Approved 11/5/16 and Editorial Updates:**

- 1) A revision of Policy A3 on The Responsibilities of ANS Standards Committee Liaison Personnel was approved by ballot on 11/5/16 and incorporated into this manual.
- 2) The following policies were transferred to or incorporated into other policies, rules, or procedures and deleted from the back of this policy manual.
  - POLICY ON THE MANAGEMENT OF STANDARDS COMMITTEES  
(incorporated into the ANS Standards Committee Procedures for Consensus Committees except Article 6 which was incorporated into Policy A1)
  - POLICY ON THE CERTIFICATION OF CONSENSUS COMMITTEE MEMBERSHIP  
(Balance of Interest)  
(removed because it was a duplicate with Annex A of the ANS Standards Committee Rules and Procedures)
  - POLICY ON THE MAKEUP OF WORKING GROUPS  
(incorporated into the ANS Standards Committee Procedures for Consensus Committees)
  - POLICY ON RECORDS RETENTION  
(removed because it was a duplicate with Annex C of the ANS Standards Committee Rules and Procedures)
  - POLICY ON COMPLETING THE CONSENSUS BALLOTING PROCESS  
(incorporated into the ANS Standards Committee Procedures for Consensus Committees)
  - POLICY ON INITIATING MAINTENANCE PROCEDURES  
(incorporated into the ANS Standards Committee Procedures for Consensus Committees)
  - POLICY ON THE IMPLEMENTATION OF MAINTENANCE PROCEDURES  
(incorporated into the ANS Standards Committee Procedures for Consensus Committees)

## **Changes/Re-organization Approved 9/23/16:**

- 1) Policies were given alpha/numeric designations.
- 2) Editorial changes throughout to apply acronyms consistently and to reflect a staff title change.
- 3) Changes to reflect the use of the ANS Standards Workspace including a new policy (D2).
- 4) Changes to document current practice (not a change of practice) or to clarify practice.
- 5) Per the reorganization previously approved by ballot, a portion of the Policy on the Management of Standards Committee added as Article 5 in the Policy on the Objectives and Administration of the Standards Board.
- 6) Per the reorganization previously approved by ballot, policies that will be incorporated into other rules or procedures have been moved to the back of the policy manual so that they remain available while the other documents are being revised. (See table of contents for list of policies moved to the back.)

- 7) Removal of Amendment from the Policy on Issuing Changes and Corrections to Standards & clarification to Article 3.1.
- 8) Paragraph in the Background of the Policy on the Development of Guidance Standards removed as it no longer applies.
- 9) Deadline in Article 3.2 of the Policy on the Certification of Consensus Committee Membership changed from February 15 to April 15 to reflect electronic means to accomplish.
- 10) Miscellaneous changes/references made to reflect that the JCNRM follows ASME accredited procedures and that ASME is secretary for this committee
- 11) RESPONSIBILITIES OF ANS STANDARDS COMMITTEE LIAISON PERSONNEL was deleted as the policy is being completely revised and will be issued for a separate ballot.

**January 18, 2015, approved changes include the following:**

- 1) Policy on Developing Responses to Inquiries About Standards Requirements, Recommendations, and Permissions (page 7) (revision)
- 2) Policy on Initiating Maintenance Procedures (page 16) (revision)

**January 16, 2015, approved changes include the following:**

- 1) Policy on Handling References and Excerpts in Standards (page 39) (revision)

**August 26, 2014, approved changes include the following:**

- 1) Policy on Process for Nominating, Evaluating, Selecting and Presenting the ANS Standards Service Award (revision to incorporate nomination deadline change imposed by the Honors & Awards Committee.

**June 12, 2014, approved changes include the following:**

- 1) Policy on Process for Nominating, Evaluating, Selecting, and Presenting the ANS Standard Service Award (new)
- 2) Policy on Handling References in Standards (revised)
- 3) Policy on Developing Responses to Inquiries to About Standards Requirements, Recommendations, and Permissions (revised)
- 4) Policy on Initiating Maintenance Procedures (revised)
- 5) Policy on the Implementation of Maintenance (revised)

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## **A STANDARDS COMMITTEE ORGANIZATION AND RESPONSIBILITY**

### **A1 POLICY ON THE OBJECTIVES AND ADMINISTRATION OF THE ANS STANDARDS BOARD**

#### **1 BACKGROUND**

The accredited rules and procedures for the American Nuclear Society (ANS) 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 ANS is accredited by the American National Standards Institute (ANSI) 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 Manager. 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 and shall provide a brief resume for review and acceptance by the responsible standards committee chair. These forms shall be retained by the ANS Standards Manager.

