



United States
National Committee
of the IEC

**Model Operating Procedures
for
USNC/IEC Technical Advisory Groups
(USNC/IEC TAGs)**

Approved by USNC Technical Management Committee
by e-Ballot 170 on 17 May 2013
and at TMC meeting on 22 January 2014

September 2014

Table of Contents

1.	General
1.1	Definitions
2.	Technical Advisor (TA) and Deputy Technical Advisor (DTA)
2.1	Qualifications of TAs and DTAs
2.2	Responsibilities of TAs
3.	Technical Advisory Groups (TAGs)
3.1	Criteria for Viability
3.2	TAG Validation Process
3.3	TAG Revalidation Process
4.	TAG Functions and Responsibilities
5.	TAG Administrator/TAG Secretary
5.1	TAG Administrator
5.2	TAG Secretary
6.	Officers
7.	Membership
7.1	Application
7.2	Recommendation
7.3	Diverse Interests
7.4	Combined Interests
7.5	Resource Expert
7.6	USNC Conveners and Experts
7.7	Appointed Delegates to TC/SC Meetings
7.8	Consumer Advocate
7.9	Liaison Participants
7.10	Ex-Officio Participants
7.11	Observers
7.12	Representation of Interests
7.13	Membership Roster
7.14	Membership Obligations
7.15	Review of Membership
8.	Meetings

9.	Voting
9.1	TAG Member Voting
9.1.1	IEC Ballot Document Voting
9.1.2	TAG Procedural Voting
9.2	Vote of Alternate
9.3	Voting Period
9.4	Authorization of Letter Ballots
9.5	Actions Requiring Approval by Majority
9.6	Actions Requiring Approval by Two-Thirds of Those Voting
9.7	Consideration of Views and Objections on Letter Ballot
9.8	Report of Final Results
9.9	Submittal of USNC Positions
9.9.1	Responsibility for Submission
9.9.2	Information to be Submitted
10.	Termination of TAG
11.	Communications
12.	Appeals
12.1	Complaint
12.2	Response
12.3	Hearing
12.4	Appeals Panel
12.5	Conduct of the Hearing
12.6	Decision
12.7	Further Appeal
12.8	Informal Settlement
ANNEX A	Default Voting Process
ANNEX B	Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC
ANNEX C	Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees
ANNEX D	USNC Policy on Distribution of Free Copies of IEC Standards and Working Documents for Use in USNC Standards Development Activities

Model Operating Procedures for USNC/IEC Technical Advisory Groups

1. General

These procedures for USNC/IEC Technical Advisory Groups (USNC/IEC TAGs) meet the requirements for due process and coordination in the development of U.S. positions for IEC activities as given in ANSI “Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC.” (ANNEX B) A USNC/IEC TAG consists of its Technical Advisor (TA), its members, and its TAG Secretary. A particular TAG is related to a particular IEC Technical Committee or Subcommittee (e.g. “USNC/IEC TAG to IEC/TC xx.”)

The creation of new TAGs is not covered by these Model Operating Procedures. (*See Section D of the USNC’s Rules of Procedure¹ for TAG operation*) Under these Rules of Procedure, a TAG can be created for Technical Committees (TCs) or Subcommittees (SCs), depending on the levels of interest of materially affected U.S. parties.

Subgroups of USNC/IEC TAGs or separate USNC/IEC TAGs may be formed to relate to Subcommittees of an IEC Technical Committee. Where the USNC/IEC TAG to an IEC Subcommittee is not independently recognized, the degree of independent authority to take actions shall be defined in writing (as part of the TAG procedures, or as a policy or agreement) and shall be approved by the parent USNC/IEC TAG, and a copy provided to the USNC TMC. In certain circumstances, the USNC TMC may authorize the establishment of TAGs for Working Groups (WGs), Maintenance Teams (MTs), or Project Teams (PTs). In these cases, the relationship between these TAGs and the parent TC or SC TAG must be clearly documented.

There are several responsibilities that may be shared among the TA, the DTA, and the TAG Secretary. They shall have an agreement on who has the primary responsibility for each. Examples of shared responsibilities are indicated in clauses 2.2c and 7.4.

The official language of USNC TAGs is English.

From time to time, U.S.-domiciled Standards Developing Organizations (SDOs) may enter into various types of agreements with IEC such as Category D Liaisons and Dual Logo or Joint Development Agreements. In such cases, the SDO is encouraged to advise the related USNC TAG in advance of its intent to submit a standard for consideration as an IEC Standard. In such instances, it is expected that the USNC TAG will raise any concerns related to the proposed IEC standard during its development cycle so that, if the standard is subsequently balloted for approval at the IEC level, the U.S. position will be to support its approval. For this reason, it is also strongly encouraged that the U.S.-based participants in the SDO actively participate as voting members of the related TAG.

¹ Statutes and Rules of Procedures of the USNC/IEC Approved by USNC 29 July 2005 and by ANSI Board of Directors, 8 December 2005.

1.1 Definitions

Technical Advisor (TA) – Single point of technical contact for a USNC TAG appointed by the Technical Management Committee (TMC). The TA often serves as Chairman of the TAG.

Deputy Technical Advisor (DTA) – Serves as Deputy for the TAG and performs other functions as defined by the TAG.

TAG Administrator – Organization that is assigned by the Technical Management Committee to provide administrative support for a TAG for a 4 year period.

TAG Secretary – Individual who is assigned by a TAG Administrator to provide day-to-day administrative support for a TAG.

Group Manager (GM) – Each of the members of the USNC Technical Management Committee is assigned as Group Manager to a selection of USNC TAGs to provide a channel of communication between the TMC and the related TAGs.

U.S. National Interested Party – One of the following entities directly and materially affected by the relevant standards activity:

1. an individual representing a corporation or an organization domiciled in the U.S. (including U.S. branch offices of foreign companies authorized to do business in one or more states as defined by the relevant state’s corporation law within the U.S.);
2. an individual representing a U.S. federal, state, or local government entity; or
3. a U.S. citizen or permanent resident.

Note: The ANSI/USNC definition of a U.S. National Interested Party provides that a U.S. National Interested Party is:

- a) Anyone representing a private sector organization doing business in the U.S., or
- b) Anyone representing a U.S. federal, state or local government entity, or
- c) An unaffiliated individual [i.e. unaffiliated with a) or b) above] who is a U.S. citizen, or is a U.S. permanent resident.

