



DRAFT REGULATORY GUIDE

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DRAFT REGULATORY GUIDE DG-1233

(Proposed Revision 4 of Regulatory Guide 1.193, dated October 2010)

ASME CODE CASES NOT APPROVED FOR USE

A. INTRODUCTION

Purpose

This regulatory guide lists the American Society of Mechanical Engineers (ASME) Code Cases that the U.S. Nuclear Regulatory Commission (NRC) has determined not to be acceptable for use on a generic basis. *This regulatory guide does not approve the use of the Code Cases listed herein.*

Applicable Rules and Regulations

In Title 10, Part 50, of the *Code of Federal Regulations* (10 CFR Part 50), "Domestic Licensing of Production and Utilization Facilities" (Ref. 1), Section 50.55a(c), "Reactor Coolant Pressure Boundary," requires, in part, that components of the reactor coolant pressure boundary be designed, fabricated, erected, and tested in accordance with the requirements for Class 1 components of Section III, "Rules for Construction of Nuclear Power Plant Components," of the ASME Boiler and Pressure Vessel (BPV) Code (Ref. 2) or equivalent quality standards. Section 50.55a(f), "Inservice Testing Requirements," requires, in part, that Class 1, 2, and 3 components and their supports meet the requirements of the ASME "Operation and Maintenance of Nuclear Power Plants (OM Code) (Ref. 3) or equivalent quality standards. Finally, 10 CFR 50.55a(g), "Inservice Inspection Requirements," requires, in part, that Class 1, 2, 3, MC (metal containment), and CC (concrete containment) components and their supports meet the requirements of Section XI, "Rules for Inservice Inspection of Nuclear Power Plant Components," of the ASME BPV Code or equivalent quality standards.

This regulatory guide is being issued in draft form to involve the public in the early stages of the development of a regulatory position in this area. It has not received final staff review or approval and does not represent an official NRC final staff position. Public comments are being solicited on this draft guide and its associated regulatory analysis. Comments should be accompanied by appropriate supporting data. Written comments may be submitted through the federal government rulemaking Web site at <http://www.regulations.gov>. Alternatively, written comments may be submitted to the Rules, Announcements, and Directives Branch, Office of Administration, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001; or faxed to (301) 492-3446. Comments must be submitted by September 9, 2013.

Electronic copies of this draft regulatory guide, previous versions of this guide, and other recently issued guides are available through the NRC's public Web site under the Regulatory Guides document collection of the NRC Library at <http://www.nrc.gov/reading-rm/doc-collections/reg-guides/>. The draft regulatory guide is also available through the NRC's Agencywide Documents Access and Management System (ADAMS) at <http://www.nrc.gov/reading-rm/adams.html>, under Accession No ML13114A948.

Historically, the ASME has published a new edition of the BPV and OM Codes every 3 years and new addenda every year. The latest editions and addenda of Section III, Section XI, and the OM Code that the U.S. Nuclear Regulatory Commission (NRC) has approved for use by licensees are referenced in 10 CFR 50.55a(a). The ASME also publishes Code Cases for Section III and Section XI quarterly, and Code Cases for the OM Code yearly. Code Cases provide alternatives to the ASME Code that are developed and approved by the ASME.

The NRC staff has reviewed Section III and Section XI Code Cases listed in Supplements 1 □ 10 to the 2007 Edition. Draft Revision 36 of Regulatory Guide 1.84, “Design, Fabrication, and Materials Code Case Acceptability, ASME Section III” (Ref. 4), and Draft Revision 17 of Regulatory Guide 1.147, “Inservice Inspection Code Case Acceptability, ASME Section XI, Division 1” (Ref. 5), have been published concurrently with this guide to identify the Code Cases that the NRC has determined to be acceptable alternatives to applicable parts of Section III and Section XI. The NRC staff has reviewed the OM Code Cases listed in the 2002 Addenda through the 2006 Addenda. Draft Revision 1 of Regulatory Guide 1.192, “Operation and Maintenance Code Case Acceptability, ASME OM Code” (Ref. 6), has also been published concurrently with this guide to identify the Code Cases that the NRC has determined to be acceptable alternatives to applicable parts of the OM Code.

Purpose of Regulatory Guides

The NRC issues regulatory guides to describe to the public methods that the staff considers acceptable for use in implementing specific parts of the agency’s regulations, to explain techniques that the staff uses in evaluating specific problems or postulated accidents, and to provide guidance to applicants. Regulatory guides are not substitutes for regulations and compliance with them is not required. Methods and solutions that differ from those set forth in regulatory guides will be deemed acceptable if they provide a basis for the findings required for the issuance or continuance of a permit or license by the Commission.

Paperwork Reduction Act

This regulatory guide does not contain new or amended information collection requirements subject to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.) (Ref. 7). Existing information collection requirements were approved by the Office of Management and Budget, control number 3150-0011. The NRC may neither conduct nor sponsor, and a person is not required to respond to, an information collection request or requirement unless the requesting document displays a currently valid OMB control number.

B. DISCUSSION

Reason for Revision

This revision (Revision 4) of RG 1.193 includes new information for Section III and Section XI Code Cases listed in Supplements 1-10 to the 2007 Edition, and the OM Code Cases listed in the 2002 Addenda through the 2006 Addenda. This is an update to RG 1.193 Revision 3 that included information from Supplements 2-11 to the 2004 Edition, and Supplement 0 to the 2007 Edition.

