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# American National Standards Institute

## Procedures for the Development and Coordination of American National Standards

Approved by  
ANSI Board of Directors  
March 30, 1983



american national standards institute  
1430 broadway , new york, n.y. 10018

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## Foreword

The voluntary standards system in the United States consists of a large number of standards developers that write one or more national standards. Among them are professional societies, trade associations, and other organizations. The participants in the system are the thousands of individuals, companies, other organizations (e.g., labor, consumer, and industrial), and government agencies who voluntarily contribute their knowledge, talent, and effort to standards development.

Many standards developers and participants support the American National Standards Institute (ANSI) as the central body responsible for the identification of a single consistent set of voluntary standards called American National Standards. ANSI approval of these standards is intended to verify that the principles of openness and due process have been followed in the approval procedure and that a consensus of those directly and materially affected by the standards has been achieved. ANSI coordination is intended to assist the voluntary system to ensure that national standards needs are identified and met without conflict in their requirements or unnecessary duplication.

ANSI is the U.S. member of nontreaty international standards organizations such as the International Organization for Standardization (ISO), the International Electrotechnical Commission (IEC), and the Pacific Area Standards Congress (PASC). As such, ANSI coordinates the activities involved in U.S. participation in these groups.

The National Policy on Standards for the United States and ANSI's plan for its implementation as well as experience gained from the application of the previous edition of the ANSI Procedures for Management and Coordination of American National Standards (December 5, 1974, Revised March 31, 1977), contributed to the development of these procedures that provide criteria, requirements, and guidelines for coordinating and developing consensus for American National Standards.

The Procedures for the Development and Coordination of American National Standards were approved by the Board of Directors of the American National Standards Institute on March 26, 1982. A subsequent revision of the provisions on interpretations of American National Standards was approved by the Board of Directors on March 30, 1983.

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# American National Standards Institute Procedures for the Development and Coordination of American National Standards

## 1. Due Process and Criteria for Approval and Withdrawal of American National Standards

**1.1 Applicability.** These requirements apply to activities related to the development of consensus for approval, revision, reaffirmation, and withdrawal of American National Standards.

**1.2 Due Process Requirements.** In standardization activities, due process means that everyone with a direct and material interest has a right to express a viewpoint and, if dissatisfied, to appeal at any point. Due process allows for equity and fair play. The following constitute the minimum acceptable due process requirements for the development of consensus:

**1.2.1 Openness.** Participation shall be open to all persons who might reasonably be expected to be, or who indicate that they are, directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Participation shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of the initiation and development of a new standard or a substantively revised standard and the establishment of a new consensus-developing group or canvass list shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information.

**1.2.2 Representation of Interests.** All directly and materially affected interests shall have the opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase "without dominance by any single interest" normally will be satisfied by the historical criteria for balance; that is (1) no single interest constitutes more than one-third of the membership of a committee dealing with safety or (2) no single interest constitutes a majority of the membership of

a committee dealing with product standards. Unless it is claimed by a directly and materially affected interest that a single interest dominated the standards development process to the exclusion of fair and equitable consideration of other viewpoints, no test for dominance is required.

**1.2.3 Categories of Interests.** The categories of interests appropriate to the development of consensus in any given standards activity are a function of the nature of the activity and should comprise the specific interests that might be directly and materially affected by the activity. In defining the categories appropriate to a standards activity, consideration shall be given to at least the following:

- (1) Producer
- (2) User
- (3) General interest

Where appropriate, more detailed subdivisions should be considered.<sup>1</sup>

Appropriate representative user views shall be actively sought and fully considered in standards activities. Whenever possible, user participants shall be those with the requisite technical knowledge, but other users may also participate. User participation should come from both individuals and representatives of organized groups. There are several user categories.

**1.2.3.1 User-Consumer.** Where the standards activity in question deals with a consumer product, such as lawn mowers or aerosol sprays, an appropriate consumer participant's view is considered to be synonymous with that of the individual user—a person using

<sup>1</sup> Further subdivisions that may be used where appropriate to describe directly and materially affected interests consist of, but are not limited to, the following:

- (1) Consumer/consumer organization
- (2) Directly affected public
- (3) Distributors and retailers
- (4) Experts
- (5) Government (users, general interest)
- (6) Industrial/commercial
- (7) Insurance
- (8) Labor
- (9) Manufacturers
- (10) Professional societies
- (11) Regulatory agencies
- (12) Testing laboratories
- (13) Trade associations

goods and services rather than producing or selling them.

**1.2.3.2 User-Industrial.** Where the standards activity in question deals with an industrial product, such as steel or insulation used in transformers, an appropriate user participant is the industrial user of the product.

**1.2.3.3 User-Government.** Where the standards activity in question is likely to result in a standard that may become the basis for government agency procurement, an appropriate user participant is the representative of that government agency.

**1.2.3.4 User-Labor.** Where the standards activity in question deals with subjects of special interest to the American worker, such as products used in the workplace or workplace environment, an appropriate user participant is a representative of labor.

**1.2.4 Written Procedures.** Written procedures shall govern the methods used for standards development and shall be available to any interested party.

**1.2.5 Appeals.** The written procedures shall contain an identifiable, realistic, and readily available appeals mechanism for the impartial handling of substantive and procedural complaints regarding any action or inaction (see Section 5).

**1.2.6 Listing in *Standards Action*.** Proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI for listing in *Standards Action* in order to provide an opportunity for public comment. The comment period shall be at least 30 days but normally it will be 60 days. The same comment period shall apply wherever listing for comment in *Standards Action* is required by these procedures. Such listing may be requested at any stage in the development of the proposal, at the option of the standards developer. However, any substantive change subsequently made in a proposed American National Standard requires relisting of the change.

**1.2.7 Consideration of Views and Objections.** Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the listing in *Standards Action*. A concerted effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor.

Unresolved objections and any substantive change made in a proposed American National Standard shall be reported to the consensus-developing group or canvass list in order to afford all members or canvasees an opportunity to respond, reaffirm, or change their vote.

**1.2.8 Consideration of Standards Proposals.** Prompt consideration shall be given to proposals made for de-

veloping new standards, or revising or withdrawing existing American National Standards.

**1.2.9 Records.** Records shall be prepared, maintained, and made accessible to those having a direct and material interest under reasonable conditions of time, location, cost, and convenience to all concerned. Such records should include, but not necessarily be limited to: draft standards; proposed amendments; standards promulgated; reports of meetings (including attendance, decisions, and a synopsis of discussion); reports of ballot results; disposition of objections; and rationale or principal supporting data as appropriate to the development of new standards and revisions of existing standards. The records maintained should permit an overall view of what happened.

Records shall be retained for an appropriate period of time (for example, five years) after the adoption, reaffirmation, or withdrawal of an American National Standard.

### **1.3 Criteria for Approval and Withdrawal of American National Standards.**

**1.3.1 Introduction.** Approval of an American National Standard requires verification by ANSI that the requirements for due process, consensus, and other criteria for approval have been met. Approval thus assures the user that each American National Standard is generally acceptable to directly and materially affected interests that participated in the development of consensus for the standard.

**1.3.2 General.** Approval of standards as American National Standards is delegated to the Board of Standards Review (BSR) by the ANSI Board of Directors. The BSR acts on proposed new or revised American National Standards, reaffirmation of American National Standards, and withdrawal of approval as American National Standards when submitted by an accredited organization, committee, or canvasser.

Standards approved as American National Standards shall be designated, published, and maintained in accordance with Section 4. No substantive change that has not been afforded due process in accordance with these procedures may be made in an approved American National Standard.

**1.3.3 Consensus.** Consensus is established when, in the judgment of the Board of Standards Review, substantial agreement has been reached by directly and materially affected interests. Substantial agreement means much more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that a concerted effort be made toward their resolution. The BSR shall base its judgment as to whether a consensus has been reached on the formal voting evidence presented by

each interest category, and adherence to due process requirements.