2. Technical Advisor (TA) and Deputy Technical Advisor (DTA)

A TA shall be appointed for a four (4) year term of office by the USNC Technical Management Committee (TMC) for each IEC TC and SC on which the USNC elects to be a participating (“P”) member. A TA shall be nominated by the responsible Group Manager (GM) to the TMC for its approval, on recommendation from the related TAG.

TAs shall be eligible for reappointment subject to approval by the TMC. The TA may serve as Chair of the TAG and Co-TAs may also be appointed where appropriate.

Upon recommendation of the TAG, or TA, if so authorized by the TAG, and the concurrence of the Group Manager, one or more Deputy Technical Advisors (DTAs) may be appointed by the TMC. The DTA shall work with the TA in accordance with any agreement reached between them. The DTA may attend meetings of the TMC and shall have the privilege of the floor. The term of office for the DTA will be concurrent with that of the TA and he/she may be reappointed. The General Secretary shall notify all members of the USNC of each appointment.

The TMC shall make all decisions concerning the appointment of TAs and DTAs, including their continuation, reappointment, and, if necessary, withdrawal for cause.

Nominations for TA and DTA, submitted to the General Secretary, shall include:

- a) a nomination confirming the endorsement by the related TAG;
- b) complete coordinates of the candidate(s) (i.e. affiliation, mailing address, phone, fax, and email information);
- c) a brief biographical sketch; and
- d) a statement of support from the candidate's employer.

2.1 Qualifications of TAs and DTAs

The following are essential attributes that make somebody suitable for appointment to a TA or DTA position. An appointed TA or DTA no longer qualified as defined in this paragraph may no longer serve as a TA or DTA.

- a) technical expertise in the subject area
- b) knowledge of and recognition by the concerned part(s) of the U.S. industry sector
- c) negotiating skills
- d) financial and administrative support for travel and activities
- e) ability to conduct business electronically
- f) understanding of the IEC standards development process
- g) full membership in the TAG

Candidates for a TA or DTA position that do not possess a particular attribute will need specific support from specified members of the TAG or the TAG Administrator/Secretary in those deficient areas.

In the event of a potential or apparent conflict of interest between the TAG consensus position (comments or votes) and that of the TA, the issue shall be resolved in a TAG meeting to the satisfaction of the TAG, such that the TAG has confidence that the TAG's consensus position and its interests in that subject will be advanced and championed in IEC.

The intent of this resolution is to reconcile any TAG/TA differences. Should resolution between the TAG and TA not be possible, other provisions or actions must be made. For instance, in the case of an international meeting, this resolution could require the TAG to authorize a special delegate to the meeting to carry the TAG's consensus position and interests on that subject, or the TAG may select a Head of Delegation (HOD)² for that meeting other than the TA. Depending on circumstances it may not be appropriate for the TA to be part of the USNC delegation to that meeting.

2.2 Responsibilities of TAs

With the consensus of a TAG, a TA will perform the following functions and fulfill the following responsibilities: (*Note: A number of these responsibilities may be carried out by the TA, the DTA, the Head of Delegation to a TC/SC meeting, or the TAG Secretary.*)

- a) When the TAG is first formed, recommend an appropriate TAG which shall be subject to approval by the USNC TMC
- b) Guide the TAG in selecting qualified delegates to IEC TC/SC meetings
- c) Arrange for the distribution of IEC documents to TAG members and all interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the USNC General Secretary, to the Central Office when such documents are necessary or desirable. The TA must forward TAG recommendations to the USNC regarding voting positions *within the deadlines established*. Also arrange for distribution of appropriate WG documents to the TAG for collection and preparation of suitable documents for transmission through the WG expert. (*Note: This responsibility may be performed by the TAG Secretary.*)
- d) In collaboration with the TAG Secretary:
 - **Prepare or cause the preparation of a draft U.S. position (comments or votes) on issues being considered in IEC for deliberation within the TAG**
Encourage such deliberations so as to come to a TAG consensus position on each issue

² Head of Delegation (HOD) – If there is more than one delegate the TAG designates one individual as Head (Leader) of the USNC delegation to an IEC TC or SC meeting. He/she will be the delegation's principal spokesperson and will be responsible for casting the official U.S. vote on issues coming before the committee. The HOD may be the TA or another member of the TAG.

- Make certain that the TAG consensus position is forwarded to the USNC General Secretary for transmission to IEC in a timely manner (i.e. well in advance of the IEC deadlines so as to allow for the USNC General Secretary processing, IEC Central Office processing, and to provide some safety margin to accommodate unforeseen events such as miscommunications)
- e) Initiate action by the TAG to obtain nominees for U.S. Experts who can participate on desired Working Groups
- f) Arrange for existing U.S. national standards to be used as initial discussion drafts in related IEC TCs/SCs, wherever appropriate and with the authorization of the standards developing organization
- g) Promote harmony between U.S. and IEC standards and, where appropriate, advocate for the adoption or adaptation of IEC standards by U.S. standards developers
- h) Maintain liaison with other USNC TAs where required for consistency in U.S. positions for agreement on basic policies, or where they have mutual interests
- i) Anticipate future programs of TC/SC to permit the maximum possible time for establishing a U.S. consensus
- j) Respond to IEC organizational changes and take the necessary steps to acquire additional Secretariats and Chairs for the U.S.
- k) Keep all U.S. participants acquainted with the work and the disposition of their recommendations, nominations, determinations, proposals, and positions
- l) After TAG approval and TAG arrangement for finances, recommend to the USNC that an international meeting of a particular TC or SC be hosted by the USNC TAG. This includes guaranteeing that financing and administrative support is assured in writing. Arrange, with the USNC General Secretary, for the official invitation to be extended
- m) Provide for the continuity of U.S. participation
- n) Assure that a U.S. position is presented for each agenda item at a given meeting of a TC or SC
- o) Assure that the consensus of the USNC TAG is represented in U.S. positions and in oral opinions expressed by the USNC delegations to TC/SC meetings