Background

This regulatory guide lists the code Cases that the NRC has determined not to be acceptable for use on a generic basis. A brief description of the basis for the determination is provided with each Code Case. Licensees may submit a request to implement one or more of the Code Cases listed below through 10 CFR 50.55a(z), which permits the use of alternatives to the Code requirements referenced in 10 CFR 50.55a, provided that the proposed alternatives result in an acceptable level of quality and safety. Licensees must submit a plant-specific request that addresses the NRC's concerns about the Code Case at issue.

C. STAFF REGULATORY GUIDANCE

Licensees may not implement Code Cases from Section III and Section XI Code listed in Supplements 1 – 10 to the 2007 Edition, and the OM Code Cases listed in the 2002 Addenda through the 2006 Addenda that are listed in this guide without prior NRC approval.

1. Unacceptable Section III Code Cases

The NRC determined that the following Section III Code Cases are unacceptable for use by licensees in their Section III design and construction programs. To assist users, new and revised Code Cases are shaded to distinguish them from those approved in previous versions of this guide. The shading will assist in focusing attention during the public comment period on the changes to the guide.

Table 1. Unacceptable Section III Code Cases

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-284-1	<p><i>Metal Containment Shell Buckling Design Methods, Section III, Division 1, Class MC</i></p> <p>(1) The following errata, misprints, recommendations, and errors have been identified:</p> <ul style="list-style-type: none"> ▪ Fig. 1511.1, The curve for α_{0L} should not exceed 0.8 for any value of (R/t). ▪ -1512, The statement “See Fig. 1512-1 then see -1713.1.2 for method of calculating M” should be rephrased as: “See -1713.1.2 for method of calculating M, then see Fig. -1512-1.” ▪ -1513, Recommend “Use the value of α_{il} given for spherical shells in accordance with -1512.” ▪ -1521, (i) In (a) <i>Axial Compression</i>, “$\alpha_{0G} = \alpha_{0L}$” should be changed to “$\alpha_{\phi G} = \alpha_{\phi L}$.” (ii) The source of the equations shown under “(a) <i>Axial Compression</i>” provided separate instability equations for stringer-stiffened and ring-stiffened cylindrical shells. The Code Case adopted the instability equations pertaining to ring-stiffened shells, which are less conservative than those for stringer instability, for both ring and/or stringer stiffened cylindrical shells. Is this the intent? (Ref. 8). ▪ -1712.1.1, The equation “$C_{0h} = 0.92/(M_0 - 0.636)$” should be changed to “$C_{0h} = 0.92/(M_{\phi} - 0.636)$.” ▪ -1712.1.1-1, The leftmost curve should be labeled C_{0h}. ▪ -1712.2.2, (a) <i>Axial Compression</i>, (i) In the formula for $\sigma_{\phi ej}$, the denominator should be $(m\pi/L_j)^2 \cdot t_{\phi}$. (ii) The expressions for C_{ϕ} and C_0 should be separated. ▪ -1712.2.3, (i) The factor 1.944 in an older edition has been changed to 2.00. No basis is apparent. (ii) The misprint “$t_1^{1/4}$” should be corrected to “$t_1^{1/2}$”. ▪ -1713.1.1, (i) The equation “$\sigma_{ra} = \alpha_{\phi 0} \cdot \sigma_{\phi 0el} / FS$” should be changed to “$\sigma_{ra} = \alpha_{\phi 0L} \cdot \sigma_{\phi 0el} / FS$.” (ii) The title of (c) should be changed to “<i>Axial Compression Plus In-Plane Shear.</i>” ▪ -1713.1-1, In (b), the lower value “$K_s = \sigma_{ra}$” on the vertical axis should be changed to “$K_s = \sigma_{ha}$.” ▪ -1713.2.1, (i) The headings for (b) and (c) should include the words “<i>In-Plane.</i>” (ii) In (b) “<i>Axial Compression Plus Shear,</i>” “σ_0” should be changed to “σ_{ϕ}.” 	5/9/03

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-284-1 (cont'd)	<i>Metal Containment Shell Buckling Design Methods, Section III, Division 1, Class MC</i>	5/9/03
	<p>(2) Applicants intending to use Code Case N-284-1 shall submit a request to the NRC staff for its review and approval on a plant-specific basis.</p> <p>(3) The rules applicable to evaluate the buckling and instability of containment shells for Section III, Division 3, are under development. Currently, use of Code Case N-284-1 by licensees for storage canisters and transportation casks is permissible provided it has been reviewed and approved by the NRC</p>	
N-483-2 N-483-3	<i>Alternative Rules to the Provisions of NCA-3800, Requirements for Purchase of Material, Section III, Divisions 1 and 3</i>	5/7/99 2/25/02
	The Code Case lacks sufficient detail to ensure that the supplied material is as represented by the Certified Material Test Report.	
N-510 N-510-1	<i>Borated Stainless Steel for Class CS Core Support Structures and Class 1 Component Supports, Section III, Division 1</i>	12/9/93 8/14/01
	No technical basis was provided for expanding the Code Case to include borated stainless steel Types 304B, 304B1, 304B2, and 304B3. A considerable amount of information was required to support the types presently contained in the Code Case. The revised Code Case would permit borated stainless steel to be used for component supports within the reactor vessel. The technical basis to support the Code Case only addresses the use of these materials as component supports in spent fuel racks and transportation casks.	
N-519	<i>Use of 6061-T6 and 6061-T651 Aluminum for Class 1 Nuclear Components</i>	Annulled 2/3/03
	Code Case is applicable to only one DOE aluminum vessel.	
N-530	<i>Provisions for Establishing Allowable Axial Compressive Membrane Stresses in the Cylindrical Walls of 0-15 Psi Storage Tanks, Classes 2 and 3</i>	2/3/03
	There are numerous errors in the equations. The errors must be corrected before the Code Case can be approved for use.	

