



American Nuclear Society

Standards Committee

Rules and Procedures

Revision

Reaccredited by ANSI on August 19, 2022

(Supersedes procedures approved by ANSI on 8/31/2021)

Change Log

Approved by the Standards Board 6/26/22:

- Revisions, though mostly minor, were made to Articles 2.1, 2.2, 3.2.2, 3.2.3, 5.2, 5.3, 5.7, and 6.4, and Article 7 was added. The majority of these changes/additions were made to address the 2022 ANSI Essential Requirements.
- Article 8 was added to permit registration of technical reports.
- Annex A was substantively revised specifically to address the 2022 ANSI Essential Requirements.
- A few additional editorial changes were made for consistency.

Approved by the Standards Board 3/25/21:

- Revisions were made to Articles 3.2.2, 3.2.4, 5.3, 5.4, 5.6, 5.9, 5.10, and most of Article 6 on the appeals procedure.

Approved by Standards Board 2/21/18:

- Addition to Article 7 to acknowledge compliance with Section 4.1.3, Maintenance of accreditation, of the 2018 ANSI Essential Requirements

Approved by the Standards Board 3/6/17:

- Clarification to Annex A, Definitions of Interest Groups (Consultants, National Laboratories/Government Facilities, and Sponsoring Organization)

Approved by the Standards Board 9/6/2016:

- Article 3.2.2 revised to incorporate guidance for Standard Manager in the annual approval of BOI. (documenting current practice)
- Annex C, Record Retention Policy (clarification)
- Capitalization to be consistent with Policy Manual

Approved by the Standards Board 7/5/2016:

- Change to Article 5.6 on criteria for determining consensus

Approved by the Standards Board 6/22/16:

- Reduction of the number of appointed members from 6-12 to 6-10 in Article 3.1 to accommodate additional Consensus Committee Chairs and keep the committee size reasonable.

Approved by the Standards Board 5/3/2016:

- Changes to accommodate the JCNRM
- Title change – Standards Administrator to Standards Manager
- Change to Article 4.4 to accommodate use of the ANS Standards Workspace
- Change to recognize one set of procedures for ANS consensus committees – the ANS Procedural Manual for Consensus Committees
- Required and suggested changes from the ANSI 2015 Audit
- Footnote added to Article 5.4, paragraph 2, to comply with 2016 ANSI Essential Requirements.

Approved by the Standards Board 1/16/2015:

- New Section 4 of Annex D (see Page 15) to comply with change made to the 2015 ANSI Essential Requirements. (non-substantive)

Approved by the Standards Board 8/15/2014:

- Section 5.4 on PINS was revised to document current practice and comply with changes made to the 2014 ANSI Essential Requirements. (non-substantive)
- The word “Chairman” was changed to “Chair” throughout the procedures. (editorial)

TABLE OF CONTENTS

- 1. SCOPE 1
- 2. ORGANIZATION 1
- 3. MEMBERSHIP 3
- 4. OFFICERS 5
- 5. CONDUCT OF BUSINESS 5
- 6. APPEALS 10
- 7. COMPLIANCE WITH NORMATIVE AMERICAN NATIONAL
STANDARDS POLICIES AND PROCEDURES 12
- 8. TECHNICAL REPORTS 12
- 9. REVISIONS TO THESE RULES 12
- ANNEX A 13
 Definitions of Interest Groups
- ANNEX B 15
 Classification of Standards Committee Membership
- ANNEX C 16
 Records Retention
- ANNEX D 18
 Compliance with Normative American National Standards Policy

American Nuclear Society

Standards Committee

Rules and Procedures

1. SCOPE

The American Nuclear Society (ANS) Standards Committee is responsible for the development and maintenance of standards that address the design, analysis, and operation of components, systems, and facilities related to the application of nuclear science and technology. The scope of the Standards Committee includes the development and maintenance of standards on the following subjects and closely related activities:

- a. Definitions of terminology used in nuclear science and technology
- b. Siting requirements for nuclear facilities
- c. Nuclear facility design and operations, including safety criteria for facilities, operator selection, and training
 - i. Power production reactors
 - ii. Research reactors and critical facilities
 - iii. Nuclear fuel production, handling, and storage facilities
 - iv. Facilities for handling radioactive isotopes, including remote handling of radioactive materials
- d. Remediation and restoration of sites used for nuclear facilities
- e. Emergency Preparedness
- f. Nuclear criticality safety
- g. Reactor physics and radiation shielding
- h. Computational analysis programs used in the nuclear field
- i. Probabilistic risk assessment, risk management, and risk criteria
- j. Fission product behavior
- k. Radioactive waste management

The Standards Committee does not develop standards for the application of radiation for medical purposes.