- p) Keep assigned GMs informed about the progress of the TC/SC's work and any problems at the IEC level or within the TAG. It is especially important that the TA consult with the GM on:
- Matters involving the proper organization and operation of the TAG
 - Difficulties in finding delegates to international meetings or in obtaining financial support for such delegates
 - Proposed U.S. position papers and comments on matters before the Committee and recommended actions on Document for Comment (DC), New Work Item Proposal (NP), Working Draft (WD) , Committee Draft (CD), Committee Draft for Vote (CDV), and Final Draft International Standard (FDIS) ballots, particularly negative ballots.
 - The U.S. response to "Questions of Principle" shown on reports of the TC/SC.
 - Proposals for:
 - Committee Secretariat and possible USNC acceptance
 - Committee Chairs
 - Hosting of Committee meetings in the U.S.
- q) Confirm, at least annually, each member of the TAG and report membership to the USNC General Secretary and GM. Only U. S. National Interested Parties shall have voting membership on TAGs.
- r) Ensure compliance with the TAG's procedures and the USNC's Statutes and Rules of Procedure, in concert with the TAG Secretary.
- s) The TA shall, in a timely manner, report to the TAG on the status, progress and outcome of TAG submissions to IEC.
- t) Agree to advance TAG positions in IEC.
- u) Agree to report to the TAG.

3. Technical Advisory Groups (TAGs)

For each IEC TC and SC on which the USNC is a participating ("P") member, there shall be a U.S. Technical Advisory Group (TAG). Exceptions to this policy require the specific approval of the USNC TMC.

3.1 Criteria for Viability

A viable USNC TAG is defined as one that has:

- a) an appointed TAG Administrator that is an ANSI Member (organization, company, or government agency) or that pays the equivalent fee;
- b) an appointed TA;
- c) an appointed TAG Secretary;
- d) three (3) or more Voting Members, including those who have paid requisite fees and those with approved waivers (such as Resource Experts and Consumer Advocates). (*See Section 7 Membership*); and
- e) TMC-endorsed TAG Operating Procedures.

3.2 TAG Validation Process

Each USNC/IEC TAG must either formally adopt these Model Operating Procedures or formally adopt Operating Procedures developed by the TAG. Newly established TAGs must have approved TAG Operating Procedures prior to the 3rd TAG meeting.

The criteria for any TAG-developed Operating Procedures is that all subjects addressed in these Model Operating Procedures must be addressed in the TAG-developed Operating Procedures. In addition, their requirements must be the same as or more stringent than those in these Model Operating Procedures.

The TAG's approved Operating Procedures must be submitted to the USNC Office in writing for consideration and endorsement by the USNC Technical Management Committee (TMC) and for the record.

The following TAG Operating Procedures Submittal Package of Information shall be provided by the TAG Secretary to the USNC Office electronically:

- The TAG Secretary's assertion that either:
 - these Model Operating Procedures are used by the TAG, or
 - unique Operating Procedures are used by the TAG;
- A copy of the TAG minutes that shows the TAG's approval by vote of the Operating Procedures being used; and
- When Unique Operating Procedures are used, a copy of such Procedures including, on the title page, the title and numerical designation of the related TAG.

3.3 TAG Revalidation Process

Revalidation is required if the TAG no longer utilizes the Model Operating Procedures and develops its own unique Procedures. TAGs that have been certified under their own Procedures must be revalidated when and if those Procedures are revised substantively.

Revalidation is also required for all TAGs upon significant revision of these procedures. Sufficient time will be provided to revalidate.

Note: It is anticipated that TAG Secretaries will be reminded of their obligations to revalidate by the USNC staff in a statement included in the annual notice regarding TAG membership and fees.

4. TAG Functions and Responsibilities

Among the responsibilities of a TAG are the following:

- a) Nominate a Technical Advisor (TA) or multiple Technical Advisors, Deputy Technical Advisor(s), and TAG Administrator, as appropriate.
- b) Recommend registration of USNC as a participating (“P”) or observer (“O”) member of an IEC TC or SC, or recommend a change in membership status.
- c) Initiate and approve U.S. proposals for New Work and Maintenance Items for consideration by the related IEC TC or SC.
- d) Initiate and approve U.S. working drafts for submittal to IEC TC and SC (and, where applicable, WG) for consideration as draft proposals.
- e) Establish the U.S. consensus positions on an IEC Document for Comment (DC), New Work Item Proposal (NP), Working Draft (WD), Committee Draft (CD), Committee Draft for Vote (CDV), Final Draft International Standard (FDIS), and other appropriate IEC documents.
- f) Identify TAG members to become USNC representatives to IEC TC or SC meetings, confirm TA Head of Delegation or, designate alternate Heads of Delegations and members of delegations.
- g) Assure that necessary funds needed to carry out the U.S. work in the related IEC TC/SC are secure. This includes the financing necessary for activities of delegates and experts. (*Note:* This does not imply that the TAG will cover the expenses for the delegates and experts.)

- h) Determine U.S. consensus positions on agenda items of IEC TC and SC (and, where appropriate, WG) meetings, and advise the USNC TAG delegation or WG expert of these positions and of any flexibility that may exist concerning them.
- i) Nominate U.S. Experts, Project Leaders and Conveners to serve on IEC working groups and similar groups³.
- j) Provide assistance to U.S. Secretaries of IEC TCs or SCs upon request, including resolving comments on DCs, NPs, WDs, CDs, CDVs, and FDISs.
- k) Identify and establish close liaison with other U.S. TAGs in related fields, or identify ISO or IEC activities that may overlap the TAG's scope. *(See ANNEX C – Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees)*
- l) Recommend to USNC the acceptance of Secretariats for IEC TCs or SCs after considering the obligations and responsibilities that include individuals with related expertise and source of secretarial services with funding.
- m) Recommend that USNC invite IEC TCs or SCs to meet in the United States after considering the obligations and responsibilities, which include available facilities and funding.
- n) Recommend to USNC U.S. candidates for Chairs of IEC TCs or SCs after considering the obligations and responsibilities of that office and whether a candidate has the experience, time, and funding.

5. [TAG Administrator/TAG Secretary](#)

5.1 [TAG Administrator](#)

Each TAG shall be administered by a TAG Administrator appointed by the USNC/TMC.