When an organization requests participation on the Standards Committee, the Standards Manager shall refer the individual or organizational contact to the chair of the committee whose scope offers the best match in terms of interest and technical capabilities. The committee chair shall inform the Standards Manager 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 Manager shall inform the Standards Board Chair. 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 Standards Board.

If no ANS member is available to represent the NRC, a liaison shall be sought. Liaisons to the Standards Board may participate in Standards Board meetings but shall not have voting privileges, in which case they do not have to be ANS members.

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

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

The Standards Board 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 Standards Board 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 Standards Board 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 Standards Board Chair shall seek to remedy unsatisfactory performance of any Standards Board member.

The Standards Board shall certify that the consensus process is fulfilled for each standard and shall ensure that due process procedures are implemented.

## **5 CONDUCT OF STANDARDS COMMITTEE MEETINGS**

Meetings of consensus committees, subcommittees, and working groups shall be open to any interested or affected individual. Attendance at Standards Board meetings by non-members of ANS shall be by invitation of a Standards Board member or an elected officer of ANS only. Notice of all Standards Board 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 Standards Board, consensus committee, and subcommittee meetings shall be promptly submitted to the Standards Manager. Minutes shall be available for reading at ANS or through the ANS Standards Workspace by any Standards Committee member, or by others with the prior approval of the Chair of the relevant standards committee.

## **6 RESPONSIBILITIES OF THE STANDARDS MANAGER**

The Standards Manager shall be an ANS staff member appointed to the Standards Board by the Executive Director to provide administrative services to the Standards Committee and to the Standards Board in particular. The Standards Manager shall act as the Secretary to the Standards Board and shall ensure the preparation of minutes for all Standards Board meetings, preparation and distribution of agendas prior to each meeting, compilation of the annual Standards Committee Report of Activities, and maintenance of records on Standards Committee membership. The Standards Manager shall

1. ensure that official files for all Standards Committee projects are retained in accordance with policy, including their status;
2. public review is conducted by ANSI;
3. approved standards are prepared properly for publication; and
4. records are maintain adequately for the Standards Board to certify fulfillment of the consensus process.

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

Each Standards Committee member shall ensure maintenance of their member account in the ANS Standards Workspace is up-to-date including mailing addresses, telephone numbers, email addresses, and sponsoring organizations. The Chair of each organizational element, including consensus committees, subcommittees, and working groups, shall provide current membership information to the Standards Manager.

The Standards Manager shall prepare and issue an annual Standards Committee Report of Activities. This report shall include

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1. listings of the membership of each organizational element;
2. the number and title of all standards under active development or revision;
3. brief summaries of recent activities of the Standards Board, consensus committees, and subcommittees; and
4. related information on Standards Committee activities.

The Chair of each organizational element shall provide the appropriate information to prepare the Activities Report to the Standards Manager within a month of the close of each calendar year.

### **7 PUBLICATION OF STANDARDS**

Final page proofs of American National Standards shall be approved by the Chair of the working group or the responsible Subcommittee Chair prior to releasing the document for publication.

Standards developed by the ANS Standards Committee shall be published by ANS and shall include the following 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)



## **A2 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 – the [ANS Standards Committee 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 a standards committee shall be handled by the Standards Manager in conjunction with appropriate committee chairs (see Policy on the Objectives and Administration of the ANS Standards Board [A1], Article 3, Paragraph 3, for additional guidance).

##### **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 Annex A of the [ANS Standards Committee Rules and Procedures](#), 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 Annex A of the [ANS Standards Committee Rules and Procedures](#)). 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 include representatives from a reasonable cross-section of organization types that have a material interest in the scope of the committee. 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 have substantial experience in the topics covered within in the consensus committee's scope. Preference should be given to management personnel and recognized industry experts. 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. Non-voting members including associate members, liaisons, and observers are excluded from balance of interest considerations.

## **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

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be made to determine whether they have different interests. Geographic location shall not be a factor.

In no case shall more than three representatives from a single organization be members of a single consensus committee; nor shall the addition of multiple representatives from a single organization result in that organization representing more than 60 percent of the members from a single balance of interest category or cause the members from any single balance of interest category to exceed 30 percent of the committee.

### 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 be the balloting member and notify the 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 Consensus Committee Chair requesting permission to submit two ballots. The memo shall include a clear explanation of why this decision is reasonable and necessary. The Consensus Committee Chair shall review the request, shall apply the above criteria, and shall make a recommendation to the Standards Board for concurrence.

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)

## **A3 RESPONSIBILITIES OF ANS STANDARDS COMMITTEE LIAISON PERSONNEL**

### **1 BACKGROUND**

The development of standards for the nuclear industry is facilitated through communications with other Standards Development Organizations (SDOs) and industry organizations. In many cases it is not possible to develop an effective 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. Furthermore, input and feedback from interfacing organizations is important to the development of a useful standard.

