



Facsimile

TRANSMITTAL

INSTITUTE FOR REGULATORY SCIENCE

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to: James Bearzi
fax #: 505-428-2567 **tel. #:** 505-428-2512
from: Betty R. Love **date:** May 31, 2001
subject: Peer Review Meeting Materials
pages: 5, including cover page

Dear Mr. Bearzi,

Attached are the following:

Guidance for Sponsoring Organizations
Guidance for Stakeholders
Questionnaire for Stakeholders (this will be handed out to Stakeholders at meeting and collected by me)

Betty R. Love
Administrative Manager of the Peer Review Program

BRL/wjb

Attachments

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INSTITUTE FOR REGULATORY SCIENCE STAKEHOLDER PARTICIPATION IN PEER REVIEW MEETINGS

GUIDANCE FOR ORGANIZATIONS REQUESTING STAKEHOLDER PARTICIPATION IN ASME/RSI PEER REVIEW MEETINGS

The American Society of Mechanical Engineers (ASME) and the Institute for Regulatory Science (RSI) have joined forces to provide peer review services to various government agencies. The decision to ask for the participation of stakeholders rests with the agency sponsoring the peer review. When such participation is authorized by the agency, the ASME/RSI team encourages the participation of stakeholders not only as observers, but also as active participants. The details of ASME/RSI peer review may be found at www.NARS.org.

Many federal and state agencies, as well as private industries, desire to include the views of stakeholders in their decision process. This guide is an excerpt from a report which is being prepared by Betty R. Love et al. to assist government agencies and private industry in identifying stakeholders and classifying them in accordance with their respective roles. This guide specifically applies to stakeholder participation in ASME/RSI peer review.

There are three classes of stakeholders as follows:

Personally Impacted Stakeholders: This class consists of individuals whose lives are directly impacted by the action under consideration.

Administratively Impacted Stakeholders: This class consists of elected, appointed, or employed individuals who must ensure that the action under consideration is prepared, reviewed, approved, or implemented in accordance with applicable laws, regulations, permits, licenses, or agreements.

Generally Concerned Stakeholders: This class includes individuals who, by virtue of their personal philosophies, beliefs, or ideologies, are interested in or concerned about the action under consideration.

The participation of stakeholders should be based on the priority placed by the sponsoring organization on the significance of the impact of the decisions to be made on each class of stakeholders. As a general rule, an affirmative outreach is necessary to ensure the participation of personally impacted stakeholders. Experience shows that these stakeholders are reluctant to participate in peer review unless they perceive a significant impact on their daily lives. Accordingly, an affirmative outreach approach is necessary to ensure their participation.

The participation of administratively impacted stakeholders is somewhat less complicated. The mayor of the town; state, federal, and other elected officials representing the locality in which the action under consideration will occur, are desirable stakeholders yet are unlikely to be willing to participate. In contrast, members of agencies responsible for preparation, regulation, and implementation of an action are easier to entice to participate. However, at a minimum, those immediately responsible for the action in these agencies should participate in a well-run program.

The generally concerned stakeholders are normally informed via public media. Their participation is normally determined by the sponsoring agency. As a general rule, they are accommodated after the other two classes are accommodated, and on a first-come first-served basis.

INSTITUTE FOR REGULATORY SCIENCE STAKEHOLDER PARTICIPATION IN PEER REVIEW MEETINGS

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The peer review is performed by a Review Panel consisting of individuals whose qualifications for the specific review have been approved by the ASME's Peer Review Committee. All presentations, statements, and discussions are intended to benefit the Review Panel in its deliberations, which result in the *Report of the Review Panel*. There is ample evidence suggesting that participation of stakeholders enhances the outcome of certain activities, notably peer reviews.

All peer review meetings are normally chaired by a representative of the Peer Review Program. All segments of a peer review meeting, except the executive sessions of the Review Panel, are open to the public. Stakeholders can attend these meetings, provided the following criteria are met:

1. Consistent with the tradition of professional societies, all attendees must register. All registered individuals will be provided a name tag, which must be worn while attending the meeting. All registrants will receive a registration package, which includes the list of review criteria provided to the Review Panel. There is no registration fee for these peer review meetings.
2. During the meeting, all attendees may ask questions of the speakers. These questions are limited to clarification of specific issues presented by the speaker.
3. A segment of the meeting has been slated for comments by stakeholders. Those making statements should be aware that their comments should be directly related to a specific review criterion. General statements that are not related to the review criteria are not considered by the Review Panel and thus, cannot be permitted.
4. Due to time constraints, lengthy statements should be avoided as there may not be enough time to accommodate all who wish to participate. Therefore, stakeholders designated by the sponsors of the peer review will be provided specific times with a specific duration in the program to state their case. All other stakeholders wishing to make a statement should limit their statements to only a few minutes to allow as many people as possible to make their concerns and questions known during the time allotted for stakeholders' comments.
5. Members of the Review Panel may ask questions from all speakers, including those asking questions. However, no question may be directed to the members of the Review Panel.
6. The Chair of the peer review meeting will be responsible for ensuring that the audience adheres to these requirements.

INSTITUTE FOR REGULATORY SCIENCE

ASME Peer Review

Strategy for Remediation of Groundwater Contamination at the Nevada Test Site

June 11 - 15, 2001 - Las Vegas, NV

QUESTIONNAIRE FOR STAKEHOLDERS

THE PROCESS

1. Was the notification process adequate?

Yes No Comments _____

2. Were the stakeholders provided sufficient time to identify and describe their concerns?

Yes No Comments _____

PRESENTATIONS

1. Did presenters explain the sometimes highly technical issues in a language understandable to an audience of knowledgeable non specialists?

Yes No Comments _____

2. Did presenters explain technical terms in understandable form?

Yes No Comments _____

3. Did the presentations address the peer review criteria?

Yes No Comments _____

4. Were the questions from the audience responsive to peer review criteria?

Yes No Comments _____

5. Were the statements by the stakeholders responsive to peer review criteria?

Yes No Comments _____

6. Did questions from the Review Panel directly relate to peer review criteria?

Yes No Comments _____

LOCAL ARRANGEMENTS:

1. Was registration performed in a professional manner?

Yes No Comments _____

2. Was the registration form acceptable?

Yes No Comments _____

3. Was the organization of the meeting room acceptable?

Yes No Comments _____

4. Were audiovisual arrangements acceptable?

Yes No Comments _____

DEFINITION OF STAKEHOLDERS:

Personally Impacted Stakeholders (PI): This class consists of individuals whose lives are directly impacted by the action under consideration.

Administratively Impacted Stakeholders (AI): This class consists of elected, appointed, or employed individuals who must ensure that the action under consideration is prepared, reviewed, approved, or implemented in accordance with applicable laws, regulations, permits, licenses, or agreements.

Generally Concerned Stakeholders (GC): This class includes individuals who, by virtue of their personal philosophies, beliefs, or ideologies, are interested in or concerned about the action under consideration.

1. Is the definition of various classes of stakeholders as described above reasonable?

Yes No Comments _____

2. Please tell us to which class of stakeholders you belong:

PI AI GC