**1.3.4 Criteria for Approval.** With respect to any proposal to approve, revise, or reaffirm an American National Standard, the BSR shall consider evidence that:

- (1) Due process requirements were met
- (2) Consensus was achieved
- (3) The standard is within the field previously registered with ANSI
- (4) Any identified significant conflict with another American National Standard was resolved
- (5) Other known national standards were examined with regard to harmonization and duplication of content
- (6) The proposed American National Standard was provided to the administrator(s) of the appropriate USA Technical Advisory Group(s) (see Appendix E)
- (7) Any appeal to the standards developer was completed
- (8) ANSI's patent policy is met (see Appendix D), if applicable

In addition, the BSR shall consider any evidence provided to it that the proposed American National Standard is contrary to the public interest, contains unfair provisions, is unsuitable for national use, or is technically inadequate.

The BSR shall not approve standards that duplicate existing or proposed American National Standards unless there is a compelling need (see 3.6).

**1.3.5 Criteria for Withdrawal (If Submitted by the Standards Developer).** In the case of a proposal for withdrawal of an existing American National Standard, the BSR shall consider evidence that:

- (1) Due process requirements were met
- (2) Consensus is lacking for continued approval
- (3) The proposal for withdrawal as American National Standard was provided to the administrator(s) of the appropriate USA Technical Advisory Group(s)
- (4) Any appeal against the proposed action was completed

**1.3.6 Criteria for Withdrawal (for Cause).** In the case of a proposal to withdraw approval of an existing American National Standard for cause, the BSR shall consider evidence that:

- (1) A significant conflict with another American National Standard remains
- (2) ANSI's patent policy was violated (see Appendix D)
- (3) ANSI's requirements for designation, publication, and maintenance were violated
- (4) The American National Standard
  - (a) Is contrary to the public interest
  - (b) Contains unfair provisions

(c) Is technically inadequate

(d) Is unsuitable for national use

(5) Appropriate notice and opportunity for compliance was given to the standards developer

**1.3.7 Other Bases for Withdrawal of Approval.** The BSR also has the authority to withdraw approval of an American National Standard upon (1) advice of counsel, based on evidence of a legal nature or (2) consideration of facts that have subsequently come to the attention of the BSR.

**1.3.8 Final Notice.** Notice of the BSR's final action on standards shall be published in *Standards Action*.

## 2. Accreditation of American National Standards Developers

**2.1 General.** ANSI recognizes three methods for developing evidence of consensus for approval of American National Standards, each of which is considered to be equivalent in the final results. A standards developer may be accredited by ANSI to use one or more of these methods. Each candidate American National Standard, submitted by an accredited standards developer, is subject to the criteria of 1.3.

The three methods of developing evidence of consensus are described in 2.1.1, 2.1.2, and 2.1.3.

**2.1.1 Accredited Organization Method.** This method may be used by an organization whose procedures and practices for standards development meet the criteria in 2.2.

**2.1.2 Accredited Standards Committee Method.** This method may be used by a standards committee (consisting of its members and its secretariat) whose procedures and practices for standards development meet the criteria in 2.2. The model procedures given in Appendix A meet the requirements of 2.2.1 and may be adopted by the committee. Other procedures adopted by the standards committee may be proposed to meet the requirements of 2.2.1. Accreditation of a standards committee does not require that the secretariat be an accredited organization nor does it imply that the secretariat becomes an accredited organization by virtue of accreditation of the standards committee.

**2.1.3 Accredited Sponsor Using the Canvass Method.** This method may be used by a standards developer who meets the criteria of 2.2.2 through 2.2.4 and agrees to use the procedures given in Appendix B for the particular standard(s) to be canvassed. The procedures given in Appendix B meet the requirements of 2.2.1.

**2.2 Criteria for Accreditation.** Accreditation shall be based on compliance with the following criteria:



2.2.1 The operating procedures used for the development of evidence of consensus for approval, revision, reaffirmation, or withdrawal of standards as American National Standards shall conform to the due process requirements of 1.2.

2.2.2 With respect to American National Standards or candidates therefor, the applicant shall agree to:

- (1) Provide continuity of administrative oversight and support of its standards activities
- (2) Provide for designation, publication, and maintenance of the standard(s) produced (see Section 4)
- (3) Provide for an appeals mechanism<sup>2</sup>
- (4) Cooperate with ANSI in standards planning and coordination activities of mutual interest
- (5) Advise ANSI of the initiation and scope of new standards activities expected to result in candidate American National Standards
- (6) Advise ANSI of the initiation of activities related to revision, reaffirmation, or withdrawal of existing American National Standards
- (7) Consider applicable international standards (see Appendix E)

2.2.3 As appropriate to the extent to which the applicant is involved with standardization, the applicant shall consider participation in international standards activities through ANSI.

2.2.4 With respect to submitting proposed American National Standards to ANSI, the applicant shall agree to provide the following:

- (1) Title and designation of the proposed American National Standard
- (2) Indication of the type of action requested (that is, approval of a new American National Standard or reaffirmation, revision, or withdrawal of an existing American National Standard)
- (3) Two copies of the final proposed American National Standard
- (4) Identification of the accredited method used and a declaration that applicable procedures were followed
- (5) A declaration that the proposed standard is within the field of the previously registered standards activity
- (6) A declaration that other known national standards have been examined with regard to harmonization and duplication of content
- (7) A declaration that no significant conflicts with another known American National Standard have been identified
- (8) A statement that the proposed American National Standard has been provided to the administra-

<sup>2</sup> The standards developer may model its appeal mechanism on applicable portions of the procedures given in subsection A12 of Appendix A.

tor(s) of the appropriate USA Technical Advisory Group(s) (see Appendix E)

(9) A summary of the voting and unreturned ballots in each interest category

(10) A declaration that all appeal actions related to the approval of the proposed standard have been completed

(11) Identification of all unresolved negative views and objections, with names of the objector(s), and a report of attempts toward resolution

(12) A roster of the standards committee or canvass list

2.2.5 The applicant shall advise ANSI of its policy regarding interpretations of American National Standards.

**2.3 Application.** Application to ANSI<sup>3</sup> for accreditation shall be in writing and shall provide the pertinent standards developing procedures and other documentation demonstrating compliance with the criteria specified in 2.2. The applicant shall submit a description of its present program of standards activities, scopes of standards committees, and a list of candidate American National Standards for review by the Executive Standards Council (ExSC) or its designated standards board. If more than one set of standards developing procedures is used by an applicant, each procedure requires separate review for accreditation.

A notice with regard to the application for accreditation shall be published in *Standards Action* with a call for comment. Copies of the pertinent standards developing procedures shall be available from the applicant, upon request.

Following the comment period, the Audit and Accreditation Board (AAB) shall consider the information supplied by the applicant and any comments received, including reports from the Executive Standards Council (or its designated standards board) and the BSR. The AAB shall determine whether the application should be approved. The applicant must meet all of the criteria in 2.2 before accreditation can be granted. Accreditation will not normally be granted to an applicant whose candidate American National Standards clearly duplicate existing American National Standards. In the event that accreditation is not granted, the AAB shall advise the applicant of the reasons, and the applicant shall have the opportunity to reapply. Upon accreditation, the applicant shall be notified and a notice shall appear in *Standards Action*.

**2.4 Maintenance of Accreditation.** The AAB shall arrange for audits of accredited standards developers at selected intervals to confirm adherence to the criteria for accreditation and to confirm that the procedures

<sup>3</sup>Contact ANSI for information regarding accreditation fees.

and practices of the accredited standards developer continue to be consistent with those which formed the basis for accreditation. The AAB shall request information from the Board of Standards Review, the Executive Standards Council, and the Appeals Board concerning the standards developer's adherence to the criteria of 2.2.

When ANSI issues revised or additional criteria for accreditation, the accredited standards developer shall comply with them within a reasonable time period designated by the AAB in order to maintain accreditation.

Whenever the procedures of the accredited standards developer are revised, the AAB shall be notified. If the changes are considered by the AAB to be substantive, notice of the revisions shall appear in *Standards Action* with a call for comment. Copies of the revised procedures shall be available from the applicant, upon request.