Note: When a new IEC Technical Committee or Subcommittee is established on which the USNC is registered as a Participating Member or when a currently assigned TAG Administrator is relinquishing that responsibility, the USNC Office will invite, via ANSI's *Standards Action* publication, expressions of interest in this assignment from qualified entities.

³ When the USNC has the opportunity to name U.S. Conveners or Experts to IEC Working Groups (WGs), Project Teams (PTs), Maintenance Teams (MTs), etc. it is the responsibility of the related TAG to nominate the best qualified individual(s) to do the job. Such individuals must be adequately supported to accomplish their mission. The names and addresses of the nominees are submitted by the TA/TAG Secretary to the USNC General Secretary, who in turn officially submits them to the related TC/SC Secretary. Changes in U.S. Experts on Working Groups shall also be transmitted through the USNC General Secretary to the TC/SC Secretary.

5.2 TAG Secretary

The TAG Administrator shall appoint a TAG Secretary, an individual who is responsible for the day-to-day administration of the TAG.

Neither the TAG Administrator nor the TAG Secretary has veto power over the decisions of the TAG.

Among the responsibilities of the TAG Secretary are the following:

- a) Support the TA in organizing and maintaining the TAG and applying to USNC TMC for designation.
- b) Provide for administrative services, including arrangements for TAG meetings, timely preparation and distribution of documents related to the work of the USNC TAG, and maintenance of appropriate records, including TAG rosters, minutes of meetings and voting results.⁴ Requires full electronic document handling and communication capability to meet USNC and IEC requirements.
- c) In accordance with IEC, USNC, and its own approved procedures, arrange for the distribution of IEC documents to TAG members, all interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the USNC General Secretary, to the Central Office when such documents are necessary or desirable. Arrange for distribution of appropriate WG documents to the TAG for collection and preparation of suitable documents for transmission, through the WG Expert.
- d) Transmittal of U.S. positions on relevant IEC TC/SC issues and votes to the USNC General Secretary.
- e) Work to maintain the viability of the TAG as part of the USNC TAG Participation Fee Program.
- f) Ensure compliance with the TAG's Procedures and the USNC's Statutes and Rules of Procedures, in concert with the TA.

⁴ As of the date of approval of these Procedures, the ANSI recommended records retention guideline is as follows: "Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised, or reaffirmed IEC Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal."

6. Officers

There shall be a Chairman, who may be the TA, and other Officers if required, appointed by the TA from the individual members of the TAG, subject to approval by a majority vote of the TAG. Each will serve until a successor is selected and ready to serve.

7. Membership

Membership shall be open to all U.S. national interested parties who indicate that they are directly and materially affected by the activity of the TAG, after being informed concerning the TAG's working procedures and scope of activities.

There shall be no undue financial barriers to participation. The USNC Council assesses a USNC TAG Participation Fee which is collected annually by the USNC Office. Some categories of membership are exempt from this fee, e.g. Resource Experts, USNC Honorary Life Members, Consumer Advocates, etc. In addition, TAG Administrators may charge a fee to recover administrative expenses, but in all cases procedures for requesting a waiver of the fees shall be available. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

7.1 Application

A request for membership shall be addressed to the cognizant TA or TAG Secretary, and shall indicate:

- name and complete coordinates of representative
- the applicant's direct and material interest in the TAG's work
- the applicant's willingness to participate actively (*See Section 7.14 - Membership Obligations*)
- the applicant's interest category (*See Annex B4.2*)
- whether the applicant is a representative of an organization, company, or government agency
- if desired, one or more alternates

7.2 Recommendation

The TA/TAG Secretary shall consider:

- a) the appropriateness of the involvement of each interest in the work of the TAG
- b) the potential for dominance by a single interest

- c) the extent of interest expressed by the applicant, and the applicant's willingness to participate actively

The TA/TAG Secretary may consider reasonable limits on TAG size.

7.3 Diverse Interests

Normally, the policy of "One Company, Government Agency, Organization, One Vote" applies. If, however, representatives from distinct divisions of an organization can demonstrate independent interests and authority to make independent decisions in the area of the activity of the TAG, each may apply for membership.

7.4 Combined Interests

When appropriate, the TA/TAG Secretary may recommend that the applicant seek representation through an organization that is already represented by a member who represents the same or similar interests.

7.5 Resource Expert

Each USNC TAG shall be allowed to designate, each year, one individual as a "RESOURCE EXPERT" (RE) for the TAG. If a TAG wishes to nominate an additional RE, justification must be submitted to the USNC General Secretary and the assigned Group Manager. The RE should be an individual whose knowledge and expertise are deemed vital for the TAG's work, and is unable to obtain the needed funding for TAG membership from their employer or other sources. This RE shall be exempt from paying applicable annual USNC TAG Participation Fee. The TAG RE shall be nominated by the TA, elected by vote of the TAG, and confirmed by the USNC General Secretary for a period of one year. The RE shall count towards the minimum number of TAG participants required to establish a viable TAG.

7.6 USNC Conveners and Experts

USNC approved Working Groups, Project Teams, and Maintenance Team Conveners and Experts shall be members of their respective TAGs. Such individuals are expected to conduct themselves in a professional manner.

7.7 Appointed Delegates to TC/SC Meetings

All delegates to TC/SC meetings shall be members of the TAG. Such delegates are expected to conduct themselves in a professional manner.

7.8 Consumer Advocate

Annually, each USNC TAG can nominate one Consumer Advocate to the USNC General Secretary and, with the endorsement of the USNC TMC in accordance with the related Waiver Procedure, the annual TAG Participation Fee can be waived. An authorized Consumer Advocate shall count towards the minimum number of TAG participants required to establish a viable TAG.

7.9 Liaison Participants

TAGs may designate Liaison participants from other bodies with which ongoing contact is desired. These contacts are exempt from the TAG Participation Fee and do not vote. They include the following:

- a) desired contacts for all Full IEC Members of FINCA (Forum of the IEC National Committees of the Americas), subject to the authorization of the related TAG(s)
- b) entities with which the TAG desires to maintain technical liaison
- c) leadership for SC TAGs participating on the parent TC TAG, and the Leadership of the TC TAG participating on SC TAGs. This reciprocal relationship is highly recommended.

