



ANSI Procedures for the Development and Coordination of American National Standards

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FOREWORD

The voluntary standards system in the United States consists of a large number of standards developers that write and maintain one or more national standards. Among them are professional societies, trade associations, and other organizations. Thousands of individuals, companies, other organizations (e.g., labor, consumer, and industrial) and government agencies 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 with a set of standards that are without conflict or unnecessary duplication in their requirements.

ANSI is the U.S. member of non-treaty international standards organizations such as the International Organization for Standardization (ISO), the International Electrotechnical Commission (IEC) through the United States National Committee, the Pacific Area Standards Congress (PASC), and the Pan American Standards Commission (COPANT). 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 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 ANSI Board of Directors 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. A further revision was approved by the Board of Directors on September 9, 1987, and provided updated references, refinement of the canvass procedures, and the addition of new information pertaining to Standards Planning Panels, Standards Advisors, draft standards for trial use, substantive changes, and commercial terms and conditions.

A revision approved by the Board of Directors on September 9, 1993 added four new Annexes, "Policy on Reaffirmation of American National Standards", "The Three Methods of Consensus", "Procedures for the Synchronization of the National and International Standards Review and Approval Processes" and the "Metric Policy." It also incorporated a number of clarifications.

As a result of the review by the Blue Ribbon Panel of the American National Standards Board of Directors, an additional revision was initiated. This review identified a number of areas, particularly with respect to the criteria for approval and the appeals process, where revisions would more accurately and more appropriately reflect the role of the Institute. The ability to grant authority to qualified accredited standards developers to apply the American National Standard designation without ANSI Board of Standards Review approval was also proposed by the Blue Ribbon Panel. These revisions were approved by the ANSI Board of Directors on March 22, 1995. The availability of the ability to apply the ANS designation without BSR review is not intended to replace the current three methods of accreditation. In addition, standards developers who have been granted this ability may still submit standards for approval by the BSR.

Following the March 22, 1995 revision of the procedures, further revisions were made to the *ANSI Procedures*. In particular, the patent policy (section 1.2.11) was revised to indicate that the actual terms and conditions do not have to be filed, and the definition of "commercial term" (section 1.2.10) was clarified. Also, the criteria for reaffirmations (section 1.3.1.2) were changed so that a standard undergoing an update of references may be processed as a reaffirmation instead of a revision as long as the referenced standards were themselves reaffirmations and not revisions. Other revisions include changes to section 1.2.13 concerning record retention, changes to section B.2.1 concerning the formation of the canvass list, and changes to section 1.2.7 concerning the notification of right to appeal. The aforementioned revisions were approved on or before March 1997 by the ANSI Board of Directors.

Between March 1997 and April 1998 a number of revisions to these procedures were made as a result of ongoing reengineering at the Institute. These revisions streamline processes, clarify intent, place responsibility for actions where it is most appropriate, and are consistent with the strategic direction of the ANSI Federation. In particular, the role of the ANSI BSR with regard to Audited Designators was revised (section 1.3), the PINS policy was revised (section 1.2.6), clarification that developers are required to notify in writing objectors of the disposition of the objections and the reasons therefore (section 1.2.7) was added, the requirement that developers have a metric policy as a requirement of accreditation was added (section 2.2), the processes associated with the notification and withdrawal of overage standards were revised to clarify that accredited standards developers have the responsibility for monitoring and taking action on approved American National Standards (section 4.4.1), the appeals process associated with a request for the withdrawal of an American National Standard was streamlined (section 4.4.3), the option to request arbitration with AAA rather than appeal to the ANSI Appeals Board was eliminated, and two new annexes – one concerning a recommended agreement between the secretariat and the committee of an accredited standards committee, and a second containing the Policy on Voting on Standards via Letter Ballot - were added. These revisions and additions were approved on or before April 1998 by the full ANSI Board of Directors or by the National Issues Committee (NIC) on behalf of the Board of Directors.

Since the 1998 edition of the ANSI Procedures was issued, a number of revisions and clarifications that continue to improve and streamline the American National Standards process were approved by the ExSC and the NIC. These changes allow a developer more creativity in the design of their consensus-development process, while ensuring the overall integrity of the American National Standards process. Some of these changes include: the introduction of a 45-day public review option for standards available electronically; a streamlined accreditation process; the establishment of official definitions for several key terms; the clarification of the requirements associated with the consideration of views and objections; easement of designation requirements; clarification of the records retention policy based on standards maintenance options; and clarification of standards maintenance and withdrawal options.

Effective 2001 a new edition of the various revised procedures that govern the American National Standards process will be issued annually. Between official issuances of editions, ANSI-accredited standards developers have the option of implementing NIC-approved revisions as of the date that they are approved by the NIC.

The 2002 edition of this document incorporates procedural revisions approved by the ANSI NIC in 2001. This edition includes revisions that specifically address the National Standards Strategy (NSS). Changes to the following clauses (and some related sub-clauses) are reflected in this 2002 edition: 1.2, 1.3, 2, 3.1, 3.4.4, 4, 6, Annex A, Annex B, Annex H and Annex I. A key new addition is clause 1.2.9 Procedures for the National Adoption of ISO and IEC Standards. Editorial changes were incorporated in March 2002.

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

Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has a right to participate by: a) expressing a position and its basis, b) having that position considered, and c) having the right to appeal. 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 are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership on the consensus body 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 any action to create, revise, reaffirm, or withdraw a standard, and the establishment of a new consensus body 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. In addition, the affiliation and interest category of each member of the consensus body shall be made available to interested parties upon request.

1.2.2 Lack of dominance

The standards development process shall not be dominated by any single interest category, individual or organization. Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation to the exclusion of fair and equitable consideration of other viewpoints.

Unless it is claimed in writing (including electronic communications) by a directly and materially affected party that a single interest category, individual or organization dominated the standards development process, no test for dominance is required.

1.2.3 Balance

The standards development process should have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance.

Historically the criteria for balance are that a) no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety or b) no single interest category constitutes a majority of the membership of a consensus body dealing with product standards.

1.2.4 Interest categories

The interest categories appropriate to the development of consensus in any given standards activity are a function of the nature of the standards being developed. Interest categories shall be defined and such definitions shall be available upon request. In defining the interest categories appropriate to a standards activity, consideration shall be given to at least the following:

- a) producer;
- b) user;
- c) general interest.

Where appropriate, more detailed subdivisions should be considered.¹

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.

1.2.4.1 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 goods and services rather than producing or selling them.

1.2.4.2 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.

1.2.4.3 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.

1.2.4.4 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, an appropriate user participant is a representative of labor.

1.2.5 Written procedures

Written procedures shall govern the methods used for standards development and shall be available to any interested person.

1.2.6 Appeals

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

1.2.7 Notification of standards development

Notification of standards activity shall be announced in suitable media as appropriate to demonstrate provision of opportunity for participation by all directly and materially affected persons. At the initiation of a project to develop or revise an American National Standard, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for listing in *Standards Action*. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard. Comments received in connection with a PINS announcement shall be handled in accordance with the appropriate sections of clause 1.2.8 herein.

In addition, proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI using the BSR-8 form, or its equivalent, for listing in *Standards Action* in order to provide an opportunity for public comment. The comment period shall be one of the following:

¹ Further subdivisions that may be used to categorize directly and materially affected persons consist of, but are not limited to, the following:

a) Consumer; b) Directly affected public; c) Distributor and retailer; d) Industrial/commercial; e) Insurance; f) Labor; g) Manufacturer; h) Professional society; i) Regulatory agency; j) Testing laboratory; k) Trade association.

- A minimum of thirty days if the full text of the revision(s) can be published in *Standards Action*;
- A minimum of forty-five days if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or
- A minimum of sixty days, if neither of the aforementioned options is applicable.

Such listing may be requested at any stage in the development of the proposal, at the option of the standards developer, and may be concurrent with final balloting. However, any substantive change (see 1.2.10) subsequently made in a proposed American National Standard requires listing of the change in *Standards Action*.

1.2.8 Consideration of views and objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on either the PINS announcement or public comment listing in *Standards Action*.

1.2.8.1 PINS announcement comments

If a developer receives written comments within 45 days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline. Such a deliberation shall be organized by the developer and the commenter and shall be concluded before the developer may submit a draft standard for public review. If the deliberation does not take place within the 90-day period and the developer can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The outcome of such a deliberation shall be conveyed in writing by the developer and commenter (ideally as a joint submission) to the ANSI Board of Standards Review (BSR) for consideration should the developer ultimately submit the related candidate standard to ANSI for approval. In the case of ANSI Audited Designators, the ANSI Audited Designator shall review the results of the deliberation prior to designating a standard as an ANS. While the outcome is not binding, participants are encouraged to develop a consensus on whether and how the standards development project should proceed.

1.2.8.2 Public review and consensus body comments

In connection with an objection articulated during a public comment period, or submitted in connection with a vote, an effort to resolve an expressed objection accompanied by comments related to the proposal under consideration shall be made, and each such objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefor. If resolution is not achieved, each such objector shall be informed that an appeals process exists within procedures used by the standards developer. In addition, except in the case of ANSI Audited Designators, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved (see definition²) must be reported to the ANSI BSR.

When this process is completed in accordance with the written procedures of the standards developer, the standards developer may consider any comments received subsequent to the closing of the public review and comment period, or shall consider them in the same manner as a new proposal.

² Resolved: A negative vote cast by a member of the consensus body or a comment submitted as a result of public review where the negative voter agrees to change his/her vote or the negative commenter accepts the proposed resolution of his/her comment.

Timely comments that are not related to the proposal under consideration shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified.

Unresolved objections and any substantive change (see 1.2.10) made in a proposed American National Standard shall be reported to the consensus body in order to afford all members an opportunity to respond, reaffirm, or change their vote.

1.2.9 Procedures for the National Adoption of ISO or IEC Standards

ANSI accredited standards developers (developers) should take ISO or IEC standards into consideration and should, if appropriate, base their standards on or consider the adoption of an ISO or IEC standard as an American National Standard (ANS). US 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 TAG Administrators or Technical Advisors (as relevant), who are on record at ANSI.

The “ANSI ISO/IEC Standards Sales and Exploitation Rights Policy” shall be consulted for the terms and conditions concerning which developer may adopt an ISO or IEC standard as an American National Standard. ISO/IEC Guide 21 defines certain levels of equivalencies of adoption,³ *i.e.*, identical, modified or not equivalent. Only an identical or modified version of the ISO or IEC document shall be considered for adoption as an American National Standard. A developer who chooses to nationally adopt an ISO or IEC standard shall follow its accredited procedures for developing American National Standards. A developer who wishes to have the option of following the expedited procedures set forth in clause 1.2.9.2 herein when seeking to adopt an ISO or IEC standard as an identical adoption shall include a provision or notification to this effect in its accredited procedures.

If a developer wishes to adopt an ISO or IEC guide, report, or document other than a standard, the developer shall follow its accredited procedures and may not utilize the expedited procedures detailed in clause 1.2.9.2.