Following the comment period, the AAB shall consider the comments received, the latest status reports, the latest audit of the accredited standards developer, and any available additional information to determine whether to reaffirm the accreditation. Notice of reaffirmation shall be sent to the accredited standards developer and shall appear in *Standards Action*.

**2.5 Withdrawal of Accreditation.** If the conditions upon which accreditation was granted are not maintained,<sup>4</sup> the accredited standards developer shall be advised and requested to take corrective action. If such action is not taken within the time period designated by the AAB, notification of the intent to withdraw accreditation shall be given, stating the conditions which require correction. The AAB is authorized to withdraw accreditation upon 30 days written notice unless corrective action has been taken. The standards developer shall be notified of withdrawal of accreditation and a notice shall appear in *Standards Action*.

### 3. Planning and Coordinating American National Standards

**3.1 Introduction.** ANSI's planning and coordinating activities depend on the cooperation and participation of standards developers and affected interests, both private and government. Various methods are used to plan and coordinate voluntary standards activities. A considerable amount of planning and coordinating activity routinely takes place at the standards development level by the standards writing committees or their subgroups.

Where several standards developers and other interests, both private and government, are involved in major new, or nationally critical, areas of standardization, ANSI acts to assist the concerned interests to identify national standards needs and to generate joint plans for providing American National Standards to meet those needs. ANSI's planning and coordinating activities include identifying and assessing resources available for the development of needed standards; establishing priorities; generating voluntary, coordinated plans for standards development; minimizing unnecessary duplication; avoiding the promulgation of conflicting American National Standards; and assuring opportunity for participation by all directly and materially affected interests. The ANSI standards project registry will help to facilitate effective planning and coordinating activities.

**3.2 Purpose.** Planning and coordinating activities are intended to enhance the development of a single consistent set of American National Standards (appropriately aligned with international standards) in order to competently and economically address the needs for national standards on a timely basis under generally recognized principles of due process.

**3.3 Organization.** Overall responsibility for ANSI's national and international planning and coordinating functions is assigned by the Board of Directors to the Executive Standards Council (ExSC). The ExSC delegates specific activities as opportunity and needs arise, establishing standards boards and committees (see Appendix C), as appropriate.

**3.3.1 Standards Boards.** A standards board is a standing organization within ANSI, established by and accountable to the ExSC, with planning and coordinating responsibilities on a continuing basis for a defined scope of activity, usually in an industrial sector. For its operating procedures see C1 of Appendix C.

**3.3.2 ExSC Committees.** Committees may be established by the ExSC, as needed, to address specific issues.

**3.4 Project Registration.** Project registration is designed to provide a central data bank of information relative to voluntary national standards, both during development and after approval and publication. It is useful for providing direct information to all interested parties and is a key element in planning and coordination.

**3.4.1 Data Input.** The ExSC, after consultation with standards developers, shall establish a mechanism to enable standards developers to voluntarily provide ANSI with information with respect to their standards activities and standards publications. Such information

<sup>4</sup> Including the ANSI maintenance fee.

shall be added to a data bank of standards information.

**3.4.2 Publication.** To ensure that all interested parties are made aware of new activities, ANSI will publish information related to the project in *Standards Action*. ANSI standards boards shall be alert for possible overlap with other national and international standards activity.

**3.4.3 Data Availability.** Information from the data bank on standards and standardization projects shall be available to users for a scheduled fee to compensate for administrative costs.

**3.5 Requests for New Projects.** Any directly and materially affected interest may request ANSI to consider the need for development of a national consensus standard or a group of standards. Such requests shall be communicated to an appropriate standards developer and announced in *Standards Action*. As appropriate, ANSI shall take action to consider the request and any comment received to identify:

- (1) Views on the need for the standard(s)
- (2) Organization(s) already engaged in developing the standard(s)
- (3) One or more accredited standards developers interested in developing the standard(s)
- (4) Other directly and materially affected interests

If warranted by the findings, ANSI shall request an appropriate accredited standards developer to develop the needed standard(s). All such actions shall be announced in *Standards Action*.

**3.6 Coordination and Harmonization.** Coordination can usually be accomplished by standards developers through the implementation of one or more of the following:

- (1) Clear delineation of scope, purpose, and intended application of each standard
- (2) Public notice of standardization activities
- (3) Joint and cooperative activities of the individual organizations, including liaison representation
- (4) Organization of an independent but representative body acceptable to the involved parties to develop standards as required
- (5) Liaison between national standards developers and the organization responsible for the U.S. position on corresponding international standards
- (6) Use of the ANSI project registry

To achieve a consistent set of American National Standards and to represent the United States in non-treaty international standards activities, it is necessary for ANSI to harmonize ongoing standards activity, minimize unnecessary duplication, and avoid the promulgation of conflicting American National Standards.

The ExSC and its standards boards shall be alert to unnecessary duplication of national standards activities.

The ExSC or its standards boards shall notify standards developers of any identified potential or existing duplication of standards developing activities and request the standards developers involved to coordinate their activities and report the results.

Potential or existing conflicts identified or brought to the attention of the ExSC or its standards boards shall be investigated and harmonization initiated, if warranted. This process usually consists of:

(1) Appointing an ad hoc group to investigate and report whether harmonization is necessary. The ad hoc group reports on the purpose and application of the standards as well as the structure and issues that led to the conflict.

(2) Inviting the organizations involved to develop a harmonization plan, if it is determined that harmonization is necessary. The plan may include liaisons, joint committees, ad hoc groups, or other activities.

(3) Publishing the results of harmonization efforts in *Standards Action* or elsewhere, as appropriate.

## 4. Designation, Publication, Maintenance, and Interpretation of American National Standards

**4.1 Designation of American National Standards.** A standard that is approved by ANSI shall have its cover marked with an approval logo<sup>5</sup> furnished by ANSI or the words "an American National Standard." The ANSI logo and the words "an American National Standard" shall not be used to identify any standard that has not received ANSI approval. The date of approval as an American National Standard shall be included in the published standard, preferably on the cover.

Portions of the document that are not part of the American National Standard (such as forewords, prefaces, appendixes, interpretations, etc) shall be clearly identified at the beginning of each such section, or such information shall be overprinted on the cover page.

American National Standards shall be identified by a unique alphanumeric designation in accordance with the following:

(1) A designation assigned by the standards developer and adopted by ANSI for all new, revised, and reaffirmed standards. For example: ANSI/IEEE 123-1982.

(2) If no designation for a standard is assigned by the standards developer, ANSI shall assign one, using the standards developer's acronym. For example: ANSI/ABC 123-1982.

<sup>5</sup> The ANSI logo is



(3) Standards developed by an Accredited Standards Committee (ASC) shall carry the committee designation. For example: ANSI/ASC X3.1-1982.

(4) Multiple designations should be avoided. If a standard has multiple designations, an attempt shall be made by those concerned to arrive at a single designation.

**4.2 Publication.** American National Standards shall be published and made available as soon as possible, but no later than six months after approval as an American National Standard. The standards developer shall publish the standard or shall grant the right of publication to ANSI.

It is recommended that the standard be prepared in accordance with the ANSI Style Manual for Preparation of Proposed American National Standards.

If an American National Standard is not published within six months following its approval, the standards developer may request an extension of this deadline from the ExSC. Such a request shall be in writing, shall supply the reason for the delay, and shall indicate a firm final date for publication. At its discretion, the ExSC or its designee may grant an additional period of time for publication.

The ExSC or its designee shall publish a notice in *Standards Action* of intent to withdraw approval if the standards developer (1) fails to publish the standard or fails to grant ANSI the right to publish within six months after its approval as an American National Standard and does not request an extension of the deadline despite follow-up or (2) fails to meet the extended deadline. (See 1.3.6.)

### **4.3 Maintenance of American National Standards**

**4.3.1 Periodic Review of American National Standards.** Each complete American National Standard (including supplements and addenda) shall be reviewed at least every five years to determine whether it should be reaffirmed, revised, or withdrawn, in accordance with these procedures.