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-565	<p><i>Alternative Methods of Nozzle Attachment for Class 1 Vessels</i></p> <p>The Code Case essentially requires a design using a seal to protect the threads from the contained fluid, and seals are not a Code item. The seal, which plays a very important part in the integrity of the joint, imposes too great a vulnerability in the design. The supporting information for the Code Case does not demonstrate the resulting threaded nozzle configuration is equivalent in integrity to that of a welded connection.</p>	12/3/99
N-595 N-595-1 N-595-2 N-595-3 N-595-4	<p><i>Requirements for Spent Fuel Storage Canisters, Section III, Division 1</i></p> <p>Regulatory approval for the use of multi-purpose casks is presently addressed by the NRC Spent Fuel Project Office Interim Staff Guidance No. 4 (ISG-4), Rev. 1 (Ref. 9), and Interim Staff Guidance No. 18 (ISG-18), Rev. 1 (Ref. 10). The interim staff guidance provides a framework to ensure that the cask system, as designed, and when fabricated and used in accordance with the conditions specified in its Certificate of Compliance, meets the requirements of 10 CFR Part 72, "Licensing Requirements for the Independent Storage of Spent Nuclear Fuel, High-Level Radioactive Waste, and Reactor-Related Greater than Class C Waste" (Ref. 11). It should be noted that Code Case N-717 replaces Code Case N-595-X.</p>	2/26/99 9/24/99 12/8/00 04/08/02 5/12/04
N-645 N-645-1	<p><i>Use of Rupture Disk Devices on Nuclear Fuel Storage Canisters, Class 1, Section III, Division 1</i></p> <p>The NRC does not permit the use of rupture disk devices in spent nuclear fuel storage canister designs.</p>	6/14/00 2/3/03

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-659 N-659-1	<p><i>Use of Ultrasonic Examination in Lieu of Radiography for Weld Examination, Section III, Division 1</i></p> <p>The NRC proposed to conditionally approve Code Case N-659 in Draft Regulatory Guide DG-1133 (proposed Revision 34 of Regulatory Guide 1.84), which was published for public comment on October 27, 2006 (71 FR 62947). The NRC's issues and proposed conditions were discussed in the statement of considerations for the proposed rule. The public comments discussed a number of concerns with the proposed conditions. Given the number of issues raised by NRC staff and the concerns expressed in the public comments, the NRC determined that a more effective approach for developing a suitable performance demonstration program was to work with ASME International to resolve the issues. Accordingly, the NRC is not going to endorse Code Case N-659 or Code Case N-659-1 at this time. NRC staff continue to interact with the cognizant ASME committees, and the industry is working to provide additional data and information.</p>	9/17/02 11/18/03
N-659-2	<p><i>Use of Ultrasonic Examination in Lieu of Radiology for Weld Examination, Section III, Divisions 1 and 3</i></p> <p>The NRC is not going to endorse Code Case N-659-2 at this time. Research is currently being conducted on a number of issues with respect to using ultrasonic testing (UT) to replace radiographic testing (RT). While preliminary results suggest that replacement of RT with UT may be feasible, the interchangeability of these techniques has not yet been fully demonstrated, UT acceptance criteria for fabrication/construction weld inspection have not yet been adequately defined, and the applicability of UT in the presence of high levels of acoustic noise such as that found in austenitic materials is not fully understood. The impact and implications of the expanded examination volume (full-thickness) required for UT for fabrication/construction must also be addressed.</p> <p>In addition, the Code Case would allow the examinations to be performed in accordance with Section V, Article 5 up to and including the 2001 Edition or Article 4 for later edition and addenda. The reliability UT performed to the provisions of Section V has been shown to be inferior to UT techniques developed through a program where the performance characteristics have been shown to be sufficient and reliable.</p>	6/07E

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-659-2 (cont'd)	<i>Use of Ultrasonic Examination in Lieu of Radiography for Weld Examination, Section III, Division 1</i>	6/07E
	<p>Furthermore, the qualification specimens do not specify an adequate number of flaws required to be in the sample set, the required flaw distribution within the specimen, nor the required size distribution within the specimen. Therefore, performance demonstration requirements including acceptance criteria for UT equipment, procedures, and personnel used for construction/fabrication activities must be addressed.</p> <p>Until studies are complete that demonstrate the ability of UT to replace RT for fabrication/construction, the NRC will not endorse UT in lieu of RT Code Cases or generically allow the substitution of UT in lieu of RT for fabrication/construction examinations.</p>	
N-670	<i>Use of Ductile Cast Iron Conforming to ASTM A 874/ A 874M-98 or JIS G5504-1992 for Transport Containments, Section III, Division 3</i>	7/01/05
	The NRC has not yet endorsed Section III, Division 3, "Containments for Transportation and Storage of Spent Nuclear Fuel and High Level Radioactive Material and Waste." Thus, it would not be appropriate to approve a Code Case that is an alternative to the Section III, Division 3, provisions.	
N-673	<i>Boron Containing Power Metallurgy Aluminum Alloy for Storage and Transportation of Spent Nuclear Fuel, Section III, Division 1</i>	8/7/03
	<p>The Code Case does not address the following:</p> <ol style="list-style-type: none"> (1) Corrosion properties of this material in spent fuel pool chemistry and/or clean water. (2) Impact properties for use as a structural material. (3) Uniform distribution of boron carbide in the aluminum matrix. (4) Mechanical properties for the use of the material in high-temperature conditions. 	
N-693	<i>Alternative Method to the Requirements of NB-3228.6 for Analyzing Piping Subjected to Reversing Dynamic Load, Section III, Division 1</i>	5/21/03
	The Code Case would permit the use of the design, service, and test limits in Paragraph NB-3656(b) for Level D Service Limits. The limits in Paragraph NB-3656(b) are prohibited per 10 CFR 50.55a(b)(1)(iii).	