The Standards Committee reviews standards being developed or issued by other organizations on related topics to help ensure consistency and completeness and to avoid duplication.

Standards developed by the Standards Committee are intended to be issued as American National Standards.

2. ORGANIZATION

2.1 The Standards Committee consists of consensus committees, subcommittees, working groups, task groups, and special committees, (e.g., Risk-informed, Performance-based Principles and Policy Committee) all of which are under the administrative control and policy direction of the ANS Standards Board (SB). These Rules and Procedures apply to all ANS consensus committees except for the ANS/American Society of Mechanical Engineers (ASME) Joint Committee on Nuclear Risk Management (JCNRM) unless specifically stated otherwise. ASME

serves as Secretary for the JCNRM and is responsible for submitting all required documents to the American National Standards Institute (ANSI), ensuring compliance with their accredited procedures, and any audit thereof. The JCNRM will follow the “Procedures for ASME Codes and Standards Development Committees” and the “Supplement to Procedures for ASME Codes and Standards Development Committees.”

- 2.2 The American Nuclear Society sponsors the Standards Committee and provides (1) continuity of leadership and (2) adequate staff assistance to ensure due process, to maintain the official records of the Standards Committee, to provide administrative support, to assist in the distribution of draft standards, to publish approved standards, and to publicize meetings of the SB and its consensus committees.

Elements of the Standards Committee organization include:

- a. Standards Board. The SB shall provide policy and procedural direction for the Standards Committee. It shall certify that the consensus process within the Standards Committee is fulfilled and shall ensure that due process procedures are established and implemented.
- b. Consensus Committees. The SB shall establish consensus committees to develop consensus for the approval of proposed standards and to manage the development and maintenance of standards within their assigned scopes of responsibility.

The number of consensus committees shall be limited to those needed to address the scope of the Standards Committee, but each consensus committee shall have an assigned scope that is focused on a set of technical areas that permits an efficient development process taking into consideration good management practices, available personnel, and the total workload of the Standards Committee.

Each consensus committee shall be responsible for establishing and managing the activities of those subcommittees and working groups needed to develop proposed standards within its scope of responsibility.

- c. Subcommittees. Subcommittees may be established by each consensus committee to manage the activities of working groups and to perform technical reviews of all proposed and revised standards within their scopes of responsibility. Each subcommittee shall be assigned a specific area of technical responsibility and shall review proposed standards for technical need, relevance, and acceptability. Subcommittees shall ensure that their standards are technically consistent with other related American National Standards.
- d. Working Groups. Subcommittees may establish working groups to develop proposed standards and maintain existing standards within their scopes of responsibility.
- e. Task Groups and Special Committees. The Standards Board may establish task groups and special committees to assist with emerging and evolving issues.

3. MEMBERSHIP

3.1 SB. Members of the SB, except for Consensus Committee Chairs, shall be appointed by the President of the American Nuclear Society with the advice of the current Chair of the SB and in conformance with the Bylaws and Rules of the Society. Members shall be members of ANS and shall include a Chair, Vice-Chair, each Consensus Committee Chair, and at least six but not more than ten other individuals, each of whom shall have experience and interest in the application or development of standards within the scope of the ANS Standards Committee. ANS shall appoint a staff member to serve as Secretary to the SB and to provide advice on and to fulfill required administrative services; this member shall not have voting privileges.

3.2 Consensus Committees

3.2.1 The initial membership of any new consensus committee shall be appointed by the SB. Subsequent changes in membership shall be made by the consensus committee in accordance with the ANS Standards Procedures Manual for Consensus Committees. With exception of Consensus Committee Chairs, members are not required to be ANS members. Consensus Committee Chairs, including the ANS JCNRM Cochair, shall be elected by the consensus committee subject to approval by the SB. Each consensus committee shall appoint an individual to act as Secretary and to assist in administrative matters. This individual may be an ANS staff member. The Secretary may have voting privileges in procedural and policy matters but shall not have balloting privileges on standards. If the Secretary is an ANS staff member, this person may be the same individual as defined in 3.1 above.

3.2.2 All directly and materially affected interests shall have an opportunity for fair and equitable participation on each consensus committee without dominance by any single interest category, individual, or organization. Opportunity for membership on any consensus committee shall be provided to individuals and organizational representatives 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. Preference should be given to management personnel and recognized industry experts though voting membership shall not be unreasonably restricted based on technical qualifications, other such requirements, or conditional upon membership in any organization. The affiliation of a consensus committee member refers to the entity that the consensus committee member represents, which may or may not be that person's employer. If the consensus committee member is serving in an individual capacity, then the name of the individual, their sponsors¹ (if any) and interest category shall be made available upon request. Contact information is not required.