7.10 Ex- Officio Participants

TAGs may include Ex-Officio participants by virtue of their office. These contacts are exempt from the TAG Participation Fee and do not vote. They include the following:

- a) U.S. Chairmen of related IEC TCs/SCs
- b) U.S. Secretaries of related IEC TCs/SCs
- c) Assigned GMs

7.11 Observers

Individuals and representatives of organizations having an interest in the TAG's work may request listing as Observers. The request for Observer status should be submitted in writing to the TAG Secretary. Observers shall be advised of the TAG activities, shall have access to new TAG documents made available during the period of Observer status, and may attend meetings, but shall not vote. They are subject to the USNC TAG Participation Fee.

7.12 Representation of Interests

All directly and materially affected U.S. national interested parties shall have the opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase “without dominance by any single interest” normally will be satisfied if a reasonable balance among interests can be achieved.

Unless it is claimed by a directly and materially affected person that a single interest dominated the standards activity, to the exclusion of fair and equitable consideration of other viewpoints, no test for dominance is required.

7.13 Membership Roster

The TA or TAG Secretary shall maintain a roster of USNC/TAG participants and the organizations they represent.

The roster shall include the following:

- a) title and designation of the TAG
- b) scope of the TAG
- c) Technical Advisor(s) (Name, Affiliation, Mailing Address, Phone, Fax, and E-mail information);
- d) Deputy Technical Advisor(s) (same as for TA)
- e) TAG Administrator/Secretary (Name of Organization, Name of Secretary, Mailing Address, Telephone, Fax, and E-mail information)
- f) Other TAG Officers (if applicable)
- g) Voting Members, including Resource Experts and Consumer Advocates, if appropriate:
 - Name of the Voting Members and alternates (as applicable) and their business affiliations, including name of the organizations they are representing on the TAG, and their mailing addresses, phone, fax, and e-mail information
 - The interest category of each individual and alternate (as applicable)
- h) USNC appointed Conveners and Experts to IEC Working Groups, Project Teams, Maintenance Team, etc.

- i) Non-Voting Participants including:
 - TAG-appointed Liaison contacts
 - Observers

The TA or TAG Secretary shall submit a list of participants to the USNC General Secretary annually or when changes occur. The list should distinguish regular participants from other Liaison contacts and Resource Experts.

7.14 Membership Obligations

Members are expected to participate actively by fulfilling attendance, voting, correspondence, paying dues and any other obligations. Members are expected to conduct themselves in a professional manner.

7.15 Review of Membership

The TA/TAG Secretary shall review the membership list annually with respect to the criteria in 7.1-7.14. Members are expected to participate actively by fulfilling attendance, voting, correspondence, and other obligations. Where a member is found in default of these obligations, the TA/TAG Secretary shall direct the matter to the TAG for appropriate action, which may include termination of membership or revocation of appointment as a USNC Expert. Meetings Rosters shall be submitted for review annually to the USNC General Secretary and assigned GM.

8. Meetings

Meetings of the TAG and meetings of the USNC delegates to international meetings should be scheduled to respond to international activities. TAG meetings shall be held, as determined by the Chairman/TA or TAG Secretary or by petition of a majority of the members. TAG meetings can be either Face-to-Face (In-Person), via electronic format (i.e. interactive web conferencing or audio conferencing), or a combination of the two.

A TAG may, from time to time, invite guests to attend TAG meetings or conferencing calls. In general, guests that may be invited are individuals with particular expertise who can provide information in order to help the TAG develop the U.S. position on a particular issue. If a guest has a more permanent interest in the work of the TAG, they should be invited to consider Voting Membership or Observer status.

Members shall not make verbatim recordings by any means (including, but not limited to, audible or

written recordings) unless first authorized by unanimous approval of the meeting's attendees. If authorization is granted, the TAG Secretary will notify TAG members attending the meeting or conference call of that authorization prior to the recording of the meeting or conference. Furthermore, if authorization is granted, the recording shall be made available to the TAG by the person(s) making the recording.

TAGs shall determine for themselves their quorum requirements. Quorum requirements shall be available in writing upon request and be submitted in writing to the USNC Office as part of the TAG Validation Process. (See *Clause 3.2*) For guidance purposes, the following concepts might be considered when defining Quorum:

- Minimum number of TAG members in good standing required, or
- % of TAG members in good standing required.

Note 1: See the USNC Tool Box for Sample Quorum Definitions

http://www.ansi.org/standards_activities/iec_programs/tag_administrator_toolbox.aspx?menuid=3

Note 2: The definition of Quorum may be different for meetings and for ballots. (See also Section 9)

TAG members are responsible to fund their own participation at TAG meetings. The TAG Administrator is not required to fund any participation costs.

Meetings of the TAG shall be open to all members. At least four weeks' notice of regularly scheduled meetings shall be given by the TA or TAG Secretary, which may be publicly announced in ANSI's *Standards Action* publication, or in other media designed to reach directly and materially affected interests. 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.

9. Voting

The Default Voting Procedure described in Annex A may be selected by the TAG. When a TAG uses this Procedure, Clause 9.6 d does not apply. (See *ANNEX A*)

9.1 TAG Member Voting

Each member may vote one of the following positions.

9.1.1 IEC Ballot Document Voting

Within the TAG, when voting on an IEC document, the TAG member is indicating how the TAG should vote and must select one of the following options:

- a) Affirmative – Comments optional
- b) Negative – Comments mandatory (*In all but administrative matters, the reasons for a negative vote shall be given, should be technical in nature, and should include wording or actions that would resolve the objection.*)
- c) Abstain – Comments optional
- d) No Position taken on the document – Comments optional

Note 1: A No Position vote means that there is no support for any of the other options. No Position votes are not included in the final voting tally, but are considered to meet the obligation of a TAG member to provide an input on the document. This position means that the voter does not wish to be included in the establishment of a consensus for a particular ballot. This is different from the case where the voter wants the USNC to abstain, in which case an abstain vote is to be cast. This distinction can be important depending on the definition of a TAG quorum as No Position votes may be used to determine whether a quorum is reached depending on the individual TAG quorum procedures. In any case, No Position votes are not used when determining the final U.S. Position on a document.