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-707	<i>Use of SA-537, Class 1 Plate Material for Spent-Fuel Containment Internals in Non-pressure Retaining Applications Above 700°F (370°C), Section III, Division 3</i>	11/02/04
	The NRC has not yet endorsed Section III, Division 3, “Containments for Transportation and Storage of Spent Nuclear Fuel and High Level Radioactive Material and Waste.” Thus, it would not be appropriate to approve a Code Case that is an alternative to the Section III, Division 3, provisions.	
N-717	<i>Requirements for Construction of Storage Containments for Spent Nuclear Fuel and High Level Radioactive Waste and Material, Section III, Division 3</i>	5/04/4
	<p>The NRC has not yet endorsed Section III, Division 3, “Containments for Transportation and Storage of Spent Nuclear Fuel and High Level Radioactive Material and Waste.” Thus, it would not be appropriate to approve a Code Case that is an alternative to the Section III, Division 3, provisions.</p> <p>The provisions of the Code Case are copied from the July 1, 2005, addenda to Section III, Division 3. The changes to the ASME Code contained in the addenda are scheduled to be reviewed by the NRC staff in FY 2009. The Code Case is listed in this guide pending the results of the NRC staff review.</p>	
N-721	<i>Alternative Rules for Linear Piping Supports, Section III, Division 1</i>	7/07E
	<p>Code Case N-721 allows the use of ANSI/AISC N690L-03, “Load and Resistance Factor Design (LRFD) Specification for Safety-Related Steel Structures for Nuclear Facilities.” ANSI/AISC N690L-03 provides an alternative method of design to that given in ANSI/AISC N690-1994, “Specification for the Design, Fabrication, and Erection of Safety-Related Steel Structures for Nuclear Facilities,” including Supplement No. 2, which is based on Allowable Stress Design (ASD) specification.</p> <p>The LRFD method is a probabilistic method developed to provide uniform practice in the design of steel structures for nuclear facilities. The LRFD method uses many factors including one factor per resistance, and one factor for each of the different load types whereas the ASD method uses one factor of safety. The ASD method is a deterministic and normally conservative method and has been approved by the NRC for use in the design of new reactors.</p>	

CODE CASE NUMBER	TABLE 1 UNACCEPTABLE SECTION III CODE CASES	DATE OR SUPPLEMENT/ EDITION
	SUMMARY	
N-721 (cont'd)	<i>Alternative Rules for Linear Piping Supports, Section III, Division 1</i>	7/07E
	The LRFD method continues to undergo development. Code Case N-721 was developed based on N690L-03 which has subsequently been superseded by N690L-06. Thus, the Code Case is not up-to-date. In addition, questions regarding uncertainty remain with regard to the probabilistic treatment of loads and resistances. Thus, the LRFD method has not yet been approved by the NRC for use in the design of new reactor facilities.	
N-728	<i>Use of ASTM B 932-04 Plate Material for Nonpressure Retaining Spent Fuel Containment Internals to 650°F (343°C), Section III, Division 3</i>	10/11/05
	The NRC has not yet endorsed Section III, Division 3, "Containments for Transportation and Storage of Spent Nuclear Fuel and High Level Radioactive Material and Waste." Thus, it would not be appropriate to approve a Code Case that is an alternative to the Section III, Division 3, provisions.	
N-755	<i>Use of Polyethylene (PE) Plastic Pipe, Section III, Division 1 and XI</i>	1/07E
	Issues have been raised concerning joining methods, qualification and testing as related to joining procedure, the effectiveness of non-destructive examination (NDE) to detect fabrication flaws, potential degradation processes and susceptibility, and the ability of NDE to detect service-related degradation. The NRC believes that additional technical studies are required to assess these issues and make a final regulatory decision. NRC staff continues to interact with the cognizant ASME committees, and the industry is working to provide additional data and information.	

2. Unacceptable Section XI Code Cases

The NRC determined that the following Section XI Code Cases are unacceptable for use by licensees in their Section XI inservice inspection programs. To assist users, new and revised Code Cases are shaded to distinguish them from those approved in previous versions of this guide. The shading will assist in focusing attention during the public comment period on the changes to the guide.