3.2.3 To promote independent opinions, multiple representatives from a single organization are generally not permitted. Exceptions allowing more than one vote by a single organization shall be approved by the consensus committee with concurrence of the SB if distinct divisions an organization demonstrate independent interests and authority to make independent decisions in the scope of the consensus committee. Consensus committee

¹ A sponsor is defined as an entity or organization that provides funds specifically to support the individual's participation in the standards activities of the consensus committee.

members, including consultants², typically are classified in accordance with the business or other interests of their employers or the sponsors they represent in connection with the standards development activity. In cases where a consensus body member receives funding from ANS or other entities, that information shall be disclosed to determine if it will impact the member's interest classification. To ensure proper balance, not more than one-third of the membership shall be drawn from any of particular interest groups defined in Annex A. Interest categories shall not be created for the purpose of avoiding balance requirements. In addition, representatives from industry and standards developing organizations having scopes closely related to that of the ANS Standards Committee shall be sought for membership. If a consensus committee lacks proper balance, outreach to achieve proper balance shall be undertaken. Non-voting members including associate members, liaisons, and observers are excluded from balance of interest considerations. The Standards Manager shall obtain concurrence from the Consensus Committee Chairs and shall submit the balance of interests of each consensus committee to the SB for annual approval by June 1st including the JCNRM confirming that no category constitutes more than one third of the committee's membership.

- 3.2.4 Each consensus committee shall follow the ANS Standards Procedures Manual for Consensus Committees for its conduct of business including, the election of the Chair and Vice Chair of the committee, and the establishment of subcommittees and working groups and their responsibilities.
- 3.2.5 Each consensus committee member shall be expected to give thorough consideration to each subject brought before the committee for action, to vote on the approval of each proposal, to advise on the development of standards and their maintenance, to assist in establishing the membership of the consensus committee and its subcommittees, and to assist generally in carrying out the functions of the consensus committee. Member ballot participation shall be no less than 75% with meeting participation (physical or remote) no less than 50%. The Chair of the consensus committee shall review the record of activity of each member annually regarding the member's contribution, balloting record, response to ballot comments, attention to correspondence, and meeting attendance. The Chair shall take appropriate action to ensure that all members actively participate in the work of the consensus committee. Lack of participation for 12 or more months shall be cause for removal. Members removed from a consensus committee shall be informed in writing. Any member removed from the committee or not granted membership on the committee may appeal that decision to the SB.
- 3.2.6 Any member of a consensus committee who cannot attend a committee meeting should be represented by an alternate, who shall have all the privileges and obligations of a member during the period of service in this capacity. The selection of an alternate for two or more consecutive meetings shall be subject to acceptance by the committee Chair; due regard shall be given to the provisions of Article 3.2.5 above.

3.3 Subcommittees

Each member of a subcommittee shall have competence in and concern with the scope of the subcommittee. To help ensure a balance of interests, the membership shall include

² For purposes of these rules and procedures, a "consultant" is someone who agrees to provide professional services in exchange for compensation, financial or otherwise, to support standards development activity.

representation from at least two interest groups as described in Article 3.2.2 and should include at least three interest groups. If only two interest groups are represented, the SB shall approve the apportionment of the membership.

3.4 Working Groups

Each member of a working group shall have demonstrated expertise in the scope of the proposed standard. The size and diversity of the working group shall be consistent with goals of developmental efficiency, user interest, and applicability of the content of the proposed standard.

3.5 Task Groups and Special Committees

Each member shall be selected for their experience and competence within the scope of the activity and for their ability and willingness to participate, and for their ability to provide credible and accurate technical input.

4. **OFFICERS**

4.1 The SB shall have a Chair, Vice Chair, and Secretary, while each consensus committee shall have a Chair and Vice-Chair.

4.2 The Chair and Vice Chair of each consensus committee shall be elected by the committee for a specified, renewable term. Elections shall be by written vote or e-ballot (with at least two months advance notice). Any election of the Chair or Vice Chair shall be valid only if at least two-thirds of the consensus committee membership votes.

4.3 The Chair of the SB shall ensure that adequate liaison is maintained with the American National Standards Institute, and the Chairs and Vice-Chairs of the SB and of each consensus committee shall ensure that active liaison is maintained with appropriate regulatory agencies. The Chair of each consensus committee shall maintain technical liaison with other related standards developing organizations (e.g., ASME) to coordinate standards development activities and to attempt to avoid conflicts, deficiencies, or overlaps.