The purpose of this policy is to set forth guidance for selection and functioning of individuals to provide liaison between the ANS Standards Committee and other SDOs or industry organizations. 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***

Liaisons may be established at the Standards Board or consensus committee level. The need for a liaison shall be established by the committee. Liaison members assigned to the Standards Board should be considered as serving the entire Standards Committee and may be used by the Consensus Committee Chairs to help with their interface needs. However, a consensus committee may appoint a separate consensus committee liaison in certain instances where a closer level of coordination may be needed between that consensus committee and an external organization. Subcommittees and working groups may establish an interface with an outside organization and may have a member of that organization be either a voting member or a non-voting member, but this is not considered a formal liaison position.

The committee chair shall identify the interface needs of the committee and determine the best way for fulfill those needs. If a liaison is needed, preference shall be given to having an existing committee member who is also a member of the interfacing SDO or organization being designated the liaison member to perform the needed interface function. If such a member does not exist, the committee should consider recruiting such a member or soliciting a liaison member from the interfacing organization. The committee appointing the liaison member may make the liaison member a full voting member of the committee consistent with the Standards Committee rules, procedures, and policies. Alternately the liaison member may be a non-voting member that solely performs the interface function. The liaison member shall be willing to assume the duties set forth in this policy. This person shall have recognized expertise in the technology of primary interest to the assigned committee and should be familiar with ANS standards that are relevant to the assignment.

#### **2.2 *Requirements of Liaison Members***

A liaison member shall perform the following functions:

1. Advise the committee of activities of the interface organization that are related to ANS standards.

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2. Advise the interfacing organization of relevant standards activities.
3. Solicit members from the interface organization to support working groups and subcommittees when requested.
4. Respond to committee questions regarding the interfacing organization.
5. Solicit relevant documents from the interfacing organization.
6. For SDO liaisons, work with the interfacing organization to permit the ANS consensus committee to review and comment on standards which have significant interfaces with ANS standards of that consensus committee. Such comments would be submitted to the interfacing SDO via the liaison.
  - a. The liaison 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 Chair of the consensus committee.
  - b. When a standard is balloted or offered for discussion at the consensus committee to which the liaison is assigned (including initial discussions of scope, working group membership, and other relevant interface issues), the liaison shall become sufficiently familiar with the pertinent issues to fully present the ANS Standards Committee's viewpoint or position to interface organization. This may be fulfilled by having another member of the ANS Standards Committee in attendance at the interface organization meeting or having that individual draft an appropriate position paper.
7. The liaison shall adhere to the Standards Committee policy B2 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 liaison should seek the guidance of the Standards Board Chair.

11/5/2016  
06/14/88  
(JFM edit, 8/16/99)  
(JFM revised, 1/13/04)  
(JFM edit, 5/27/04)

## **B STANDARDS COMMITTEE ADMINISTRATION**

### **B1 POLICY ON ISSUING COMMENTS ON BEHALF OF THE ANS STANDARDS COMMITTEE**

#### **1 BACKGROUND**

Frequently a government agency or another standards development organization (SDO) 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 Chair within the ANS Standards Committee (working group, subcommittee, consensus committee, and the Standards Board) may issue comments on behalf of the responsible committee on proposed documents from a government agency or from another 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 Chair 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 Chair shall determine that the committee

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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 Chair 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 Standards Board Chair prior to submittal to help avoid areas of special sensitivity. In the Chair's absence, this review shall be conducted by the Vice Chair 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 [B2].)
- 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 Chair 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)

## **B2 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 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 Standards Board.

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 Standards Board 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 Standards Board. If this is not feasible, the individual shall report to the Chair of the Standards Board within five working days after the statement, indicating the essence of what was said. The Standards Board, or its Chair, 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)



## **B3 POLICY ON PROCESS FOR NOMINATING, EVALUATING, SELECTING, AND PRESENTING THE ANS STANDARDS SERVICE AWARD**

### **1 BACKGROUND**

Established in 1984, the ANS Standards Service Award recognizes outstanding achievement by individuals in the generation and use of ANS standards in the field of nuclear science and engineering. The purpose of the award is to identify and honor those individuals who have made significant contributions to the development of ANS nuclear standards accepted by recognized authorities as the most practical and appropriate criteria and methods to safely implement good working practices and responses to regulatory initiatives.

The award consists of an engraved plaque including the name of the recipient(s), the ANS logo, date the award was granted, and a formal citation of 50 words or less that describes the basis for the award. The award may not be given more frequently than once a year, but may be presented to more than one individual if merit warrants. It is not required that an award be given annually if there are no deserving nominees. The award is usually presented at the winter meeting of the Society.

