



Two Park Avenue

tel 1.212.591.8500

New York, NY

fax 1.212.591.8501

10016-5990 U.S.A.

www.asme.org



BNCS Management and Operations Manual (MOM)

Issue 14
November 7, 2018

Board on Nuclear Codes and Standards Management and Operations Manual

Introduction

The foundation for these procedures is based upon the Society's Constitution, By-Laws, and Rules established by the Council on Standards and Certification (CSC). The Society's Constitution and By-Laws can be found on the ASME web site at the following address: <https://www.asme.org/about-asme/who-we-are/governance/asm-constitution-and-by-laws>. The Board on Nuclear Codes and Standards operates within Policies established by the CSC and these Polices can be found on the ASME C&S Policies, Procedures, and Guidelines web site at the following address: <http://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=7614>

Board on Nuclear Codes and Standards

1. Charter

- 1.1 The charter of this Board on Nuclear Codes and Standards (hereafter called BNCS) is the management of all ASME activities related to codes, standards and guides directly applicable to nuclear facilities and technology.
- 1.2 Except when otherwise recommended by the standards committee and the BNCS, the codes, standards and guides developed by standards committees supervised by the BNCS are intended to be submitted to the American National Standards Institute to become American National Standards. Such standards committees include the consensus groups (the group composed of individual members of the standards committee that has responsibility for voting on final approval of standards actions) reporting to the BNCS.

2. Organization

- 2.1 BNCS reports to the Council on Standards and Certification (CSC).
- 2.2 BNCS may establish at its discretion subordinate groups to assist it in the discharge of its duties.

3. Duties of the BNCS

The duties of the BNCS are listed in paragraphs 3.1 to 3.18.

- 3.1 Supervise the development of codes, standards, and criteria for conformity assessment programs developed by standards committees under its jurisdiction.
- 3.2 Assess the need for codes, standards and related conformity assessment programs.
- 3.3 Establish the necessary structure to develop and maintain needed codes and standards.
- 3.4 Recommend for CSC approval the establishment of new standards committees and related conformity assessment programs.
- 3.5 Recommend new and revised standards committee charters for CSC approval.
- 3.6 Approve new and revised standards committee procedure supplements.
- 3.7 Approve member classification systems appropriate to the subjects of the standards committees reporting to the BNCS.
- 3.8 Approve appointments and termination of standards committee personnel.
- 3.9 Approve codes, standards, guides and conformity assessment criteria prepared by standards committees under its jurisdiction. Approval by the BNCS of a specific code, standard, guide

or conformity assessment criteria is based on assurance that a standards committee that developed the code or standard or conformity assessment criteria has operated under procedures that have been accredited as meeting the criteria for American National Standards, achieved consensus,¹ and complied with the requirements of these procedures

- 3.10 Approve new and revised scopes of standards. Approval may be obtained prior to initiation of the standard development process or as part of the BNCS's action on approval of the code, standard, or guide as deemed appropriate by the BNCS.
- 3.11 Approve withdrawals of existing codes, standards and guides and report to the CSC for information or action, as deemed appropriate by the BNCS.
- 3.12 Ensure all standards committees within the charter of the BNCS provide for interpretations of codes and standards within their respective committee charters.
- 3.13 Ensure that all standards committees within the charter of the BNCS are providing procedural due process.
- 3.14 Provide a vital link for procedural due process in cases of appeal.
- 3.15 Recommend for CSC approval the termination of existing standards committees and conformity assessment programs.
- 3.16 Approve granting of Certificates of Award (i.e., Certificates of Appreciation, Acclamation or Achievement).
- 3.17 Recommend individuals for honors, medals and awards.
- 3.18 When deemed necessary to preserve the integrity of the standards development process and/or to protect the interests of ASME, BNCS may take administrative action necessary to fulfill its oversight obligations. Actions may include membership actions resulting from an appeal decisions and delay or suspension of a standards committee action, including revisions to standards. Such actions are subject to due process provisions established by the CSC.

4. Membership of the BNCS

- 4.1 The membership of the BNCS is listed in paragraphs 4.1.1 to 4.1.12.
 - 4.1.1 A Chair.
 - 4.1.2 One or two Vice Chairs.

¹ Consensus [see ANSI Essential Requirements]: Due process requirements for American National Standards] means substantial agreement has been reached by directly and materially affected interest categories. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution.

- 4.1.3 A Secretary (ASME staff member; non-voting Board member).
 - 4.1.4 Members-at-large who preferably shall be ASME members.
 - 4.1.5 As ex-officio members, the chairs of the principal nuclear codes, standards and certification committees.
 - 4.1.6 An individual identified by the Nuclear Engineering Division.
 - 4.1.7 An individual identified by the Pressure Vessel and Piping Division.
 - 4.1.8 An individual from the U.S. Nuclear Regulatory Commission.
 - 4.1.9 An individual from the Nuclear Energy Institute.
 - 4.1.10 An individual from Japan Society of Mechanical Engineers (JSME).
 - 4.1.11 An individual from the U.S. Department of Energy.
 - 4.1.12 Individuals from such agencies as deemed appropriate by BNCS.
 - 4.1.13 Contributing members, who shall preferably be ASME members, with service on a committee reporting to BNCS. Contributing members are non-voting members of the BNCS.
- 4.2 The BNCS may, at its discretion and with the concurrence of the CSC, add to or subtract from the list of BNCS members.
 - 4.3 A member may act in more than one of the above categories, but shall have only one vote.
 - 4.4 Members-at-large shall be selected by the BNCS and recommended for appointment or reappointment by the CSC for a term not to exceed five years. The number of consecutive terms for members-at-large shall be limited to two terms. This limit can be exceeded for special circumstances if approved by the Council on Standards and Certification. The BNCS may also recommend the discharge of any member.
 - 4.5 An ex-officio member shall serve on the BNCS concurrent with the term as Chair of the group, subject to confirmation by the CSC. If the Chair of a nuclear codes, standards or certification committee is unable to serve on the BNCS, a member of the particular committee may be nominated by the particular committee and appointed by the BNCS, subject to confirmation by the CSC, to serve in place of the Chair during the Chair's term of office.
 - 4.6 The individual from the Nuclear Engineering Division shall be nominated by the Nuclear Engineering Division for appointment or reappointment by the CSC for a five year term.

- 4.7 Contributing members shall be selected by the BNCS for terms not to exceed five years. Contributing members are non-voting members of the BNCS with full privileges of the BNCS members, except for voting. Contributing members shall serve not more than two consecutive terms.
- 4.8 Representation of absent members may be by an alternate or representative.
- 4.8.1 An alternate is a person selected by a member of the BNCS to attend meetings and act for that member during an extended absence for more than two consecutive meetings. Such selections shall be subject to acceptance by the BNCS and the CSC. An alternate has all the privileges of a member during the period the alternate serves in this capacity.
- 4.8.2 Such service by an alternate automatically terminates on request of the member, on the member's return from an absence, or when the member is no longer on the BNCS.
- 4.8.3 A representative is a person selected by a member to attend a meeting to observe and express the member's views. Such a representative may vote at a meeting, but is not privileged to cast a ballot.
- 4.8.4 An absent member may not select an alternate or representative from the BNCS membership; however, a member may express views on items before the BNCS by requesting another member to present them.
- 4.9 The duty of each member is to give thorough consideration to each subject brought before the BNCS for approval under the provisions of paragraphs 6.2 and 6.3, to contribute expertise in the preparation of standards, to advise on personnel for membership on the BNCS and subsidiary groups, and to assist generally in carrying out the functions of the BNCS. Such duties will be carried out by attendance at meetings, by correspondence, and by telephone, teleconference or electronic means.
- 4.10 Members do not represent particular companies or organizations but are individual members who shall have recognized background and experience in the field addressed by the charter of the BNCS.

5. Board Officers and Their Duties

5.1 The Officers of the BNCS shall be the Chair, one or two Vice Chairs, and the Secretary.

5.2 Chair

5.2.1 The Chair shall be elected by the BNCS voting membership and appointed by the Council on Standards and Certification, in accordance with Section 6.5 below.

- 5.2.2 The Chair shall be the executive officer of BNCS, the Chair shall preside at meetings and shall perform such duties as customarily attached to such an office.
- 5.2.3 The Chair may, to the extent consistent with ASME established policy, "speak for the Society" on issues within the scope of the BNCS.
- 5.2.4 The Chair shall be an ex-officio, non-voting member, of all the standards committees reporting to the BNCS. Alternatively, the Chair may also be a voting member of any or all the standards committees reporting to the BNCS.

5.3 Vice Chair

- 5.3.1 The term of office for one or two Vice Chairs shall be concurrent with that of the Chair. Each Vice Chair shall be an ASME member selected from the voting membership of the BNCS.
- 5.3.2 One of the Vice Chairs shall, in the absence of the Chair, fulfill the duties of the Chair's office as related to BNCS, and shall perform other duties as may be designated by the Chair.

5.4 Secretary

- 5.4.1 The Secretary, who is a member of the BNCS without vote, shall be designated from the staff of the Standards and Certification Directorate by the Managing Director of this Directorate.
- 5.4.2 The Secretary shall record and distribute agendas and minutes of all meetings of the BNCS to all members of the BNCS and, if so ordered by the Chair, to guests at the meetings. The Secretary shall receive and maintain all documents relative to the BNCS, circulate ballots, correspond with interfacing organizations or individuals in the name of the BNCS, maintain rosters of the BNCS, transmit to the CSC all appointments to the BNCS and perform other secretarial functions as required by the Chair.
- 5.4.3 In the absence of the Chair and Vice Chairs at a meeting of the BNCS, the Secretary shall take the chair for the purpose of nomination and election of a Chair pro tem, who shall then preside at that meeting.