Four years after approval of an American National Standard, the ExSC or its designee shall notify the standards developer that action is required to reaffirm, revise, or withdraw the American National Standard by the end of the fifth year.

In the event that an American National Standard is not reaffirmed, revised, or withdrawn within five years after its approval, the standards developer shall be notified that withdrawal of approval of the American National Standard will follow unless an extension of time is requested by the standards developer within thirty days of the date of notification. Requests for extension shall demonstrate that work is under way that will

lead to revision or reaffirmation. The extension may be granted by the ExSC or its designee.

If the extension is granted and the American National Standard is not reaffirmed, revised, or withdrawn within the extension period, the ExSC or its designee shall notify the standards developer that withdrawal of approval of the American National Standard will follow unless a request for a second extension is authorized by a majority vote of the standards committee concerned or of the canvass list contacted. Second requests for extensions shall indicate the length of extension required and shall provide the program and schedule of work. The ExSC or its designee shall review such requests and may grant the extension.

**4.3.2 Withdrawal.** If any extension is denied, the ExSC or its designee shall inform the standards developer of the reasons for the denial. If the standards developer fails to comply with 4.3.1, the ExSC or its designee shall recommend withdrawal of approval of the American National Standard to the Board of Standards Review.

If the standards developer publishes a revision of an American National Standard and does not submit the revision for approval as an American National Standard, consideration of withdrawal of ANSI approval of the existing American National Standard by the BSR shall be automatic.

Notice of intent to withdraw ANSI approval shall be published in *Standards Action* and shall include the reason for withdrawal.

**4.4 Interpretations.** Official interpretations of American National Standards shall be made only by the accredited standards developer responsible for maintenance of that standard. ANSI shall not issue, nor shall any person have the authority to issue, an interpretation of an American National Standard in the name of the American National Standards Institute. Requests for interpretations addressed to ANSI shall be referred to the responsible standards developer.

## **5. Appeals**

**5.1 Introduction.** The provision for appeals is important for the protection of directly and materially affected interests and of standards developers (see 1.2) and is required as a part of due process (see 1.2.5). This section gives general criteria regarding the right to appeal, to whom appeals are made, what may be appealed, and the appeals mechanism.

**5.2 Right to Appeal.** Directly and materially affected interests have the right to appeal any substantive or

procedural action or inaction by a standards developer with regard to the development of a proposed American National Standard. Appeals shall be directed to the standards developer responsible for the action or inaction in accordance with the appeals procedure of the standards developer. ANSI will not normally hear an appeal of an action or inaction by a standards developer relative to the development of an American National Standard until the appeal procedures provided by the standards developer have been exhausted.

Directly and materially affected interests have the right to appeal any action or inaction by ANSI regarding the implementation of the functions provided in these procedures. Such appeals shall be directed to ANSI in accordance with the procedures of the appropriate ANSI board or council (e.g., Audit and Accreditation Board, Board of Standards Review, Executive Standards Council, standards boards).

**5.3 Criteria for Appeals Mechanism.** The following general criteria shall apply to any appeals mechanism provided pursuant to these procedures:

(1) Appeals shall be addressed promptly and a decision made expeditiously.

(2) The right of the involved parties to present their cases shall not be denied.

(3) Appeals procedures shall provide for participation by all parties concerned without imposing an undue burden on them.

(4) Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed.

(5) Records of appeals shall be kept and made available to the involved parties.

## 6. Amendments

The Board of Directors may, in accordance with the ANSI Bylaws, make changes in these procedures at any time after consultation with, or upon recommendation of, the Executive Standards Council.

Recommendations of the Executive Standards Council to the Board of Directors to amend these procedures shall require a two-thirds vote of approval by letter ballot of the council following a call for comment in *Standards Action*.

## Appendix A

### Model Procedures for an Accredited Standards Committee

#### A1. General

These procedures for an Accredited Standards Committee meet the requirements for due process and development of consensus for approval of American National Standards as given in Section 1 of the ANSI Procedures for the Development and Coordination of American National Standards.

#### A2. Organization of the Committee

The committee shall consist of its members and secretariat. It shall have a title, scope, and an interest classification system for its members. The membership shall be sufficiently diverse to ensure reasonable balance without dominance by a single interest category.

#### A3. Responsibilities

**A3.1 Committee Membership.** The committee shall be responsible for:

- (1) Developing proposed American National Standards within the scope of the committee
- (2) Voting on approval of proposed American National Standards within its scope
- (3) Maintaining the standards developed by the committee up-to-date
- (4) Adopting committee policy and procedures for interpretations of the standard(s) developed by the committee (see A11.3)
- (5) Responding to requests for interpretations of the standard(s) developed by the committee (see A11.3)
- (6) Adopting committee procedures and revisions thereof
- (7) Considering and acting on proposals for termination of the committee (see Section A10)
- (8) Other matters requiring committee action as provided in these procedures

**A3.2 Secretariat.** The secretariat shall:

- (1) Organize the committee (see Section A2)
- (2) Apply for committee accreditation by ANSI and maintain accreditation in accordance with ANSI requirements, including submission of the committee roster
- (3) Oversee the committee's compliance with these procedures

(4) Maintain a roster of the committee and a list of standards for which the committee is responsible

(5) Provide a committee secretary to perform administrative work, including secretarial services; meeting notices and arrangements; preparation and distribution of meeting agendas, minutes, ballots, and draft standards; and maintenance of adequate records

(6) Submit candidate standards approved by the committee, with supporting documentation, for ANSI review and approval as American National Standards

(7) Publish or arrange with ANSI for publication of its standards, revisions, and addenda (see 4.2)

(8) Perform other administrative functions as required by these procedures

(9) If composed of more than one organization (i.e., co-secretariat), provide a written agreement defining explicit division of these responsibilities

#### A4. Officers

There shall be a chairman and a vice-chairman appointed by the secretariat from the individual members or representatives of the committee, subject to approval by majority vote of the committee. Each will serve until a successor is selected and ready to serve. The vice-chairman shall carry out the chairman's duties if the chairman is temporarily unable to do so. The secretary shall be appointed by the secretariat.

#### A5. Membership

Members of the committee shall consist of organizations (preferably national in scope), companies, government agencies, individuals, etc, having a direct and material interest in the activities of the committee. The addition or termination of members shall be subject to approval by vote of the committee after the application has been processed in accordance with A5.1 or the membership reviewed in accordance with A5.2.

**A5.1 Application.** A request for membership shall be addressed to the secretariat, shall indicate the applicant's direct and material interest in the committee's work and qualifications and willingness to participate actively, and, if the applicant is an organization, company, or government agency, shall identify a representative (and an alternate, if desired).

**A5.1.1 Recommendation.** In recommending appropriate action to the committee on applications for membership, the secretariat shall consider the:

- (1) Need for active participation by each interest
- (2) Potential for dominance by a single interest category
- (3) Extent of interest expressed by the applicant and the applicant's willingness to participate actively
- (4) The representative identified by the applicant organization, company, or government agency

The secretariat may consider reasonable limits on committee size.

**A5.1.2 Diverse Interests.** If distinct divisions of an organization can demonstrate independent interests and authority to make independent decisions in the area of the activity of the committee, each may apply for membership. For example, one division or operating company of a private corporation may show a producing or selling interest while another may show a buyer/user interest; or a government agency may show a buyer/user interest in one department and a separate regulatory concern in another department.

**A5.1.3 Combined Interest.** When appropriate, the secretariat may recommend that the applicant seek representation through an organization which is already a member and represents the same or similar interest.

**A5.2 Review of Membership.** The secretariat shall review the membership list annually with respect to the criteria of Section A5. Members are expected to fulfill attendance, voting, correspondence, and other obligations. Where a member is found in habitual default of these obligations, the secretariat shall direct the matter to the committee for appropriate action, which may include termination of membership.

**A5.3 Observers and Individual Experts.** Individuals and organizations having an interest in the committee's work may request listing as observers. The committee may also select individual experts to assist it. Individual experts shall serve for a renewable term of one year and shall be subject to approval by vote of the committee upon recommendation by the chairman and the secretariat. Observers and individual experts shall be advised of the committee activities, may attend meetings, and may submit comments for consideration, but shall have no vote.