### **2 DEFINITIONS**

None

### **3 PROCEDURE**

#### **3.1 *Nomination***

The ANS Standards Manager shall solicit nominees by January 15 in the calendar year. The solicitations are sent to Standards Board members, observers and liaisons, consensus committee members, Subcommittee Chairs, and Division Chairs.

The award should recognize a sustained effort on the part of the recipient to attain the above standards of achievement as well as benefits accruing from its sustained applicability for the nuclear industry.

Nominations shall be submitted to the Standards Manager in the proper format no later than March 1 of the calendar year using the attached nomination form.

Performance criteria to be considered in selecting a nominee include, but are not limited to the following demonstrated attributes:

- Performance in a leadership role in the development or maintenance of ANS standards;
- Performance of identifiable tasks that benefited the Standards Committee;
- Identification of the need for or the approach to be taken in developing or maintaining a useful standard on a difficult or controversial topic;
- Demonstration of leadership in interfacing between an important ANS standards activity and the rest of the Society, or between the ANS and other standards development organizations, or between the ANS and international organizations;

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- Performance in a leadership role in gaining consensus where agreement was particularly elusive;
- Establishment of positive working relationships among the user community, trade organizations, and the regulator;
- Establishment of technical criteria that reflect an unusually good balance among need, cost, and good engineering practices.

NOTE: Not all criteria need be applicable to any given nominee:

Anyone can nominate worthy candidates for the ANS Standards Service Award. Neither the nominees nor the nominators need to be current or past members of the Society, but the nominees shall have had some significant working experience with ANS standards. A posthumous award is acceptable if circumstances merit it.

Additional aspects that may warrant nomination include the endorsement of standards by appropriate regulatory bodies, the overall usefulness of the standard at the time it becomes available commensurate with industry need.

### **3.2 Evaluation and Selection**

At the annual ANS Standards Board winter meeting, the Standards Board Chair shall appoint a special Selection Committee of at least three Standards Board members, one of whom shall be designated as Chair. It is suggested, but not required, that 1) the Standards Board Vice Chair serve as the Selection Committee Chair; 2) that members be chosen from diversified consensus committees and, if possible, 3) that previous award recipients serve on the Selection Committee.

The Standards Manager shall forward the nomination forms, along with nomination forms from the two previous years of unselected nominees to the Selection Committee by March 15. The Selection Committee shall use the performance criteria listed in Article 3.1, the completeness of the nomination form, and any other intangible knowledge of the nominee in making the selection. (In the past, a weighted ballot process has been used to identify the top candidates that then prompts further committee discussions.)

The Selection Committee Chair shall notify the ANS Standards Manager and the Standards Board Chair of their recommendation no later than May 1. The Selection Committee Chair shall then propose the selected recipient to the ANS Standards Board for concurrence and approval at the ANS June Annual Meeting along with a suggested plaque citation.

After the Standards Board approves the recipient, the Standards Board Chair shall then formally notify the recipient of his/her selection and invite him/her to attend the ANS Winter Meeting.

### **3.3 Presentation**

The award (plaque) is normally presented to the recipient at the ANS Winter Meeting at a special ceremony. In recent years, this presentation has been made at the Monday Plenary session.

### **3.4 Publication**

The award recipient's name is usually published in the final meeting program and *Nuclear News* in a future edition along with other ANS honorees.

CHM, 2/12/14  
PAS, Edit 8/8/14

## C. STANDARDS FORMAT AND CONTENT

### C1 POLICY FOR SPECIFYING REQUIREMENTS, RECOMMENDATIONS, AND PERMISSIONS IN A STANDARD (“SHALL,” “SHOULD,” AND “MAY”)

#### 1 PURPOSE

The purpose of this policy statement is to explicitly define the words “shall,” “should,” and “may” and to specify their use in ANS Voluntary Consensus Standards (VCS). It is of utmost importance that personnel who develop or maintain ANS standards fully understand and comply with the requirements of this policy.

#### 2 POLICY

##### 2.1 *General Requirements*

VCS prepared under the cognizance of the ANS Standards Committee shall be clear and concise, avoiding ambiguity. It must be very clear that when a standards user claims that actions are in accordance with the requirements of an ANS standard, the meaning of such a claim is well understood by all parties and can be verified by an independent second party. Standards writers and reviewers shall recognize that they are not directly setting requirements for the industry because all VCS are intended for voluntary use, and it is the prerogative of the user to determine its level of implementation. Standards provide a balanced, consensus-based approach that, if followed, provides acceptable means to implement the scope of the standard. It is the responsibility of the users to determine whether or not they apply all, some, or none of the criteria of a VCS.