6. Board Actions

6.1 There are four types of BNCS actions:

- 6.1.1 Approval of codes, standards, guides, and accreditation and certification programs and criteria.
- 6.1.2 Approval of personnel and administrative actions.
- 6.1.3 Approval of new or revised committee charters and scopes of codes, standards and guides.
- 6.1.4 Selection of the BNCS Officers.

6.2 Standards Actions

- 6.2.1 At the appropriate stage of the development process, the project team shall provide access to draft proposals for review and comment by members of the Board. When this occurs, Board members will be notified that this is their opportunity to provide comments, and a specific closing date for submittal of comments will be stated in the transmittal. This review shall be done either prior to, or at the same time as the standards committee vote. After the ballot closure, any Board comments received shall be transmitted to the standards committee by the Secretary for the purpose of developing and issuing a written response.
- 6.2.2 After a proposal of the type described in paragraph 6.1.1 has been approved by a consensus committee, it shall be sent to the Secretary of the Board with a tally of the voting in the consensus committee. Included shall be documentation of any unresolved consensus committee disapprovals and any Board comments still remaining, and the consensus committee's consideration and treatment of such disapprovals and comments. Board members shall be given a two-week Board procedural ballot, providing an opportunity to express an objection to the proposed standards action. Standards committee review of any public review comments shall be balloted in the same manner. Procedural review and administrative approval of standards actions with no unresolved consensus committee disapproved votes, substantive Board comments, or public review objections shall be accomplished by the responsible ASME staff with no formal recorded vote of the Board required. A record of such administrative approvals shall be provided to the Board for information.
- 6.2.3 During the two week review period for actions that received disapproved votes, substantive Board comments, or public review objections, the BNCS review of standards actions shall be limited to verification that the action is consistent with approved procedures, policies, and scope, and that the standards committee has adequately addressed all comments. To permit completion of Board consideration of a standards action, a majority of the BNCS voting membership shall vote.

- 6.2.4 Objections from the BNCS members received within the prescribed time limit and supported by reasons in compliance with 6.2.3 shall be submitted to the pertinent standards committee for resolution. Objections supported by reasons other than those required by 6.2.3 may be ruled invalid by the Chairman of the Board on Nuclear Codes and Standards. Objections that are withdrawn as a result of the standards committee response require no further action and the item may proceed toward final action. When the objections are not resolved or withdrawn, the item shall be subject to a recirculation ballot, which includes the resolution attempts, for another two-week period, during which the BNCS members shall have the opportunity to support the outstanding objections. The proposal shall be approved only if a majority of the BNCS voting membership votes on the recirculation ballot and fewer than one third (1/3) of the BNCS voting membership vote objection at the end of the two-week period.
- 6.2.5 If the BNCS fails to approve a proposed action, the developer of the action shall be notified of the BNCS's disapproval.

6.3 Personnel and Administrative Items or Actions Relating to Policy or ASME Position

Proposals of the type described in paragraph 6.1.2, may be approved with a majority vote by either ballot or voice vote action at a meeting when a quorum is present. A quorum shall consist of at least 50 percent of the BNCS members eligible to vote.

6.4 Committee Charters or Scope Statements for Codes, Standards and Guides

- 6.4.1 When a proposal of the type described in paragraph 6.1.3 has been approved by a consensus committee, it shall be submitted to the BNCS for approval.
- 6.4.2 Proposals may be approved with a majority vote by either ballot or voice vote action at a meeting when a quorum is present. A quorum shall consist of at least 50 percent of the BNCS members eligible to vote.
- 6.4.3 Disapprovals from Board members shall be submitted to the pertinent standards committee for a response. Disapprovals which are withdrawn as a result of the standards committee response shall then be recorded as approvals. If there are outstanding disapprovals after the standards committee response, the standards committee may resubmit the proposal, along with documented resolution attempts, to the BNCS for another two-week period during which the BNCS members shall have the opportunity to support the outstanding disapprovals. The proposal shall be approved if fewer than 1/3 of the voting members of the BNCS vote disapproved at the end of the two-week period.
- 6.4.4 If the BNCS fails to approve a proposed action, the developer of the action shall be notified of the BNCS's disapproval.

6.5 Selection of BNCS Officers

The nominations for BNCS Chair shall be by ballot conducted during the year prior to the year in which the position becomes vacant. To be eligible for nomination an individual shall have served a minimum of three years on the BNCS and shall have broad engineering expertise and codes and standards experience. The individual shall be an ASME member; registration as a Professional Engineer is preferred but not required. The process of determining the nominations for BNCS Chair shall be conducted using the Weighted Vote (3,2,1) method, as follows:

- 6.5.1 The Secretary shall submit to the voting members of the BNCS a list of the names of members who are qualified by service. Individuals on this list who are willing to be considered for selection as BNCS Chair shall notify the Secretary of their willingness to be considered for the Chair position. The Secretary will prepare a ballot including the names of the members indicating a willingness to serve in the capacity of Chair.
- 6.5.2 Each voting member will be given a secret ballot and requested to mark, in order, their preference for the office by the numerals 3, 2, 1 (i.e., 3 for first choice, 2 for second choice, and 1 for third choice). Ballots from at least 2/3 of the members must be returned for the nomination process to be valid. The balloting process shall be carried out using C&S Connect.
- 6.5.3 The two persons whose names receive the highest number of points are the nominees. If there is a tie for first place, these two names will be the nominees. If there is a tie for second place, there will be a runoff using the process in (b) above (or a simple ballot if choosing between two tied individuals), to determine the second nominee.
- 6.5.4 After confirming the nominees will serve, if elected, the Secretary shall submit the names of the nominees on a ballot to all members of the BNCS for voting. If one of the nominees is not willing to serve, the member with the next highest number of points becomes a nominee.
- 6.5.5 The Chair shall be elected by a majority of the BNCS members. The Chair shall be appointed by the Council on Standards and Certification, acting on the recommendation of the BNCS, for a single three-year term, commencing July 1st and expiring June 30th, and may not be appointed for consecutive terms.

The Vice Chair(s) may be elected by majority vote by either ballot or voice vote action at a meeting when a quorum is present, and shall be appointed by the Council on Standards and Certification, acting on the recommendation of the BNCS.

- 6.6 On questions of parliamentary procedure not covered in these procedures, "Roberts Rules of Order, Revised" shall be followed.

7. Meetings

- 7.1 Meetings of the BNCS shall be held as warranted, but not less than two times per year on dates and at locations determined by the BNCS or by the Chair and for the convenience of the BNCS electronic conferences may be held in lieu of face-to-face meetings.
- 7.2 The Chair may rule that all or a portion of a meeting be in executive session.
- 7.3 Agendas for the meetings shall be prepared by the Secretary with suggestions or recommendations by any member of the BNCS and after consultation with the Chair.

8. Appeals

- 8.1 Actions and proposals by codes and standards developing committees under the supervision of the BNCS, which have been thoroughly considered in the respective codes and standards developing committee and which remain objectionable to any party concerned with the action, may be appealed to the BNCS.
- 8.2 Appeals shall be considered according to the following sequence:
 - 8.2.1 Appeals shall first be directed to the originating committee.
 - 8.2.2 Appeals that cannot be resolved at the level of the committee that originated the subject in dispute may be referred to the BNCS.
 - 8.2.3 If the BNCS cannot reach a mutually acceptable solution, an appeal may be submitted to the Board on Hearings and Appeals, which may decide at its discretion whether or not to consider such a further appeal.
- 8.3 The purview of appeals to the BNCS shall include the following considerations, as well as such others which may arise:
 - 8.3.1 In general, that procedural due process has been provided to the appellant.
 - 8.3.2 Applicable policies and procedures have been properly followed.
 - 8.3.3 In connection with appeals regarding the promulgation of new or revised codes or standards, that consensus has been developed.
 - 8.3.4 Regarding technical, as opposed to procedural appeals, BNCS may consider submitting suggestions and/or questions for consideration and follow-up by the cognizant consensus committee; however, it must be recognized that only the balanced consensus committee can modify or revise a code or standard within its jurisdiction. When the BNCS is considering a technical appeal it may require a consensus committee to report back to the BNCS in response to suggestions and/or questions and may put a hold on, or suspend appealed actions pending satisfactory resolution of the issues raised.

8.3.5 Regarding appeal allegations involving a conflict of interest disqualification consideration, the BNCS may consider the conflict issue in the first instance if it was the appointing Board for the challenged committee member(s); however, Society Policy P-15.8 on Conflicts of Interest shall be adhered to and final authority regarding conflict of interest appeals, if unresolved at the BNCS level, is the responsibility of the ASME Committee on Ethics. Nevertheless, even if BNCS is not the appointing Board, because alleged conflict of interest is often intertwined with other reasons for an appeal; the BNCS may hear related arguments and rule as to whether related policies and/or procedures have been properly followed, provided that Society Policy P-15.8 is followed.

8.4 Procedures for appeal to the BNCS shall be as follows:

8.4.1 Within 10 working days after the date of mailing of the originating committee's response to the appeal, written notice by certified mail of intent to appeal must be filed with the Secretary of the BNCS.

8.4.2 Within 20 working days after the date of mailing the notice of intent to appeal, an official written appeal statement shall be submitted to the Secretary of BNCS with statements of the item(s) in question, the codes and standards developing committee's action with reason why the action should be modified, and the appellant's suggested modification of the action. The Secretary shall distribute copies of the official appeal statement to the members of the BNCS. The codes and standards developing committee shall be notified of the request for appeal and the Chair shall be given 15 working days after receipt by the Committee Chair of a copy of the official appeal statement to comment in writing on the appeal.