**A5.4 Categories of Interests.** All appropriate interests that might be directly and materially affected by the standards activity of the committee shall have the opportunity for fair and equitable participation without dominance by any single interest. Each member shall propose its own interest category as appropriate and in

accordance with the committee's established categories. (See 1.2.2 and 1.2.3.)

The categories of interest shall be established or revised by a vote of the committee upon recommendation by the secretariat. The rationale for the selection of categories shall be included in the committee ballot and submitted to ANSI as part of the accreditation requirements.

**A5.5 Membership Roster.** The secretariat shall maintain a current and accurate committee roster and shall distribute it to the members and their committee representatives at least annually, and otherwise on request. The roster shall include the following:

- (1) Title of the committee and its designation
- (2) Scope of the committee
- (3) Secretariat — name of organization, name of secretary, and address(es)
- (4) Officers — chairman and vice-chairman
- (5) Members — name of organization or agency, its representative and alternate (as applicable), addresses, and business affiliations; or name, address, and business affiliation of individual member(s)
- (6) Classification of each member
- (7) Tally of classifications — total of voting members and subtotals for each interest category
- (8) For each subgroup — title, chairman, and names and addresses of all members

## **A6. Subgroups Created by the Committee**

When one or more subgroups (subcommittees, working groups, technical subcommittees, writing groups, etc) are formed to expedite the work of the committee, their formation (and later disbandment) requires approval by a majority vote of the committee and appropriate public notice. The scope and duties delegated to the subgroup shall be approved at the time it is formed, and subsequent changes in scope or duties shall also require approval. The charge to the subgroup shall clearly state whether:

- (1) The subgroup is responsible for the definitive content of one or more standards and for responding to views and objections thereon. Such subgroups shall maintain a membership roster in accordance with A5.5(1) through A5.5(7) and shall comply with the provisions in A5.4, A7.1, and Section A8 as applied to voting on the standard(s), or
- (2) The subgroup is responsible for assisting the committee (e.g. drafting all or a portion of a standard, drafting responses to comments, drafting positions on international standards, or other purely advisory functions).

**A6.1 Chairman and Members of Subgroups.** The chairman and members of a subgroup shall be appointed by the chairman of the committee and confirmed by the committee. The scope, duties, and membership of all subgroups shall be reviewed by the committee annually. The officers and members of a subgroup need not be members of the committee.

**A6.2 Approval of Standards.** Draft standards and any substantive change in the content of a standard proposed by a subgroup shall be referred to the committee for approval.

## A7. Meetings

Committee meetings shall be held, as decided upon by the committee, the chairman, the secretariat, or by petition of five or more members, to conduct business, such as making assignments, receiving reports of work, considering draft standards, resolving differences among subgroups, and considering views and objections from any source. Meetings of subgroups may be held as decided upon by the members or chairman of the subgroup.

**A7.1 Open Meetings.** Meetings of the committee shall be open to all members and others having direct and material interest. At least four weeks' notice of regularly scheduled meetings shall be given by the secretariat in ANSI's *Standards Action*; or in other media designed to reach directly and materially affected interests; or in both. The notice shall describe the purpose of the meeting and shall identify a readily available source for further information. An agenda shall be available and shall be distributed in advance of the meeting to members and to others expressing interest. The secretariat may optionally maintain a permanent mailing list of other interests.

**A7.2 Quorum.** A majority of the members of the committee shall constitute a quorum for conducting business at a meeting. If a quorum is not present, actions may be taken by letter ballot.

## A8. Voting

**A8.1 Vote.** Each member shall vote one of the following positions:

- (1) Affirmative
- (2) Affirmative, with comment
- (3) Negative, with reasons (the reasons for a negative vote shall be given and if possible should include

specific wording or actions which would resolve the objection)

(4) Abstain, with reasons (for example, "no interest")

**A8.1.1 Vote of Alternate.** An alternate's vote is counted only if the principal representative fails to vote.

**A8.1.2 Single Vote.** Generally no representative shall have more than one vote. However, if two or more organizations appoint the same individual to represent each of them, that individual may cast a separate vote for each organization represented. The organizations shall confirm in writing to the secretariat that they are aware of and will accept the results. Additionally, representation of more than one organization by the same individual shall require approval by a majority of the committee, excluding the vote of that individual.

**A8.1.3 Voting Period.** The voting period for letter ballots shall end six weeks from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chairman's option, when warranted.

A follow-up letter requesting immediate return of the ballot shall be sent, as appropriate, to members and alternate members whose votes have not been received within ten working days before the ballot closes.

**A8.2 Actions Requiring Approval by a Majority.** The following actions require approval by a majority of the membership of the committee either at a meeting or by letter ballot:

- (1) Confirmation of officers appointed by the secretariat
- (2) Formation of a subgroup, including its procedures, scope, and duties
- (3) Disbandment of subgroups
- (4) Addition of new committee members and designation of their interest categories
- (5) Approval of withdrawal of an existing standard

Other actions requiring a committee vote may be approved by a majority of the members present at a meeting, including:

- (1) Approval of minutes
- (2) Authorization of a letter ballot

**A8.3 Actions Requiring Approval by Two-Thirds of Those Voting.** The following actions require a letter ballot or an equivalent formal recorded vote with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions:

- (1) Adoption of committee procedures, categories of interests, or revisions thereof
- (2) Approval of a new standard or reaffirmation of an existing standard



(3) Approval of revision or addendum to part or all of a standard

(4) Approval of change of committee scope

(5) Approval of termination of the committee

**A8.4 Authorization of Letter Ballots.** A letter ballot may be authorized by any of the following:

(1) Majority vote of those present at a committee meeting

(2) The chairman

(3) The executive committee (if one exists)

(4) The secretariat

(5) Petition of five or more members of the committee

**A8.5 Other Review.** Proposals for new American National Standards or reaffirmation, revision, or withdrawal of existing American National Standards shall be transmitted to ANSI for listing in *Standards Action* for comment.

The secretariat shall determine whether listing of proposed standards actions shall be concurrent with the final committee letter ballot and whether announcement in other suitable media is appropriate. The secretariat shall transmit a copy of the proposed new, revised, or reaffirmed standard to the administrator(s) of the appropriate USA Technical Advisory Group(s) at the same time.

Views and objections resulting from the above shall be dealt with in accordance with A8.6. Any substantive change made in the proposed American National Standard shall be relisted in accordance with A8.5.

**A8.6 Disposition of Views and Objections.** When the balloting has been closed, the secretary shall forward the ballot tally to the chairman of the committee or, if appropriate, of the subgroup; the chairman shall determine whether the expressed views and objections shall be considered by correspondence or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on the listing in *Standards Action*. A concerted effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor.

Substantive changes required to resolve objections, and unresolved objections, shall be reported to the committee members in order to afford all members an opportunity to respond to them or to reaffirm or change their votes within four weeks.

**A8.7 Report of Final Result.** The final result of the voting shall be reported, by interest categories, to the secretariat and to the committee.

## A9. Submittal of Standard

Upon completion of the procedures for voting, disposition of views and objections, and appeals, the proposed standard shall be submitted to ANSI by the secretariat. If the secretariat does not submit the proposal to ANSI within a reasonable period of time, any member(s) of the committee may make the submittal.

