

AUG 24 1994

Mr. Patrick W. Cooke  
Executive Secretary  
Interagency Committee on Standards Policy  
United States Department of Commerce  
National Institutes of Standards  
and Technology  
Gaithersburg, MD 20899-0001

Dear Mr. Cooke:

Enclosed you will find NRC input to the annual report required by OMB Circular A-119, "Federal Participation in the Development and use of Voluntary Standards." The response is structured in the format provided in your recent letter which requested input for the report. I am providing this information to you in my capacity as designated NRC Standards Executive, as defined in the Circular. I understand that this information will be integrated with that from other agencies and that the compiled annual report will be circulated for review and comment, prior to submission to the OMB, through the Interagency Committee on Standards Policy.

If you have any questions, please call me at (301) 415-6982.

Sincerely,

~~Original signed by John W. Craig~~

John W. Craig, Deputy Director  
Division of Engineering  
Office of Nuclear Regulatory Research

Enclosure: As stated

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**ENCLOSURE**

**U.S. Nuclear Regulatory Commission**  
**Input for OMB Circular A-119 Annual Report**

The U.S. Nuclear Regulatory Commission (NRC) uses voluntary standards as an integral part of its regulatory process. The NRC specifies certain voluntary standards as requirements in its regulations through the method of "incorporation by reference," and recognizes other voluntary standards through, for example, its regulatory guide series as providing acceptable methods for satisfying general provisions of the regulations. NRC recognizes the value of the broad expertise and perspectives that are drawn on in the development of a voluntary standard, and, in general, would prefer to adopt an existing voluntary standard or promote the development of a new standard rather than to unilaterally establish its own criteria. To this end, the NRC staff participates actively on over 360 voluntary standards writing committees.

Following is the NRC response to the reporting provisions of OMB Circular A-119.

- 1) The nature and extent of agency participation in the development and utilization of voluntary standards:
  - a) The number of agency employees participating in at least one standards development group: 180
  - b) The number of voluntary standards the agency has adopted since October 1, 1993, which resulted from agency participation in a standards development group: 2
    - o ASTM Method D 1888-78, "Standard Test Methods for Particulate and Dissolved Matter, Solids, or Residue in Water"
    - o APHA Method 7110, "Gross Alpha and Gross Beta Radioactivity (Total, Suspended, and Dissolved)" from Standard Methods for the Examination of Water and Wastewater.

The following ongoing activities at NRC will result in a significant number of additional new and revised standards being incorporated into the regulatory process during subsequent reporting cycles for OMB Circular A-119:

- i) Periodic Update of ASME Boiler and Pressure Vessel Code References in NRC Regulations: The NRC incorporates by reference into its regulation (i.e., 10 CFR § 50.55a, Codes and Standards) the nuclear portion of the ASME Boiler and Pressure Vessel (BPV) Code. This makes that portion of the Code, which covers construction, and inservice inspection and testing of certain components used in nuclear power plants, a requirement of the NRC regulatory process. Addenda to the ASME BPV Code are issued on an annual basis and new editions are issued every three years. The

NRC staff participates actively on many of the committees that develop the ASME BPV Code. Routinely the staff reviews the later edition and addenda for acceptability, and as appropriate updates the regulations to incorporate the latest revisions with any necessary limitations and modifications. The NRC staff is presently preparing a proposed rule that would update the references to the ASME BPV Code.

ii) NRC Adoption of ASME Code Cases: As noted above, the ASME BPV Code is, in part, incorporated by reference into the NRC regulations to serve as regulatory requirements for certain aspects of the construction and operation of components used in nuclear power plants. Annually, the ASME issues Code Cases, which provide ASME approved alternatives to the ASME BPV Code. The NRC staff reviews these Code Cases and makes a determination as to whether, with respect to other applicable regulatory criteria, they represent acceptable alternatives to the existing ASME BPV Code incorporated by reference into the regulations. The acceptability of these Code Cases is specified in three regulatory guides, i.e., Regulatory Guide (RG) 1.84 (Design), RG 1.85 (Materials), and RG 1.147 (Inservice inspection and testing). A proposed revision to each of these regulatory guides was prepared during the period from October 1, 1993, to August 1, 1994. NRC approval of the revision to each of the regulatory guides is expected during the next reporting cycle for the Circular. These revisions will result in 11 new or revised code cases being incorporated into the NRC regulatory process.

iii) Update of References to Codes and Standards in NRC Regulatory Documents: Voluntary codes and standards are incorporated into many NRC regulatory documents. This includes NRC Regulations, Bulletins, Information Notices, Generic Letters, Regulatory Guides, and the Standard Review Plan. A program is being implemented to systematically identify all references to voluntary codes and standards in these and other documents to permit an evaluation of the need to update the existing references. This is an ongoing process and it is expected that future reports for the Circular will identify specific codes and standards whose references have been revised as a result of this effort. Organizations whose standards are referenced in NRC documents include:

- American Concrete Institute
- American Institute of Steel Construction
- American Nuclear Society
- American National Standards Institute
- American Petroleum Institute
- Acoustical Society of America
- American Society of Civil Engineers
- American Society of Mechanical Engineers
- American Society for Nondestructive Testing
- American Society for Testing and Materials

- American Welding Society
- American Water Works Association
- Crane Manufacturers Association of America
- Diesel Engine Manufacturers Association
- Health Physics Society
- Institute of Electrical and Electronics Engineers
- Instrument Society of America
- Manufacturers Standards Society
- National Concrete and Masonry Association
- National Council on Radiation Protection
- National Electrical Manufacturers Association
- National Electrical Testing Association
- National Institute for Occupational Health and Safety
- National Fire Protection Association
- National Rifle Association

- c) The number of standards the agency has replaced with appropriate voluntary standards as a result of reviewing existing standards per the five year review cycle specified in paragraph 8b.(3) of the Circular: None. [Note: NRC's use of voluntary standards in its regulatory process is a stable program. While additional standards are occasionally added to the process, it is more common to update references to incorporate the later versions of referenced standards; see Item (b), above.]