Note 2: Abstain, in the context of the IEC/ISO voting process, indicates that the USNC has chosen not to participate in the decision process for the inquiry in question. The decision to submit a vote of “ABSTAIN” can arise from a variety of circumstances, including the following:

1. Inability of the TAG to achieve consensus on a compromise position by any means possible within the time constraints of the IEC process
2. Decision by the TAG to neither support nor oppose a particular IEC proposal based on political considerations
3. TA/TAG/TAG Secretary did not submit a vote on time
4. Insufficient TAG members respond to meet quorum requirements (TAG procedures specifies submitting “ABSTAIN” in that case)

The TAG is advised to consider, when attempting to reach consensus, that the international community may interpret a vote to “ABSTAIN” as follows:

1. The USNC does not have a stake in the IEC proposal under consideration;
2. The USNC does not wish to take a position because of certain considerations;
3. The USNC did not make the effort to submit a position; or
4. The USNC could not reach a conclusion.

Note 3: See Annex B.6 for an explanation of the criteria suggested for determining whether to vote “AFFIRMATIVE,” “NEGATIVE,” or “ABSTAIN.”

9.1.2 TAG Procedural Voting

When voting on internal TAG procedural matters, the TAG member is indicating a preference on an issue and the following options shall be:

- a) Approve
- b) Disapprove with comments
- c) No Position (*See 9.1.1*)

9.2 Vote of Alternate

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

9.3 Voting Period

The voting period for letter ballots shall be established to allow for timely response to international time limits. An extension may be granted at the option of the TA, Chairman, or TAG Secretary when warranted (e.g. when the requirements for approval or disapproval specified by 9.5 or 9.6 are not achieved).

9.4 Authorization of Letter Ballots

A letter ballot may be authorized by:

- a) majority vote of those voting members present at a TAG meeting
- b) the Technical Advisor
- c) the Chairman
- d) the TAG Secretary
- e) a petition of five members of the TAG or a majority of the TAG, whichever is less

9.5 Actions Requiring Approval by Majority

The following actions require a letter ballot or an equivalent formal recorded vote with approval by a majority of the TAG voting members, excluding No Position votes:

- a) Approval of officers appointed by the TA/TAG Secretary or nominated by members of the TAG

- b) Recommendation for TA nomination
- c) Formation of a subgroup, including its procedures, scope, and duties

- d) Disbandment of a subgroup
- e) Other actions of the TAG not specified elsewhere

9.6 Actions Requiring Approval by Two-Thirds of Those Voting

The following actions must be approved by at least two-thirds of those voting by letter ballot, excluding No Positions votes or, if at a meeting, by two-thirds of those present, excluding No Positions votes, provided a quorum exists. If a quorum does not exist, the vote shall be confirmed by letter ballot:

- a) Adoption of TAG procedures, categories of interests, or revisions thereof
- b) Approval of recommendation to change the TAG scope
- c) Approval of recommendation of appointment of a USNC TAG Administrator
- d) Approval of U.S. position on technical matters brought before the USNC TAG (i.e., DC, NP, CD, CDV, FDIS)
- f) Approval of recommendation to terminate the TAG

9.7 Consideration on Views and Objections to Ballots

The TA, in cooperation with Chair and Secretary of the TAG, shall determine whether the expressed views and objections shall be considered by telephone, correspondence, or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on a Final Draft International Standard (FDIS) listed in ANSI's *Standards Action* publication. A concerted effort to resolve all expressed objections shall be made and each objector shall be advised of the disposition of the objection and the reasons therefore.

Comments, including objections or differing views, shall be reported to the TAG members to afford all members an opportunity, with appropriate time limits, to object to the submittal of comments to the USNC Office. When voting quorum or consensus on ballots requiring a vote is not present, TAG members shall be notified and given the opportunity to reaffirm or change their position on the vote.

If a consensus position cannot be determined for some differing views, neither view shall be presented. If the differing view is with regard to voting yes or no, an abstention shall be submitted.

9.8 Report of Final Result

The final result of the voting shall be reported to the TAG.

9.9 Submittal of USNC Positions

USNC positions shall be processed as follows:

9.9.1 Responsibility for Submission

Upon completion of the procedures for voting, consideration of views and objections, and appeals, the U.S. position shall be submitted to the USNC General Secretary's Office by the TA, DTA, or TAG Secretary in electronic format and utilizing the required ISO/IEC/CEN/CENELEC electronic balloting commenting template (Latest Version) for comments.

The TA, DTA, and TAG Secretary shall come to an agreement on who has the primary responsibility for submitting recommended ballot responses to the USNC Office. They shall cross check each other to ensure timely submittal of responses to the USNC General Secretary.

Some back-up mechanism among the TAG Officers must be identified in the event of unusual circumstances for filing ballots that are required to maintain "P" members status for the USNC. If a TAG's recommended vote/comments are not received by the USNC Office by the required deadline, typically two weeks before the IEC deadline, a "STAFF ABSTENTION" will be submitted and those involved will be so notified.

The USNC Office, representing the U.S. IEC member body, is responsible for providing all official U.S. positions to IEC.

9.9.2 Information to be Submitted

By the designated deadline, normally two weeks prior to the announced IEC deadline, each TA or TAG Secretary shall transmit to the General Secretary of the USNC:

- a) title and designation of the document
- b) recommended votes and/or comments, proposals, documents, or other informational material suggesting the course of action to be followed on matters before the international committee
- c) status of any appeal action related to approval of the proposed U.S. position
- d) identification of all unresolved views and objectives, names of the objector(s), and a report of attempts toward resolution

The TA or TAG Secretary shall ensure transmittal of the recommendations, positions, and related reasons to the members of the TAG.

The USNC General Secretary shall transmit to the IEC Central Office or TC/SC Secretary votes, comments, proposals, or informational material for consideration by the international Technical Committees or Subcommittees.

Note: When a national standard is recommended as a New Work Item Proposal, the authorization of the standard's originating organization must be obtained prior to submittal.

10. Termination of TAG

Failure to meet the requirements of Clause 3.1 – Criteria for Viability is reason for termination of the TAG (by the TMC).