**A9.1 Information Submitted.** The information supplied to ANSI shall include:

(1) Title and designation of the proposed American National Standard

(2) Indication of the type of action requested (that is, approval of a new American National Standard or reaffirmation, revision, or withdrawal of an existing American National Standard)

(3) Two copies of the final proposed American National Standard

(4) A declaration that the accredited procedures were followed

(5) A declaration that the proposed standard is within the accredited scope of the committee

(6) A declaration that there are no identified significant conflicts with another known American National Standard

(7) A declaration that other known national standards have been examined with regard to harmonization and duplication of content

(8) A statement that the proposed American National Standard has been provided to the administrator(s) of the appropriate USA Technical Advisory Group(s) (see Appendix E)

(9) A declaration that all appeal actions related to approval of the proposed standard have been completed

(10) A summary of the voting and unreturned ballots in each interest category

(11) Identification of all unresolved views and objections, names of the objector(s), and a report of attempts toward resolution

(12) A roster of the committee and applicable subgroups at the time of committee ballot

## A10. Termination of Committee

A proposal to terminate an Accredited Standards Committee may be made by a directly and materially affected interest. The proposal shall be submitted in writing to the secretariat and to ANSI and shall include at least the following:

(1) Reasons why the committee should be terminated

(2) The name of the organization(s) that will assume responsibility for maintenance of any existing American National Standard(s) that are the responsibility of the committee

If it appears, after review by ANSI and discussion among the proponent of the action, the secretariat, and the ExSC or its designee, that the desired objectives can best be reached by termination, the proposal and supporting documentation shall be submitted to the committee with a letter ballot to terminate the committee and transfer responsibility, as appropriate, for the affected standards. Concurrently, the proposal shall be announced for comment in *Standards Action*.

## A11. Communications

Correspondence of committee officers should preferably be on "committee correspondence" letterhead.

**A11.1 Formal Internal Communication.** If correspondence between subcommittees or between working groups of different subcommittees involves issues or decisions (i.e., nonroutine matters) affecting other subcommittees, copies shall be sent to all affected subcommittee chairmen and to the committee officers.

**A11.2 External Communication.** Inquiries relating to the committee should be directed to the secretariat, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the secretariat.

**A11.3 Requests for Interpretation of Standards.** Written inquiries requesting interpretation of the committee's approved American National Standards shall be responded to in accordance with the policy of the committee (see A3.1(4)). Revisions to the standard resulting from requests for interpretations shall be processed in accordance with these procedures.

## A12. Appeals

Directly and materially affected interests who believe they have been or will be adversely affected by a standard within the committee's jurisdiction, or by the lack thereof, shall have the right to appeal substantive or procedural actions or inactions of the committee or the secretariat.

**A12.1 Complaint.** The appellant shall file a written complaint with the secretariat within thirty days after the date of notification of action or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the section(s) of these procedures or the standard that are at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

**A12.2 Response.** Within thirty days after receipt of the complaint, the respondent (chairman or secretariat representative) shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

**A12.3 Hearing.** If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, the secretariat shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least ten working days notice.

**A12.4 Appeals Panel.** The appeals panel shall consist of three individuals who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute. At least two members shall be acceptable to the appellant and at least two shall be acceptable to the respondent.

**A12.5 Conduct of the Hearing.** The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the committee and the secretariat took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals. *Robert's Rules of Order* (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

**A12.6 Decision.** The appeals panel shall render its decision in writing within thirty days, stating findings of fact and conclusions, with reasons therefor, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:

(1) Finding for the appellant, remanding the action

to the committee or the secretariat with a specific statement of the issues and facts in regard to which fair and equitable action was not taken

(2) Finding for the respondent, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections

(3) Finding that new, substantive evidence has been introduced, and remanding the entire action to the committee or the secretariat for appropriate reconsideration

**A12.7 Further Appeal.** If the appellant gives notice that further appeal to ANSI is intended, a full record of the complaint, response, hearing, and decision shall be submitted by the secretariat to ANSI.

### **A13. Parliamentary Procedures**

On questions of parliamentary procedure not covered in these procedures, *Robert's Rules of Order* (latest edition) may be used to expedite due process.

## **Appendix B**

### **Procedures for Canvass by an Accredited Sponsor**

#### **B1. General**

These procedures constitute the canvass method of developing evidence of consensus for the approval, reaffirmation, revision, or withdrawal of American National Standards. Any standards developer may apply for accreditation as a sponsor under the canvass method (see 2.1.3). In addition to complying with the requirements for accreditation, the sponsor shall:

(1) Develop a canvass list in accordance with Section B2

(2) Have the canvass list reviewed by ANSI in accordance with Section B3

(3) Conduct the canvass in accordance with Section B4

(4) Attempt to resolve expressed views and objections in accordance with Section B5

(5) Report the results of Sections B2 through B5 to ANSI in accordance with Section B6

#### **B2. Development of Canvass List**

**B2.1** The sponsor shall develop a list of all interests known to be, or who have indicated that they are, directly and materially affected by the standard. The

list shall identify the interest category of each canvasee, and the canvasee's relationship to the standard (producer, user, general interest, etc) in accordance with 1.2.2 and 1.2.3.

**B2.2** The sponsor shall inform the potential canvasees in writing about the use of the canvass method for developing evidence of consensus, determine if they are interested in participating, and, if so, obtain their agreement to an interest category classification. The sponsor's letter should contain the title, designation, scope, and description of the standard along with the history of its development. The time for response shall be at least one month from the date of the sponsor's letter and shall be so noted in the letter. After having inquired whether the potential canvasees are interested, the sponsor shall send ANSI a copy of the letter and the list of the interests contacted, noting their responses. All those who have agreed to participate shall be included on the canvass list, together with their agreed-upon classification. No interest category shall dominate the canvass list, in accordance with 1.2.2.

**NOTE:** The sponsor need not repeat the interest survey required in this paragraph for those canvasees who have indicated a desire to be on the sponsor's canvass list for a particular category or categories of standards.

**B2.3** Any standards developer known to be developing standards in a similar field shall be placed on the canvass list by the sponsor.

**B2.4** No individual shall represent or cast a vote for more than one interest on the canvass list.

### **B3. Review of Canvass List**

**B3.1** Upon receipt of the sponsor's canvass list, ANSI shall announce the proposed canvass in *Standards Action* with a call for comment to elicit additional interests not previously contacted. The review period shall be thirty days from the date of publication. Any resulting proposals for addition to the canvass list shall be referred immediately to the sponsor.

**B3.2** Concurrently, the canvass list shall be submitted to the Executive Standards Council or its designee for review. Within thirty days, the sponsor shall be notified whether or not additional interests should be solicited for the canvass list. The sponsor shall consider revising the canvass list based on comments received

**B3.3** The sponsor may begin to conduct the canvass at any time after submittal of the list of canvasees to ANSI, but interests subsequently added to the canvass list shall have the same amount of time to respond as do the other canvasees, in accordance with Section B4.

### **B4. Conduct of Canvass**

**B4.1** The sponsor shall transmit at least the following information to the canvasees:

- (1) The purpose and intended application of the standard
- (2) A brief history and explanation of how the standard was developed
- (3) An explanation of ANSI's function in the voluntary consensus standards system and the purpose of seeking ANSI approval. (The explanation will be provided to the sponsor by ANSI; it need not be sent to those canvasees who have previously received this information from the sponsor.)
- (4) A copy of the canvass list, including the name of each canvasee, name of contact, address, and category of interest
- (5) A copy of the complete proposed American National Standard or of the relevant portion under consideration when the canvasee has previously received the complete standard

#### **(6) A letter ballot**

Upon request, the sponsor shall provide to the canvasee a reasonable number of copies of the document being considered to allow for a speedy determination of position by the canvasee. The letter of transmittal or ballot shall make clear that it is the intent of the ballot to develop evidence of consensus on which approval as an American National Standard is to be based. Should the document contain material that is not to be considered for approval as an American National Standard, such as an introduction or appendix, a clear statement shall be included indicating those portions of the standard that are to be considered for approval by ANSI.

The ballot form used by the sponsor shall provide opportunity for the canvasee to indicate concurrence, objection, or abstention (with reasons) with the advice that, in order to receive consideration, objections must be accompanied by supporting written reasons and, where possible, proposals for a solution to the problem raised. At least one follow-up shall be sent to interests not responding. The canvass ballot may be closed at the end of three months, or sooner if all canvasees have responded. An extension of up to three months shall be granted upon request from any canvasee giving a legitimate reason.