##### 2.2 *Detailed Requirements*

The following criteria and constraints shall be applied to the use of “shall,” “should,” and “may” in ANS standards:

- A. The American Nuclear Society Standards Board approved a motion in June 2008 that directs each ANS consensus committee to adopt and implement the American National Standards Institute-accepted definitions of “shall,” “should,” and “may” for all new and revised standards and to include these definitions in each standard. The following definitions shall be used in all ANS standards and shall be placed as the first definition in the standard as follows:

**shall, should, and may.** The word "shall" is used to denote a requirement; the word "should" to denote a recommendation; and the word "may" to denote permission, neither a requirement nor a recommendation

- B. The words “shall,” “should,” and “may” as indicated in Table 1 shall be used in ANS standards as noted. No other use of the words is allowed. Examples of words or phrases that shall not be used as a substitute for these words are provided in the right-hand column of Table 1.

## ANS Standards Committee Policy Manual 2016

- C. The words “shall,” “should,” and “may” shall **not** be used other than as defined by this policy. One of the standards preparer’s objectives is to maximize the clarity of requirements by using definitive “shall” statements in the body of standards.
- Modification of a direct quotation is not permitted even if the direct quotation uses “shall,” “should,” or “may,” but if so, a footnote or other comment needs to be added to note this and to clarify the intent.
  - These words shall not be used in a statement of fact; e.g., “If this approach is followed, it should result in...” is not an acceptable use of the word “should.” In almost all cases alternate words are readily available. “Will,” “might,” “could,” “can be expected to” are some examples, depending on the situation.
  - It is not sufficient to simply use a “shall” statement to specify a requirement. Each requirement shall be specific, unambiguous, measurable, and within the ability of a qualified peer reviewer to determine whether the requirement has been met.
  - Phrases such as “shall consider”; “shall explore”; “shall, if possible”; and similar phrases that are not specific, unambiguous, or measurable shall be avoided.
  - Terms like “shall/should evaluate” and “shall/should demonstrate” if found to be necessary, shall be supported with clear guidance and supporting requirements for documentation.
  - A “shall” statement shall not be used to amplify the requirements of a “should” or “may” statement in such a way that it changes the “should” or “may” statement into a requirement.
- D. “Should” statements, if effectively implemented, provide acceptable results; however, “should” statements should be used very sparingly as they compromise the specificity of a standard. This word denotes that the recommended action is one of two or more acceptable actions that describe some but not all of the acceptable actions. If the standard describes all known acceptable actions, then “shall” shall be used (in the context of “one of the following shall be done”) instead of “should.” “Should” statements shall not be used to avoid those cases where the working group is unable to provide the needed clarity.
- E. The word “may” shall be used to specifically allow an action or approach that is not a requirement or a recommendation in a standard and that are acceptable in the context of the requirements of the standard.
- F. There shall not be any requirements written in the foreword, introduction, scope, terms and definitions, informative annexes, notes, examples, footnotes to text, notes to figures, and notes to tables. Therefore, as a matter of ANS Standards Committee policy, the word “shall” shall not be used in these sections of the standard.
- G. When it is absolutely necessary to include two or more recommendations or options, these recommendations or options shall be clearly stated and defined as such in the body of the standard.
- H. The number of appendices should be kept to a minimum and used to either illustrate possible approaches or to discuss known problems when clearly acceptable practices have not been widely adopted or defined.

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- I. The words “shall,” “should,” and “may,” should be avoided in Project Initiation Notification System forms.

Table 1 below provides guidance on expressing requirements, recommendations, and permissions.

**Table 1**  
**Acceptable and Unacceptable Wording**  
**of Requirements, Recommendations, and Permissions in ANS Standards**

<b>EXPRESSING REQUIREMENTS</b>	
<b>Correct Form</b>	<b>Do Not Use Other Wording to Express Requirements (Note 1) such as:</b>
shall	<ul style="list-style-type: none"> <li>• is to</li> <li>• is required to</li> <li>• it is required that</li> <li>• has to</li> <li>• Only ... is permitted</li> <li>• it is necessary</li> <li>• must</li> <li>• will</li> <li>• is acceptable</li> <li>• shall consider</li> </ul>
shall not	<ul style="list-style-type: none"> <li>• is not allowed</li> <li>• is not permitted</li> <li>• is not acceptable</li> <li>• is required to be not</li> <li>• must not</li> <li>• will not</li> </ul>
<b>EXPRESSING RECOMMENDATIONS</b>	
<b>Correct Form</b>	<b>Do Not Use Other Wording to Express Recommendations such as:</b>
Should	<ul style="list-style-type: none"> <li>• it is recommended that</li> <li>• ought to</li> <li>• <b>shall consider</b></li> </ul>
should not	<ul style="list-style-type: none"> <li>• it is not recommended that</li> <li>• ought not to be</li> </ul>
<b>EXPRESSING PERMISSIONS</b>	
<b>Correct Form</b>	<b>Do Not Use Other Wording to Express Recommendations such as:</b>
May	<ul style="list-style-type: none"> <li>• is permitted</li> <li>• is allowed</li> <li>• is permissible</li> <li>• is acceptable</li> </ul>

Note: It may be acceptable to use some of these words to express statements of fact.