4.4 The Secretary of each consensus committee, who may be an ANS staff member, shall be responsible for issuing consensus committee ballots through the ANS Standards Workspace. The Secretary shall be responsible for recording and distributing minutes of all meetings of each consensus committee to all members and shall maintain the records of the consensus committee.

5. **CONDUCT OF BUSINESS**

5.1 The SB shall establish governing policies and procedures for the Standards Committee to ensure management efficiency, consistency of approach, and adherence to the principles of due process within the concept of consensus. Actions taken by consensus committees on proposed standards shall adhere to the spirit of gaining consensus. Consensus is the state of having reached substantial agreement using a process where the beneficial aspects of various proposals are adopted based on an open consideration and development of positive alternatives as described in Article 5.6.

- 5.2 A quorum shall consist of over 50 percent of the voting membership, including designated alternates, of the SB or consensus committee. A simple majority of those present shall determine the official actions of the committee, except consensus balloting on proposed standards.
- 5.3 Timely and adequate notice of standards development activity, including consensus committee meetings, shall be announced in media suitable to demonstrate that a meaningful opportunity for participation, debate, and deliberation by all directly and materially interested parties in a fair and equitable manner was provided. The establishment of a new consensus committee shall be provided to all known directly and materially interested parties. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information.
- 5.4 At the initiation of a project to develop or revise an American National Standard³, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *Standards Action*. The PINS submittal shall include:
- a. An explanation of the need for the project, including, if it is the case, a statement of intent to submit the standard for consideration as an ISO, IEC, or ISO/IEC JTC-1 standard, and
 - b. Identification of the stakeholders likely to be directly impacted by the standard, and.
 - c. The interest categories that will, or are expected to, comprise the consensus committee.

Any comments resulting from the filing of PINS shall be addressed in accordance with Section 2.5 on Notification of Standards Development and Coordination of the current version of ANSI Essential Requirements. A revised PINS shall be submitted to ANSI for any substantive change to the scope and/or list of stakeholders for announcement in *Standards Action*. Alternately, ANSI shall be notified of the discontinuance of a standards project that has been announced in *Standards Action*. Notification of proposed, standards-related activities or discontinuance shall be submitted to ANSI immediately after concurrence through formal ballot of the relevant consensus committee and the SB and completion of the comment consideration process.

Proposed standards, revisions, reaffirmations, and withdrawals shall be submitted for ballot to the members of the appropriate consensus committee. The ballot period shall be set for 30 days but may be longer at the discretion of the Consensus Committee Chair, if necessary. A minimum of one reminder, to the provided e-mail address, shall be sent to consensus committee members who have not submitted a vote response (e.g., affirmative, negative, abstain) before the close of the ballot. Unless sequential public review is considered more appropriate by the Consensus Committee Chair, concurrent public review through ANSI shall be afforded. An announcement of the availability for public review of proposed standards, revisions, reaffirmations, or withdrawals shall be made in *Nuclear News*.

In addition, proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI using the BSR-8 form, or its equivalent, for listing in *Standards Action* in order to provide an

³ Including the national adoption of ISO and IEC standards as American National Standards.

opportunity for public comment.⁴ Public comments shall be submitted to standards@ans.org using the ANS Public Comment Form available at <https://www.ans.org/file/3097/Generic+PR+Comment+Form+2021.docx>. Incomplete forms may not permit a response. The BSR-9 form shall be submitted to ANSI immediately after concurrence through formal ballot of the relevant consensus committee and the SB.

The public review comment period on proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be one of the following:

- A minimum of thirty (30) days if the full text of the revision(s) can be published in *Standards Action*;
- A minimum of forty-five (45) days if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or
- A minimum of sixty (60) days if neither of the aforementioned options is applicable.

5.5 All comments submitted during the ballot process and corresponding public review shall be addressed technically by the responsible working group (or subcommittee). The working group shall make a concerted effort to resolve all negative ballots by working directly with the balloters. All objectors will receive a written disposition of their comments and reasons thereof. All correspondence relating to the consensus balloting process shall be retained by the Secretary of the consensus committee.

Negative votes shall be accompanied by comments related to the proposal. Votes unaccompanied by such comments will be recorded as “negative without comment” in the final submittal to ANSI. If comments not related to the proposal are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal and the objector notified. The vote may be counted as a “negative without comment” for the purposes of establishing a quorum and reporting to ANSI. A recirculation ballot is not required for negatives without comments.