8.4.3 The appeal to the BNCS shall be heard in accordance with (a), (b), or (c) below:

- (a) The BNCS shall hear the appeal at its earliest practicable scheduled meeting after the date of request for appeal; or
- (b) at the discretion of the Chair, the BNCS shall hear the appeal at a special meeting of the BNCS on a date mutually agreeable to all parties; or
- (c) the BNCS shall act to have the appeal heard by a Special Appeals Panel selected by the Chair and consisting of the BNCS members who do not have a conflict of interest or the appearance of a conflict of interest in connection with the appeal.

8.4.4 The appellant, the codes and standards developing committee, and others concerned shall be notified of the hearing at least 15 working days in advance of the date set for hearing the appeal.

8.4.5 At the time of the notification of an appeal hearing, the Secretary of the BNCS shall provide the parties with a copy of the BNCS roster or a list of the members of the proposed Special Appeals Panel, as applicable, in order to allow any concerned the opportunity to object should they perceive the existence of a conflict of interest. Any

such objections should be submitted to the Secretary at least 10 working days prior to the scheduled date of the hearing, and shall then be distributed by the Secretary to the individual(s) being challenged in advance of the hearing, who shall then have the opportunity to respond prior to the hearing. Any objection should be addressed prior to the hearing in a manner consistent with Society Policy P-15.8, Conflicts of Interest. Objections to members of a Special Appeals Panel should be resolved, if possible, prior to the convening of the Panel; in the event that any such objection cannot be resolved by the BNCS Chair's selecting alternative Panel members, the appeal shall be heard by BNCS in accordance with either paragraph 8.4.3 (a) or (b).

- 8.5 The BNCS, or Special Appeals Panel, having heard an appeal, may take action by a majority vote provided that a quorum is present. The Secretary of the BNCS shall notify the appellant, the chair of the codes and standards developing committee, and others concerned of the BNCS's decision within seven working days. This notification shall be sent by certified mail, return receipt requested, or equivalent communication. The notification shall advise that, should the BNCS's decision remain objectionable to any party concerned with the action, that party may request an appeal, based on matters relating to procedural due process, to the Board on Hearings and Appeals, which may decide at its discretion whether or not to consider such further appeal. To request a further appeal, written notice of intent to appeal must be filed by certified mail with the Secretary of Board on Hearings and Appeals within 10 working days after receipt of the notification of the results of the BNCS appeal.

9. Honorary Membership and Certificates of Appreciation

The BNCS may appoint a former member to Honorary membership and issue Certificates of Appreciation in accordance with the procedure included in *Guide to Procedures for ASME Codes and Standards Development Committees*²

(<http://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=7611>). For Honorary membership actions, the first and third sentences of para. 7.1.2 do not apply. For Certificates of Appreciation actions, the second sentence of para. 7.2.1 does not apply.

10. Amendments of Procedures

Amendments to these procedures require the approval of the BNCS and approval of the CSC.

² For BNCS application, the terms standards committee, committee, and consensus committee are to be considered as referring to BNCS.

Annex 1 – Guidance for Standards Committees Reporting to the BNCS

Preface

All nuclear codes and standards developing committees reporting to the BNCS operate under the accredited organization method for developing American National Standards. The basic structure and practices of ASME Nuclear Codes and Standards is described in the *ASME Committee Handbook for Nuclear Codes and Standards*.

1.0 Standards Committees Procedures

The ANSI-Accredited *Procedures for ASME Codes and Standards Development Committees* (ASME Accredited Procedures) requires each Standards Committee to develop a Procedure Supplement to address the implementation of specific procedural requirements contained in the ASME Accredited Procedures. When acting on a request to approve a Procedure Supplement, BNCS consideration includes the following criteria.

2.0 Organization

A standards committee operating under the ASME Accredited Procedures includes the consensus committee (the group composed of individual members of the standards committee that has responsibility for voting on final approval on standards actions) responsible to BNCS as assigned by the CSC. The BNCS ensures that any Standards Committee under its jurisdiction is operating within its approved charter and the ASME Accredited Procedures and the committee's Procedure Supplement.

2.1 Membership of the Standards Committee

The Standards Committee shall include not more than thirty-five (35) consensus committee members, who shall have had technical, administrative, and/or management experience in a nuclear-related industry. This number may be increased to forty (40) if authorized by a vote by the BNCS. It is preferable that such members have served on committees subordinate to that Standards Committee. Members do not represent particular organizations, but shall be classified in accordance with the primary business interests of the organization that is the primary source of salary/travel funding. Where that organization includes several business interest functions or subsidiary organizations, the category or interest will be based on the primary business interest of the organization unless approved by the consensus committee and the BNCS.

2.2 Categories of Interest

2.2.1 Each consensus committee needs to have broad representation and select appropriate categories of interest from the following:

- (a) Manufacturer (AK) - An organization producing components, parts, or appurtenances.
- (b) Material Manufacturer (AM) - An organization producing or supplying material.

- (c) Owner (AO) - An organization owning or operating a facility where items are installed or used.
- (d) Constructor (AA) - An organization performing facility erection or installation of items.
- (e) Designer (AB) - An organization performing design and design related services.
- (f) Regulatory (AT) - An agency or organization that regulates or enforces activities associated with design, manufacture, installation and examination of items or operation of facilities.
- (g) Inspection (AH) - An insurance organization empowered by an enforcement authority to provide independent inspection personnel and services related to manufacture, installation, inservice inspection, and testing of items.
- (h) Laboratory (AI) - An organization whose primary function is to perform research and development, or an organization furnishing testing and examination services.
- (i) Consultant (AU) – An individual who has expert knowledge or experience in the Committee’s scope of work, and provides expert advice professionally.
- (j) General Interest (AF) - Educators, individuals from a technical society or other society, and public interest persons not specifically covered by other categories defined above.

2.2.2 If committees use common categories of interest, the category of interest for an organization shall be the same.

2.2.3 Each committee shall be represented by a minimum of five (5) categories of interest which are submitted to and approved by the Board on Nuclear Codes and Standards. The BNCS shall ensure that the categories selected by the Standards Committee are appropriate for that committee, shall review classification of members for consistency of categorization among committees, and may question the classification of individual members if believed inappropriate.

2.2.4 The appropriate categories of interest shall be adequately represented and, to ensure substantial balance, not more than one third (1/3) of the membership shall come from any one category without the recorded assent of the other classifications and the BNCS.

2.2.5 Should the selection of an appropriate category of interest be deemed questionable, the Standards Committee shall submit its voted action to the BNCS for review and approval.

2.2.6 Organizations, such as technical societies, who are substantially concerned with the scope of the Committee, may nominate individuals as liaison representatives; such liaisons, if appointed, shall be classified in accordance with the business interests of the organization supporting their participation.

2.3 Multiple Representation from a Single Organization³

There shall be no more than one member from a single organization serving on a consensus committee at the same time except as follows:

2.3.1 The number of members from a single organization serving on the consensus committee at the same time shall not exceed that specified in the table below:

| Number of Consensus Committee Voting Members | Maximum Number of Members from a Single Organization |
|---|---|
| ≤ 20 | 2 |
| 21-29 | 3 |
| ≥ 30 | 4 |

2.3.2 If the consensus committee has more than one member from a single organization, either of the following requirements shall also be met:

- (1) All but one of the members from a single organization shall be a sub-tier committee chair or a liaison representative, or
- (2) all of the members from a single organization shall provide different expertise considered necessary to the committee.

3.0 Standards Committee Chair

The Chair is an ex-officio member of the BNCS and serves as a communication link between the Standards Committee and the BNCS. The Chair may provide an alternate to the BNCS from within the Standards Committee. The Chair is also an ex-officio non-voting (unless otherwise indicated) advisory member of all sub-tier groups reporting to the Standards Committee.

4.0 Standards Committee Actions

4.1 Intent Interpretations

4.1.1 Technical inquiries that cannot be answered on the basis of existing Code or Standard wording may be answerable by an "intent" interpretation. Intent interpretations are permitted only to clarify conflicting or ambiguous requirements or to resolve incorrect wording.

³ An organization is defined as a company, government agency, union, etc. In the case where two companies are part of the same corporation or one company is owned by another, a decision as to whether they constitute a single organization shall be made on a case by case basis by the applicable standards committee with concurrence of the BNCS. The independence of the two companies shall be used as a criterion for making this decision. In the case of government bodies, two agencies would not be considered the same organization if they promulgate separate standards/specifications/ regulations.

- 4.1.2 An intent interpretation shall be submitted to the Standards Committee for approval along with the proposed revisions to the Code or Standard to support the intent of the interpretation.
- 4.1.3 In the situation where revisions to the Code or Standard that support the intent of the interpretation have previously been approved by the Standards Committee, such revisions shall be provided to the Standards Committee as background information.
- 4.1.4 The Secretary shall not transmit the intent interpretation to the inquirer until after the supporting revisions have been approved by the BNCS.

Annex 2 – BNCS Committees and Operations

1.0 Committee on BNCS Operations

1.1 Charter and Purpose

The Committee on BNCS Operations (CBO) is a standing committee under the Board on Nuclear Codes and Standards. Its purpose is to assist BNCS in the conduct of its affairs. The Committee shall advise BNCS on operational matters, honors and awards, personnel matters, procedures, strategic and operational planning and measures of success, and perform such other duties as assigned by the BNCS Chair with the consent of BNCS.