**B4.2** Proposals for new American National Standards and proposals to revise, reaffirm, or withdraw existing American National Standards shall also be transmitted to ANSI for listing in *Standards Action* for comment. The sponsor shall determine whether such listing shall be concurrent with the canvass and whether announcement of the proposed action in other suitable media is appropriate. The sponsor shall transmit a copy of the proposed new, revised, or reaffirmed standard to the administrator(s) of the appropriate USA Technical Advisory Group(s) at the same time.

**B4.3** Views and objections resulting from B4.1 and B4.2 shall be dealt with in accordance with Section B5. Any substantive change made in the proposed American National Standard shall be relisted in accordance with B4.2.

### **B5. Disposition of Views and Objections**

Prompt consideration shall be given to the expressed views and objections of all participants including those commenting on the listing in *Standards Action*. A concerted effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor.

Substantive changes required to resolve objections,

and unresolved objections, shall be reported to the canvass list in order to afford all canvasees an opportunity to respond to them or to reaffirm or change their votes within four weeks.

Following consideration of any additional comment or appeal, the sponsor may submit the proposed standard to ANSI.

## **B6. Submittal of Standard**

Upon completion of the procedures for canvass, for disposition of views and objections, and for appeals, the proposed standard may be submitted to ANSI.

The information to be supplied to ANSI shall include:

(1) Title and designation of the proposed American National Standard

(2) Indication of the type of action requested (that is, approval of a new American National Standard or reaffirmation, revision, or withdrawal of an existing American National Standard)

(3) Two copies of the final proposed American National Standard

(4) A declaration that the canvass procedures were followed

(5) A declaration that the proposed standard is within the field of previously registered standards activity

(6) A declaration that there are no identified significant conflicts with another known American National Standard

(7) A declaration that other known national standards have been examined with regard to harmonization and duplication of content

(8) A statement that the proposed American National Standard has been provided to the administrator(s) of the appropriate USA Technical Advisory Group(s) (see Appendix E)

(9) A declaration that all appeal actions related to the approval of the proposed standard have been completed

(10) A summary of the voting and unreturned ballots in each interest category

(11) Identification of all unresolved views and objections, identification of the objectors, and a report of attempts toward resolution

(12) The canvass list

## **B7. Appeals**

Directly and materially affected interests who believe they have been or will be adversely affected by a standard being canvassed or by the lack thereof shall have the right to appeal substantive or procedural actions or inactions of the sponsor.

The sponsor shall provide or arrange for an impartial appeals body composed of at least three individuals knowledgeable as to the policy or other concerns related to the appeal. Such individuals must not have demonstrably real or apparent conflicts of interest with the subject of the appeal or the person filing the appeal.

The appeal must be filed in writing with the sponsor and a copy sent to ANSI. A summary of the nature of the appeal, and the decision and rationale thereof, shall be reported to the canvass list and ANSI.

## **B8. Requests for Interpretation of Standards**

Written inquiries requesting interpretation of the sponsor's approved American National Standards shall be responded to in accordance with the policy of the sponsor (see 2.2.5). Revisions to the standard resulting from requests for interpretations shall be processed in accordance with these procedures.

## Appendix C

### Operating Procedures of ANSI Standards Boards and ExSC Committees

#### C1. Standards Boards<sup>6</sup>

A standards board is a standing organization within ANSI having planning and coordination responsibilities on a continuing basis for a defined scope of activity, usually in an industrial sector.

**C1.1 Establishment of Standards Boards.** Standards boards are established by and operate within a scope assigned by the ExSC. Every effort will be made to minimize the number of standards boards, consistent with carrying out planning and coordination responsibilities.

The establishment of a standards board may be requested by any directly and materially affected interest. Notice of the intent to form a board shall be published in *Standards Action* with a call for comment. The ExSC shall consider the request and the comments received and, on the basis of the following, shall determine whether a standards board should be established:

- (1) Need for the proposed standards board
- (2) Relationship to existing planning and coordination activities
- (3) Scope of the proposed area of activity
- (4) Extent of standardization activities, current and anticipated
- (5) Interest and willingness of concerned interests to participate in and cooperate with the standards board

Each standards board should be of such size and scope as to promote prompt attention to and coordination of standards development programs. Notice of the establishment of a new standards board shall be published in *Standards Action* with advice that requests for membership be directed to the ExSC.

**C1.2 Scope.** The scope of a standards board and any modification of it recommended by the board itself shall be submitted to the ExSC for approval.

**C1.3 Functions.** Each standards board shall be responsible for the following functions regarding both national and international standards activities, within the scope assigned to it by the Executive Standards Council:

- (1) Survey existing standards and on-going standardization activities and notify appropriate standards

developers of existing or impending potential conflicts and overlapping activities

- (2) Develop and maintain status reports of on-going activities

- (3) Contribute to and utilize its portion of ANSI's project registration activity

- (4) Plan standards activities to ensure that the need for standards (including regulatory standards) are identified and addressed through the voluntary system

- (5) Stimulate the work of standards developers so that such work is completed expeditiously and standards will be timely and adequate

- (6) Review the standards activity of applicants for accreditation and the initiation of new standards activities by accredited standards developers

- (7) Encourage and act as necessary to coordinate standards developing activities in order to minimize duplication of effort; report coordination problems to ExSC

- (8) Harmonize conflicts and overlap in standards activities with the goal of achieving a single consistent set of American National Standards

- (9) Review standards committee rosters and canvass lists and recommend the addition of directly and materially affected interests not already participating

- (10) Advise other ANSI boards, councils and committees, as necessary

- (11) Consider suggestions regarding ANSI Procedures for the Development and Coordination of American National Standards and transmit them, with recommendations, to the ExSC

In addition, each standards board shall foster, maintain, and supervise effective participation in international standards activities, as appropriate. A standards board shall not itself develop standards, establish standards developing committees, nor serve as secretariat for an Accredited Standards Committee.

**C1.4 Organization.** Each standards board shall consist of a chairman, one or more vice-chairmen, a secretary, and members.

**C1.4.1 Term of Office.** The initial chairman and one or more vice-chairmen of the standards board shall be appointed by the ExSC for a one-year term; thereafter, they shall be elected by the standards board from the membership for two-year terms. The chairman and vice-chairman may serve for a total of two consecutive two-year terms. The secretary shall be a member of the ANSI staff and shall have no vote.

<sup>6</sup> Formerly named Standards Management Boards.

**C1.4.2 Nominations and Elections.** Not later than September 1 of alternate years, the chairman of each standards board shall appoint a nominating committee of not less than three members from among the voting membership of the board for the purpose of nominating, from the voting membership, candidates for officers for the following calendar year. The nominating committee shall report to the secretary of the standards board by October 1. The secretary shall notify the standards board of the nominating committee's report and shall indicate that five or more voting members may make additional nominations from the voting membership of the board for submittal to the secretary by November 10 of the same year. The secretary of the board shall mail to each voting member a ballot containing the names of all candidates, those submitted by the nominating committee being so indicated. The candidates receiving a plurality of the votes cast shall be declared elected.

**C1.4.3 Membership.** Membership on standards boards shall consist of interests directly and materially affected by the activities of the board and shall (except by special action) be members of ANSI.

Such interests shall include but not be limited to:

- (1) Accredited standards developers having standards activities within the scope of the standards board
- (2) Standards users such as private and government interests, regulatory agencies, organizations, and companies
- (3) Individual members
- (4) Other interest categories, as needed
- (5) Liaison with other ANSI boards, councils, and committees

There shall be no dominance by any single interest category. All members are subject to approval by the ExSC upon recommendation by the standards board.

Except for individuals, members shall designate a representative, and may designate alternates where necessary, who shall serve at the discretion of the member, subject to replacement at any time. Each member shall have one vote that shall be cast by the representative or, in the absence of the principal representative, by the alternate. No individual shall represent more than one member. The standard board membership list (including the scope, officers, members, and names and affiliations of representatives and alternates) shall be transmitted to the ExSC annually.

**C1.4.4 Observers.**<sup>7</sup> Organizations, governmental bodies, companies, and individuals may apply to the Executive Standards Council for acceptance as observer members of a standards board. Observers shall be kept advised of the activities of the board, may attend meet-

ings, and may offer advice and guidance. Observers shall have no vote.