Table 2. Unacceptable Section XI Code Cases

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-465 N-465-1	<i>Alternative Rules for Pump Testing, Section XI, Division 1</i>	11/30/88 Annulled 2/14/03
	The draft standard referenced in the Code Case is outdated. The requirements contained in the OM Code, "Code for Operation and Maintenance of Nuclear Power Plants," should be used. Note that Revision 12 of Regulatory Guide 1.147 (Ref. 5) approved N-465 for use. The disapproval of N-465 for use applies only to new users.	
N-473 N-473-1	<i>Alternative Rules for Valve Testing, Section XI, Division 1</i>	3/8/89 Annulled 2/14/03
	The draft standard referenced in the Code Case is outdated. The requirements contained in the OM Code, "Code for Operation and Maintenance of Nuclear Power Plants," should be used. Note that Revision 12 of Regulatory Guide 1.147 (Ref. 5) approved N-473 for use. The disapproval of N-473 for use applies only to new users.	
N-480	<i>Examination Requirements for Pipe Wall Thinning Due to Single Phase Erosion and Corrosion, Section XI, Division 1</i>	Annulled 9/18/01
	Code Case has been superseded by Code Case N-597, "Requirements for Analytical Evaluation of Pipe Wall Thinning," implemented in conjunction with NSAC-202L, "Recommendations for an Effective Flow-Accelerated Corrosion Program" (Ref. 12).	
N-498-2 N-498-3	<i>Alternative Requirements for 10-Year System Hydrostatic Testing for Class 1, 2, and 3 Systems, Section XI, Division 1</i>	6/9/95 5/20/98
	Code Case N-498-4 is conditionally approved in Revision 13 of Regulatory Guide 1.147 (Ref. 5). Those licensees choosing to implement this Code Case are to implement Revision 4, which is listed in Revision 15 of Regulatory Guide 1.147.	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-532-2	<i>Alternative Requirements to Repair and Replacement Documentation Requirements and Inservice Summary Report Preparation and Submission as Requested by IWA-4000 and IWA-6000, Section XI, Division 1</i>	7/23/02
	<p>The following concerns were identified during review of the Code Case:</p> <ol style="list-style-type: none"> (1) The Code Case references new paragraph IWA-6350, which has not yet been incorporated into the ASME Code. (2) NRC staff had difficulty reconciling Footnote 1 and Table 4 regarding the applicable edition and addenda. (3) Submission of Form OAR-1 is at the end of each inspection period, rather than 90 days following the outage. 	
N-542	<i>Alternative Requirements for Nozzle Inside Radius Section Length Sizing Performance Demonstration, Section XI, Division 1</i>	Annulled 3/28/01
	Code Case N-542 was subsumed by Code Case N-552, "Alternative Methods–Qualification for Nozzle Inside Radius Section from the Outside Surface," which is being implemented by licensees. Thus, there is no need to approve Code Case N-542.	
N-547	<i>Alternative Examination Requirements for Pressure Retaining Bolting of Control Rod Drive (CRD) Housings, Section XI, Division 1</i>	Annulled 5/20/01
	Code Case N-547 states that the examination of CRD housing bolts, studs, and nuts is not required. However, 10 CFR 50.55a(b)(2)(xxi)(B) required the examination of CRD bolting material whenever the CRD housing is disassembled and the bolting material is to be reused. Examination of CRD bolting material is required to verify that service-related degradation has not occurred, or that damage such as bending and galling of threads has not occurred when performing maintenance activities that require the removal and reinstallation of bolting.	
N-560 N-560-1 N-560-2	<i>Alternative Examination Requirements for Class 1, Category B-J Piping Welds, Section XI, Division 1</i>	8/9/96 2/26/99 2/14/03
	<ol style="list-style-type: none"> (1) The Code Case does not address inspection strategy for existing augmented and other inspection programs such as intergranular stress corrosion cracking (IGSCC), flow-assisted corrosion (FAC), microbiological corrosion (MIC), and pitting. (2) The Code Case does not provide system-level guidelines for change in risk evaluation to ensure that the risk from individual system failures will be kept small and dominant risk contributors will not be created. 	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-561 N-561-1	<i>Alternative Requirements for Wall Thickness Restoration of Class 2 and High Energy Class 3 Carbon Steel Piping, Section XI, Division 1</i>	12/31/96 3/28/01
	Neither the ASME Code nor the Code Case have criteria for determining the rate or extent of degradation of the repair or the surrounding base metal. Reinspection requirements are not provided to verify structural integrity since the root cause may not be mitigated.	
N-562 N-562-1	<i>Alternative Requirements for Wall Thickness Restoration of Class 3 Moderate Energy Carbon Steel Piping, Section XI, Division 1</i>	12/31/96 3/28/01
	Neither the ASME Code nor the Code Case have criteria for determining the rate or extent of degradation of the repair or the surrounding base metal. Reinspection requirements are not provided to verify structural integrity since the root cause may not be mitigated.	
N-574	<i>NDE Personnel Recertification Frequency, Section XI, Division 1</i>	Annulled 7/14/06
	Based on data obtained by the NRC staff during its review of Appendix VIII, "Performance Demonstration for Ultrasonic Examination Systems," to Section XI, the NRC staff noted that proficiency decreases over time. The data do not support recertification examinations at a frequency of every 5 years.	
N-575	<i>Alternative Examination Requirements for Full Penetration Nozzle-to-Vessel Welds in Reactor Vessels with Set-On Type Nozzles, Section XI, Division 1</i>	2/14/03
	The supporting basis for the Code Case applies to the specific configuration of one plant and is not applicable on a generic basis. In addition, there are insufficient controls on stress and operating conditions to permit a generic reduction in examination volume. Finally, the boundaries of the volume of the weld, cladding, and heat affected zone from Figure 2 are ambiguous.	
N-577 N-577-1	<i>Risk-Informed Requirements for Class 1, 2, and 3 Piping, Method A, Section XI, Division 1</i>	9/2/97 2/14/03
	<ol style="list-style-type: none"> (1) The Code Case does not address inspection strategy for existing augmented and other inspection programs such as IGSCC, FAC, MIC, and pitting. (2) The Code Case does not provide system-level guidelines for change in risk evaluation to ensure that the risk from individual system failures will be kept small and dominant risk contributors will not be created. 	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-578 N-578-1	<i>Risk-Informed Requirements for Class 1, 2, and 3 Piping, Method B, Section XI, Division 1</i>	9/2/97 2/14/03
	<p>(1) The Code Case does not address inspection strategy for existing augmented and other inspection programs such as IGSCC, FAC, MIC, and pitting.</p> <p>(2) The Code Case does not provide system-level guidelines for change in risk evaluation to ensure that the risk from individual system failures will be kept small and dominant risk contributors will not be created.</p>	
N-587	<i>Alternative NDE Requirements for Repair/Replacement Activities, Section XI, Division 1</i>	Annulled 2/14/03
	The NRC believes this Code Case is in conflict with the review process for approval of alternatives under 10 CFR 50.55a(z). The Code Case would permit a licensee and the Authorized Nuclear Inspector to choose unspecified alternatives to regulatory requirements.	
N-589 N-589-1	<i>Class 3 Nonmetallic Cured-in-Place Piping, Section XI, Division 1</i>	4/19/02 7/23/02