1.2 Membership

The Committee on BNCS Operations consists of the BNCS officers (i.e. Chair, two Vice Chairs, and Secretary (without vote)) and a minimum of four members of BNCS. The membership of CBO shall be as follows:

- (a) Chair: One of the two Vice Chairs of BNCS shall fulfill this office during a three year term.
- (b) Vice Chair: The Chair of BNCS shall fulfill this office during a three year term.
- (c) Secretary: The Secretary of BNCS shall serve as CBO Secretary and shall be a member without vote.
- (d) Members: Chosen from the BNCS voting members. Each term shall be aligned with the members' term on BNCS.
- (e) When necessary, the BNCS Chair shall appoint a Nominating Task Force for the purpose of selection of BNCS members for recommendation to BNCS as CBO members. The Nominating Task Force shall normally consist of the two BNCS Vice Chairs and two BNCS voting members.

1.3 Duties

- (a) Review of all personnel items requiring BNCS action, such as Standards Committee appointments, for recommended action. This includes monitoring the balance of the Standards Committees.
- (b) Assure that procedure supplements of nuclear codes and standards developing committees are developed and maintained as required by ASME Accredited Procedures.
- (c) Assist BNCS in the establishment of new committees and implementation of new projects, which have been approved by BNCS.
- (d) Assist BNCS in initial implementation and ongoing assessment of inter-organizational projects.
- (e) Review policies of the Society and CSC and make recommendations to BNCS regarding such policies.
- (f) Develop, implement and maintain BNCS Planning Document.

- (g) Assure that opportunities for honors and awards recognition of deserving nuclear codes and standards personnel are utilized and recommendations are made to the Society through BNCS.

2.0 Committee on BNCS Strategic Initiatives

2.1 Charter and Purpose

The Committee on BNCS Strategic Initiatives (CBSI) is a standing committee under the Board on Nuclear Codes and Standards. Its purpose is to assist BNCS in the conduct of its affairs. The Committee shall advise BNCS on strategic issues and planning, and perform such other duties as assigned by the BNCS Chair with the consent of BNCS.

2.2 Membership

CBSI consists of the officers of BNCS [i.e., the Chair, the two Vice Chairs, and Secretary (without vote)], the Chairs of the BNCS Task Groups assigned responsibilities for activities the BNCS Officers have identified as strategic in nature, and other individual members as deemed necessary by BNCS. The membership of CBSI shall be as follows:

- (a) Chair: One of the two Vice Chairs of BNCS shall fulfill this office during a three year term.
- (b) Vice Chair: The Chair of BNCS shall fulfill this office during a three year term.
- (c) Secretary: The Secretary of BNCS shall serve as CBSI Secretary and shall be a member without vote.
- (d) Ex-officio Members: Individuals who serve as Chairs of BNCS Strategic Task Groups. Each term shall be aligned with the member's term as Chair of the Task Group.
- (e) Members: Individuals chosen from the BNCS voting members. Each term shall be aligned with the members' term on BNCS.
- (f) When necessary, the BNCS Chair shall appoint a Nominating Task Force for the purpose of selection of BNCS members for recommendation to BNCS as CBSI members. The Nominating Task Force shall normally consist of the two BNCS Vice Chairs and two BNCS voting members.

2.3 Duties

- (a) Review of strategic initiative Task Group's plans and activities and develop recommendations for BNCS.
- (b) Provide direct oversight of Key BNCS Strategic Initiatives – e.g., BNCS New Reactor, Globalization, Risk Management, and System-based Code.
- (c) Work with CBO to address Planning Document updates and monitor and measure progress toward meeting all the Strategic Objectives. CBO will take steps to reduce the administrative burden or reporting the status of plan items and offer suggestions, when appropriate, to assist implementers in eliminating "road blocks" to progress.

3.0 BNCS Committee on Honors and Awards

3.1 Charter and Purpose

The BNCS Committee on Honors and Awards (H&A) is a standing committee under the Board on Nuclear Codes and Standards. Its purpose is to assist BNCS in the conduct of its affairs. The Committee shall advise BNCS on matters pertaining to honors and awards and other forms of recognition for NCS volunteers and perform such other duties as assigned by the BNCS Chair with the consent of BNCS.

3.2 Membership

The BNCS Committee on Honors and Awards consists of:

- (a) Chair: Chosen from the BNCS voting and non-voting members; the Chair's term shall be aligned with the member's term on BNCS.
- (b) Members: The ex-officio members of BNCS. Each term shall be aligned with the member's term on BNCS.
- (c) When necessary, the BNCS Chair shall appoint a Nominating Committee for the purpose of selection of BNCS members for recommendation to BNCS as H&A members. The Nominating Committee shall normally consist of the two BNCS Vice Chairs and two BNCS voting members.

3.3 Duties

- (a) Developing and maintaining profiles of BNCS members that can be used as supporting information for preparing recommendations for awards.
- (b) Preparing recommendations for ASME Fellow Award nominations for qualified BNCS members. This is the primary responsibility for the BNCS Committee on Honors and Awards.
- (c) Preparing recommendations for candidates for the Melvin R. Green Codes and Standards Medal and Bernard F. Langer Nuclear Codes and Standards Award for transmittal to the applicable Special Awards Committee.
- (d) Encouraging committees reporting to BNCS to develop timely proposals for candidates for Certificates of Appreciation, Acclamation, and Achievement.
- (e) Recommending, when appropriate, changes to existing criteria for awards or criteria for potential new awards.
- (f) Recommending other forms of member recognition such as letters of appreciation, letters to employers or other organizations supporting committee activities, and letters to local media supporting individual achievements.

4.0 Need and Scope Statements

4.1 BNCS Activity

- (a) The Board on Nuclear Codes and Standards (BNCS) considers and acts on requests for development of new codes, standards or guides, or the expansion of existing documents.
- (b) During its consideration, BNCS reviews the need and scope statements that accompany all such requests.

4.2 Need Statement

The need statement (typically one or two pages) includes the following information:

- (a) description of the specific need,⁴
- (b) listing of potential users,
- (c) designation of intended usage (mandatory, optional in whole, or optional in part),
- (d) characterization of the proposed document, including justification, as a code, standard or guide, or other type (e.g. report),
- (e) information relating to how the proposed standard meets the criteria considered by BNCS, shown below.

4.3 Scope Statement

The scope statement (typically one or two paragraphs) provides a concise description of the contents of the proposed document. Care needs to be exercised by the individual or group preparing the proposed scope statement to clearly identify the items or activities to be addressed in the proposed document (e.g. equipment or systems to be considered, etc.).

4.4 Assessment Criteria

When acting on a request for the development of a new code, standard or guide, BNCS consideration includes the following criteria:

- (a) Is an ASME code, standard or guide the proper solution to the identified need?
- (b) Will the proposed code, standard or guide have a broad constituency, as contrasted with a single user?
- (c) Is the proposed code, standard or guide needed, (e.g., identified use, users and technical base) that will enable document development or expansion?
- (d) Is needed volunteer technical expertise available to develop the code, standard or guide?
- (e) Can the proposed code, standard, or guide be maintained based upon user experience and advances in the state-of-the-art, such that the published document will continue:
 - (i) to be technically accurate;

⁴ Publications such as NRC bulletins or INPO significant operating event reports may be cited for additional details on the description of the need to be addressed by the proposed document.

- (ii) to ensure adequate safety;
- (iii) to be practicable and workable;
- (iv) to be sufficiently specific for avoiding conflicting interpretations;
- (v) to continue to be needed; and
- (vi) to have a definite need and application?

4.5 Revisions to Need and Scope Statements

The characterization and/or scope of an approved request to develop a code, standard, or guide can be affected by issues raised during document development, industry's emerging needs, or other issues. The Project Team charged with developing a document may propose a change to the category and/or scope of an approved project with a supporting basis for the change at any time during the development process, including when the document is submitted for vote by the Standards Committee. However, when a need to change the characterization or scope is identified, it shall be brought to BNCS for approval as soon as practicable, rather than waiting until submittal of the complete document to limit the chance of a significant amount of work being rejected.

5.0 Research

Requests for research needed for the development or maintenance of ASME nuclear codes and standards are considered on a case-by-case basis. All requests for research must include a need and scope statement.

5.1 Need Statement

The need statement (typically one or two pages) includes the following information:

- (a) description of the specific need,
- (b) identification of ASME nuclear codes and standards committees that will use the results of the research to develop or maintain a code, standard or guide,
- (c) description of the expected results including its use in a specific code, standard or guide,
- (d) identification of groups checked for existing research,
- (e) description of the research activity including:
 - (i) estimated cost
 - (ii) expected duration
 - (iii) potential funding sources⁵
- (f) information related to how the proposed research meets the criteria, shown below.

⁵ Include organizations or groups expected to benefit from the research.

5.2 Scope Statement

The scope statement (typically one or two paragraphs) provides a concise description of the research activity and the expected use of the results. The proposed scope statement should clearly identify the activities to be included in the proposed research project.

5.3 Assessment Criteria

When considering a research request, the BNCS Officers use a number of criteria including:

- (a) Is the research directly needed for the development or maintenance of a specific ASME nuclear code, standard or guide?
- (b) Is the research of such a nature that it is not covered by projects otherwise undertaken by industry or government groups?
- (c) Is there an existing base of experience in the area of the proposed research technical base that will enable document development or expansion?

5.4 Action

The BNCS Officers may decide to:

- (a) not pursue the research request,
- (b) simply refer the request to research bodies for their consideration and disposition,
- (c) actively pursue the request with ASME seed money or full funding by outside sources,
- (d) take other action as deemed appropriate.