1.2.9.1 Requirements Associated with the Identical or Modified Adoption of an ISO or IEC Standard as an American National Standard

A standards developer wishing to adopt an ISO or IEC standard as an American National Standard that constitutes an identical or modified adoption as defined in Annex H shall:

- a) comply with the ANSI ISO/IEC Standards Sales and Exploitation Rights Policy and submit evidence of compliance (such as a confirmation from the ANSI staff responsible for such contractual arrangements) as part of the formal submittal of the candidate American National Standard for approval;
- b) clearly identify during the ANS development and submittal process that it is the intent of the standards project to adopt a specific ISO or IEC standard and provide notice in compliance with current ANSI requirements, as modified by clause 1.2.9.2.1; and
- c) designate and publish the final approved American National Standard in compliance with applicable sections of clause 4 and Annex I herein.

1.2.9.2 Expedited Procedures for the Identical Adoption of an ISO or IEC standard as an American National Standard

The expedited procedures contained in this clause may be used only for the identical adoption of ISO or IEC standards for which the US TAG voted or will vote in the affirmative. For all other circumstances, the developer’s accredited procedures shall apply.

A developer who wishes to have the option of following the expedited procedures set forth herein when seeking to adopt an ISO or IEC standard as an identical adoption shall include a provision or notification to this effect in its accredited procedures. In addition, the numerical requirements for consensus set forth in the developer’s accredited procedures apply.

³ See Annex H for definitions of the degrees of adoptions.

A developer may propose the identical national adoption of an ISO or IEC standard to its American National Standard consensus body via a “yes” or “no” vote. The developer that is proposing such an action may do so:

- a) Concurrent with the US TAG vote on an ISO or IEC standard. In this case the developer’s consensus body has an opportunity to endorse the ISO or IEC standard for adoption as an American National Standard at or around the same time that the US TAG is approving the standard as an ISO or IEC standard.
or
- b) Any time after an ISO or IEC standard has been approved as such.

The following provisions are applicable to the processes associated with the national adoption of identical ISO or IEC standards:

1.2.9.2.1 Public notice and public review

Clause 1.2.7 *Notification of standards development* sets forth public notice and public review requirements. However, when a developer is proposing an identical national adoption of an ISO or IEC standard, the following options apply:

- a) Project Initiation Notice (PINS): If a published ISO or IEC standard exists or if an ISO or IEC standard is at a point in the ISO or IEC process where no additional changes to the document may be made, then submittal of a PINS form is not required. If, however, a draft ISO or IEC standard is at an earlier phase of development, and changes to the document prior to approval as an ISO or IEC standard may be made, then a PINS is required. The publication of a PINS for the national adoption of an ISO or IEC standard that is still under development may encourage interested parties to participate in that process.
- b) Public Review: The public review announcement in *Standards Action* shall clearly indicate that the action pending is an identical adoption of an ISO or IEC standard. Whenever possible, public review of the proposed identical adoption should occur before or concurrent with balloting by the consensus body. With respect to international approval, the standards developer undertaking the national adoption shall provide all public review comments to the US TAG for consideration, but is not required to inform the commenters of how the TAG disposed of those comments. With respect to the national adoption, all comments received shall be provided to the consensus body (if other than the TAG) for consideration in determining its position. The consensus body is not required to provide detailed responses to the comments, however the developer shall inform public review commenters regarding whether or not the identical adoption was approved for submission to ANSI.

1.2.9.2.2 Minimum consensus body ballot period

A developer using these expedited procedures may utilize the minimum ballot period established by their accredited procedures for American National Standards. Alternatively, the consensus body may vote to establish a ballot period that is not less than two weeks. Developers accredited to use ANSI’s model procedures shall use a minimum ballot period of two weeks.

1.2.9.2.3 Comment resolution

The developer shall clearly indicate to the consensus body that the ballot associated with the national adoption of an ISO or IEC standard only takes into consideration the identical adoption of the standard as an American National Standard. Thus, there is no opportunity for comment resolution. Members of the consensus body shall submit either a “yes” or “no” ballot. Any comments, including editorial, technical and those highlighting conflicts with current American National Standards or other non-U.S. standards shall be provided to the members of the consensus body in order to provide them with the opportunity to respond, reaffirm, or change their vote within

the time limits established by the developer's accredited procedures; however, there shall be no attempt at resolution of the comments unless identical adoption under ANSI expedited procedures is abandoned and the consensus body decides to instead consider adoption (with or without national deviations) under normal procedures (see 1.2.9.2).

Comments received from either the consensus ballot or the public review period shall also be referred to the appropriate US TAG.

1.2.9.2.4 Notice of Action and Right to Appeal

Prior to submittal to ANSI of a candidate American National Standard as an identical adoption following these expedited procedures, the developer shall notify public commenters of the intended final action on the standard and that an appeals process exists within the accredited procedures used by the standards developer.

1.2.9.2.5 Approval of an ISO or IEC Standard as an American National Standard

A candidate American National Standard that is submitted as a result of the implementation of these expedited procedures shall be processed in the same manner as a standard that is submitted without objections.

1.2.9.2.6 Periodic Review

An ANS that is an identical adoption of an ISO or IEC standard does not have to be reaffirmed according to the schedule referenced in clause 4.4.2 herein, but rather may be reaffirmed at the same time that the corresponding ISO or IEC standard is reaffirmed by the respective organization.

If the ISO or IEC standard has been withdrawn, revised or superceded, similar action shall be considered by the adopting developer within six months of the international action. If the standards developer no longer has the rights under the Sales & Exploitation Rights Policy with regard to the ISO or IEC standard, then the related ANS shall be withdrawn.

1.2.10 Substantive change

A substantive change in a proposed American National Standard is one that directly and materially affects the use of the standard. Examples of substantive changes are below:

- a) "shall" to "should" or "should" to "shall";
- b) addition, deletion or revision of requirements, regardless of the number of changes;
- c) addition of mandatory compliance with referenced standards.

1.2.11 Commercial terms and conditions

Provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions shall not be included in an American National Standard. It is not acceptable to include proper names or trademarks of specific companies or organizations, acceptable manufacturer lists, service provider lists, or similar material in the text of a standard or in an annex (or the equivalent). Where a sole source exists for essential equipment, materials or services necessary to determine compliance with the standard, it is permissible to supply the name and address of the source in a footnote or informative annex as long as the words "or the equivalent" are added to the reference. In connection with standards that relate to the determination of whether products or services conform to one or more standards, the process or criteria for determining conformity can be standardized as long as the description of the process or criteria is limited to technical and engineering concerns and does not include what would otherwise be a commercial term or proper name.

1.2.12 ANSI patent policy - 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 1.2.12.1 through 1.2.12.4 shall be followed.

1.2.12.1 Statement from patent holder

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

- a) a license will be made available without compensation to the applicants desiring to utilize the license for the purpose of implementing the standard; or
- b) a license will be made available to applicants under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

1.2.12.2 Record of statement

A record of the patent holder's statement shall be placed and retained in the files of the Institute.

1.2.12.3 Notice

When the Institute receives from a patent holder the assurance set forth in 1.2.12.1 a) or b), 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 standards developer.

1.2.12.4 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 that are brought to its attention.

1.2.13 Consideration of standards proposals

Prompt consideration shall be given to proposals made for developing new standards, or revising or withdrawing existing American National Standards.

A proposed new American National Standard or a proposed revision or reaffirmation of an American National Standard to be approved by the BSR shall be submitted to the secretary of the BSR within one (1) year from the close of the comment period listed in *Standards Action* using the appropriate form provided by ANSI, unless the standards developer notifies the secretary of the BSR in writing of good cause for a different schedule for submittal. Failure to make the submittal within two (2) years from the close of the comment period listed in *Standards Action* shall require consideration by the BSR; i.e., withdrawal, extension for cause, or another listing in *Standards Action*.

1.2.14 Records

Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised, or reaffirmed American National Standards maintained under the periodic maintenance option (see 4.4.1) shall be retained for one complete standards cycle, or until the standard is revised.

Records concerning actions on American National Standards, or a part(s) of an American National Standard, maintained under the continuous maintenance option (see 4.4.2) shall be retained for a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard.

Records concerning withdrawals of all American National Standards shall be retained for at least five years from the date of withdrawal.

1.3 Criteria for approval and withdrawal of American National Standards

A standard developed by an accredited standards developer may be approved as an American National Standard in accordance with either 1.3.1 (Approval by the Board of Standards Review), or 1.3.2 (Approval without BSR review). In either case, the due process and consensus criteria outlined in clause 1 of these procedures shall apply. In addition, approval assures the user that each American National Standard is generally acceptable to the directly and materially affected interest categories that participated in the development of consensus for the standard.

“Consensus” means substantial agreement has been reached by directly and materially affected interest categories. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution.

Consensus is demonstrated, in part, by a vote of the consensus body. Such a vote shall be conducted and reported in accordance with the rules set forth below and in compliance with clause 1.2.8 herein.

1. Accredited Standards Developers (ASDs) shall not change a vote unless instructed in writing (including electronic communications) to do so by the voter. It is never appropriate for an ASD to inform voters that if they are not heard from, their negative vote will be considered withdrawn and their vote will be recorded as an abstention or an affirmative. All negative votes that are not changed at the request of the voter shall be recorded and reported to the BSR as outstanding negatives by any ASD who has not been granted the authority to designate its standards as American National Standards without approval by the BSR.
2. ASDs shall record and consider all negative votes accompanied by any comments that are related to the proposal under consideration. This includes negative votes accompanied by comments concerning potential conflict or duplication of the draft standard with an existing American National Standard and negative votes accompanied by comments of a procedural or philosophical nature. These types of comments shall not be dismissed due to the fact that they do not necessarily provide alternative language or a specific remedy to the no vote.
3. ASDs are not required to consider negative votes accompanied by comments not related to the proposal under consideration, or negative votes without comments. The ASD shall indicate conspicuously on the letter ballot that negative votes must be accompanied by comments related to the proposal and that votes unaccompanied by such comments will be recorded as “negative without comments” without further notice to the voter. If comments not related to the proposal are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal (see 1.2.13). If clear instruction is provided on the ballot, and a negative vote unaccompanied by comments related to the proposal is received notwithstanding, the vote may be counted as a “negative without comment” for the purposes of establishing a quorum and reporting to ANSI. The ASD is not required to solicit any comments from the negative voter. The ASD is not required to conduct a recirculation ballot of the negative vote. The ASD is required to report the no vote as a “negative without comment” when making their final submittal to the BSR unless the ASD has been granted the authority to designate its standards as American National Standards without approval by the BSR.
4. The ASD shall maintain records of evidence regarding any change of an original vote.
5. Except in regard to votes on membership and officer-related issues, each member of a consensus body should vote one of the following positions (or the equivalent):
 - (a) Affirmative;
 - (b) Affirmative, with comment;
 - (c) Negative, with reasons (the reasons for a negative vote shall be given and if possible should include

specific wording or actions that would resolve the objection);

(d) Abstain, with reasons.

6. For votes on membership and officer-related issues, the affirmative/negative/abstain method of voting shall be followed. Votes with regard to these issues need not be accompanied by reasons and need not be resolved or circulated to the consensus body.