In the event that one or more negative ballots or public review comments cannot be resolved, the members of the responsible consensus committee shall be so advised and be provided evidence of attempts at resolution along with the unresolved objection(s) and afforded an opportunity to respond, reaffirm, or change their original vote. In addition, anyone who submitted a negative ballot that remains unresolved, as well as anyone who submitted comments through the public review process that remain unresolved, shall be informed of their right to appeal in writing prior to taking the actions set forth in Article 5.7.

All substantive changes shall be resubmitted to the committee for recirculation ballot unless concurred to by the responsible consensus committee during a regular meeting, and shall be submitted for a second public review. In the case of a vote taken at a meeting, those not in

⁴ Although a 60-day public comment period is not required in all instances, a number of provisions in the ANSI Essential Requirements, when read in combination, satisfy the WTO's 60-day rule. Before adopting a standard, ANSI-Accredited Standards Developers shall allow a period of at least 60 days in total for submission of comments on the draft standard if requested by an interested party within the territory of a Member of the WTO. Exceptions outlined in the rule are permitted due to issues of safety, health, or environment. (See WTO Agreement on Technical Barriers to Trade (TBT), Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards (CGP) Substantive Provision L.)

attendance shall be provided an opportunity to vote either prior to or after the meeting. All members shall be afforded the opportunity to respond, reaffirm, or change their original vote when substantive changes are circulated. The Chair of the consensus committee, in consultation with the responsible Subcommittee Chair, shall decide whether the change is substantive. Any change to a requirement in the standard, including new or deleted requirements, shall be considered a substantive change.

Ballots shall be combined when substantive changes and unresolved objections are circulated.

5.6 Any determination of consensus shall be made only if at least two-thirds (2/3) of the consensus committee members submit valid ballots and if these ballots represent a reasonable balance of interests (see Article 3.2.2) of the entire consensus committee, and if no more than 1/3 of the consensus committee shall have abstained. The following formulas shall be used:

$$\frac{A+D+B}{A+D+B+N} \geq 2/3.$$

The Consensus Committee Chair shall use the formula shown below, in conjunction with the definitions provided in this section, to determine if consensus has been reached.

- a. Consensus for approval permitted if a majority of the members of the entire committee vote affirmative:

$$\frac{A}{A+D+B+N} > 1/2.$$

- b. Consensus for approval dictated if two-thirds of valid ballots plus ballots “Not Received” are affirmative:

$$\frac{A}{A+D+N} \geq 2/3,$$

Where,

- A - Affirmative, including affirmative with comments
- D - Negative
- B - Abstain
- N - No response

The sum of A+D+B+N is the total voting membership of the consensus committee.

If, in the final ballot tally, a majority of all ballots received are affirmative, and if these ballots represent a reasonable balance of interests of the entire consensus committee, the Consensus Committee Chair may determine that consensus for approval exists. If two-thirds (2/3) or more of all valid ballots are affirmative, it is mandatory that consensus for approval be declared by the Consensus Committee Chair. The Consensus Committee Chair may declare consensus if:

1. the valid ballots are greater than 50% and less than two-thirds based on equations 5.6.a and 5.6.b respectively, and
2. no more than two-thirds (2/3) of the members of any one balance of interest group have cast negative ballots, and
3. at least 50% of the cumulative members of the balance of interest groups with direct interest and substantive knowledge in topical area of the standard have cast AFFIRMATIVE ballots. (For example, if there are 3 balance of interest groups with direct interest and substantial knowledge in the area of a standard with a total of 9 members belonging to those groups, then at least 5 of these members shall vote AFFIRMATIVE in order to meet this criterion.)

5.7 The SB shall certify that all procedures contained herein pertaining to due process have been implemented (see Article 2.2a). In certifying that due process procedures have been properly implemented, the SB shall ensure that (1) the provisions of Article 5.5 on the ballot process as well as Article 3.2.2 on balance of interests have been met, (2) reaffirmations shall be accomplished without any substantive changes to the main text of the standard, (3) efforts have been made to ensure maximum participation by consensus committee members, (4) the number of outstanding negative ballots has been minimized, and (5) the full intent of consensus as set forth in Article 5.1 has been adhered to, in addition to the implementation of the numerical guidance provided in Article 5.6. Upon declaration of consensus for approval by the responsible Consensus Committee Chair, proposed standards, revisions, reaffirmations, or withdrawals shall be submitted to the Board of Standards Review (BSR) of ANSI for approval. The SB shall also certify proposed standards, revisions, reaffirmations, and withdrawals of JCNRM-developed standards in accordance with the numerical guidance for declaring consensus in Article 5.6 and Articles 3.2.2 and 3.2.3 on balance of interests before submittal to ANSI's BSR by ASME.