5.5 Funding

Funds available from ASME Codes and Standards for research that supports Codes and Standards activities are limited and usually are most effective as seed money to attract substantive support from interested/affected parties. Further, large-scale research projects to generate new data are, with rare exceptions, beyond the scope and purpose of ASME Codes and Standards activities. If appropriate, proposed research projects will be forwarded to ST, LLC⁶ for action.

⁶ The ASME Standards Technology, LLC (ST, LLC) was formed to organize and coordinate research and other projects to support Codes and Standards activities.

6.0 Standards Committee Charters

There are eight Standards Committees that report to BNCS:

- (a) BPV Committee on Construction of Nuclear Facility Components (BPV III),
- (b) BPV Committee on Nuclear Inservice Inspection (BPV XI),
- (c) Standards Committee on Cranes for Nuclear Facilities (CNF),
- (d) ANS/ASME Joint Committee on Nuclear Risk Management (CNRM),
- (e) Standards Committee on Nuclear Air and Gas Treatment Equipment (CONAGT),
- (f) Standards Committee on Nuclear Quality Assurance (NQA),
- (g) Committee on Operation and Maintenance of Nuclear Power Plants (OM), and
- (h) Standards Committee on Qualification of Mechanical Equipment Used in Nuclear Facilities (QME).

Each Standards Committee has a charter⁷ that has been approved by BNCS. For each Standards Committee, the approved charter is included in its Procedure Supplement. The Standards Committee's Procedure Supplement is posted on that Standards Committee web page which can be accessed through the BNCS web page (<http://cstools.asme.org/csconnect/CommitteePages.cfm?Committee=O1000000>).

The organizational chart for Nuclear Codes and Standards is included in the ASME Committee Handbook for Nuclear Codes and Standards.

6.1 BPV Joint ACI/ASME Committee on Concrete Components for Nuclear Service

The BPV Joint ACI/ASME Committee on Concrete Components for Nuclear Service (Joint Committee) is the Committee charged with maintaining BPV Section III, Division 2 and the Joint Committee reports to the BPV Committee on Construction of Nuclear Facility Components. This activity is a collaborative effort with the American Concrete Institute (ACI). The Joint Committee's charter is also approved by BNCS and is posted on the Joint Committee's web page (<http://cstools.asme.org/csconnect/CommitteePages.cfm?Committee=N20080000>).

⁷ Standards Committee charters shall not include duplicate scopes of work.

7.0 Administrative Actions for Review and Comment on US NRC Regulatory Documents

7.1 Framework

The following is intended to provide a framework for:

- (a) establishing a consistent method for transmitting ASME developed positions to the USNRC relative to USNRC regulations, regulatory guides, policy statements and other USNRC documents that may have impact on codes and standards developed by BNCS committees;
- (b) establishing responsibilities with regard to identifying and assigning appropriate USNRC documents to specific committees or individuals for review and comment;
- (c) assuring compliance with Codes and Standards Policy (CSP-18)
[\[http://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=7614\]](http://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=7614).

7.2 Responsibility

The Members of BNCS and Committees reporting to BNCS are urged to be aware of meetings and agendas of the USNRC and of its Committees such as the ACRS and the availability of proposed rules, regulations, guides, bulletins, and other USNRC publications as part of their normal work activities in the nuclear power industry. Any member of ASME Nuclear Codes and Standards can request that ASME comment on a NRC activity or document. The BNCS Chair will decide if action should be taken. Alternatively, the request may be sent to BNCS for its consideration in accordance with BNCS procedures. If it is decided to develop comments to be submitted to USNRC, the responsibility for developing the comments or position will be assigned to an individual(s) or committee on the basis of specific working interest with the subject matter.

7.3 Assignment

The BNCS Chair can assign responsibility for developing a comment on a NRC activity or document to a Standards Committee most involved with the subject of the NRC activity or document. When the subject is reviewed by an ASME committee member, it is not to be construed as an approval or endorsement of the subject document by ASME. Rather, the review was performed and the comments are submitted as a constructive public service for the purpose of improving future revisions of the subject document. In the time frame available for review and comment, the opinions and comments generated, by necessity, represent those of the reviewers and a consensus, where provided, is that of the individual committee rather than that of the ASME.

Alternatively, the BNCS Chair may establish a project team to develop the ASME comments or position. However, the opinions and comments generated, by necessity, represent those of the reviewers, rather than that of the ASME.

7.4 Review

Prior to release, the transmittal to the USNRC shall be submitted for review to the Chair, Vice Chairs and Secretary of BNCS, and the Chair and Vice Chair of relevant Standards Committees.

8.0 Administrative Actions for BNCS Membership

8.1 Recommendations for membership

The person recommending a nominee shall

- (a) provide or request the nominee to provide, a complete and current PF-1 Form,
- (b) obtain a commitment from the nominee to participate if appointed,
- (c) confirm that the nominee has support or will most likely receive support,
- (d) provide a letter of nomination that states whether the individual is being nominated for member-at-large or contributing membership, and the basis for the nomination (e.g., contributions made, specific experience or expertise which will add to BNCS deliberations, filling of a current void, etc.).

8.2 Acceptance of Resignations

Voting on acceptance of resignations is not required. Acknowledgement by the Standards Committee is sufficient. Standards Committee resignations need only be reported to BNCS for information.

9.0 Ballots

- (a) The voting period is normally 30 days unless the BNCS or the Chair approves an alternative voting period,
- (b) Each voting member shall exercise his/her voting privilege within the prescribed time limits and members eligible to vote are encouraged to vote as soon as possible,
- (c) the vote contains four forms of response: approved, disapproved, abstain and not voting,
- (d) votes received by the Secretary after the close of the ballot will not be considered, unless an extension of the period has been established.

10.0 BPV Technical Oversight Management Committee (TOMC)

10.1 Purpose

The TOMC shall report to and advise BNCS and BPTCS in assuring that the Boiler and Pressure Vessel Code remains state-of-the-art and appropriately consistent. Duties are (1) overseeing technical adequacy and consistency across sections through review and commenting on first consideration items, (2) providing advice and recommendations to the boards on strategic issues and R&D initiatives, (3) supervising subordinate groups charged with developing recommendations in specialized areas for consideration by the BPV Standards Committees (e.g. Subcommittee on Safety Valve Requirements), (4) maintaining the Foreword of the Code, and (5) providing other advice regarding the BPVC to the board(s) when requested by either Board.

10.2 Membership

The Chair of each BPV Standards Committee, or an alternate recommended by the Chair and approved jointly by BNCS and BPTCS, shall be an ex-officio member of the TOMC, and their membership shall be concurrent with the Chair's term of office. Additional candidates for membership on the TOMC shall be appointed by joint approval of BNCS and BPTCS. Appointments shall be for a term of 5 years.

10.3 Officers

The officers of the TOMC shall consist of a Chair, a Vice Chair, and a non-voting Secretary designated from the Standards and Certification Directorate. The Chair and Vice Chair shall be nominated by the membership of the TOMC and jointly approved by BNCS and BPTCS for a term of 3 years. If possible, one shall come from the nuclear area and the other from the pressure technology area.

11.0 Conference Groups

Because the primary function of the Boiler and Pressure Vessel Code is to promote the safety of the public, BPV Standards Committees III and XI seek the cooperation and guidance of representatives of the public and by means of conference groups as stated in 11.1, 11.2, and 11.3, below.

11.1 Conference Committee

Each State, city in the United States not covered by State Law and having a population of more than one million, and province of Canada which has adopted one (1) or more Sections of the ASME Boiler and Pressure Vessel Code and maintains a duly constituted department, bureau, or division or delegated authority for the purpose of enforcement of such Code is invited to appoint a representative to act on the Conference Committee of the BPV Standards Committees. Cities currently represented on the Conference Committee wishing to maintain continuous representation may do so even if the population falls below one million provided the requirements stated above continue to be met.

11.2 Marine Conference Group

The Marine Conference Group is composed of one (1) representative each appointed by the American Bureau of Shipping, the U.S. Coast Guard, the U.S. Department of Navy, Lloyds Register of Shipping, and the Canadian Department of Transport.

11.3 International Interest Review Group

Any national agency that has accepted one (1) or more Sections of the ASME Boiler and Pressure Vessel Code as a means of meeting regulatory requirements for which they have responsibility is invited to appoint a representative to serve on the International Interest Review Group.

12.0 Nuclear Standards Committee Outstanding Service Medal

12.1 Description of the Award

The award shall be known as the Nuclear Standards Committee Outstanding Service Medal.