	<p>(1) The installation process provides insufficient controls on wall thickness measurement.</p> <p>(2) There are no qualification requirements for installers and installation procedures such as those for welders and welding procedures.</p> <p>(3) Fracture toughness properties of the fiberglass are such that the cured-in-place piping (CIPP) could crack during a seismic event.</p> <p>(4) Equations 4 and 5 in the Code Case contain an “i” term [a stress intensification factor] that is derived from fatigue considerations. Stress intensification factors, however, have not been developed for fiberglass materials.</p>	
N-590	<i>Alternative to the Requirements of Subsection IWE, Requirements for Class MC and Metallic Liners of Class CC Components of Light-Water Cooled Plants, Section XI, Division 1</i>	Annulled 4/8/02
	The provisions of the Code Case were incorporated into the 1998 Edition, which has been approved by the NRC. Thus, the Code Case is no longer needed and was annulled by the ASME.	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-591	<i>Alternative to the Requirements of Subsection IWL, Requirements for Class CC Concrete Components of Light-Water Cooled Plants, Section XI, Division 1</i>	Annulled 4/8/02
	The provisions of the Code Case were incorporated into the 1998 Edition which has been approved by the NRC. Thus, the Code Case is no longer needed and was annulled by the ASME.	
N-593-1	Examination Requirements for Steam Generator Nozzle-to-Vessel Welds, Section XI, Division 1	10/08/04
	The Code Case eliminates the requirement to examine the steam generator nozzle inner radius. Specifically, the examination volume for the nozzle inner radius was removed from Section XI, Figures IWB-2500-7(a) through IWB-2500-7(d). The action is applicable from the 1974 Edition through the 2004 Edition with the 2005 Addenda. A similar action was taken regarding Code Case N-619. The NRC did not take exception to Code Case N-619 because 10 CFR 50.55a(b)(2)(xxi)(A) required licensees to perform the examination in accordance with the 1998 Edition, which includes figures containing the examination volume. However, Code Case N-593-1 applies to editions prior to the 1998 Edition which do not have the appropriate figures.	
N-613	<i>Ultrasonic Examination of Full Penetration Nozzles in Vessels, Examination Category B-D, Item No's. B3.10 and B3.90, Reactor Vessel-To-Nozzle Welds, Fig. IWB-2500-7(a), (b), and (c), Section XI, Division 1</i>	7/30/98
	The Code Case conflicts with and unacceptably reduced the requirements of 10 CFR 50.55a(b)(2)(xv)(K)(2)(i). A revision to the Code Case has been developed to address the concerns.	
N-615	<i>Ultrasonic Examination as a Surface Examination Method for Category B-F and B-J Piping Welds, Section XI, Division 1</i>	7/28/01
	The Code Case requires that the ultrasonic technique used be demonstrated capable of detecting certain size flaws on the outside diameter of the weld, but it does not specify any demonstration requirements. To be acceptable, Section XI, Appendix VIII, type rules for performance demonstration need to be developed and applied.	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-618	<i>Use of a Reactor Pressure Vessel as a Transportation Containment System, Section XI, Division 1</i>	6/17/03
	The Code Case was developed as a potential option for shipping and disposal of a reactor pressure vessel (RPV). The NRC staff determined, however, that the Code Case was not applicable to the review and approval process for transportation packages. The use of RPVs as a transportation package has been addressed under 10 CFR Part 71, "Packaging and Transportation of Radioactive Material" (Ref. 13).	
N-622	<i>Ultrasonic Examination of RPV and Piping, Bolts, and Studs, Section XI, Division 1</i>	Annulled on 1/12/05
	The Code Case was published in May 1999. Industry Performance Demonstration Initiative efforts since that time have made this Code Case obsolete. Issues associated with supplements to Appendix VIII are being addressed individually in separate Code Cases.	
N-653	<i>Qualification Requirements for Full Structural Overlaid Wrought Austenitic Piping Welds, Section XI, Division 1</i>	9/7/01
	(1) Section XI, Appendix VIII, Supplement 11, requires a personnel performance qualification as part of the procedure qualification. The detection acceptance criteria in the Code Case do not require personnel performance qualification as part of the procedure qualification. Personnel qualification is necessary to validate the effectiveness of the procedure qualification. (2) The minimum grading unit is 1.0 inch in the circumferential direction. The acceptance tolerance, however, is 0.75 inch root mean square error. Thus, the length sizing acceptance criteria do not adequately prevent the use of testmanship rather than skill to pass length sizing tests.	
N-654	<i>Acceptance Criteria for Flaws in Ferritic Steel Components 4 in. and Greater in Thickness, Section XI, Division 1</i>	4/17/02
	Licensees intending to apply the rules of this Code Case must obtain NRC approval of the specific application in accordance with 10 CFR 50.55a(z).	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-691	<i>Application of Risk-Informed Insights to Increase the Inspection Interval for Pressurized Water Reactor Vessels, Section XI, Division 1</i>	11/18/03
	A response to the NRC staff's request for additional information has not yet been received and therefore, insufficient information has been provided for the staff to make a determination relative to the acceptability of this Code Case.	
N-711	<i>Alternative Examination Coverage Requirements for Examination Category B-F, B-J, C-F-1, C-F-2, and R-A Piping Welds, Section XI, Division 1</i>	1/05/06
	The Code Case would permit each licensee to independently determine when achievement of a coverage requirement is impractical, and when Code-required coverage is satisfied. As a result, application of the Code Case for similar configurations at different plants could result in potentially significant quantitative variations. Furthermore, application of the Code Case is inconsistent with NRC's responsibility for determining whether examinations are impractical, and eliminates the NRC's ability to take exception to a licensee's proposed action and impose additional measures where warranted in accordance with 10 CFR 50.55a(g)(6)(i).	
N-713	Ultrasonic Examination in Lieu of Radiography, Section XI, Division 1	7/07E
	The requirements of Code Case N-713 were based largely on the requirements contained in Code Case N-659. The NRC has not approved Code Cases N-659, N-659-1, nor N-659-2. Refer to the discussion on Code Case N-659-2 in Table 1 above, "Unacceptable Section III Code Cases," for more information.	
N-716	Alternative Piping Classification and Examination Requirements, Section XI, Division 1	4/10/06
	The NRC has approved risk-informed inservice inspection (RI-ISI) programs based, in part, on methods described in Code Case N-716. The NRC has approved programs for Grand Gulf Nuclear Station 1 (September 21, 2007; ML072430005), Donald C. Cook Nuclear Plant (September 28, 2007; ML072620553), and Waterford Steam Electric Station (April 28, 2008; ML080980120). The approvals were specific to these units and relied on several changes to the methodology described in Code Case N-716. The NRC is reviewing EPRI Topical Report 1021467, "Nondestructive Evaluation: Probabilistic Risk Assessment Technical Adequacy Guidance for Risk-Informed In-service Inspection Programs." The purpose of the topical report, in part, is to provide guidance on	