Any directly and materially affected interest may propose to terminate a TAG. The proposal shall be submitted in writing to the USNC General Secretary and to the TA and TAG Secretary and shall include the reasons why the TAG should be terminated. The TAG shall take action in accordance with 9.6. Based on the results of the vote and concurrence of the TMC, the USNC General Secretary shall take action promptly to change the USNC's TC/SC registration accordingly.

In the event that the U.S. holds the secretariat for an IEC TC or SC for which the TAG is considering termination, the organization serving as Administrative Secretariat shall be informed promptly and shall submit their position regarding termination of the TAG to the USNC General Secretary.

As a result of action taken in accordance with 9.6, should termination of the TAG be approved, notification of such action shall be announced in ANSI's *Standards Action* publication. The announcement shall note that dissolution of the TAG will result in the U.S. relinquishing its participating ("P") status in the international activity. Also, if the U.S. serves as international Secretariat, the announcement shall state that the U.S. will resign this position. The appropriate notification(s) shall be sent to the IEC Central Office regarding the change in status, and the relinquishment of the Secretariat, if applicable.

11. Communications

The primary form of TAG communications shall be via electronic means. Written correspondence of the TAG, its Officers, and Secretary should preferably be on "TAG correspondence" letterhead. If not, correspondence should clearly show in the title/subject that it concerns TAG matters. E-mail correspondence should indicate in the subject field that it is TAG business.

External communications such as inquiries relating to the TAG should be directed to the TA and/or the TAG Secretary, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the TA and/or TAG Secretary.

12. Appeals

Directly and materially affected U.S. National Interested Parties who believe they have been or will be adversely affected by a substantive procedural action or inaction of the TAG or its Secretary shall have the right to appeal.

12.1 Complaint

The appellant shall file a written complaint with the TAG Secretary, copying the TA, within thirty days after the date of action or at any time with respect to omissions. The complaint shall state the nature of the objections(s) including any adverse effects, the section(s) of these procedures of the specific actions or omissions 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.

12.2 Response

Within thirty days after receipt of the complaint, the TAG Secretary shall reply in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

12.3 Hearing

If the appellant is not satisfied with the response of the TAG Secretary, they shall so inform the TA/TAG Administrator within 10 working days. The TA/TAG Secretary shall schedule a hearing with an Appeals Panel on a date agreeable to all participants, giving at least ten working days notice.

12.4 Appeals Panel

The Appeals Panel shall be appointed by the TA or the TAG Secretary, and 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.

12.5 Conduct of the Hearing

The appellant has the burden of demonstrating adverse effects, improper actions, or omissions and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the TAG, the TA, and the TAG Secretary 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 not covered herein for the hearing.

12.6 Decision

The Appeals Panel shall render its decision in writing within thirty days, stating findings of fact and conclusions, with related reasons, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:

- a) Finding for the appellant and remanding the action to the TA, TAG, or the TAG Secretary 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 TA, TAG or the TAG Secretary for appropriate reconsideration

12.7 Further Appeal

If the appellant gives notice that further appeal to the USNC TMC is intended, a full record of the complaint, response, hearing, and decision shall be submitted by the TA or TAG Secretary to the USNC General Secretary. Subsequent to an appeal to the USNC TMC, a final appeal is possible, if appropriate, to the standing ANSI Appeals Board.

12.8 Informal Settlement

The USNC encourages settlement of disputes at any time if the settlement is consistent with the objectives of the USNC Procedures. Any settlement to which the parties agree in writing that is consistent with these procedures, or an agreement to withdraw the appeal, will terminate the appeal process.

ANNEX A

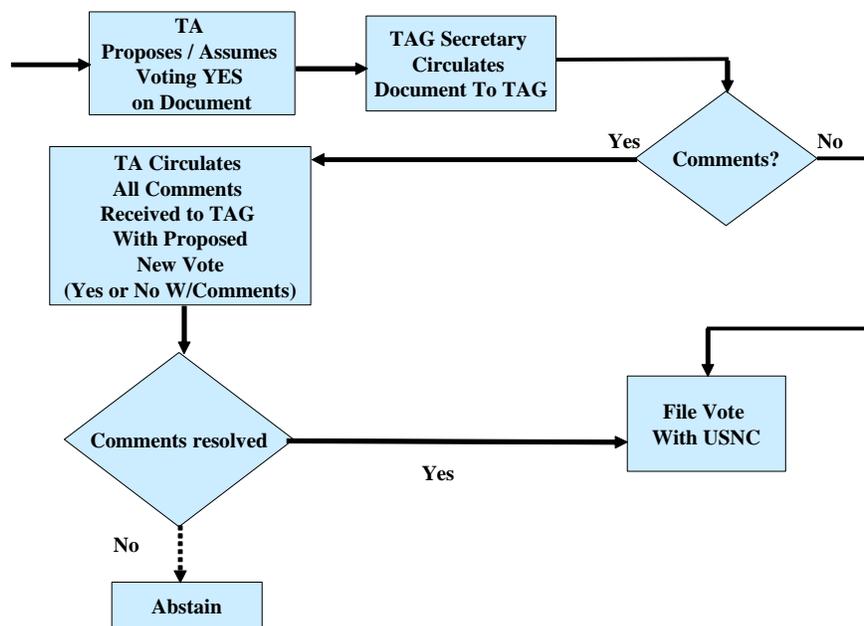
DEFAULT VOTING PROCEDURE

In considering the voting response to documents, it has been noted that the voting members often were not voting because they had assumed a yes vote would be filed. In their opinion, consensus was apparent. It was determined that most members supported the comments and votes that were sent to the USNC General Secretary for forwarding to the IEC Central Office and felt that with all the time developing the original documents and the familiarity that developed over time made the documents, in most cases, acceptable for movement to the next stage.

It was agreed that the TA should vote, as a default, in most cases affirmatively. In cases where a no vote was requested, or comments came forward, some additional circulation may be required to affirm the negative vote or positive vote with comments. Depending on prior TAG discussions and agreements, alternative default ballot positions of negative or abstention might be proposed by the TA.

The following model was agreed on for how to process the documents forwarded for consideration in any of the five stages of the IEC process, i.e. PNWI, CD, CDV, FDIS, and IS.