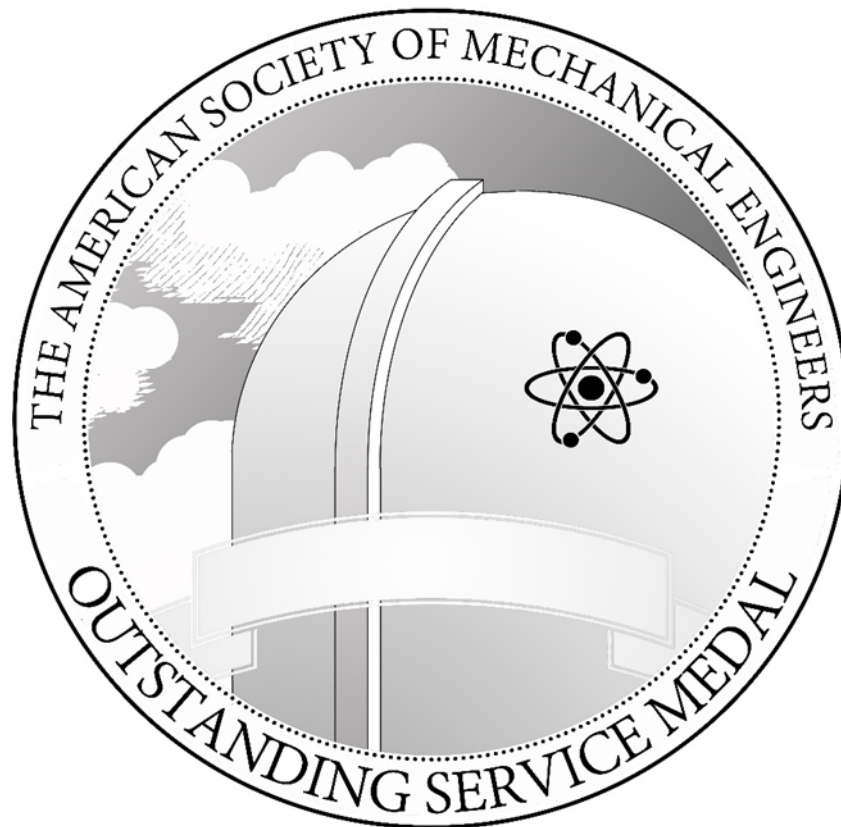
One award shall be eligible to be presented annually by each Standards Committee reporting to the Board on Nuclear Codes & Standards. The award, if presented in a given year, shall be presented to an individual for services as described below. In cases where a contribution of extraordinary merit is made by a small group and it is not desirable or practical to distinguish each individual's role, it will be permissible to recognize up to three individuals when evidence establishes all had pivotal roles in the performance of the services.

The award shall consist of an appropriately worded certificate and an ASME medal. One side of the medal shall be as depicted below, with the specific Standards Committee providing the award engraved on the banner (Blank banner in below example):

12.2 Purpose of the Award

The objective of the award is to recognize outstanding service and technical contributions rendered by an individual to the Standards Committee.

The reason for establishing the award is to broaden the circle of ASME volunteers and staff members who should be honored. Prior recipients of other ASME society-level awards (e.g., J. Hall Taylor, Melvin R. Green, Bernard F. Langer, Dedicated Service Award, etc.) are not expressly excluded from consideration of this medal.



12.3 Eligibility & Qualifications of the Recipient

Candidates for the award shall be strong contributors to the ASME Codes & Standards development process who have contributed to public safety through outstanding service or high technical achievement. This award might represent sustained contributions over a long career, but depending on the intensity of effort and nature of the achievement, outstanding technical contributions or service in administrative or liaison roles. The award is also available for individuals who have made shorter-term contributions.

Recipients of the award shall be highly regarded by peers.

No individual may receive more than one Outstanding Service Medal.

12.4 Selection Process

The selection process will be administered by the individual Standards Committee honors & award team. Whenever possible, the members of the honors & award team will be long standing committee members, preferably chosen from the ranks of individuals who have themselves already been recognized with society-level awards. It is preferred, but not mandatory that they be current or former members of the Standards Committee.

Potential recipients may be nominated by anyone familiar with their qualifications. Such nominations shall be made, in writing (including email) to honors & award team appointed by each Standards Committee and shall include the basis for nomination in sufficient details to establish qualification. Nominations shall be due by June 1 of the year in which the award

is to be presented. However each Standards Committee or honors & awards team may waive that deadline if a later nomination is received prior to the selection.

12.5 Method of Recognition

The award certificate and medal should be presented to the recipient at a Standards Committee meeting.

13.0 Guidelines for Establishment of International Working Groups (IWG)

13.1 Preface

This document is intended to provide guidance for standards committee leadership, including ASME Staff Secretaries, considering or planning the establishment of an International Working Group (IWG). IWG member-candidates, partner organizations and others are referred to ASME S&C staff for information on IWGs. General information regarding committee membership may be found in ASME's S&C procedures and training documents.

13.2 Introduction

ASME's globalization activities seek to enhance the applicability and utilization of its codes and standards around the globe. These activities often rely on cooperation and contributions by ASME's partners and stakeholders based outside the U.S., many of whom have experience, technical expertise, and distinct perspectives that enhance the global relevance of ASME's standards.

Participation by such valued stakeholders on ASME standards development committees is desired. However there are a variety of circumstances that prevent stakeholders, regardless of their geographic location, from meeting the expectations associated with "traditional" S&C committee membership. To accommodate such individuals, ASME S&C has introduced several alternative means of S&C participation. An International Working Group (IWG) is one such innovation that permits participation by a group of stakeholders based in a common geographic location outside the U.S. and unable to fulfill the attendance expectations of committees that meet principally in the U.S.

13.3 Fundamental IWG concepts

- (a) With regard to the Procedures for ASME Codes and Standards Development Committees, IWGs are identical to other subordinate groups.
- (b) The role of IWGs is like other subordinate groups (i.e. working groups, subgroups, etc.) in that they should be expected to both develop and review proposed standards actions for subsequent consideration by their respective standards committees. As with other subordinate groups, proposals developed by an IWG, such as revisions, interpretations, and Code Cases, will follow a path through the subordinate committee structure towards "consensus" consideration.

- (c) The reporting relationships and proposal development path between subordinate groups should be considered and possibly modified by the standards committee to facilitate an effective integration of the IWG into the consensus process.
- (d) Section 9 of the Guide to Procedures for ASME Codes and Standards Development Committees applies to subordinate groups including IWGs, and it summarizes the participation expectations and the voting and commenting privileges of the various categories of members. Each IWG member shall be designated as one of the member categories described in Section 9, and the participation expectations and voting and commenting privileges should not be otherwise amended for IWG members. For example, a member of an IWG is required to vote when a ballot is presented to the IWG, and invited to comment when the IWG is included in a review and comment distribution.

13.4 Key differences from other S&C subordinate groups

- (a) IWGs typically conduct their meetings in a geographic location outside of the U.S. (i.e. a country) common to its members.
- (b) IWGs are typically populated by virtue of the common geographic location, rather than a common engineering discipline or specialization, such as design, quality assurance, etc. At least initially, the IWG membership may be expected to represent a cross-section of relevant expertise.
- (c) IWGs may choose to conduct their proceedings in a language other than English. This includes IWG meeting discussions, minutes and agendas.

13.5 Geographic Basis for IWGs

The IWG concept suggests a common nationality as the basis for an IWG, however it is conceivable an IWG may support a common region (e.g. Scandinavia, Central America, etc.) A preference for a “regional IWG” may arise from a desire for an IWG with a greater number of members, a broader membership base, or other reasons. However, such an arrangement may compromise several of the intended benefits of an IWG, such as the common language and jurisdiction framework shared by its members. Also, a proposal that regional stakeholders work together may reveal national or cultural sensitivities. Therefore the viability of a “regional IWG” should be determined through careful consultation with the expected participants.

13.6 Benefits of IWGs

(a) Benefits to Standards Committees

- (i) IWGs provide additional subordinate technical resources to standards committees
- (ii) IWGs may help standards committees identify, understand and address stakeholder issues in countries or regions outside of the U.S. Examples of such issues may include:
 - Jurisdictional and regulatory differences
 - Manufacturer supply-chain and materials considerations
 - Innovative or unusual standards applications or products

(b) Benefits to IWG Members

- (i) Participation may strengthen IWG members' individual and collective understanding of ASME standards requirements and philosophy
- (ii) IWGs can alleviate several barriers to participation that prevent otherwise qualified experts from participating in the ASME S&C standard development process, such as very long distances, travel constraints, and language barriers.

(c) Benefits to global stakeholders

- (i) IWGs may facilitate discussion of ASME standards issues and experiences among local stakeholders
- (ii) As an ASME S&C body, an IWG may serve as a possible first line of support for local stakeholder's inquiries, in coordination with its standards committee and ASME staff.

(d) Benefits to ASME Standards and Certification

- (i) Improve the usability and acceptance of the ASME standards around the world
- (ii) Foster the development of potential S&C volunteer leaders

13.7 Formation of International Working Groups

(a) General

The formation of the IWG, including the appointment of its members shall be conducted in accordance with paras. 5.1 and 5.2 of the Procedures for ASME Codes and Standards Development Committees. The decision to form an IWG will likely be prompted either through an expression of interest by the standards committee or stakeholders based outside the U.S. As with other expressions of interest in S&C standards participation, ASME staff and committee leadership are expected to provide guidance to stakeholders on the variety of means available for participation, and guide the selection toward the most appropriate means based on the circumstances. If the establishment of an IWG is supported by the standards committee and stakeholders, the process should be managed

by ASME staff with close coordination with the standards committee or parent committee leadership.

(b) Assistance from local partners

Although not required, the establishment of an IWG may be facilitated by partnership with a local organization or stakeholder(s). A partner organization familiar with the range of local stakeholders and potential participants may assist in soliciting candidates for the IWG's charter membership, garnering support from employers of membership candidates, and providing logistical support for IWG meetings.

(c) Identification and appointment of IWG members

- (i) The appointment of IWG members shall be conducted in accordance with para. 5.1.1 of the Procedures for ASME Codes and Standards Development Committees.
- (ii) Establishment of an IWG should only proceed when there is confidence that there is a sufficient pool of local experts to sustain an appropriate membership size for a viable subordinate group, however an IWG may be established with the expectation that the desired membership size will be achieved subsequently.
- (iii) As with other committees, identification of candidates for IWG membership may be conducted through solicitation of stakeholder organizations and direct appeals to individuals. The activity may be undertaken by current volunteer members, staff or a designated local partner organization.
- (iv) Regardless of the means employed to identify candidates, the assessment of their qualifications and other considerations, such as confirmation of support from their employers, should be consistent with the appointment process for other subordinate groups.