## **C2 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 Manager, 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 results from working group deliberations are the primary technique used. Although the consensus process will usually provide the widest technical review of

## ANS Standards Committee Policy Manual 2016

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 Manager 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 Manager 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 Chair 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 Manager.

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

## **C3 POLICY ON HANDLING REFERENCES AND EXCERPTS 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. In addition, this policy addresses the requirements associated with excerpting material from sources other than ANS standards.

### **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.



## ANS Standards Committee Policy Manual 2016

### Use of Copyrighted Information in ANS Standards

The following shall be applied in order to assure the proper protection of copyrighted sources.

- Excerpts from ANS standards, ANS publications (including ANS published technical papers) can be made without obtaining permission, unless protected by a third party copyright.
- Excerpts from the public domain (U.S. government originated work and other material from non-copyright protected sources) can be made without obtaining permission.
- Excerpts from other sources (published books, journals, and non ANS standards) are typically protected by copyright and require permission from the publisher prior to inclusion in and publication of the standard. Such permission shall be obtained by the ANS Scientific Publications and Standards Department staff.
- ANS staff shall obtain approval from the original publisher that includes:
  - Irrevocable, royalty-free, worldwide rights (i.e., a license) to use the excerpted material in connection with the standard
  - Right to exploit and grant permission to use the standard's content derived from the excerpted material in any format or media without restriction
- Standards working groups should avoid excerpting material from copyrighted sources if possible.
- The attached form, DISCLOSURE OF COPYRIGHTED MATERIAL IN ANS STANDARDS, shall be filled out and sent to the ANS Standards Manager, with a copy to the Consensus Committee Chair, for every standard when it is sent for consensus committee ballot in order to document whether ANS staff needs to obtain permission and to provide the needed information to ANS to do so.
- The ANS Standards Manager will maintain records of all copyright permissions obtained for each standard.
- All excerpted material shall be properly referenced as specified in this policy.
- Copyright protection applies to the presentation of material in the published document and not the ideas and principles behind the presentation.
- Equations can generally be excerpted from copyrighted material without permission.
- Copyrights do expire. The expiration dates vary depending on when it was published and whether the author is still alive. ANS staff will consider this in determining whether publisher permission is required.

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 Specifying References**

All references shall include the date and version of the reference.

### **2.5 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 Article 9.3 of the [ANS Standards Committee Procedures for Consensus Committees](#).

JFM, 8/16/05  
(JFM revised, 11/29/05)  
(DJS revised, 5/2/14)  
(SLS revision, approved 1/16/15)



# ANS AMERICAN NUCLEAR SOCIETY

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## DISCLOSURE OF COPYRIGHTED MATERIAL IN ANS STANDARDS

The Policy on Handling References in Standards [C3] provides working groups direction in citing references and in using third-party, copyrighted material in an ANS standard. Material may generally be extracted freely from U.S. government publications and regulations if a U.S. government organization developed the material since that material is publicly released. Equations may generally be excerpted from copyrighted material without permission if properly referenced. Copyright protection applies to material (except equations) excerpted from the published document and does not apply to the ideals and principles behind the presentation. **This form shall be completed by the Working Group Chair and sent to the ANS Standards Manager with a copy to the Consensus Committee Chair for all standards that are sent for consensus committee ballot.** Based on this information, ANS staff will obtain the necessary copyright permission if required.

### Working group information

Working Group Chair name: \_\_\_\_\_ Company affiliation: \_\_\_\_\_

Address: \_\_\_\_\_ City/state/ zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Email address: \_\_\_\_\_

Designation and title of ANS standard: \_\_\_\_\_

Please indicate below whether any third-party, copyrighted material has been included in the standard.

- No, third-party, copyrighted materials have been included in the standard.
- Yes, third-party, copyrighted materials have been included in the standard and are listed on Page 2 of this form:

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Information on Excerpts from Other Documents

Title of Source Document	Standard Page/Section Where Excerpted Material is Used	Author of Source Document	Publisher / Contact Information of Source Document	Copyright Date if Known	Approval Required/ Obtained <i>For ANS HQ Use</i>

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The American Nuclear Society, Inc., a corporation of the State of Illinois, has its principal place of business at 555 North Kensington Avenue, La Grange Park, Illinois 60526, USA

## **C4 POLICY ON ISSUING CHANGES AND CORRECTIONS TO STANDARDS**

### **1 BACKGROUND**

Occasionally errors are identified in ANS approved standards. Typos, grammatical errors, mistakes and misspellings may be found after a standard has been published or as new information becomes available. Fixing unambiguous and other errors is beneficial to users. This policy addresses acceptable ways to make changes, additions, or corrections to non-mandatory sections of an American National Standard and provides guidance for making these changes. This policy provides methods to correct errors or include new information in the non-mandatory sections (Foreword or Appendices) of formally approved ANS standards.