1.3.1 Approval by the Board of Standards Review

Approval and withdrawal of an American National Standard by the ANSI Board of Standards Review (BSR) is based on the evidence submitted that the requirements set forth below have been met. The BSR also acts on the revision and reaffirmation of an existing American National Standard.

The ANSI Board of Standards Review (BSR) shall review standards submitted to ANSI with unresolved objections on record. This includes negative consensus body votes as well as public review comments. Standards submitted without objections may be administratively approved by the BSR. The BSR does not have jurisdiction over the standards of Audited Designators unless an Audited Designator chooses to submit one or more standards to the BSR for approval.

1.3.1.1 Criteria for approval

With respect to any proposal to approve, revise or reaffirm an American National Standard for which one or more unresolved objections have been reported, the BSR shall evaluate whether:

- a) the standard was developed in accordance with the procedures upon which the developer was granted accreditation, with particular attention given to whether due process was followed, consensus was achieved, and an effort was made to resolve any objections to the standard;
- b) any appeal to the standards developer with respect to the standard was completed;
- c) notice of the development process for the standard was provided to ANSI in accordance with PINS or its equivalent;
- d) any identified significant conflict with another American National Standard was resolved;
- e) other known national standards were examined with regard to harmonization and duplication of content and if duplication exists, there is a compelling need for the standard;
- f) the proposed American National Standard was provided to the administrator(s) of the appropriate U.S. TAG (see 1.2.9);
- g) ANSI's patent policy is met (see 1.2.12), if applicable;
- h) ANSI's policy on commercial terms and conditions is met (see 1.2.11), if applicable;
- i) the standards developer provided the following or evidence thereof:
 - 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) identification of the accredited method used and declaration that applicable procedures were followed;
 - 4) a declaration that the proposed standard is within the scope of the previously registered standards activity;
 - 5) a declaration that no significant conflicts with another American National Standard have been identified or that any identified significant conflict was addressed in accordance with 1.2.8;
 - 6) a statement that the proposed American National Standard has been provided to the

- administrator(s) of the appropriate US TAG (see 1.2.9);
- 7) a roster of the consensus body that indicates: the vote of each member including abstentions and unreturned ballots, if applicable; the interest category of each member; and a summary thereof;
 - 8) a declaration that all appeal actions related to the approval of the proposed standard have been completed;
 - 9) a declaration that the criteria contained in the ANSI patent policy have been met, if applicable;
 - 10) identification of all unresolved negative views and objections, with names of the objector(s), and a report of attempts toward resolution; and
 - 11) applicable ANSI fees for maintenance of accreditation.

If the BSR determines, based on the weight of the evidence presented, that the above-stated criteria have been satisfied, the standard shall be approved as an American National Standard. The BSR shall deny approval, if, based on the weight of the evidence presented, the BSR determines that the American National Standard:

- a) is contrary to the public interest;
- b) contains unfair provisions;
- c) is unsuitable for national use;
- d) has a conflict with an existing American National Standard.⁴

Standards approved as American National Standards shall be designated, published, and maintained in accordance with clause 4. No substantive change (see 1.2.10) that has not been afforded due process in accordance with these procedures may be made in an approved American National Standard.

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

1.3.1.2 Criteria for reaffirmation

The due process and consensus requirements contained in 1.2 apply to reaffirmations as they do to all approval actions related to American National Standards. The procedures used for reaffirmation of an American National Standard by an accredited standards developer shall be implemented according to the developer's ANSI-approved procedures. Reaffirmations shall provide an opportunity for public comment.

Reaffirmations shall be accomplished without any substantive change to the main text of the standard. All non-substantive changes in the main text of the standard shall be explained, or noted, in a foreword. An American National Standard undergoing an update of references to standards necessary to implement the American National Standard shall be processed as a revision unless the updated reference is only a reaffirmation of the referenced standard. Any substantive change in such references requires processing as a revision.

In the case of a proposal for reaffirmation of an existing American National Standard for which one or more unresolved objections have been reported, the BSR shall consider evidence that the criteria above have been met.

The designation of ANSI approval shall clearly indicate if the approval is a reaffirmation.

1.3.1.3 Criteria for withdrawal

1.3.1.3.1 Administrative withdrawal

In accordance with 4.4 of these procedures, an American National Standard shall be withdrawn five years following approval, if the standard has not been revised or reaffirmed, unless an extension has been granted by the ExSC or its designee. An American National Standard that has not been reaffirmed or revised within the five-year period, and

⁴ As used here, the term "conflict" refers to a situation where, viewed from the perspective of an implementer, the terms of one standard are inconsistent with the terms of another standard such that implementation of one standard necessarily would preclude proper implementation of the other standard in accordance with its terms.

that has been recommended for withdrawal by the ExSC or its designee, shall be withdrawn at the close of a 30-day public review notice in *Standards Action*. American National Standards that have not been revised or reaffirmed within ten years from the date of their approval as American National Standards shall be withdrawn and such action shall be announced in *Standards Action*.

1.3.1.3.2 Withdrawal by Accredited Standards Developer

If an accredited standards developer withdraws its approval of one or more of its American National Standards, the standards developer shall notify ANSI immediately and the standard shall be withdrawn as an ANS in accordance with the standards developer's accredited procedures and announced in *Standards Action*.

An American National Standard may also be withdrawn at the request of its accredited standards developer provided that the developer complied with its own procedures in making this request. Except as provided in 1.3.2, the secretary of the BSR shall review the request for withdrawal with its supporting information within 20 working days after receipt. If additional information is required, the secretary shall request such information from the developer. If sufficient information is provided, a 60-day public review announcement shall be made in *Standards Action* and at the close of the 60-day period, the standard shall be withdrawn.

Appeals of such actions shall be made to the Board of Standards Review based on procedural noncompliance.

1.3.1.3.3 Discontinuance of a standards project

An accredited standards developer may abandon the processing of a proposed new or revised American National Standard or portion thereof if it has followed its accredited procedures. A written justification for such an action shall be made available upon receipt of any written request received by the accredited standards developer within 60 days of the date of the final action.

Appeals of such actions shall be made to the Executive Standards Council based on procedural noncompliance.

1.3.1.3.4 Withdrawal for Cause

Requests for withdrawal of an ANS for cause shall be approved by the BSR only upon a sufficient showing that one or more of the following conditions applies:

- a) a significant conflict with another American National Standard remains;
- b) ANSI's patent policy was violated;
- c) ANSI's requirements for designation, publication, and maintenance were violated;
- d) an American National Standard is contrary to the public interest;
- e) an American National Standard contains unfair provisions;
- f) an American National Standard is unsuitable for national use.

Except as provided in 1.3.2.6, an application for withdrawal of an American National Standard may be submitted to the BSR by any materially interested party or the ExSC. The application shall be accompanied by a filing fee. This fee may be waived or reduced upon sufficient evidence of hardship.

In such cases:

- a) the secretary of the BSR shall refer the request for withdrawal to the standards developer for the developer to review and respond within 30 calendar days to the requester and the secretary of the BSR;
- b) if the standards developer concurs with the proposed withdrawal, the procedures given in 1.2.7 and 1.3 shall apply;
- c) if the standards developer does not concur with the proposed withdrawal, the standards developer shall inform the requester and the secretary of the BSR and include reasons;
- d) the requester shall advise the secretary of the BSR, and the developer, within 30 calendar days of their receipt of the developer's response, either that the requestor wishes the withdrawal process to continue or not;
- e) if the requester requests continuance of the withdrawal process, the matter shall be referred to the BSR via letter ballot for decision on subsequent action.

Extensions of time to submit documentation related to a withdrawal for cause shall be granted at the discretion of the chairperson of the BSR, or if the chairperson is unavailable, by the secretary of the BSR. Extensions shall be requested prior to the deadline date and shall include a justification therefore.

If the BSR determines, based on the weight of the evidence presented, that one or more of the above-stated criteria have been satisfied, approval of the standard as an American National Standard shall be withdrawn. If the BSR determines, based on the weight of the evidence presented, that none of the above-stated criteria have been met, then approval of the standard as an American National Standard shall be maintained. The decision of the BSR in this regard shall not be appealed to the BSR, but may be appealed to the ANSI Appeals Board pursuant to section 11, Appeals Process, of the *ANSI Appeals Board Operating Procedures*.

1.3.1.4 Final notice

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

1.3.2 Approval without BSR review

1.3.2.1 Introduction

A voluntary consensus standards developer who has been accredited by ANSI and who has demonstrated a "consistent record of successful voluntary standards development" may apply to ANSI at any time seeking the authority to designate its standards as American National Standards without approval by the BSR.

1.3.2.2 Application

The applicant shall provide the information specified in a form developed by ANSI for this purpose. A notice announcing the application shall be published in *Standards Action* with a call for comment. Simultaneously, an initial audit of the applicant shall be scheduled, in accordance with the *ANSI Auditing Policy and Procedures*. At the conclusion of these actions, the Executive Standards Council (ExSC) shall consider the information supplied by the applicant, any comments and responses received, the audit results, and the initial audit responses, and will make a decision concerning the disposition of the application. In making a decision on such an application, the ExSC may request any additional information reasonably necessary to clarify issues raised by the application. Thereafter, ANSI shall either approve the application as submitted, approve the application contingent on receipt of certain additional assurances, or deny the application. Any decision to deny the application may thereafter be appealed by the applicant to the ANSI Appeals Board. When an application has been finally approved by ANSI, a notice so indicating shall be made in *Standards Action*.

1.3.2.3 Criteria for approval

In determining whether an accredited standards developer has achieved a "consistent record of successful voluntary standards development," ANSI shall consider all evidence reasonably bearing on the issue, including the extent of the notice provided by the applicant concerning its development activities and the integrity of the other due process safeguards used by the applicant in conducting its work. A presumption shall exist that this test has been satisfied where a) the developer has been involved in voluntary standards development work for at least five (5) years, b) during that period, the BSR has approved at least ten of the developer's standards or if ten standards have not been approved, standard(s) totaling at least 100 pages and c) no standard submitted by the developer during the five (5)-year period was finally denied American National Standard status by ANSI due to a failure to adhere to the principles and procedures upon which the developer's accreditation was based. The inability of an applicant to make use of this presumption shall in no way preclude consideration of its application based on all the relevant evidence.

Upon a final decision to grant an accredited developer's application, the developer shall enter into a written agreement with ANSI, which shall include commitments by the developer to meet the requirements listed below. The agreement shall be for a term of no longer than two (2) years. Any additional terms included in the agreement may be modified as circumstances require with the prior approval of ANSI's President (as long as such additional term(s) do not conflict with any of ANSI's procedures and policies) and the developer.

The developer shall:

- a) retain membership in ANSI and pay dues to ANSI in accordance with the policies established by ANSI's Board of Directors;

- b) conduct its activities at all times in conformity with the criteria upon which it was accredited;
- c) submit to audits of its operations by ANSI to demonstrate compliance with terms of the delegation and pay the fees associated therewith (see the *ANSI Auditing Policy and Procedures* for further details on the audit requirements);
- d) provide information required by ANSI in connection with PINS or its equivalent, in a timely manner;
- e) provide information required by ANSI in connection with initiating the ANSI public comment period, in a timely manner;
- f) promptly notify ANSI each time that a standard is designated as an American National Standard without BSR review;
- g) not designate as an American National Standard any standard if it:
 - 1) is contrary to the public interest;
 - 2) contains unfair provisions;
 - 3) is unsuitable for national use;
 - 4) has a conflict with an existing American National Standard.