(d) IWG Officers

The election or nomination of the officers of an IWG shall be conducted in accordance with Para. 5.2 of the Procedures for ASME Codes and Standards Development Committees. In particular, it is recommended to utilize the provisions permitting appointment by the Chair of the standards committee or subordinate group to which the IWG directly reports. If the appointment is conducted in accordance with those provisions, suggestions for the officer selection may be provided by the charter members or the ASME staff who are familiar with the circumstances and IWG formation.

(e) IWG Training

It is likely that, at the time of the establishment of an IWG, none of its charter members will be familiar with ASME standards development principles, procedures, processes and practices. This is a significant difference from the more commonplace formation of a

subordinate group populated with one or more members who are experienced in ASME standards development. A commitment to training and ongoing guidance in C&S development knowledge for IWG members is vital to the successful establishment of an IWG.

(f) IWG Charter

Subordinate groups typically have a charter. A template for an IWG charter is as follows:

The <country/region> International Working Group (IWG) serves as a subordinate group operating within the Charter of the <standards committee> and scope of <ASME standard title/designation>. The <country/region> IWG provides for the participation in <ASME standard title/designation> development by technical expert members based in <country/region>. The <country/region> International Working Group will:

- Initiate and process proposed standards actions for eventual consideration by <standards committee>.
- Review and provide comments on proposed revisions to the ____ <ASME standard>.
- Conduct technical and administrative activities related to <ASME standard> development in accordance with approved ASME procedures, policies, and established guidelines,
- Coordinate IWG activities with its parent committee and ASME staff.

13.8 Complimentary Standards

The provision of complimentary standards to committee members, including IWG members, is the prerogative of ASME staff.

13.9 Support from ASME Staff

- (a) ASME staff will assist IWGs to ensure that the IWG proceedings are conducted according to ASME procedures and expectations. Assistance should be provided for activities such as preparation of meeting agendas and minutes, planning of meetings, maintenance of records, and tracking progress of work items.
- (b) ASME staff shall provide training on the operation of C&S Connect, the operations of the parent committee and the requirements of the Procedures for ASME Codes and Standards Development Committees Preferably, this should be done in-person during or prior to the inaugural meeting of the IWG.

13.10 Meeting Facilities and Logistical Support for IWG Meetings

ASME bears the responsibility to provide for meeting facilities and related logistical support for its S&C groups, including IWGs. As with other subordinate groups, IWG members may offer to host meetings and provide related logistical support with assistance from their employers. Alternatively, ASME may arrange for ongoing support through a local partner

organization. In such arrangements, the local partner organization may be referred to as the “Secretariat” for the IWG.

13.11 Communication and Coordination with IWGs

- (a) The success of a subordinate group and the benefits it provides to the standards committee depend greatly on consistent and reliable communication and coordination of activities with their peer groups, parent committee and ASME staff. The following characteristics of IWGs are potential barriers to such interaction:
 - (i) IWG members are not expected to regularly attend meetings of their peer groups, parent committee or standards committee, nor are IWGs expected to conduct meetings in conjunction with those groups.
 - (ii) Members of an IWG’s parent committee and standards committee are not expected to regularly attend IWG meetings.
 - (iii) For an extended time following the establishment of an IWG, its members – including its officers – are likely to be unfamiliar with the practices of inter-committee communication and the strategic priorities of its standards committee.
- (b) Initially, many of these potential barriers may be addressed through a program of training to be arranged by ASME staff. Additionally, the IWG’s parent committee or standards committee may implement a number of practices to promote adequate communication and coordination with the IWG. Such practices may include:
 - (i) Assigning mentors to guide the IWG leadership.
 - (ii) Requiring periodic written reports on IWG meetings and key discussions. Such a report may be provided to the parent committee or standards committee in lieu of, or in addition to the meeting minutes furnished to ASME staff.
 - (iii) Requiring periodic progress reports on specific projects assigned to the IWG.
 - (iv) Communicating to IWGs and ASME staff the parent committee’s or standards committee’s expectations for productivity and work prioritization.
 - (v) Encouraging cross-meeting attendance and regular informal email communication, and fostering interpersonal relationships between members.
 - (vi) Providing useful feedback and encouragement to IWG members from the standards committee leadership.
- (c) Such practices to foster communication and coordination with IWGs should be implemented for the objective of ensuring the success of the IWG and the engagement of its members. Caution should be exercised against placing requirements on the IWG or its members that are unrealistic, needless, or inconsistent with those placed on other subordinate groups.

13.12 IWG Integration into Committee Consensus Process, Ballots, or Review and Comment Distributions

- (a) While ASME staff is expected to assume the lead role in the successful assembly, launch, training and operational support of IWGs, the standards committees also share the responsibility to provide for their ongoing success. To maintain the engagement of IWG members and derive the full benefit of the group as a technical resource, consideration should be given to enhancing the integration of the IWG into the standards development process through provisions implemented in the standards committee's processes or procedures.
- (b) Approval of proposals by relevant subordinate group(s) is often considered a prerequisite to standards committee consideration. Similar to their counterparts on other subordinate groups, IWG members possess expertise and perspectives which may enhance proposed standards actions that did not originate within the IWG. Therefore the standards committee should consider process mechanisms to permit IWG members to participate in ballots or review and comment distributions for such proposals. Para. 7.2.1 of the Procedures for ASME Codes and Standards Development Committees describes provisions for review and comment on draft proposals by technically affected parties, such as subordinate groups.

14.0 GUIDELINES FOR EVALUATING THE PERFORMANCE OF INTERNATIONAL WORKING GROUPS

14.1 Introduction

- (a) This document provides guidance to standards committee leadership, including ASME Staff Secretaries, and International Working Group (IWG) leadership on documenting, evaluating and facilitating the performance of an IWG, including the establishment of roles and expectations.
- (b) The intent of applying special provisions to evaluate the performance of IWGs is to enhance the opportunities for an IWG's success, and with consideration that unwarranted administrative burdens might hinder success. Similarly, it is suggested that performance of basic obligations by IWGs, such as convening meetings, managing individual member performance, producing and distributing minutes and agendas, and adhering to policies and procedures, does not merit increased scrutiny as compared to other subordinate groups. Therefore these guidelines generally do not address such activities.
- (c) These guidelines include the establishment of roles and objectives for IWGs. Typically, a subordinate group's role or objectives are documented in its charter. In applying these guidelines, the decision rests with standards committee whether such roles and objectives should be reflected solely in the IWG's charter or supplemented by another document. If a separate document is developed, care should be exercised to ensure it does not conflict with the group's charter.

14.2 Roles and Objectives of Subordinate Groups

Subordinate groups are commonly chartered to address a specific portion of a standard or a technical discipline described in a standard. For a subordinate group with this specific and ongoing role, the maintenance and updating of the assigned portion of the standard is a typical and straightforward basis for evaluating the performance of the group. As with other subordinate groups, an IWG may be chartered to address a specific portion of a standard. In such cases, the performance of an IWG may be assessed according to the traditional indicators of productivity.

14.3 Alternative Roles and Objectives for IWGs

- (a) Due to the nature of its membership⁸ and the hierarchy of its peer groups, IWGs often have a comparatively broad charter and are not uniquely tasked with a specific, ongoing standards development role. In such cases, alternative roles and objectives for an IWG may be considered in evaluating the group's success.
- (b) Section 13.6, "Benefits of IWGs," identifies a number of potential roles and objectives for an IWG (described as benefits). Table 14.3 below further describes some of the general roles and objectives that might be recognized as an appropriate basis for evaluating the success of an IWG. These are only examples, and it is incumbent on the parties collaborating on the establishment and operation of an IWG (standards committee leadership, including ASME Staff Secretaries, and IWG leadership) to consider if other roles and objectives apply.

⁸ See 13.4, "Key Differences from Other S&C Subordinate Groups."

Table 14.3

| Type of Roles | Role / Objective Description |
|--|---|
| Traditional Roles and Objectives for Subordinate Groups | Development of original standards action proposals |
| | Evaluation and recommendations regarding technical inquiries that support deliberation by the pertinent approval body |
| | Provision of feedback, through commenting or voting on standards action proposals developed by peer C&S groups |
| Alternative Roles and Objectives for IWGs | IWG provides additional subordinate technical resources to standards committee |
| | IWG helps standards committee identify, understand and address stakeholder issues in to the country or region served by the IWG. Examples: <ul style="list-style-type: none"> • Jurisdictional and regulatory differences • Manufacturer supply-chain and materials considerations • Innovative or unusual standards applications or products |
| | Proceedings of the IWG strengthen its members’ individual and collective understanding of the standard’s requirements and philosophy |
| | IWG operations alleviate barriers such as very long distances, travel constraints and language, that prevent otherwise qualified experts from participating in the ASME standards development process |
| | IWG facilitates discussion of ASME standards issues and experiences among local stakeholders |
| | IWG serves as a first-line support for review of local stakeholders’ inquiries, in coordination with its standards committee and ASME staff |
| | IWG contributes to development and local stakeholder comprehension of the standard to improve the usability and acceptance of the standard in their country / region |
| | IWG operation fosters the development of potential volunteer leaders for other groups/committees |

14.4 Timelines for Roles and Objectives

- (a) The timeline for fulfilling the roles and objectives should be established through agreement among the standards committee leadership, including ASME Staff Secretaries, and IWG leadership. Consideration should be given to the rate of progress that is appropriate for an IWG's established roles and objectives. In particular, it might be determined that fulfillment of alternative roles and objectives will require a considerable investment of time.
- (b) It is typical that at the time an IWG is established, its charter members will be relatively unfamiliar with ASME standards development principles, procedures, processes and practices.⁹ Depending on such circumstances, the standards committee may choose to adjust its criteria for appointments as appropriate. Adjusted criteria for appointments may be applied only during the establishment of the IWG, or for an extended time. The aggregate level of expertise of an IWG's membership should be a relevant consideration in establishing the IWG's roles and objectives and their corresponding timelines.