Changes are not permitted to the body of the standard or to non-mandatory sections that would modify requirements in the standard. These types of changes require revision, review, and reissue of the standard according to ANS and American National Standards Institute procedures.

### **2 DEFINITIONS**

*Erratum (plural: errata).* A document that corrects errors in an American National Standard. Errata changes are approved by the appropriate Subcommittee Chair and not formally balloted.

*Substantial Change.* A change that directly modifies the technical presentation or acceptance criteria.

*Typos.* Unambiguous, non-substantial changes that detract from overall presentation but otherwise have no technical bearing on the technical content or acceptance criteria of the standard.

### **3 POLICY**

#### **3.1 Issuing Errata**

When a non-substantive error or typo in a standard is identified, an erratum shall be prepared as soon as possible and issued with the approval of the Consensus Committee Chair. The approved erratum sheet shall be stapled to the inside of all remaining standards in stock and incorporated into electronic copies, if applicable. In the case where the error or typo is in a statement that defines a requirement or recommendation but does not change the intent of the requirement or recommendation, an attempt shall be made to notify purchasers of the standard. Notice of the erratum shall be published in *Nuclear News*, *Nuclear Standards News*, and made available to the public on the ANS Web site.

The working group shall determine the nature and type of changes and send to the Consensus Committee Chair to obtain ANS consensus committee approval.

#### **3.2 Substantive Changes**

Errata that are determined to be substantive changes to an ANS standard shall be incorporated in accordance as a revision to the standard.

(Approved 6/20/12)

## **C5 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.)

### **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 Project Initiation Notification System 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 the American National Standards Institute 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)

## **C6 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 American National Standards Institute (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 Standards Board.
  - The Consensus Committee Chair alerts the ANS Standards Manager at the first indication that a TUPA standard is being considered.

(NPK, 7/7/2010 – approved 7/20/10)

## **D STANDARDS PROCESSES**

### **D1 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***

Relative to the inquiry, the consensus 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). 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 Manager shall monitor the evaluation of all inquiries and shall assist the ANS Standards Board Chair in ensuring that the requirements of this policy are properly implemented.

### **4.2 *Distribution and Initial Evaluation***

The Standards Manager shall send each inquiry to the ANS Standards Board 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. In determining whether the inquiry is a case interpretation, consideration should be given to whether the subject, is generalized, and would provide meaningful and useful information to many of the users of the standard. If this is the case, the inquiry response should indicate that it can only address the generic issue and proceed to do so. 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 Standards Board 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 Standards Board 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.

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

The official 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 should be less than the maximum voting periods permitted for developing and approving American National Standards Institute/ANS standards. A ballot period of two weeks is recommended for committee approval of inquiry responses. A draft response should be developed for ballot within three months of inquiry receipt by ANS. 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 those participating 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 Consensus Committee Chair or Subcommittee Chair shall request that the responsible subcommittee draft the response to the inquiry or create an ad-hoc working group of persons knowledgeable in the area of the inquiry to draft the response. 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 knowledgeable resources cannot be obtained, or are unable to draft a consensus response, the responsible Consensus Committee Chair shall provide a statement to that effect to the Standards Board Chair for transmittal to the requestor.

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

As soon as the Consensus Committee Chair and the Subcommittee Chair have reached an agreement on the appropriate response, the Consensus Committee Chair should contact the requestor with the appropriate answer pending possible minor changes as the response completes the consensus approval process for the sole purpose of asking the inquirer: "Does this draft response answer your question?" After all consensus approvals have been obtained, the Standards Board Chair shall send the response to the requestor and to the Standards Manager. The response shall be sent to the requestor within six months after receipt of the request by the ANS Standards Manager, 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* and *Nuclear Standards 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)  
(DJS revision – approved 2/18/14)  
(SLS revision – approved 1/18/15)

## **D2 POLICY ON THE USE OF THE ANS STANDARDS WORKSPACE**

### **1 BACKGROUND**

The ANS Standards Committee uses a web-based tool called the ANS Standards Workspace or Workspace for short. This password-protected site provides every standards committee a document repository; group collaboration platform; electronic balloting and commenting; multiple-author, live document editing (plain text only); group roster; and other features to track action items and calendar events.