- 2) Identification of any voluntary standards that have been adopted for the purpose of promoting environmentally sound and energy efficient materials, products, systems, services or practices:

The NRC Division of Facilities and Property Management (DFPM) develops and implements programs to meet energy reduction goals as prescribed in the Energy Policy Act of 1992. State-of-the-art technology is used at the NRC two building complex to maximize energy efficiency for the heating, ventilation, and air conditioning (HVAC) system. Both buildings are equipped with computerized energy management systems that monitor and operate the systems in accordance with American Society of Heating, Refrigeration, Air Conditioning Engineers (ASHRAE) energy efficiency standards. The NRC is implementing programs that promote use of Potomac Electric Power Co.'s (PEPCO) Power Watchers and Green Lights guidelines, and Washington Suburban Sanitary Commissions' (WSSC) Water Conservation Program.

- 3) In addition, each agency should address its current or planned implementation of the provisions of the revised Circular. In particular, this should include name, title, address and telephone no. of the agency Standards Executive and steps taken (or to be taken) as to how the executive's agency-wide responsibilities are to be carried out:

- a) The Standards Executive for the NRC is:

John W. Craig  
Deputy Director, Division of Engineering  
Office of Nuclear Regulatory Research  
Mail Stop T-10 D20  
U.S. Nuclear Regulatory Commission  
Washington, DC 20555

Telephone: (301) 415-6982  
Internet: jwcl@nrc.gov

- b) Establishing agency views on standard issues and decisions.

Agency views on revisions to standards are developed in what amounts to a two part process. The first part involves NRC staff participation in codes and standards organizations. This part applies to a significant portion of the standards activities in which the staff is engaged. It involves development of ballot positions by NRC staff committee members through a process that includes discussing the issue with other cognizant NRC Headquarters and Regional staff. This coordination of views continues as the revision is elevated through the committee process to other staff committee members, and is final balloted by the standards development organization's lead (e.g., consensus) committee. The positions established in this manner by the staff participants on the various committees do not represent formal staff positions. They represent the positions of the staff members on each committee, recognizing that they bring to the process an NRC perspective.

The second part of the process establishes a formal NRC position. This is universally implemented and occurs when a standard is incorporated by reference into a regulation, regulatory guide, technical position, or other generic regulatory document. The implementing regulatory document and appropriate supporting regulatory analysis, which addresses cost-benefit aspects of using the standard as a requirement or as an alternative to an existing requirement, are prepared for formal NRC review and approval. Following an appropriate public comment period and resolution of comments, the item is resubmitted for NRC review and approval for final issuance and for use of the standard in the regulatory process.

Additional details of this two-step process are provided in the response to Item (c), below.

c) Coordinating participation within the agency and with others.

The two-part process noted above for establishing staff positions on standards has various mechanisms for coordination. For example, staff positions for committee ballot actions are coordinated by a meeting of the cognizant staff, which is held the week prior to meetings of ASME codes and standards writing committees. The purpose of this coordination meeting is to exchange views and background information on proposed revisions for the purpose of providing the staff committee member with a basis for establishing a ballot position. Further, a record is provided in trip reports of individual staff ballot actions as items move through the standards development process to successively higher standards writing committees. Information gained at each level is factored into the staff committee member for each subsequent ballot action.

The formal NRC position on the standard is established when the published standard is incorporated into an NRC regulation, regulatory guide, or other generic regulatory document. Assurance that a specific standard is incorporated into the regulatory process consistent with related standards and other criteria used by the NRC is one of the responsibilities of the NRC Committee for Review of Generic Requirements (CRGR). The CRGR, which is comprised of NRC senior managers, is responsible for ensuring that an adequate basis exists for imposing a specific standard as a requirement, and for ensuring that standards that are proposed as acceptable alternatives to existing requirements do not permit an unacceptable relaxation.

In order to coordinate the assignment of NRC staff on voluntary standards committees, all appointments to and resignations from voluntary standards committees are approved and issued by the NRC Director of Nuclear Regulatory Research. This follows concurrence by the NRC Standards Executive and other senior level management.

d) Meeting reporting requirements.

In the past, trip reports prepared by NRC staff participating on ASME codes and standards writing committees have been compiled and submitted as a single report under the signature of a cognizant branch chief. In the future, this report will be issued under the signature of the NRC Standards Executive to establish a focus for coordinating information for future OMB Circular A-119 annual reports. It is anticipated that, in the future, this process will be expanded to include coordination of staff reports for participation on other codes and standards writing committees.

The NRC Standards Executive has assigned specific staff to coordinate the gathering and compiling of NRC-wide information necessary to satisfy OMB Circular A-119 reporting requirements.

- e) Establishing a procedure to ensure a 5-year standards review cycle, when applicable.

NRC staff are continually alert to the need to identify voluntary standards whose references need to be updated in regulatory documents, and to incorporate new standards in lieu of staff developed criteria where acceptable or no standards previously existed. This is an ongoing process, which is consistent with the extensive participation of NRC staff on voluntary standards committees. For this reason, it is not intended to implement a specific 5-year review program. A summary of the results of the ongoing process as it affects the NRC use of voluntary standards will be reported on an annual basis.