If a standard is subsequently determined to have been in conflict with an existing American National Standard at the time of approval, the American National Standard designation shall be withdrawn;

- h) promptly notify ANSI of any suit or claim made against the developer arising from a standard designated as an American National Standard without BSR review, and provide periodic updates sufficient to apprise ANSI of the status of any such suit or claim;
- i) indemnify ANSI in connection with any suit or claim that may be made against ANSI arising from a standard designated as an American National Standard without BSR review,⁵ which indemnity must include a commitment to advance all reasonable attorneys' fees and expenses incurred in connection with investigating or defending any such suit or claim;⁶
- j) consider an American National Standard designation for all of its standards (where permitted by *ANSI Procedures*); and
- k) immediately cease to apply the ANSI designation to any standard approved after the developer has been notified by ANSI that its accreditation has been suspended and/or withdrawn.

In addition, the Agreement shall provide for termination by ANSI upon any material breach of its terms by the developer, following notice and an opportunity to cure any such breach. The developer shall have the right to appeal any such decision pursuant to ANSI's appeals procedures.

1.3.2.4 Renewals

Successive applications to renew a developer's right to designate its standards as American National Standards without BSR review may be made without limitation and shall be reviewed and decided on the same basis as an initial application, except that in connection with any renewal ANSI shall consider whether during the preceding period the developer has properly fulfilled its obligations as set forth above.

1.3.2.5 Requirements

With respect to submitting American National Standards to ANSI without BSR approval, the qualified applicant shall agree to provide the following:

- a) title and designation of the American National Standard;

⁵ The sufficiency of the indemnity will be evaluated on a case-by-case basis in light of the assets of the applicant. ANSI reserves the right to deny approval to any applicant should ANSI determine an offer of indemnity to be insufficient.

⁶ It is understood that, absent a conflict of interest, the developer may designate its own attorneys as the attorneys for ANSI as well.

- b) indication of the type of action (that is, approval of a new American National Standard or reaffirmation, revision, or withdrawal of an existing American National Standard);
- c) identification of the accredited method used and declaration that applicable procedures were followed;
- d) a declaration that the standard is within the scope of the previously registered standards activity;
- e) a declaration that other national standards have been examined with regard to harmonization and duplication of content and if duplication exists, there is compelling need for the standard;
- f) a declaration that no significant conflicts with another American National Standard have been identified or that any identified significant conflict with another American National Standard was addressed in accordance with 1.2.8;
- g) a statement that the American National Standard has been provided to the administrator(s) of the appropriate TAG(s) (see 1.2.9);
- h) a declaration that all appeal actions related to the approval of the proposed standard have been completed;
- i) a declaration that the criteria contained in the ANSI patent policy have been met, if applicable;
- j) approval date of the American National Standard.

1.3.2.6 Complaints

Any complaint, (whether expressed as a complaint, appeal, or request for withdrawal of ANSI designation) concerning any actions or inactions, including approval or disapproval of an American National Standard, by an Audited Designator shall be governed by the provisions of the *Operating Procedures - ANSI Executive Standards Council*, clause 17 *ExSC consideration of complaints against Audited Designators*.

2 Accreditation of American National Standards Developers

2.1 General

A standards developer whose procedures meet the requirements of due process and criteria for approval and withdrawal of American National Standards in clause 1 may apply to ANSI for accreditation. To be accredited, the standards developer's procedures and practices for standards development shall meet the criteria for accreditation in 2.2. A standards developer may be accredited to use one or more recognized methods of developing evidence of consensus -- Accredited Organization Method, Accredited Standards Committee Method, and Accredited Standards developer using the Canvass Method.

2.1.1 Standards developers using the Accredited Organization Method shall prepare and submit procedures that meet the requirements found in the *ANSI Procedures for the Development and Coordination of American National Standards (ANSI Procedures)*. These procedures may be based upon Annex A.

2.1.2 Standards developers using the Accredited Standards Committee Method shall either prepare and submit procedures that meet the requirements found in the *ANSI Procedures*, or shall adopt the Model Procedures (see Annex A), and may submit any other documentation in response to Annex F. The secretariat and the consensus bodies of such ANSI-Accredited Standards Committees (ASC) shall jointly hold the ANSI accreditation. Details of how this joint accreditation will be implemented are at the discretion of the secretariat and the consensus body.

2.1.3 Standards developers using the Canvass Method shall use the canvass procedures provided in Annex B and comply with the requirements contained in the *ANSI Procedures for the Development and Coordination of American National Standards*.

2.2 Criteria for accreditation

Accreditation shall be based on compliance with the following criteria:

- a) 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;

- b) with respect to American National Standards or candidate American National Standards, 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 part 4);
 - 3) provide for an appeals mechanism;
 - 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 and revisions of existing standards expected to result in candidate American National Standards;
 - 6) submit to ANSI for public comment the requisite information concerning activities related to new candidate American National Standards and the revision, reaffirmation, or withdrawal of American National Standards;
 - 7) consider applicable international standards (see 1.2.9); and
 - 8) pay to ANSI all relevant fees.
- c) as appropriate to the extent to which the applicant is involved with standardization, the applicant shall consider participation in international standards activities through ANSI;
- d) with respect to submitting proposed American National Standards to ANSI for BSR approval, the applicant shall agree to comply with clause 1.3.1.1 of these procedures;
- e) the applicant shall advise ANSI of its policies regarding the use of international system of units (SI) in standards, record retention, patents and interpretation of American National Standards.

2.3 Application

Application to ANSI for accreditation shall be in writing and shall include copies of the pertinent standards developing procedures and other documentation demonstrating compliance with the criteria specified in 2.2. In the case of an application for accreditation as a committee, the applicant shall be defined as and is considered to be jointly the secretariat and the consensus body.

If more than one set of standards developing procedures is used by an applicant, each procedure requires separate review for accreditation. The applicant shall submit its scope for informational purposes only, a description of its present program of standards activities, including, as applicable, the scopes of standards committees, and a list of candidate American National Standards (see clause 3). Also included shall be a statement from the applicant that details their coordination efforts to date and confirms their agreement to attempt to coordinate their standards activities with other ANSI-accredited standards developers and with ANSI.

A notice announcing 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 ExSC shall consider the information supplied by the applicant and any comments and responses received, including reports on coordination from the appropriate ExSC designee if any, standards advisors, and the BSR. If comments are submitted that challenge support for an applicant's accreditation, the applicant shall supply evidence of such support for consideration by the commenter and the ExSC. The ExSC shall determine whether accreditation should be approved. The applicant must meet all of the criteria in 2.2 before accreditation can be granted. If, during the course of the accreditation process, the developer makes a change to their originally submitted scope or to their originally submitted operating procedures, an additional announcement shall be published in *Standards Action*. If, however, the developer makes changes to the originally submitted operating procedures at the specific direction of the ExSC or their designee in order to bring their procedures into compliance with the *ANSI Procedures*, an informational announcement shall be placed in *Standards Action* without additional public review. Accreditation will not be granted to an applicant whose procedures do not satisfy the requirements set forth herein. In the event that accreditation is not granted, the ExSC 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 ANSI Audit Director, under the supervision of the ExSC, shall arrange for audits of accredited standards developers at selected intervals or, at the request of the ExSC, due to special circumstances (BSR request, appeals action, etc.) to confirm adherence to the criteria for accreditation and to confirm that the procedures and practices of the accredited standards developer continue to be consistent with those which formed the basis for accreditation. The ANSI Audit Director shall report the audit findings to the ExSC who in turn shall take appropriate action in accordance with the *ANSI Auditing Policy and Procedures*.

Accredited standards developers granted authority to designate their standards as American National Standards without BSR approval shall submit to a regular audit in accordance with 1.3.2.

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 ExSC in order to maintain accreditation.

Whenever any revision is made to a standards developer's procedures on record at ANSI, the ExSC shall be notified and provided with a detailed description of the changes. If the changes are considered by the ExSC to be non-substantive, the standards developer will be notified and, upon such notification, may begin to operate under the revised procedures. If the changes are considered by the ExSC to be substantive, notice of these changes shall appear in *Standards Action* with a call for comment. Copies of the revised procedures shall be made available by the applicant to any party, upon request. If a developer submits their procedures in an electronic format and authorizes ANSI to post them on ANSI Online for purposes of public review, then the associated call for comment period in ANSI's *Standards Action* shall be 30 days and shall be announced as such.

If the standards developer decides to implement revised procedures prior to the final approval of the ExSC, they may do so provided that a) records concerning the implementation are maintained and available for use by the ANSI Audit Program; b) the developer certifies that the changes are in compliance with the *ANSI Procedures*; and c) the developer accepts responsibility for all actions taken with regard to a candidate American National Standard, including resubmittal, if the ExSC does not approve a particular procedural provision.

Following the comment period, the ExSC 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 continue the accreditation. Notice of continuance shall be sent to the accredited standards developer and shall appear in *Standards Action*.

When the ExSC requests an accredited standards developer to revise its approved procedures to bring them into compliance with the *ANSI Procedures for the Development and Coordination of American National Standards*, the ExSC shall decide on a case-by-case basis whether reaccreditation, including public review, is also required.

2.5 Withdrawal of accreditation

As a result of an appeal, or the notification to the ExSC by either the secretariat or the consensus body of an ANSI-accredited standards committee of its decision to terminate the jointly-held accreditation (except as provided in clause 2.5.1 below), the ExSC may withdraw accreditation and the approval of the developer's American National Standards without advance notice.

In addition, the ExSC may advise and request any accredited standards developer to take corrective action if the conditions upon which accreditation was granted are not maintained. If such action is not taken within the time period designated, the ExSC shall provide at least a thirty day notice to the standards developer stating that, unless specified conditions are corrected, its accreditation and the approval of all American National Standards under all affected accreditations shall be withdrawn. Unless the necessary corrective actions are taken within the specified period, the ExSC shall withdraw the accreditation and approval of all American National Standards sponsored by the developer. The standards developer shall be notified of withdrawal of accreditation and a notice shall appear in *Standards Action*.