CODE CASE NUMBER	TABLE 2 UNACCEPTABLE SECTION XI CODE CASES	DATE OR SUPPLEMENT /EDITION
	SUMMARY	
N-716 (cont'd)	Alternative Piping Classification and Examination Requirements, Section XI, Division 1	4/10/06
	Determining the technical adequacy of probabilistic risk assessments used to develop a "streamlined" RI-ISI program in accordance with Code Case N-716. The staff will consider the revised Code Case for generic approval when its review of the topical report has been completed.	
N-729	<i>Alternative Examination Requirements for PWR Reactor Vessel Upper Heads With Nozzles Having Pressure-Retaining Partial-Penetration Nozzles, Section XI, Division 1</i>	8/12/05
	Code Case N-729 has been superseded by Revision 1 to the Code Case. N-729-1 is conditionally approved directly in 10 CFR 50.55a and not through Regulatory Guide 1.147.	
N-740 N-740-1 N-740-2	<i>Dissimilar Metal Weld Overlay for Repair of Class 1, 2, and 3 Items, Section XI, Division 1</i>	10/12/06 4/07E 7/07E
	<p>The NRC staff identified many technical issues regarding the provisions of Revisions 0 and 1. The issues were communicated to the cognizant Section XI committees, and the staff continues to work with the committees to resolve the issues. Due to the total number of issues and the nature of some (e.g., lack of certain fundamental design details), the staff determined that it would be inappropriate to attempt to conditionally approve either version 0 or 1 in Regulatory Guide 1.147.</p> <p>Code Case N-740-2 has been approved and published by the ASME. While Revision 2 addresses some of the NRC staff concerns, significant issues remain. For example, the definition of nominal weld and base material appear to be inconsistent with the provisions of Section III. Also, additional detail is required on how to perform the flaw growth or design analysis. Finally, additional detail is required on how the overlays are designed.</p>	

3. Unacceptable OM Code Cases

The following OM Code Cases were determined to be unacceptable for use by licensees in their inservice testing programs. The ASME issues OM Code Cases annually with publication of a new edition or addenda. To assist users, new and revised Code Cases are shaded to distinguish them from those approved in previous versions of this guide. The shading will assist in focusing attention during the public comment period on the changes to the guide.

Table 3. Unacceptable OM Code Cases

CODE CASE NUMBER	TABLE 3 UNACCEPTABLE OM CODE CASES	EDITION/ ADDENDA
	SUMMARY OF BASIS FOR EXCLUSION	
OMN-10, Rev. 0	<i>Requirements for Safety Significance Categorization of Snubbers Using Risk Insights and Testing Strategies for Inservice Testing of LWR Power Plants</i>	2000 Addenda
	The method used for categorizing snubbers could result in certain snubbers being inappropriately categorized as having low safety significance. These snubbers would not be adequately tested or inspected to provide assurance of their operational readiness. In addition, unexpected extensive degradation in feedwater piping has occurred which would necessitate a more rigorous approach to snubber categorization than presently contained in this Code Case.	
OMN-15, Rev. 0 OMN-15, Rev. 1	<i>Requirements for Extending the Snubber Operational Readiness Testing Interval at LWR Power Plants</i>	2004 Edition 2006 Addenda
	The NRC staff has identified many technical issues regarding the provisions of this Code Case. The issues have been communicated to the cognizant OM committees, and the staff continues to work with the committees to resolve the issues. Due to the total number of issues and the fundamental nature of some, the staff believes that it would be inappropriate to attempt to conditionally approve this Code Case in Regulatory Guide 1.192. Following is a summary of the issues: (1) The basis for the snubber degradation rate that is assumed in the technical basis for the Code Case is not clear. (2) The Code Case does not address snubber service life monitoring requirements when using the 1995 Edition of the OM Code. (3) The Code Case does not address the assignment of unacceptable snubbers in the Failure Mode Group.	