5.8 The designation of and publication of American National Standards shall comply with the current version of the ANSI Essential Requirements. American National Standards shall

- include an approval logo or the words "an American National Standard" on its cover or title page;
- be identified by a unique alphanumeric designation; and
- clearly indicate on its cover or title page if it has been reaffirmed or withdrawn.

Portions of a published document that are not approved through the consensus process shall not contain requirements necessary for conformance with the approved American National Standard and shall be clearly identified.

5.9 Inquiries (i.e., requests, and/or questions) about American National Standards developed by the Standards Committee shall be submitted in writing to the Standards Manager using the ANS Standards Inquiry Form available at <https://www.ans.org/standards/docs/inquiry-submittal-form.pdf>. Incomplete forms may not permit a response. The Standards Manager 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* or *not relevant* to the specified standard, the SB Chair shall respond to the requestor in writing 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 the SB POLICY ON DEVELOPING RESPONSES TO INQUIRIES ABOUT STANDARDS REQUIREMENTS, RECOMMENDATIONS, AND PERMISSIONS. The response shall not supplement or modify the standard. The response shall be reviewed for technical content by the appropriate working group, subcommittee, and balloted by the responsible consensus committee in accordance with Article 5.5. The SB Chair shall reply by letter to the requestor of the inquiry. Each response shall be published in *Nuclear News*.

- 5.10 Consensus committee meetings shall be held as decided upon by the Chair or by petition of five or more members to conduct the business of the committee. Meetings of subcommittees or working groups may be held as decided upon by the respective Chairs. A committee officer may record, via either audio or video recording, the proceedings of a standards committee meeting for which they are responsible provided 1) attendees are informed of the recording and 2) the recordings are used only for ANS standards-related business. Recording by any other participant or observer, in part or in whole, via any means, is prohibited.
- 5.11 Each subcommittee should perform a detailed, technical review of proposed standards prior to their being submitted for consensus ballot.
- 5.12 ANSI requires that standards developed by the ANS Standards Committee should complete maintenance within five years after the year of ANSI approval and formal action should be promptly initiated to revise, reaffirm, or withdraw the standard. If a consensus committee cannot meet this maintenance schedule, the consensus committee shall request that an extension request form be submitted to ANSI. An extension request is not required if it has been determined that a revision to a standard is required and a PINS form has already been submitted to ANSI.
- 5.13 Requests for withdrawal of an American National Standards for cause shall comply with the current version of the ANSI Essential Requirements.

6. APPEALS

- 6.1 All reasonable attempts shall be made by the Consensus Committee Chair to informally resolve a possible appeal related to consensus committee membership before entering this formal process. Likewise, all reasonable attempts shall be made by the Working Group Chair to informally resolve a standards action appeal before entering this formal process.
- 6.2 Should the informal process not lead to a resolution of the concern, a formal appeal shall be submitted, in writing, within 30 days of an action to the Secretary of the SB stating its explicit reason and at what point(s) in the process the appellant is not satisfied. An appeal regarding incompleteness or inaction may be made at any time. No fee shall be charged for an appeal.
- 6.3 Upon receipt of the formal appeal, the SB Chair shall determine whether the appeal is membership related, procedural, or technical in nature.