**C1.4.5 Subgroups.** Standards boards may organize subgroups as necessary. The scope, membership, functions, and reporting mechanism of subgroups shall be defined by the standards boards. The chairman and vice-chairman of the standards board shall be chairman and vice-chairman of the board's executive committee, if one exists.

**C1.5 Meetings.** Standards boards shall meet at least once a year and may meet more often at the discretion of the chair or upon petition by five or more members. Notice of the time and place of meetings and an agenda of the principal items to be considered shall be distributed to the members, representatives, and alternates at least four weeks in advance of any meeting. Final action shall not be taken at any meetings on matters not specified in the agenda. Proposed action on new business may be submitted to letter ballot of the entire board by approval of a majority of those present at the meeting.

The presence of at least half the voting members on the board shall constitute a quorum at meetings.

**C1.5.1 Voting at Meetings.** The board shall act by a majority vote of the members present or represented at any meeting at which a quorum is present, provided that the vote favoring action is not less than 33% of the total board membership. In the absence of a quorum or approval by at least 33% of total board membership, proposed actions may be submitted to letter ballot of the entire board by approval of a majority of those present.

**C1.5.2 Minutes.** The secretary of the standards board shall prepare minutes of standards board meetings. Subject to approval by the standards board, the minutes shall stand as official records of the actions taken at meetings. The minutes shall be distributed to the standards board members, the ExSC, observers, others attending the meetings, and, upon request, to other interested persons.

**C1.6 Letter Ballots.** The standards board by majority vote at a meeting (C1.5) or the chairman of the standards board may authorize letter ballots. The chairman shall authorize a letter ballot on the request of five or more board members.

All members or representatives shall exercise their voting privileges within prescribed time limits. The results of all letter ballots shall remain confidential to the officers of the standards board until the ballot has been closed.

Letter ballots shall be closed one month following the date of issue, unless an extension is authorized by the chairman. When the ballot has been closed, the

<sup>7</sup>Contact ANSI for fee schedule

secretary shall forward the ballot tally to the chairman who shall determine whether consideration of any view or objection shall be by telephone, correspondence, or at a meeting. All views and objections accompanying votes shall be carefully considered and resolution attempted, after which the secretary shall report the results of the ballot to the standards board and to others concerned. The report shall include any unresolved views or objections and attempts toward resolution. All members who wish to change their original votes based on the report shall so indicate within 14 days. The final ballot results shall be reported to all concerned.

Approval by letter ballot requires a majority of the board and at least two-thirds of those returning ballots, excluding abstentions.

When a member fails repeatedly to return ballots by the ballot due date, the member shall be advised and questioned relative to continued participation on the standards board. The ExSC shall take appropriate action on cases referred to it by a standards board.

**C1.7 Reports to the Executive Standards Council.** By March 1, each standards board shall submit to the ExSC a list of current officers and members and an annual report summarizing its activities for the previous year. The annual report shall review the activity and projects of standards developers whose standards fall within the scope of the standards board and shall include plans of the standards board for the forthcoming year, with particular attention to the standards requiring action because of their five-year review status.

**C1.8 Dissolution of Standards Boards.** The ExSC may disband a standards board on its own initiative or upon request from the standards board.

## **C2. ExSC Committees**

The Executive Standards Council may establish committees as needed to address specific and immediate planning and coordinating issues. The scope, membership, functions, and reporting mechanism of ExSC committees shall be defined by the ExSC.

The chairman of the ExSC shall appoint the committee chairman and members, with the approval of the ExSC.

**C2.1 Functions.** An ExSC committee shall function within the scope and purpose assigned by the Executive Standards Council.

**C2.2 Notification.** Notice of the creation of an ExSC committee shall appear in *Standards Action* for comment.

## **C3. Appeals**

Any action taken or inaction by a standards board may be appealed to the ExSC within thirty days following notification of specific action, or at any time with respect to inaction.

The appeal shall be in writing and shall include a statement as to why the action should be modified or taken. The ExSC shall hear the appeal at its earliest practicable meeting after the date of request for appeal. The appellant and others concerned shall be notified of the hearing at least fifteen working days in advance of the date set for hearing the appeal.

The ExSC having heard an appeal may take action in accordance with the voting requirements given in the Operating Procedures of the Executive Standards Council. The secretary of the ExSC shall promptly notify the appellant and others concerned of the Council's decision. Any action or inaction of the ExSC may be appealed to the ANSI appeals board.

## **C4. ExSC Review**

The ExSC shall annually review all standards boards and ExSC committees established under Sections C1 and C2 to determine the need to continue, redirect, or disband them and to review their membership and scope. As part of this review, the ExSC may require written reports, as necessary. Where appropriate, meetings may also be arranged to accomplish this review.



## Appendix D

### ANSI's Patent Policy

#### D1. Inclusion of Patents in American National Standards

There is no objection in principle to drafting a proposed American National Standard in terms that include the use of a patented item, if it is considered that technical reasons justify this approach.

If the Institute receives a notice that a proposed American National Standard may require the use of a patented invention, the procedures in Sections D2 through D5 shall be followed.

#### D2. Statement from Patent Holder

Prior to approval of such a proposed American National Standard, the Institute shall receive from the patent holder (in a form approved by the Institute) either: assurance in the form of a general disclaimer to the effect that the patentee does not hold and does not anticipate holding any invention whose use would be required for compliance with the proposed American National Standard or assurance that:

(1) A license will be made available without compensation to applicants desiring to utilize the license for the purpose of implementing the standard, or

(2) A license will be made available to applicants under reasonable terms and conditions that are demonstrably free of any unfair discrimination

The terms and conditions of any license shall be submitted to ANSI for review by its counsel, together with a statement of the number of independent licensees, if any, which have accepted or indicated their acceptance of terms and conditions of the license.

#### D3. Record of Statement

A record of the patent holder's statement (and a statement of the basis for considering such terms and conditions free of any unfair discrimination) shall be placed and retained in the files of the Institute.

#### D4. Notice

When the Institute receives from a patent holder the assurance set forth in D2(1) or D2(2), the standard shall include a note as follows:

NOTE: The user's attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights.

By publication of this standard, no position is taken with respect to the validity of this claim or of any patent rights in connection therewith. The patent holder has, however, filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from the publisher.

#### D5. Responsibility for Identifying Patents

The Institute shall not be responsible for identifying all patents for which a license may be required by an American National Standard or for conducting inquiries into the legal validity or scope of those patents which are brought to its attention.

## Appendix E

### International and Regional Standards

#### E1. International Standards

Developers of American National Standards shall take international standards into consideration and shall, if appropriate, base their standards on international standards.

USA Technical Advisory Groups (USA TAGs) exist for most standards projects for which the United States has evidenced substantial interest. These groups may be contacted for information and advice through their administrators, who are on record at ANSI.

The reasons for not basing an American National Standard on an international standard include, but are not limited to, the following:

- (1) National security requirements
- (2) The prevention of deceptive practices
- (3) The protection of human health or safety, animal or plant life or health, or the environment
- (4) Fundamental climatic or other geographical factors
- (5) Fundamental technological problems

#### E2. Regional Standards

Standards developers may, but are not required to, take into consideration international standards promulgated by a regional standards organization.

## Appendix F

### Transition from American National Standards Committees

The secretariat of each American National Standards Committee shall be notified by ANSI that the secretariat and the committee must take steps to become an accredited standards committee or to become accredited under another of the methods described in these procedures (see Section 2) before September 1, 1984.

The secretariat and the committee shall notify ANSI by September 1, 1983 of their intentions regarding the

transition and shall propose a timetable for such action.

Pending revision, reaffirmation, or withdrawal, existing American National Standards developed by American National Standards Committees will continue to be recognized by ANSI for five years from the last date of approval. Requests for extensions may be made in accordance with 4.3 of these procedures.



**american national standards institute**  
**1430 broadway, new york, n.y. 10018**