14.5 Setting Roles and Objectives: IWG Performance Plan

- (a) Upon the establishment of an IWG's roles and objectives and their corresponding timelines, the expectations should be documented in an IWG Performance Plan. The establishment of any roles and objectives for an IWG should be through agreement among the standards committee leadership, including ASME Staff Secretaries, and IWG leadership. Caution should be exercised against establishing expectations or requirements for an IWG or its members that are unrealistic, needless, or inconsistent with corresponding expectations applied to other subordinate groups.¹⁰
- (b) The IWG Performance Plan should also provide specific details on tactics and milestones to be employed in order to fulfill the IWG's roles and objectives. Tactics and milestones should be established through agreement among the standards committee leadership, including ASME Staff Secretaries, and IWG leadership.
- (c) The IWG Performance Plan should also describe any specific expectations or arrangements regarding communications between the IWG, its parent standards committee, ASME staff, and any designated liaisons. If communications are so described in the IWG Performance Plan, expectations for responsibility, content and frequency should also be described.
- (d) The IWG Performance Plan should also specify the frequency by which the IWG's performance will be evaluated, and the parent committee member(s) responsible for performing the evaluation. It is recommended that the IWG leadership, ASME staff, and any designated liaisons contribute to the evaluation.
- (e) It is recommended that the IWG Performance Plan be submitted to the standards committee and IWG for approval by administrative ballot.

⁹ See Section 13.7(e), "IWG Training."

¹⁰ See Section 13.11, "Communication and Coordination with IWGs."

- (f) The approved IWG Performance Plan should be provided to the standards committee leadership and full IWG membership.
- (g) In the course of periodically evaluating an IWG's performance, the IWG Performance Plan should also be reviewed to ensure any changes of expectations for roles, objectives, tactics and milestones are reflected. Implementation of revised expectations in the IWG Performance Plan should be through agreement among the standards committee leadership, including ASME Staff Secretaries, and IWG leadership. Upon revision of the IWG Performance Plan, it should again be balloted by standards committee and IWG members, and upon approval, distributed to the standards committee leadership and full IWG membership.

14.6 Fulfilling Roles and Objectives

- (a) IWG Responsibilities
 - (i) The IWG leadership should contribute to the establishment of an IWG's roles and objectives.
 - (ii) The IWG leadership should contribute to the establishment of the IWG Performance Plan.
 - (iii) The IWG leadership should be responsible for designating any liaisons, apart from those designated by the standards committee or parent committee, as specified in the IWG Performance Plan.
 - (iv) Through the leadership of its officers, the IWG should be responsible for structuring its operations to meet the expectations specified in the IWG Performance Plan. This may require specific considerations or measures regarding the development of meeting agendas, meeting frequency, membership, communications with external stakeholders and other aspects of the group's proceedings.
 - (v) The IWG should also be responsible for the timely reporting of the aspects of its proceedings intended to meet the expectations specified in the IWG Performance Plan. For example, this may include descriptions of the quantity, nature, and disposition of standards actions addressed by the IWG proceedings, or technical communications conducted with peer groups, ASME staff, designated liaisons, or other ASME standard stakeholders. Reporting should be conducted in the manner specified in the IWG Performance Plan, or at a minimum, in the IWG meeting minutes.
- (b) Standards Committee or Parent Committee Responsibilities
 - (i) Through the leadership of its officers, the standards committee should be responsible for the establishment of roles and objectives for an IWG.
 - (ii) The standards committee should be responsible for determining whether the roles and objectives established through the application of these guidelines should be reflected in the IWG's charter or in a separate document (i.e., the IWG Performance Plan).

- (iii) As deemed necessary by the application of these guidelines, the standards committee should be responsible for the establishment of an IWG Performance Plan, including all of the components of the IWG Performance Plan described in these guidelines.
 - (iv) The standards committee should also be responsible for ensuring that the IWG Performance Plan reflects the current expectations for roles, objectives, tactics and milestones established through agreement with the standards committee leadership, including ASME Staff Secretaries, and IWG leadership.
 - (v) The standards committee leadership should be responsible for designating any liaisons, apart from those designated by the IWG leadership, as specified in the IWG Performance Plan. The standards committee leadership should also be responsible for ensuring the expectations for communications by the liaisons, the IWG's parent committee and the standards committee, as described in the IWG Performance Plan, are met.
 - (vi) The standards committee leadership should be responsible for producing an evaluation of the IWG's performance as specified in the IWG Performance Plan. It is recommended that the IWG leadership, ASME staff, and any designated liaisons contribute to the evaluation.
- (c) ASME Staff Responsibilities
- (i) ASME staff should be responsible for maintenance and distribution of the IWG Performance Plan.
 - (ii) ASME staff should contribute to the establishment of an IWG's roles and objectives.
 - (iii) ASME staff should contribute to the establishment of the IWG Performance Plan.
 - (iv) ASME staff should facilitate the evaluation of IWG performance as specified in the IWG Performance Plan.
 - (v) ASME staff should facilitate the establishment of direct, recurring communications between the IWG leadership and members with standards committee leadership, peer committees and other designated liaisons.
 - (vi) ASME staff should be responsible for ensuring an evaluation of the IWG's performance is performed as specified in the IWG Performance Plan.
- (d) Shared Responsibilities for Maintaining the Engagement of IWG Members
- A subordinate group that is not well-integrated with its parent and peer committees is unlikely to succeed, and its members are unlikely to remain engaged in standards development activities without a sense of shared purpose, feedback and recognition. As with other subordinate groups, there are shared responsibilities among the standards committee, parent committee and ASME staff to maintaining the engagement of IWG members. Recommended measures include:

- Encourage and maintain frequent two-way communication between the IWG and its parent committee
- Facilitate development of peer-to-peer relationships between members of IWG and their counterparts on the parent and peer committees
- Integrate the IWG into the strategic vision and objectives of its parent committee
- Contribute to establishment and maintenance of the IWG focus and mission; assign tasks, suggest technical discussions for agendas, etc.

14.7 Example IWG Performance Plan

See Figure 14.7 for an example IWG Performance Plan.

FIGURE 14.7: Example IWG Performance Plans

Performance Plan for [Country / Region] International Working Group (IWG)

1. Roles and Objectives

The IWG is expected to help its standards committee identify, understand and address stakeholder issues in **[Country / Region]**, and contribute to the technical advancement of the codes and standards managed by the parent committee.

2. Milestones and Performance Metrics

- (a) Within each calendar year the IWG should develop at least two original standards action proposals that reflect the needs of fellow stakeholders in their country.
- (b) The IWG should evaluate all stakeholder inquiries originating in their country and provide input to support the subsequent consideration of those inquiries by the standards committee.

3. Communications

- (a) At least twice per calendar year, the IWG is expected to furnish a summary report to the standards committee via the liaisons designated by the IWG and standards committee, and the ASME Staff Secretary.
- (b) Reports should convey the number of technical topics, proposals, and inquiries presented to the IWG during its proceedings, and summarize their disposition.
- (c) Reports should also indicate the schedule of its recent and upcoming meetings.
- (d) At least once per calendar year, the report should describe the conditions of code use, code acceptance, or jurisdictional acceptance of the relevant standard.
- (e) With the support of the ASME Staff Secretary, the Standards Committee Liaison should arrange and conduct a periodic dialogue with the IWG leadership to discuss any operational, strategic and technical concerns facing the IWG. The dialogue may be conducted in person if practicable, otherwise by voice communications or email. The dialogue should be conducted at least twice per calendar year.

4. Liaisons

- (a) The Standards Committee liaison is **[Name]**.
- (b) The IWG-designated liaison is **[Name]**.

5. IWG Performance Evaluation

- (a) The Standards Committee Chair, or designee, should conduct an annual evaluation of the IWG performance, based on the objectives, tactics and milestones established in this Performance Plan. The Standards Committee Chair will also evaluate whether the roles, objectives, milestones and performance metrics established in this Performance Plan remain appropriate. The IWG Chair, ASME Staff Secretary, and the designated liaisons will be requested to contribute to the evaluation and assessment of the Performance Plan.
- (b) Evaluations will be conducted concurrent with the anniversary of the standards committee approval of this Performance Plan.
- (c) Upon completion of the evaluation, it will be furnished to the IWG Chair and Executive Committee and ASME Staff Secretary.

6. Performance Plan Approval Date

- (a) IWG: **[Date]**
- (b) Parent Committee: **[Date]**

14.8 Evaluating Performance

If the evaluation determines that aspects of the IWG's performance are unsatisfactory, it is the responsibility of the standards committee leadership to implement corrective actions, in collaboration with IWG leadership, ASME staff, and any designated liaisons. Possible corrective actions include:

- Implementation or enhancement of one or more of the recommended measures for maintaining IWG engagement, as described above
- Reevaluation of one or more parts of the IWG's charter or IWG Performance Plan
- Designation of new or additional liaisons
- Implementation of changes to IWG leadership or membership composition, including appointment of new members or removal of under-performing members
- Disbandment of the IWG.

14.9 References for Additional Consideration

Additional guidance for further enhancing the opportunities for an IWG's success may be found in Section 13 of this BNCS Manual.