- 6.3.1 If the appeal is membership related, an ad hoc review committee shall be established by the SB Chair. The ad hoc review committee shall be led by the SB Vice Chair which shall include the SB Secretary and at least two other SB members. In order to ensure independence, the SB Chair and members of the responsible consensus committee shall not serve on this ad hoc committee but shall be available for consultation and to aid in implementing an equitable resolution. A list of ad hoc review committee members shall be provided to the appellant with the opportunity to claim a member of the ad hoc committee as having a conflict of interest and request that person be replaced with an unbiased panel member. If the appellant cannot agree to the final composition of a panel within fifteen (15) days, the SB Chair may appoint the final panel. The ad hoc review committee's recommendation shall be submitted to the SB Chair for concurrence. The SB Chair shall notify the appellant of the results and reason thereof by letter. See Article 6.4 below for steps and a timetable providing guidance to complete this appeal.
- 6.3.2 If the appeal is procedural, an ad hoc review committee shall be established by the SB Chair. The ad hoc review committee shall be led by the SB Vice Chair which shall include the SB Secretary and at least two other SB members. In order to ensure independence, the ad hoc committee shall not include the SB Chair or members of the responsible consensus committee. Individuals serving on this ad hoc review committee shall be unbiased and shall not be directly or materially affected by the standard. The ad hoc review committee shall develop a Resolution Plan of Action in consultation with the appellant and the responsible Consensus Committee Chair. This Plan shall be submitted to the SB Chair for concurrence. The SB Chair shall notify the appellant of the results by letter. See Article 6.4 below for steps and a schedule providing guidance to complete this appeal.
- 6.3.3 If the appeal is technical in nature, an ad hoc review committee shall be established by the SB Chair. The ad hoc review committee shall be led by the SB Vice Chair which shall include the SB Secretary, and at least two other subject matter experts in the technical area being appealed that may or may not be members of the SB. In order to ensure independence, the SB Chair, the responsible Consensus Committee Chair, and members of the responsible working group shall not be appointed to this committee. Individuals serving on this ad hoc review committee shall be unbiased and shall not be directly or materially affected by the standard. The ad hoc review committee shall work with the responsible working group and the appellant to establish an equitable resolution in view of the technical information publicly available. Upon completion of the ad hoc review committee's assignment, the chair of the SB shall be advised, shall review the process to ensure procedural compliance, shall review the substance and if necessary, intervene with a resolution concerning the substance, and shall notify the appellant of the results by letter. See Article 6.4 below for steps and a timetable providing guidance to complete this appeal.
- 6.4 Appeals shall be addressed promptly, and a decision made expeditiously and issued in writing. The following schedule shall be used as a guide for appeals to ensure a response is provided in a timely fashion with adequate fairness on the part of all participants:
- Fifteen (15) days after receipt of a formal appeal, the SB Chair determines the nature of the appeal and assigns an ad hoc review committee.
 - Thirty (30) days after establishment of ad hoc review committee, the ad hoc review committee works with the appellant to determine an equitable resolution/plan and advises the SB Chair in writing.

- Fifteen (15) days after receipt of the ad hoc review committee's proposed resolution, the SB Chair notifies the appellant of the results by letter.

6.5 To ensure timeliness of completion, either the individual in the next supportive leadership position, or a designated alternate, may be appointed if any of the individuals named in Articles 6.3, 6.3.1, 6.3.2, and 6.3.3 are unable or unavailable to participate. The SB Chair may approve an extension to the schedule (Article 6.4) as deemed necessary. The appeals process shall conclude before final submittal of evidence of consensus is made to ANSI in support of the approval of a standard as an American National Standard.

7. COMPLIANCE WITH NORMATIVE AMERICAN NATIONAL STANDARDS POLICIES AND PROCEDURES

The ANS shall comply with the normative policies and administrative procedures established by the ANSI Executive Standards Council for American National Standards.

8. TECHNICAL REPORTS

The ANS Standards Committee may develop technical reports (or a supplement to a currently registered technical report) to be submitted for registration with ANSI. Technical reports shall be entirely informative in nature and shall not contain information that a user would conclude that the report is a standard. It shall clearly explain its relationship to aspects of the subject that are, or will be, dealt with in related American National Standards. Prior to registration of the technical report with ANSI, a 30-day announcement of the intent to register said report shall be placed in ANSI Standards Action. A PSA-01 Form, Registration of a Technical Report with ANSI, shall be used to initiate both the announcement in Standards Action and ANSI registration. Technical reports shall follow the approval process in Articles 5.5 through 5.8 of these Rules and Procedures for American National Standards with the exception of public review. Appeals by materially affected interests challenging the decision to register a technical report with ANSI shall follow the procedural appeals process in Article 6.3.3. Technical reports registered with ANSI shall comply with the current version of the Procedures for the Registration of Technical Reports with ANSI.

9. REVISIONS TO THESE RULES

The ANS shall continue to maintain these rules and meet the requirements in Article 4.1.3, Maintenance of Accreditation, of the current version of ANSI Essential Requirements: Due process requirements for American National Standards. Proposed revisions to these rules shall be submitted to the SB for approval. The Executive Standards Council of ANSI shall be notified of any revisions to these rules.

ANNEX A

Definitions of Interest Groups

Article 3.2.3 of these Rules and Procedures specify that no more than one-third of the membership of each consensus committee represent any one type of organization. The following definitions shall be used to determine the interest category of each member of a consensus committee.

1. OWNERS

Any organization (including utilities) that owns a nuclear power generation facility. Includes operators of such facilities where the operator and owner are different companies. Includes national or international organizations (e.g., Nuclear Energy Institute, Institute of Nuclear Power Operations, Electric Power Research Institute, and World Association of Nuclear Operators) that work on behalf of owners and consultants⁵ that provide professional services to owners.

2. VENDORS

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

3. ARCHITECT ENGINEERS AND CONSTRUCTORS

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

4. 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. Includes consultants that provide professional services to government agencies.

5. NATIONAL LABORATORIES/GOVERNMENT FACILITIES

Management & Operating (M&O) contractors operating national laboratories or government-owned facilities and consultants that provide professional services to national laboratories.