2.5.1 Change in Secretariat-Consensus Body Relationship within an ANSI-Accredited Standards Committee (ASC)

In the case of an ANSI-accredited standards committee, the secretariat and the consensus body shall jointly hold the accreditation. If a change in the entity that serves as the secretariat is sought by both the consensus body and the secretariat and the new secretariat agrees to use the ASC's existing procedures, then the following shall apply:

- (a) The secretariat shall prepare and circulate a ballot for consensus body approval of the new secretariat.
- (b) Upon closure of the ballot, a copy of the voting results shall be transmitted to the consensus body pursuant to the accredited procedures.
 - If a two-thirds affirmative vote of the total voting membership of the consensus body is not achieved, and the secretariat and/or the consensus body do not wish to continue their joint relationship, then the ExSC shall be so notified in writing. The accreditation of the ASC shall be withdrawn by the ExSC as a result in accordance with clause 2.5 herein.
 - If a two-thirds affirmative vote of the total voting membership of the consensus body is achieved, then the following procedures shall apply.
- c) A notice shall be sent to the Secretary of the ExSC notifying it of the change in secretariat, the reasons therefore, a copy of the voting results that indicate the consensus body's acceptance of the proposed change and a certification that the new secretariat shall operate in accordance with the currently accredited procedures.
- d) The Secretary of the ExSC shall place an announcement of the transfer of the responsibility to the new secretariat in *Standards Action* to solicit public comment. The comment period shall be 30 days.
- e) The ExSC shall consider any comments received during the public comment period. If no comments are received, then an informative announcement confirming the change of secretariat shall be made in *Standards Action*. If comments are received, the ExSC shall require that the consensus body and the proposed secretariat respond adequately to such comments prior to final approval by the ExSC.

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. 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 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 duplication; avoiding the promulgation of conflicting American National Standards; and assuring opportunity for participation by all directly and materially affected interests. (Refer also to clauses 1.2.7 and 1.2.8.)

3.2 Purpose

Planning and coordinating activities are intended to support 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, appointing designees or standards advisors, as appropriate.

3.3.1 Standards planning panels

Standards planning panels are ad hoc groups formed by the ExSC to address the needs and coordination of standards in areas not covered by standards boards or where several standards boards have an interest.

3.3.2 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.

3.3.3 Standards advisors

The Executive Standards Council may appoint Standards advisors in standardization fields not covered by ExSC committees (see annex C).

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 provide ANSI with information with respect to their standards activities and standards publications. Such information shall be added to a data bank of standards information.

3.4.2 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.

3.4.3 Notification of standards activities

To ensure that all interested parties are made aware of new activities, ANSI will announce new standards development projects in *Standards Action*.

3.4.4 Draft American National Standards for trial use

Draft standards intended for subsequent submittal to ANSI for approval as American National Standards may be published by accredited standards developers for trial use and comment in trade or technical journals, or as separate publications for a period of up to three years. The availability of such draft standards shall be registered with ANSI and announced in ANSI's *Standards Action*, other appropriate media and, if practical, may be listed in ANSI's catalog.

Accredited Standards Developers that intend to utilize draft standards for trial use are required to establish procedures for use in connection with their promulgation. Such procedures shall specify how and by whom the decision to promulgate a draft standard for trial use shall be made. Such procedures shall afford materially affected interests the opportunity to challenge the decision to register a draft standard for trial use with ANSI. A copy of such procedures shall be received by ANSI, reviewed and approved by the Executive Standards Council (ExSC) or its designee, and placed on file prior to the submission and announcement of any draft standards for trial use. Draft standards for trial use shall not be issued to address a need for an emergency standard. In addition, draft standards for trial use must be in compliance with the ANSI Patent Policy.

Materially affected interests wishing to initiate a challenge at ANSI to a decision by an Accredited Standards Developer to register with ANSI a draft standard for trial use shall first exhaust all methods of challenge at the Accredited Standards Developer's level prior to submitting an appeal to the ANSI ExSC. The only basis on which such an appeal shall be filed is the alleged failure of the Accredited Standards Developer to follow either its own procedures or any other relevant ANSI requirements. The burden of proof shall be on the appellant. An announcement regarding the appeal will appear in *Standards Action*.

The following statement, or equivalent, shall be included on the front cover of the draft standard for trial use:

“Publication of this draft standard for trial use and comment has been approved by (insert name of accredited standards developer). Distribution of this draft standard for comment shall not continue beyond () months from the date of publication. It is expected that following this () month period, this draft standard, revised as necessary, will be submitted to the American National Standards Institute for approval as an American National Standard. A public review in accordance with established ANSI procedures is required at the end of the trial use period and before a draft standard for trial use may be submitted to ANSI for approval as an American National Standard. This draft standard is not an American National Standard. Suggestions for revision should be directed to”

Use of the ANSI logo or trademark is prohibited on any document that has not been approved as an American National Standard including a draft standard for trial use. If an ANSI-accredited developer complies with these procedures in connection with a draft standard for trial use, it may be referred to as a *Draft American National Standard for Trial Use*. ANSI reserves the right to deny announcement of the availability of a draft standard for trial use that is intended to be submitted for approval as an American National Standard for legal reasons upon advice of its counsel.

3.5 Requests for new projects

Any direct and materially affected person 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:

- a) views on the need for the standard(s);
- b) organizations(s) already engaged in developing the standard(s);
- c) one or more accredited standards developers interested in developing the standard(s);
- d) 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 usually can be accomplished by standards developers through the implementation of one or more of the following:

- a) clear delineation of scope, purpose, and intended application of each standard;
- b) public notice of standardization activities;
- c) joint and cooperative activities of the individual organizations, including liaison representation;
- d) organization of an independent but representative body acceptable to the involved parties to coordinate standards needs and projects and to develop standards as required;
- e) liaison between national standards developers and the organization responsible for the U.S. position on corresponding international standards;
- f) use of the ANSI project registration system.

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 duplication, and avoid the promulgation of conflicting American National Standards.

The ExSC and/or its designee shall be alert to duplication of national standards activities. The ExSC or its designee 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 designee shall be investigated and harmonization initiated, if warranted. This process usually consists of:

- a) 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;
- b) 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;
- c) 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 as an American National Standard shall have its cover or title page marked with an approval logo⁷ furnished by ANSI or the words “an American National Standard.” In addition, American National Standards shall be marked in such a way as to identify the version of the standard or shall be identified by a unique alphanumeric designation in accordance with the guidelines contained herein.

The ANSI approval logo and the words “an American National Standard” shall not be used to identify any standard that has not received ANSI approval or been approved by an accredited standards developer who has been granted authority to designate its standards as American National Standards.

Portions of the document that were not approved through the full consensus process and therefore are not part of the American National Standard (such as forewords, prefaces, annexes, appendices, interpretations, etc.) shall be clearly identified at the beginning of each such clause, or such information shall be overprinted on the cover page. These portions of the document shall be marked with the following, or similar, explanatory language:

“The information contained in this annex *(or other portion of a document)* is not part of this American National Standard (ANS) and has not been processed in accordance with ANSI’s requirements for an ANS. As such, this annex *(or other portion of a document)* may contain material that has not been subjected to public review or a consensus process. In addition, it does not contain requirements necessary for conformance to the standard.”

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

- a) a designation assigned by the standards developer and adopted by ANSI for all new, revised, and reaffirmed standards. For example: ANSI/IEEE 123-2001 or for an addendum in the same year, ANSI/IEEE 123.a-2001;
- b) the committee designation shall be used on standards developed by an Accredited Standards Committee (ASC). For example: ANSI X3.1-2001;
- c) 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.

⁷ An “Approved American National Standard” mark is available from ANSI.

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 or its designee. 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 a) 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 b) fails to meet the extended deadline.

4.3 Style of publication

When the standards developer does not have its own style of publication it is recommended that the standard be prepared in accordance with the *ANSI Style Manual for Preparation of Proposed American National Standards*.

4.4 Maintenance of American National Standards

American National Standards shall be kept current and relevant by means of timely revision or reaffirmation. Obsolete standards shall be withdrawn. Standards developers are permitted two options – periodic maintenance or continuous maintenance – as outlined below.

4.4.1 Periodic maintenance of American National Standards

Periodic maintenance is defined as the maintenance of a standard by review of the entire document and action to revise or reaffirm it on a schedule not to exceed five years from the date of its approval as an American National Standard.

Within four years after approval of an American National Standard the standards developer shall initiate the necessary action to reaffirm, revise, or withdraw the American National Standard.

4.4.1.1 In the event that an American National Standard is not reaffirmed, revised, or withdrawn within five years after its approval, the standards developer may request an extension of time to reaffirm or revise the standard, or shall withdraw the standard. The extension of time shall be submitted to ANSI within thirty days following five years after the approval date of the American National Standard. Requests for extensions shall demonstrate that work is under way that will lead to revision, reaffirmation, or withdrawal. 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 standards developer may request a second extension. A request for a second extension shall be authorized by a majority vote of the standard committee or canvass list concerned. Second requests for extensions shall indicate the length of the 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.

No extension of time beyond ten years from the date of approval shall be granted for action on a standard.

4.4.1.2 In the event that an American National Standard approved by a standards developer who has been granted authority to designate its standards as American National Standards is not reaffirmed, revised, or withdrawn within five years after its approval, the standards developer shall follow its own procedures to ensure that work is proceeding and shall notify the Institute and provide the estimated time of completion. In no case shall a standard maintain the American National Standards designation beyond ten years from the date of approval.

4.4.2 Continuous maintenance of American National Standards

Continuous maintenance is defined as the maintenance of a standard by consideration of recommended changes to any part of it according to a documented schedule for consideration and action by the consensus body.

The standard shall be maintained by an accredited standards developer. A documented program for periodic publication of revisions shall be established by the standards developer. Processing of these revisions shall be in accordance with these procedures. The published standard shall include a clear statement of the intent to consider

requests for change and information on the submittal of such requests. Procedures shall be established for timely, documented consensus action on each request for change and no portion of the standard shall be excluded from the revision process. In the event that no revisions are issued for a period of four years, action to reaffirm or withdraw the standard shall be taken in accordance with 4.4.1 and 4.4.3.

4.4.3 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 4.4.1, 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 any revision of an American National Standard and does not submit the revision for approval as an American National Standard, the BSR shall consider withdrawal of ANSI approval of the existing American National Standard.

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

4.5 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 1.2.6). This clause 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

5.2.1 Appeals at the standards developer level

Persons who have directly and materially affected interests and who have been or will be adversely affected by any procedural action or inaction by a standards developer with regard to the development of a proposed American National Standard or the revision, reaffirmation, or withdrawal of an existing American National Standard, have the right to appeal. The burden of proof to show adverse effect shall be on the appellant. Appeals of actions shall be made within reasonable time limits; appeals of inactions may be made at any time. 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 appeals procedures provided by the standards developer have been completed. Appeals shall be directed to the standards developer responsible for the action or inaction in accordance with the appeals procedure of the standards developer.

5.2.2 Appeals at ANSI

Persons who have directly and materially affected interests and who have been or will be adversely affected by any procedural action or inaction by ANSI or by any ANSI-accredited standards-related process have the right to appeal. Appeals of actions shall be made within reasonable time limits; appeals of inactions may be made at any time. Such appeals shall be directed to ANSI in accordance with the procedures of the appropriate ANSI board or council (e.g., Board of Standards Review, Executive Standards Council).

5.3 Criteria for appeals mechanism

The following general criteria shall apply to any appeals mechanism provided pursuant to these procedures:

- a) appeals shall be addressed promptly and a decision made expeditiously;
- b) the right of the involved parties to present their cases shall not be denied;

- c) appeals procedures shall provide for participation by all parties concerned without imposing an undue burden on them;
- d) consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed;
- e) records of appeals shall be kept and made available to the involved parties.