CODE CASE NUMBER	TABLE 3 UNACCEPTABLE OM CODE CASES	EDITION/ ADDENDA
OMN-15, Rev. 0 OMN-15, Rev. 1 (cont'd)	<i>Requirements for Extending the Snubber Operational Readiness Testing Interval at LWR Power Plants</i>	2004 Edition 2006 Addenda
	<ul style="list-style-type: none"> <li data-bbox="440 401 1219 552">(4) The Code Case does not address how unacceptable snubbers are accounted for during the extended test interval. For example, unacceptable snubbers could be indentified during maintenance, service life monitoring, and visual examination activities conducted during the extended test interval. <li data-bbox="440 569 1219 625">(5) The Code Case does not address treatment of isolated snubber failures. <li data-bbox="440 642 1219 737">(6) The staff believes that the compatibility of Code Case OMN-15 with Code Case OMN-13 has not been thoroughly evaluated by the cognizant OM committees. 	

D. IMPLEMENTATION

The purpose of this section is to provide information to applicants and licensees regarding the NRC staff's plans for using this regulatory guide. *This regulatory guide does not approve the use of the Code Cases listed herein.* Licensees may submit a plant-specific request to implement one or more of the Code Cases listed in this regulatory guide. The request must address the NRC's concerns about the Code Case at issue.

REFERENCES¹

1. *Code of Federal Regulations*, Title 10, *Energy*, Part 50, “Domestic Licensing of Production and Utilization Facilities” (10 CFR Part 50), U.S. Nuclear Regulatory Commission, Washington, DC.
2. ASME Boiler and Pressure Vessel Code, Section III, “Rules for Construction of Nuclear Power Plant Components,” Division I; and Section XI, “Rules for Inservice Inspection of Nuclear Power Plant Components,” American Society of Mechanical Engineers, New York, NY.²
3. ASME Operation and Maintenance of Nuclear Power Plants, American Society of Mechanical Engineers, New York, NY.²
4. Regulatory Guide 1.84, “Design, Fabrication, and Materials Code Case Acceptability, ASME Section III,” U.S. Nuclear Regulatory Commission, Washington, DC.
5. Regulatory Guide 1.147, “Inservice Inspection Code Case Acceptability, ASME Section XI, Division 1,” U.S. Nuclear Regulatory Commission, Washington, DC.
6. Regulatory Guide 1.192, “Operation and Maintenance Code Case Acceptability, ASME OM Code,” U.S. Nuclear Regulatory Commission, Washington, DC.
7. Paperwork Reduction Act of 1995 (Public Law 104-13), *United States Code*, Title 44, “Public Printing and Documents,” Chapter 35, “Coordination of Federal Information Policy” (44 U.S.C. 3501 *et seq.*), 104th Congress of the United States of America, Washington, DC.³
8. Miller, C.D., “Summary of Buckling Tests on Fabricated Steel Cylindrical Shells in USA,” in *Offshore Structures Engineering III: Buckling of Shells in Offshore Structures*, J.E. Harding, P.J. Dowling, and N. Agelidis, eds., Gulf Publishing Company, Houston, TX, pp. 429-447, 1982.
9. NRC Spent Fuel Project Office Interim Staff Guidance No. 4 (ISG-4), Rev. 1, “Cask Closure Weld Inspections,” U.S. Nuclear Regulatory Commission, Washington, DC (ADAMS Accession No. ML051520313).
10. NRC Spent Fuel Storage and Transportation Division Interim Staff Guidance No. 18 (ISG-18) Rev. 1, “The Design and Testing of Lid Welds on Austenitic Stainless Steel Canisters as Containment Boundary for Spent Fuel Storage,” U.S. Nuclear Regulatory Commission, Washington, D.C.

¹ Publicly available documents from the U.S. Nuclear Regulatory Commission (NRC) are available electronically through the NRC Library on the NRC’s public Web site at <http://www.nrc.gov/reading-rm/doc-collections/>. The documents can also be viewed on-line for free or printed for a fee in the NRC’s Public Document Room (PDR) at 11555 Rockville Pike, Rockville, MD; the mailing address is USNRC PDR, Washington, DC 20555; telephone (301) 415-4737 or (800) 397-4209; fax (301) 415 3548; and e-mail pdr.resource@nrc.gov.

² Copies of American Society of Mechanical Engineers (ASME) standards may be purchased from ASME, Two Park Avenue, New York, New York 10016-5990; Telephone (800) 843-2763. Purchase information is available through the ASME Web site store at <http://www.asme.org/Codes/Publications/>.

³ The Paperwork Reduction Act of 1995 (44 U.S.C. 3501 *et seq.*) is available electronically through the *Federal Register* Web site administered by the U.S. National Archives and Records Administration, at <http://www.archives.gov/federal-register/laws/paperwork-reduction/>.

11. *Code of Federal Regulations*, Title 10, *Energy*, Part 72, “Licensing Requirements for the Independent Storage of Spent Nuclear Fuel, High-Level Radioactive Waste, and Reactor-Related Greater than Class C Waste” (10 CFR Part 72), U.S. Nuclear Regulatory Commission, Washington, DC.
12. “Recommendations for an Effective Flow-Accelerated Corrosion Program” (NSAC-202L-R3), Electric Power Research Institute, Palo Alto, CA.⁴
13. *Code of Federal Regulations*, Title 10, *Energy*, Part 71, “Packaging and Transportation of Radioactive Material” (10 CFR Part 71), U.S. Nuclear Regulatory Commission, Washington, DC.

⁴ Copies of Electric Power Research Institute (EPRI) documents may be obtained by contacting the Electric Power Research Institute, 3420 Hillview Avenue, Palo Alto, CA 94304, Telephone: 650-855-2000 or on-line at <http://my.epri.com/portal/server.pt>.