6. 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.

⁵ Includes self-employed consultants and those employed by consulting organizations for the purpose of these standards development activities rules and procedures only.

7. SOCIETIES

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

8. INDIVIDUALS

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

SPONSORING ORGANIZATION

An 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. This does not apply to national laboratories and government facilities whose employees are paid by the M&O contractor.

ANNEX B

Classifications of Standards Committee Membership

1. **MEMBERS**

An individual with interest in ANS standards activities, who qualifies by possessing the background needed in the scope of the committee, and the ability to participate. Members shall be afforded voting privileges.

2. **ASSOCIATE MEMBERS**

An individual with interest in standards development, but who may not yet possess the knowledge, experience, and/or expertise that would naturally result from significant experience in a technical field. With the concurrence of the Chair of individual ANS standards activities group (i.e., working groups, subcommittees, consensus committees, and SB) an Associate Member would be expected to fully participate in standards activities with the exception of voting. Each standards committee may have a maximum of two Associate Members. The term of the Associate Membership will be for two years. After two years, the Associate Member will be considered for full membership in the capacity that was served. The Chair of any ANS standards activity may grant voting privileges to the Associate Member if that Chair deems that the knowledge and/or contributions of the associate member are significant enough to warrant voting.

3. **ALTERNATES**

A member who cannot attend a committee meeting should be represented by an alternate who shall have all the privileges and obligations of a member during the period of his or her service in this capacity. The selection of an alternate for two or more consecutive meetings shall be subject to acceptance by the appropriate Chair.

4. **LIAISONS**

An individual representing another organization for the purpose of coordination of activities among organizations. The liaison facilitates communication that helps ensure consistency and avoid conflicts or duplication with ANS standards activities. A member of an existing committee may be appointed by the Chair to serve as a liaison with another organization or the Chair may request a liaison from the desired organization. The Chair of any ANS standards activity may grant voting privileges to the liaison with exception of the SB voting membership which is governed by Section 3.1.

5. **OBSERVERS AND EXPERTS**

Any individual and organization having an interest may request being designated as an observer. A committee may select individual experts to provide technical assistance to the committee. Observers and individual experts shall be advised of all committee activities, may attend meetings, and may submit comments for consideration, but shall not vote, ballot, or hold office.

ANNEX C

Records Retention Policy

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

American National Standards Institute (ANSI) procedures require that American National Standards undergo maintenance procedures within 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 (i.e., minimally one complete standards cycle), documents associated with each current 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). Records of withdrawn standards shall be retained for five years after the date of withdrawal. Retained documents shall include but not limited to the following:

- Ballots
- Resolution of comments
- Correspondence related to retained negative ballots, including reconsideration of ballots
- Correspondence related to any appeals and their disposition
- Standards Board (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 including the JCNRM.

As Secretary to the Joint Committee on Nuclear Risk Management (JCNRM), the American Society of Mechanical Engineers is responsible for submitting all standards action related documents to ANSI and for retaining these records. ANS shall retain ANS SB letter ballots and ANS SB certifications of balance of interests for the JCNRM.

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
- Inquiries on standards and related correspondence, responses to inquiries on standards and their approval, and the 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 Manager, including SB meeting minutes and consensus committee meeting minutes. The retention of all documents should be based in part on their historical significance.

ANNEX D

Compliance with Normative American National Standards Policy

1. PATENT POLICY

The American Nuclear Society does not anticipate any patent issues, but in the event of such an occurrence, we will comply with the ANSI Patent Policy as stated in 3.1 of the current version of ANSI Essential Requirements: Due process requirements for American National Standards.

2. COMMERCIAL TERMS AND CONDITIONS

The American Nuclear Society does not anticipate the need for provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions in its standards but in the event of such an occurrence, we will comply with the ANSI policy on Commercial Terms and Conditions as stated in 3.2 of the current version of ANSI Essential Requirements: Due process requirements for American National Standards.

3. METRIC POLICY

The ANS Standards Committee actively encourages the use of the International System of Units (SI) in the writing of standards, and specifically that SI units should either be provided parenthetically alongside English units or SI units alone should be used, unless to do so would significantly impede the progress of the standards.

4. ANTITRUST POLICY

American Nuclear Society standards shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop American Nuclear Society standards are to be conducted in accordance with these laws as required by section 3.3 of the ANSI Essential Requirements: Due process requirements for American National Standards.

JFM, 7/7/05
JFM, 1/31/06
NPK, 8/26/08
PAS, 10/6/09, Editorial
PAS, 12/13/10
SLS, 12/4/14