6 Amendments

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

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.

Annex A - Model procedures for an Accredited Standards Committee
Normative for those Accredited Standards Committees that adopted Annex A as their procedures

A.1 General

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

A.2 Organization of the committee

The Accredited Standards Committee (ASC) shall consist of its consensus body and secretariat. The ASC 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 in accordance with Clause 1.2.2, 1.2.3 and 1.2.4 of the *ANSI Procedures*.

A.3 Responsibilities

A.3.1 Consensus Body

The consensus body shall be responsible for:

- a) Proposing American National Standards within the scope of the ASC;
- b) Voting on approval of proposed American National Standards within the scope of the ASC;
- c) Maintaining the standards developed by the ASC in accordance with Clause 4.4 of the *ANSI Procedures*;
- d) Adopting ASC policy and procedures for interpretations of the standard(s) developed by the consensus body (see A.11.3 herein);
- e) Responding to requests for interpretations of the standard(s) developed by the consensus body (see A.11.3 herein);
- f) Adopting ASC procedures and revisions thereof;
- g) Other matters requiring consensus body action as provided in these procedures

A.3.2 Secretariat

The secretariat shall be responsible for:

- a) Applying for ASC accreditation by ANSI and maintaining accreditation in accordance with ANSI requirements, including submission of the consensus body roster;
- b) Overseeing the consensus body's compliance with these procedures;
- c) Maintaining a roster of the consensus body and a list of standards for which the consensus body is responsible;
- d) Providing a secretary to perform administrative work, including secretarial services; preparation of meeting notices and the handling of meeting arrangements; preparation and distribution of meeting agendas, minutes, ballots, and draft standards; and maintenance of adequate records;
- e) Submitting candidate standards approved by the consensus body, with supporting documentation, for ANSI review and approval as American National Standards;
- f) Performing other administrative functions as required by these procedures ;
- g) The administrative secretariat shall provide a written agreement to ANSI defining explicit division of these responsibilities if composed of more than one organization (i.e., co-secretariats).

A.4 Officers

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

A.5 Membership

Members of the consensus body shall consist of organizations, companies, government agencies, individuals, etc., having a direct and material interest in the activities of the ASC. The selection and addition of members, along with their interest category, shall be subject to approval by a majority vote of the consensus body after the application has been processed in accordance with A.5.1. The termination of members shall be subject to approval by majority vote of the consensus body after a review of the membership in accordance with A.5.2.

A.5.1 Application

A request for membership on the consensus body shall be addressed to the secretariat and shall indicate the applicant's direct and material interest in the ASC's work, qualifications and willingness to participate actively. In addition, if the applicant is an organization, company, or government agency, it shall identify a representative (and an alternate, if desired).

A.5.1.1 Recommendation

In recommending appropriate action to the consensus body on applications for membership, the secretariat shall consider the:

- a) Need for active participation by each interest;
- b) Potential for dominance by a single interest category;
- c) Extent of interest expressed by the applicant and the applicant's willingness to participate actively;
- d) The representative identified by the applicant organization, company, or government agency.

A.5.1.2 Diverse interests

If distinct divisions of an organization demonstrate independent interests and authority to make independent decisions in the area of the activity of the ASC, each is permitted to apply for membership.

A.5.1.3 Combined interest

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

A.5.2 Review of membership

The secretariat shall review the consensus body membership list annually with respect to the criteria of Clause A.5. Members are expected to fulfill obligations of active participation. Where a member is found in habitual default of these obligations, the secretariat shall direct the matter to the consensus body for appropriate action, which may include termination of membership.

A.5.3 Observers and individual experts

Individuals and organizations having an interest in the ASC's work may request listing as observers. The consensus body 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 consensus body. Observers and individual experts shall be advised of the ASC's activities, may attend meetings, and may submit comments for consideration, but shall have no vote.

A.5.4 Interest categories

All appropriate interests that are directly and materially affected by the standards activity of the ASC 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 consensus body's established categories. (See clauses 1.2.2, 1.2.3 and 1.2.4 of the *ANSI Procedures*).

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

A.5.5 Membership roster

The secretariat shall maintain a current and accurate consensus body roster and shall distribute it to the members and their consensus body representatives at least annually, and otherwise on request. The roster shall include the following:

- a) Title of the ASC and its designation;
- b) Scope of the ASC;
- c) Secretariat: name of organization, name of secretary, and address(es);
- d) Officers: chair and vice-chair;
- e) 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);
- f) Interest category of each member;
- g) Tally of interest categories: total of voting members and subtotals for each interest category;
- h) For each subgroup: title, chair, and names and addresses of all members.

A.6 Subgroups created by the consensus body

When one or more subgroups (subcommittees, working groups, technical subcommittees, writing groups, etc.) are formed to expedite the work of the consensus body, their formation (and later disbandment) requires approval by a majority vote of the consensus body 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 by the consensus body. The charge to the subgroup shall clearly state whether:

- a) 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 A.5.5 (a) through A.5.5 (g) and shall comply with the provisions in A.5.4, A.7.1, and Clause A.8 as applied to voting on the standard(s); or
- b) The subgroup is responsible for assisting the consensus body (e.g. drafting all or a portion of a standard, drafting responses to comments, drafting positions on international standards, or other purely advisory functions).

A.6.1 Chairperson and members of subgroups

The chair and members of a subgroup shall be appointed by the chair of the consensus body and confirmed by the consensus body. The scope, duties, and membership of all subgroups shall be reviewed by the consensus body annually. The officers and members of a subgroup need not be members of the consensus body.

A.6.2 Approval of standards

Draft standards and any substantive change (see Clause 1.2.10 of the *ANSI Procedures*) in the content of a standard proposed by a subgroup shall be referred to the consensus body for approval.

A.7 Meetings

Consensus body meetings shall be held, as decided upon by the consensus body, the chair, 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 chair of the subgroup.

A.7.1 Open meetings

Meetings of the consensus body and all subordinate bodies shall be open to all members and others having a direct and material interest. At least four weeks' notice of regularly scheduled meetings of the consensus body 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 maintain a mailing list of other interests.

A.7.2 Quorum

A majority of the members of the consensus body shall constitute a quorum for conducting business at a meeting. If a quorum is not present, actions shall only be taken subject to subsequent confirmation by letter ballot or vote at a future meeting.

A.8 Voting

A.8.1 Vote

Except in regard to votes on membership and officer-related issues, each member shall vote one of the following positions:

- a) Affirmative;
- b) Affirmative, with comment;
- c) Negative, with reasons (the reasons for a negative vote shall be given and if possible should include specific wording or actions that would resolve the objection);
- d) Abstain, with reasons.

For votes on membership and officer-related issues, the yes/no/abstain method of voting shall be followed.

A.8.1.1 Vote of alternate

An alternate's vote is counted only if the principal representative fails to vote.

A.8.1.2 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 consensus body, excluding the vote of that individual.

A.8.1.3 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 chair'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.

A.8.2 Actions requiring approval by a majority

The following actions require approval by a majority of the membership of the consensus body either at a meeting or by letter ballot:

- a) Confirmation of officers appointed by the secretariat;
- b) Formation of a subgroup, including its procedures, scope, and duties;

- c) Disbandment of subgroups;
- d) Addition of new consensus body members and designation of their interest categories;
- e) Approval of withdrawal of an existing standard.

A.8.3 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:

- a) Adoption of ASC procedures, interest categories, or revisions thereof;
- b) Approval of a new standard or reaffirmation of an existing one;
- c) Approval of revision or addendum to part or all of a standard;
- d) Approval for submission to ANSI of change of ASC scope.

A.8.4 Authorization of letter ballots

A letter ballot shall be authorized by any of the following:

- a) Majority vote of those present at a consensus body meeting;
- b) The chair;
- c) The executive committee (if one exists);
- d) The secretariat;
- e) Petition of five or more members of the consensus body.

A.8.5 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 consensus body 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 A.8.6. Any substantive change (see clause 1.2.10 of the *ANSI Procedures*) made in the proposed American National Standard shall be relisted in accordance with A.8.6.

A.8.6 Disposition of views and objections

When the balloting has been closed, the secretary shall forward the ballot tally to the chair of the consensus body or, if appropriate, of the subgroup; the chair shall determine whether the expressed views and objections shall be considered by correspondence or at a meeting.

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on either the PINS announcement or public comment listing in *Standards Action*.

A.8.6.1 PINS announcement comments

If a developer receives written comments within 45 days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline. Such a deliberation shall be organized by the developer and the commenter and shall be concluded before the developer may submit a draft standard for public review. If the deliberation does not take place within the 90-day period and the developer can demonstrate

that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The outcome of such a deliberation shall be conveyed in writing by the developer and commenter (ideally as a joint submission) to the Board of Standards Review (BSR) for consideration should the developer ultimately submit the related candidate standard to ANSI for approval. In the case of Audited Designators, the Audited Designator shall review the results of the deliberation prior to designating a standard as an ANS. While the outcome is not binding, participants are encouraged to develop a consensus on whether and how the standards development project should proceed.

A.8.6.2. Public review and consensus body comments

In connection with an objection articulated during a public comment period, or submitted in connection with a vote, an effort to resolve all expressed objections shall be made, and each objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefor. If resolution is not achieved, the objector shall be informed that an appeals process exists within procedures used by the standards developer. In addition, except in the case of Audited Designators, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved (see definition⁸) must be reported to the BSR.

When this process is completed in accordance with the written procedures of the standards developer, the standards developer may consider any comments received subsequent to the closing of the public review and comment period, or shall consider them at the next review.

Unresolved objections and any substantive change (see 1.2.10) made in a proposed American National Standard shall be reported to the consensus body in order to afford all members an opportunity to respond, reaffirm, or change their vote within four weeks.

A.8.7 Report of final result

The final result of the voting shall be reported, by interest categories, to the consensus body.

A.9 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.

The information supplied to ANSI by the secretariat shall include all relevant material required by ANSI as outlined in clause 2.2 of the *ANSI Procedures*. If the secretariat does not submit the proposal to ANSI within a reasonable period of time, any member(s) of the consensus body may make the submittal.

A.10 Termination of ASC

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 ASC and to ANSI and shall include at least the following:

- a) Reasons why the ASC should be terminated;
- b) The name(s) of the organization(s) that will assume responsibility for maintenance of any existing American National Standard(s) that is(are) the responsibility of the consensus body.

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. The proposal for termination of the ASC shall be announced for comment in *Standards Action*.

⁸ Resolved: A negative vote cast by a member of the consensus body or a comment submitted as a result of public review where the negative voter agrees to change his/her vote or the negative commenter accepts the proposed resolution of his/her comment.

A.11 Communications

Correspondence of ASC officers should be on “ASC correspondence” letterhead.

A.11.1 Formal internal communication

If correspondence between subcommittees or between working groups of different subcommittees involves issues or decisions (i.e., non-routine matters) affecting other subcommittees, copies shall be sent to all affected subcommittee chairs, the secretariat, and the consensus body officers.

A.11.2 External communication

Inquiries relating to the ASC 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.