### **2 TERMS OF USAGE**

Those using Workspace shall agree to the following:

- Use of Workspace shall be restricted to ANS standards-related activities.
- Members' contact information shall be displayed on group rosters to group members for ANS standards-related business.
- Only non-copyrighted documents or documents prepared/owned by members shall be uploaded to Workspace; however, copyrighted documents may be referenced.

### **3 CREATION OF USER ACCOUNTS**

A user account shall be created for each active Standards Committee member that has submitted a completed volunteer form and brief resume to ANS. ANS staff shall issue a welcome email to new Workspace users with instructions to complete their account. Members shall complete the setup of their user account within 14 days of receiving the welcome email and shall keep their contact information up to date or inform ANS staff so that they may make the change. Members are unable to make changes to their company affiliation and shall inform ANS staff of employment changes so that ANS staff can update a member's record.

### **4 WORKSPACE TRAINING**

ANS staff shall offer group trainings sessions on Workspace several times a year. Private trainings sessions may be arranged by contacting the ANS Standards Manager.

### **5 WORKSPACE SITES**

A workspace shall be created for each working group, subcommittee, consensus committee<sup>1)</sup>, special committee, and for the Standards Board. Additionally, the following workspaces have or may be created:

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<sup>1)</sup> The ANS/ASME Joint Committee on Nuclear Risk Management uses ASME's C&S Connect instead of the ANS Standards Workspace and therefore does not have a workspace on the ANS Standards Workspace.

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- The Standards Committee Workspace has been created to send all Standards Committee members general notices and to provide all members policies, rules, procedures, reference materials, and *Nuclear Standards News*.
- A Standards Committee Chair Workspace has been created to distribute notices specific to Standards Committee Chairs, to solicit information for the Standards Committee Report of Annual Activities, and to issue notices of meeting space availability during ANS national meetings.
- A Subcommittee Chair Group Workspace has been created to provide access to all ANS standards to Subcommittee Chairs for ANS standards-related activities.
- Workspaces may be created as needed to track progress on specific tasks such as the Standards Board Governance Plan, the ANS Standards Committee Strategic Plan, or long standing group action items.

### **6 MANAGEMENT OF WORKSPACE**

#### **6.1 *Standards Board, Special Committees of the Standards Board, and Consensus Committee Workspaces***

ANS staff shall provide administrative support for management of workspaces for the Standards Board, special committees of the Standards Board, consensus committees, and task workspaces of these committees as needed. Administrative support includes posting committee documents; maintaining rosters and calendars; posting action items; and issuing documents for ballot or comment. The Chair and Vice Chair of each workspace shall have administrative privileges on their sites. Workspace shall be used for the following:

- Approval of standards action ballots
- Posting of committee minutes
- Posting of general reference documents

#### **6.2 *Ballot Requirements***

Ballots shall be issued by ANS staff using Workspace as directed by the governing chair. Ballot reminders shall be scheduled appropriate to maximize ballot responsiveness. Balloters shall make each substantive comment individually using the Workspace comment feature. If there are a significant number of editorial comments, they may be provided as a single comment entry using a MS Word markup of the draft standard or document as an attachment (i.e., uploaded to the Workspace ballot as a supporting file).

After ballot closure, ANS staff shall provide a spreadsheet of the comments to the ballot technical contact for resolution. The technical contact shall indicate the response for each item on the spreadsheet and send to the commenter(s) with a copy to ANS staff so that they may post comment responses in Workspace. Alternatively, the technical contact may respond to each ballot comment directly on Workspace. Those choosing the latter shall inform ANS staff once all comment resolutions are posted. Commenters shall respond in accordance with Article 5 of the Standards Committees Rules and Procedures.

**6.3 Subcommittee Workspaces**

Subcommittee Chairs shall review their group's roster on Workspace prior to each ANS annual meeting and notify ANS staff of any changes. ANS staff shall administer standards action ballots for ANS subcommittees and administer subcommittee rosters with the direction of the responsible Subcommittee Chair. The Subcommittee Chair, Subcommittee Vice Chair, and Subcommittee Secretary (if applicable) of each workspace shall have administrative privileges on their sites and should post relevant documents. Subcommittees are encouraged to use Workspace for posting calendar events, action items, and notices as needed.

**6.4 Working Group Workspaces**

Working Group Chairs shall review their group's roster on Workspace prior or each ANS annual meeting and notify ANS staff of any changes. ANS staff shall administer working group rosters with the direction of the responsible Working Group Chair. The Working Group Chair, Working Group Vice Chair, and Working Group Secretary (if applicable) of each workspace shall have administrative privileges on their sites. Working groups are encouraged to use Workspace for issuing drafts for review and approval, posting documents, calendar events, action items, and notices as needed. Working groups shall post materials as defined in the Policy on the Substantiation of Values Cited in ANS Standards [C2] for retention.