A.11.3 Requests for interpretation of standards

Written inquiries requesting interpretation of the ASC’s approved American National Standards shall be responded to in accordance with the policy of the ASC (see A.3.1(d)). Revisions to the standard resulting from requests for interpretations shall be processed in accordance with these procedures.

A.12 Appeals

Persons who have directly and materially affected interests and who have been or may be adversely affected by a procedural action or inaction of the consensus body or the secretariat shall have the right to appeal.

A.12.1 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 clause(s) of these procedures or the standard that is 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.

A.12.2 Response

Within thirty days after receipt of the complaint, the respondent (chair 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.

A.12.3 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.

A.12.4 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. If the parties to the appeal cannot agree on an appeals panel within six weeks, the matter shall be referred to the Executive Standards Council or its designee, which shall appoint the members of the appeals panel.

A.12.5 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 consensus body 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.

A.12.6 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 presented to the appeals panel. Consideration shall be given to the following positions, among others, in formulating the decision:

- a) Finding for the appellant, remanding the action to the consensus body or the secretariat with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;
- b) 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;
- c) Finding that new, substantive evidence has been introduced, and remanding the entire action to the consensus body or the secretariat for appropriate reconsideration.

A.12.7 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.

A.13 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.

Annex B - Procedures for canvass by an accredited standards developer Normative, for developers accredited using the Canvass Method

B.1 General

These procedures constitute the canvass method of developing evidence of consensus for the approval, reaffirmation, revision, or withdrawal of American National Standards. A standards developer who adopts these procedures may apply for accreditation as a standards developer under the canvass method. In addition to complying with the requirements for accreditation, the standards developer shall prepare and submit procedures that meet the requirements found in the *ANSI Procedures* and shall comply with these procedures.

B.2 Development of canvass list

B.2.1 The standards developer shall develop a list of potential canvasees consisting of those organizations, companies, government agencies, standards developers, individuals, etc., known to be, or who have indicated that they are, directly and materially affected by the standard. The standards developer shall meet the requirements in 1.2.2 regarding lack of dominance. No individual shall represent more than one canvasee.

B.2.2 In order to determine if potential canvasees are interested in participating, the standards developer shall conduct a pre-canvass interest survey, in which the standards developer informs the potential canvasees in writing about the use of the canvass method for developing evidence of consensus, and, if the potential canvasees are interested in participating, obtains an appropriate interest category classification. The standards developer's letter shall contain the title, designation, scope, description of the standard along with the history of its development, purpose and intended application of the standard, and an explanation of the ANSI function. The time for response shall be at least 30 days from the date of the standards developer's letter and shall be so noted in the letter. After having inquired whether the potential canvasees are interested, the standards developer shall send ANSI a copy of the letter, the list of potential canvasees contacted, and the proposed canvass list. All those who have agreed to participate shall be included on the canvass list, together with their agreed-upon interest categories in accordance with 1.2.2 and 1.2.3. In addition, the affiliation¹ and interest category of each member of the consensus body shall be made available to interested parties upon request.

Once an interest survey has been completed for a standard, it need not be repeated for subsequent balloting of the document. In addition, the standards developer may conduct a single interest survey for a group or category of standards. A canvasee who has indicated a desire to be on the standards developer's canvass list for a particular category or categories of standards shall receive the draft document(s), letter ballot(s), and all appropriate information pertaining to B.4.2 and B.5.

B.3 Announcement of canvass initiation

Upon receipt of the standards developer's list of potential canvasees, ANSI shall announce the initiation of the canvass in *Standards Action* to elicit additional canvasees. This announcement shall include a statement that the canvass list is available upon request from the developer, or alternately, a URL address where an electronic version of the canvass list is posted.

The review period shall be thirty days from the date of publication. Any resulting proposals for addition to the canvass list shall be referred directly to the standards developer.

B.4 Conduct of canvass

B.4.1 The standards developer may begin to conduct the canvass at any time after submittal of the list of potential canvasees to ANSI, but canvasees subsequently added to the canvass list shall have the same amount of time to respond as do the other canvasees.

¹ Affiliation refers to the entity that the consensus body member represents (which may or may not be that person's employer). If the consensus body member is serving in an individual capacity, then the name of the individual, that person's employer and interest category should be available. Contact information is not required.

B.4.2 The standards developer shall transmit, at minimum, the following information to all canvasees and other interested parties so requesting unless the developer has previously supplied this information:

- a) the purpose and intended application of the standard;
- b) a brief history and explanation of how the standard was developed;
- c) an explanation of ANSI's function and the use of the canvass method in the voluntary consensus standards system;
- d) a copy of the canvass list, consisting of the name, affiliation, and category of interest of each canvasee;
- e) a copy of the complete proposed American National Standard or the relevant portion under consideration when the canvasee has previously received the complete standard;
- f) official letter ballot(s) to all canvasees.

Upon request, the standards developer 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. Should the document contain material that is not to be considered for approval as an American National Standard, such as an introduction or annex, 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 standards developer shall provide opportunity for the canvasee to indicate its position (i.e., approval, objection (with reasons), abstention (with comment), or nonparticipation, 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 canvasees not responding. The canvass ballot may be closed at the end of sixty days, or sooner if all canvasees have responded. An extension of up to sixty days shall be granted upon request from any canvasee giving a legitimate reason.

Those not on the canvass list who have a direct and material interest in the standard have an opportunity to participate in the review of the standard during the public review process, announced in *Standards Action*.

B.4.3 Approval of a new standard, revision or reaffirmation of an existing standard, or an addendum to part or all of an existing standard shall require approval by at least a majority of the canvass list and at least two-thirds of those voting, excluding abstentions.

B.4.4 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 standards developer 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 standards developer 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.

B.4.5 Views and objections resulting from the canvass (B.4.2 and B.4.3) shall be dealt with in accordance with clause B.5.

B.5 Disposition of views and objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on either the PINS announcement or public comment listing in *Standards Action*.

B.5.1 PINS announcement comments

If a developer receives written comments within 45 days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline. Such a deliberation shall be organized by the developer

and the commenter and shall be concluded before the developer may submit a draft standard for public review. If the deliberation does not take place within the 90-day period and the developer can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The outcome of such a deliberation shall be conveyed in writing by the developer and commenter (ideally as a joint submission) to the Board of Standards Review (BSR) for consideration should the developer ultimately submit the related candidate standard to ANSI for approval. In the case of Audited Designators, the Audited Designator shall review the results of the deliberation prior to designating a standard as an ANS. While the outcome is not binding, participants are encouraged to develop a consensus on whether and how the standards development project should proceed.

B.5.2. Public review and consensus body comments

In connection with an objection articulated during a public comment period, or submitted in connection with a vote, an effort to resolve all expressed objections shall be made, and each objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefor. If resolution is not achieved, the objector shall be informed that an appeals process exists within procedures used by the standards developer. In addition, except in the case of Audited Designators, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved (see definition⁸) must be reported to the BSR.

When this process is completed in accordance with the written procedures of the standards developer, the standards developer may consider any comments received subsequent to the closing of the public review and comment period, or shall consider them at the next review.

Unresolved objections and any substantive change (see 1.2.10) made in a proposed American National Standard shall be reported to the consensus body in order to afford all members an opportunity to respond, reaffirm, or change their vote within four weeks. Substantive changes made in a proposed American National Standard shall be listed in *Standards Action* in accordance with 1.2.7.

B.6 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 for approval.

The information to be supplied to ANSI shall include:

- a) title and designation of the proposed American National Standard;
- b) 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);
- c) a declaration that the canvass procedures were followed;
- d) a declaration that the proposed standard is within the scope of previously registered standards activity;
- e) a declaration that there are no identified significant conflicts with another known American National Standard;
- f) a declaration that other known national standards have been examined with regard to harmonization and duplication of content;
- g) a statement that the proposed American National Standard has been provided to the administrator(s) of the appropriate USA Technical Advisory Group(s);
- h) a declaration that all appeal actions related to the approval of the proposed standard have been completed;
- i) a summary of the solicitations and the final positions of the participants in each interest category;
- j) identification of all unresolved views and objections, identification of the objectors, and a report of attempts toward resolution;

- k) the canvass list;
- l) documentation of the disposition of all suggested additions to the canvass list.

B.7 Appeals

Persons who have directly and materially affected interests, and who have been or will be adversely affected by a standard being canvassed or by the lack thereof, shall have the right to appeal any procedural actions or inactions of the standards developer.

The standards developer shall submit its written appeals mechanism to ANSI in applying for and continuance of its accreditation. The standards developer may choose to adopt clause A.12 of these procedures in its entirety in order to provide for the equitable process of appeals, and shall so inform the Executive Standards Council.

The standards developer 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 standards developer 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.

B.8 Requests for interpretation of standards

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

Annex C - Standards advisors

Normative, as applicable

C.1 General

The ExSC may appoint individuals or groups to serve as standards advisors, each of whom would have competence in one or more technical areas of standards development, application and coordination. Standards advisors will be called on to advise the ExSC, other ANSI boards or councils, and ANSI staff with regard to matters of coordination, harmonization, standards needs, etc. Advisors shall not be responsible for making decisions in standards issues, but shall serve, rather, as information sources.

C.2 Appointment of standards advisors

Standards advisors are appointed by the ExSC on the basis of individual or collective qualifications including experience, technical competence, impartiality, diplomatic abilities, knowledge of the voluntary consensus system, etc. Standards advisors shall be appointed for a term to be determined by the ExSC.

Annex D - The three methods of consensus development

Informative

Three methods have been accepted by ANSI to determine the existence of consensus. The three methods of consensus ensure openness and due process consistent with the *ANSI Procedures* and are deemed to be equivalent in their final results. The general aspects of each method are described below.

D.1 Accredited organization method

The organization method is most often used by associations and societies that have, among other activities, an interest in developing standards. Although participation on the consensus body is open to all interested parties, members of the consensus body often participate as members in the association or society. The organization method is the only method of consensus development in which the standards developer must develop its own operating procedures. These procedures must meet the general requirements of 2.2 of the *ANSI Procedures*. By choosing to use this method, flexibility is provided, allowing the standards developer to utilize a system that accommodates its particular structure and practices.

D.2 Accredited standards committee method

Accredited standards committees are standing committees of directly and materially affected interests created for the purpose of developing a document and establishing consensus in support of this document for submittal to ANSI. The committee method is most often used when a standard affects a broad range of diverse interests or where multiple associations or societies with similar interests exist. The committee serves as a forum where many different interests, without a common membership in an organization or society, can be represented. Accredited standards committees are administered by a secretariat, an organization that takes the responsibility for providing administrative oversight of the committee's activities and ensuring compliance with the pertinent operating procedures. An accredited standard committee may adopt the procedures provided in annex A of the *ANSI Procedures*, or may develop its own operating procedures consistent with the requirements of 2.2 of these procedures.

D.3 Accredited canvass method

A standards developer using the canvass method identifies, to the extent possible, those who are directly and materially affected by the activity in question and conducts a letter ballot or "canvass" of those interests to determine consensus on a document. Additional interest in participating on a canvass is sought through an announcement in *Standards Action*. Although canvass developers provide ANSI with internal procedures used in the development of the draft American National Standard, the due process used to determine consensus begins after the draft standard has been developed. Standards developers using the canvass method must use the procedures provided in annex B of the *ANSI Procedures*.

Annex E - Metric policy

Normative

Units of the International System of Units (SI), the modernized metric system, are the preferred units of measurement in American National Standards.

Annex F – Accredited Standards Committee Agreement

Informative

It is suggested that the responsibilities of an Accredited Standards Committee (ASC), which are listed below, be addressed by the secretariat and the consensus body through an approved agreement either incorporated as ASC policies and procedures, or as a separate written agreement.

- a) The nature of the accreditation and under what circumstances the secretariat and the consensus body can separate. If they separate, include the status of the accreditation.
- b) The specifics of any co-secretariat arrangements.
- c) The procedures by which an ASC is terminated.
- d) Responsibility for revisions to the ASC procedures, title and scope.
- e) Responsibility for and decisions regarding the publishing of the standards, revisions, and addenda (see clauses 4.2 and 4.3 of the *ANSI Procedures*);
- f) Who holds the copyright on contributions, drafts and approved American National Standards, and determines any royalty or exploitation rights arrangements or licensing arrangements.
- g) Whether the Secretariat or consensus body will or will not, and to what extent, provide indemnification in connection with potential liabilities arising out of their standards development process and any approved American National Standards resulting therefrom.
- h) Who determines the scheduling of consensus body meetings (i.e., frequency and location) and the review/revision cycle of American National Standards.
- i) How the ASC's activities will be funded.
- j) The conditions under which an ASC accepts proprietary standards for consensus approval (i.e. copyright, maintenance, funding, etc.).
- k) Dispute resolution (i.e., utilize a neutral mediator or forum, such as ANSI; meetings between the secretariat and members of the consensus body; etc.).

This agreement also may include other matters relevant to the efficient operation of the ASC, which are not explicitly covered in these procedures.

Annex G - Definitions applicable to the ANSI Procedures for the Development and Coordination of American National Standards

Normative

Consensus body: The group that approves the content of a standard, and whose vote demonstrates evidence of consensus.

Resolved: A negative vote cast by a member of the consensus body or a comment submitted as a result of public review where the negative voter agrees to change his/her vote or the negative commenter accepts the proposed resolution of his/her comment.

Unresolved: Either (a) a negative vote submitted by a consensus body member or (b) written comments, submitted by a person during public review expressing disagreement with some or all of the proposed standard, that have not been satisfied and/or withdrawn after having been addressed according to the developer's approved procedures and ANSI requirements.

Annex H: Definitions of Levels of Equivalency of National Adoptions of ISO or IEC Standards Normative, as applicable

The definitions contained in this annex are excerpted from *ISO/IEC Guide 21 – Adoption of ISO or IEC Standards as regional or national standards*. This annex is normative in connection with actions related to the national adoption of ISO or IEC standards. Any changes in document layout (e.g., in relation to pagination, font type and font size etc.) especially in an electronic environment, have no impact on the degree of equivalence.

H.1 Identical (IDT)

The regional or national standard is identical to the ISO or IEC standard under the following conditions:

- a) the regional or national standard is identical in technical content, structure and wording (or is an identical translation), or
- b) the regional or national standard is identical in technical content, although it may contain the following minimal editorial changes:
 - substitution of decimal point for a decimal comma;
 - correction of any misprints (e.g., spelling errors) or pagination changes;
 - deletion of text in one or several languages from a multilingual ISO or IEC standard;
 - inclusion of any technical corrigenda or amendments issued to the ISO or IEC standard;
 - changes to the title to be consistent with an existing regional or national series;
 - substitution of “this regional/national standard” for “this ISO or IEC Standard”;
 - inclusion of any regional or national informative material (e.g., informative annexes that do not alter, add to or delete from the provisions of the ISO or IEC standard); examples of informative material are advice to users, training guidance or suggested forms or reports;
 - deletion of informative preliminary material from the ISO or IEC standard;
 - changes in wording, i.e., use of synonyms to reflect common language use in the region or country adopting the ISO or IEC standard, such as the use of “elevators” for “lifts” in certain countries;
 - addition, for informative purposes, of recalculated values of quantity units where a different measurement system is used in an adopting country.

The “vice versa principle” is fulfilled.⁹

H.2 Modified (MOD)

The regional or national standard is modified in relation to the ISO or IEC standard under the following conditions. Technical deviations are permitted provided they are clearly identified and explained. The regional or national standard reflects the structure of the ISO or IEC Standard. Changes to the structure are only permitted if an easy comparison of the content and structure of the two standards continues to be possible.

For transparency and traceability, it is strongly recommended that a national standard adopts only one single ISO or IEC standard. Under certain circumstances, it may be appropriate to adopt several ISO or IEC standards within one national standard. However, this is only practicable for the user if an easy comparison of the content is provided in a list identifying and explaining the changes. Modified standards may also include the changes permitted under identical correspondence.

The “vice versa principle” is not fulfilled.

A modified standard can include such cases as the following:

⁹ Vice versa principle: principle whereby anything that is acceptable under the terms of the ISO or IEC Standard is acceptable under the regional or national standard and vice versa, and thus compliance with the ISO or IEC Standard also means compliance with the regional or national standard.

- a) "The regional or national standard contains less." The regional or national standard only applies a subset of the available choices in the ISO or IEC Standard, has less stringent requirements, etc.
- b) "The regional or national standard contains more." The regional or national standard adds aspects or types, has more stringent requirements, includes additional tests, etc.
- c) "The regional or national standard alters a part of the ISO or IEC Standard." Part of the content is identical, but both the regional or national standard and the ISO or IEC Standard contain some differing requirements.
- d) "The regional or national standard provides an alternative choice." The regional or national standard provides a provision of equal status, which may be used as an alternative to that given in the ISO or IEC Standard.

(Note: See Annex A of the ISO Guide for examples of lists of technical deviations and their explanation.)

A regional or national standard can include an ISO or IEC Standard in its totality and can contain additional technical provisions, which are not part of the ISO or IEC Standard. In this case, the degree of correspondence to the ISO or IEC Standard is either "modified" or "not equivalent", depending on whether or not the differences are clearly indicated and technical deviations are listed and explained, although the part composed of the included ISO or IEC Standard may not have been subject to any modifications.

H.3 Not Equivalent (NEQ)

The regional or national standard is not equivalent to the ISO or IEC Standard in technical content and structure and the changes have not been clearly identified. This also can include the case where only a minority in number or significance of the ISO or IEC provisions remains in the regional or national standard. This degree of correspondence does not constitute an adoption.

Annex I: Designation, Maintenance, and Publication of a National Adoption of an ISO or IEC Standard

Normative, as applicable

I.1 Designation and Publication

This section addresses methods for informing users that a standard is a national adoption of an ISO or IEC Standard and provides recommendations associated with numbering identical adoptions. Much of the text in this annex is excerpted from *ISO/IEC Guide 21 – Adoption of ISO or IEC Standards as regional or national standards*.

Note that if changes are made to an ISO or IEC standard during the course of the development of consensus for its approval as an American National Standard and those changes are not reflected in the final ISO or IEC version of the standard, the resulting standard shall not bear the ISO or IEC standard designation. In such case, the standard will be considered a national/harmonized standard and is not an identical adoption. It shall be processed in accordance with the developer's procedures once the appropriate copyright permission is received from ANSI for use of the ISO or IEC material.

I.2 Methods of adoption notice ¹⁰(or Public Notification of the National Adoption of an ISO or IEC Standard as an American National Standard)

The adoption of an ISO or IEC standard shall ensure that the identification of the ISO or IEC standard is clearly stated. There are several methods for the adoption of ISO or IEC Standards:

- Endorsement method: only applicable to identical adoptions. Upon approval as an American National Standard an announcement in Standards Action shall be made. The standard adopted shall reference the ISO or IEC designation.
- Cover sheet method: applicable to identical and modified adoptions only. Upon approval as an American National Standard an announcement in Standards Action shall be made. The ISO or IEC standard (including any amendments and/or technical corrigenda) may be published with a regional or national cover sheet. The cover sheet should have a national reference number and the ISO or IEC standard will become part of the national standards system. Each cover sheet should only refer to one ISO or IEC standard (including any amendments and/or technical corrigenda). Adhesive labels, stamps or other indications applied to the ISO or IEC standards are considered to be equivalent to cover sheets. Since the use of stamps or labels provides limited space for information, instructions or notes, these should not be used as if they are cover sheets unless the national standard is identical to the ISO or IEC standard. The cover sheet should contain information and instructions regarding the standard as well as information relating to editorial changes. If necessary, a reference to an annex listing any technical deviations and reasons for them with reference to the ISO or IEC standard should be included.
- Republication: there are three methods of republication: reprinting, translation (with or without reprint of the original), and redrafting.

For adoption by the Cover Sheet method or by Republication, the degree of correspondence to the ISO or IEC standard shall be stated in a prominent position such as on the cover sheet and shall include the ISO or IEC reference number and year, and international title if different from the national title. (Examples: titles the same – Identical to ISO 11111: 2000; title different – Modified adoption of ISO 11111: 2000, Widgets.)

With particular reference to the development of electronic versions of standards, standards bodies may find new methods of adoption which are not covered in the ISO/IEC Guide 21:1999 (E), or may combine the existing ones. In this case the method used will not be listed here. However, the recommendations regarding choice and indication of correspondence will still remain applicable.

For further information concerning adoption methods described above and for methods of indicating technical

¹⁰ See Annex C of ISO/IEC Guide 21:1999 (E).

deviations and editorial changes, please consult ISO/IEC Guide 21:1999(E).

I.3 Designating national standards that are identical adoptions of ISO or IEC Standards

These guidelines supplement clauses 4.1 and 4.2 of the ANSI Procedures for the Development and Coordination of American National Standards. When a national standard is identical to an ISO or IEC standard, this should be evident to the reader immediately on the cover and title page. The recommended method of identification for identical adoptions consists of including the ISO or IEC standard reference number (letters and number) in combination with or in association with the national designation. Depending on the method chosen, in order to improve transparency, the year of publication of the ISO or IEC Standard and/or that of the national standard should be added to the number wherever possible. Examples of acceptable methods of numbering follow:

a) Single-line numbering: The national letters may be separated from the ISO or IEC reference number (letters and number) by a space:

ANSI ISO 1234:1999

b) Two-line dual numbering: The national letters followed by the ISO or IEC reference number on a separate line or on one line using a slash to separate them:

ANSI ABC 331:1999

ISO 1234:1998

or

ANSI ABC 331:1999/ISO 1234:1998

I.4 Maintenance of national adoptions

When adopting an ISO or IEC standard, all existing amendments and technical corrigenda to the ISO or IEC standard shall be included in the national standard. Amendments and technical corrigenda published after the adoption of an ISO or IEC standard should be considered for adoption as soon as possible. Adoption of amendments shall follow the same procedure as for the adoption of the original standard (see 1.2.9). Technical corrigenda (i.e., errata) may be published following the standards developer's usual procedures.