The model flow chart below is meant to be an indication of the various typical scenarios considered by the referenced TAGs. It is recognized that it is possible to have a split of TAG members where no position can be reached before the deadline, in which case the TA would notify the USNC to record an abstention.



Annex B

Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC

NOTE: The version included here was in effect at the time of publication of this document. For the latest version, please see Annex B of the ANSI Procedures for U.S. Participation in the International Standards Activities of ISO, available at: www.ansi.org/internationalprocedures

Participation in international standards activities of interest to members of the American National Standards Institute (ANSI) requires membership in two international non-treaty standardization organizations, namely the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC). ANSI is the U.S. member body of ISO and the U.S. National Committee of the IEC (USNC), a committee of ANSI, is the U.S. member of the IEC. To assure that positions presented to these international bodies are representative of U.S. interests, a mechanism must exist for the development and coordination of such positions. This document outlines ANSI's criteria for an appropriate mechanism.

ANSI normally looks to the body that develops national standards in a particular standards area in order to determine the U.S. position in a similar international standardization activity. Such national consensus bodies are designated by ANSI as "U.S. TAGs" for specific ISO or IEC activities. Each accredited U.S. TAG to ISO shall be referred to as an "ANSI-Accredited U.S. TAG" (or alternately, "ANSI/[SDO] TAG to ISO/TC XX" or the equivalent) in all communications with TAG members and other parties regarding TAG activities. Where no national standards group exists, or is available to serve, or where several separate national standards groups exist, special bodies may be established for this purpose. The makeup of U.S. TAGs may include participants from companies, technical and trade organizations, government agencies, and individuals.

In addition to U.S. TAG activities, as appropriate and consistent with ANSI's mission to promote U.S.-based technology globally, ANSI may approve the establishment of Partnership Standards Developing Organization (PSDO) agreements with ISO. To coordinate both activities with the American National Standards process, ANSI also requires early notification by an ANSI-Accredited Standards Developer of its intent to submit a proposed American National Standard (ANS) for consideration for approval as an ISO or ISO/IEC JTC-1 standard. (*See ANSI Essential Requirements: Due process requirements for American National Standards*⁵) In such instances, it is expected that ANSI-Accredited U.S. TAGs will raise any concerns related to the proposed ANS during its development cycle so that if the standard is subsequently balloted for approval at the ISO or ISO/IEC JTC-1 level, the U.S. position will be to support its approval. For existing ANS, the PSDO is required to seek and obtain the approval of the applicable ANSI-Accredited U.S. TAG prior to its submission of a standard to ISO under a PSDO agreement.

⁵ www.ansi.org/essentialrequirements

B1: Applicability

These requirements apply to the development and coordination of U.S. positions for ISO and IEC activities.

B2: International Requirements⁶

Operating procedures for the development of U.S. positions shall comply with the requirements imposed on members by the relevant international standards body. For example, time limits are imposed on all participating international members of the international body with regard to voting, commenting, and other related matters. Reasonable time extensions may be requested for good cause.

B3: General

The operating procedures of existing or newly established groups that develop U.S. positions for the standardization activities of ISO shall, at a minimum, meet the criteria for the organization, accreditation, and operation of U.S. TAGs as provided herein. The operating procedures of existing or newly established groups that develop U.S. positions for the standardization activities of IEC shall, at a minimum, meet the criteria for the organization and operation of U.S. TAGs as provided for in the *Rules of Procedure of the U.S. National Committee of the IEC*.

B4: Criteria for Organization

The following minimum criteria shall be met in the organization of U.S. TAGs, which develop U.S. positions on international standards activities:

B4.1 Openness. Participation shall be open to all U.S. national interested parties who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of the formation of new activities related to international standards 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.⁷

B4.2 Balance. The process of developing U.S. positions shall provide an opportunity for fair and equitable participation without dominance by any single interest.

⁶ See the IEC/ISO Directives, Part 1: procedures for the technical work; Part 2: Methodology for the development of International Standards; part 3: Drafting and presentation of International Standards

⁷ See also related notification requirements in 2.5 of the ANSI Essential Requirements with respect to candidate standards that may be submitted for approval as an ISO or ISO/IEC JTC-1 standard.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase “without dominance by any single interest” normally will be satisfied if a reasonable balance among interests can be achieved. Unless it is claimed by a directly and materially affected person (organization, company, government agency, individual, etc.) that a single interest category dominated the development of the U.S. position, no test for dominance is required.

In defining the interest categories appropriate to U.S. TAG membership, consideration shall be given to at least the following:

- Producer
- User
- General interest

Where appropriate, more detailed subdivisions should be considered.⁸

B5: Criteria for Operation

The following minimum criteria shall be met in the development of U.S. positions in international standards activities⁹:

B5.1 Written Procedures. Written procedures shall govern the methods used for the development of U.S. positions and shall be available to any interested party.

B5.2 Listing in *Standards Action*. Appropriate¹⁰ international standards activities shall be listed in *Standards Action* in order to provide an opportunity for public comment. The comment period shall be appropriate to the required timing for the action.

B5.3 Consideration of Views and Objections. Prompt consideration shall be given to the written views and objections of all participants including those commenting on the listing in *Standards Action*. A concerted effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor.

Unresolved objections and any substantive change made to a proposed U.S. position shall be reported to the participants.

⁸ Further subdivisions that may be used to categorize directly and materially affected persons consist of, but are not limited to, the following: Consumer; Directly affected public; Distributor and retailer; Industrial/Commercial; Insurance; Labor; Manufacturer; Professional society; Regulatory agency; Testing Laboratory; Trade association

⁹ See Footnote 3.

¹⁰ Examples of appropriate activities are in the *ANSI Procedures for U.S. Participation in the International Standards Activities of the ISO*

B5.4 Records. Records shall be prepared and maintained to provide evidence of compliance with these criteria. Records concerning new, revised, or reaffirmed ISO Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal.

B5.5 Appeals. The written procedures shall contain an identifiable, realistic, and readily available appeals mechanism for the impartial handling of substantive and procedural complaints regarding any action or inaction.

B6: Guidelines for Determining a U.S. Voting Position

The development of a U.S. position with regard to voting on international documents is a matter of great complexity. Firm rules for casting affirmative votes, negative votes, or abstentions would be presumptuous and unworkable in many cases. However, efforts should be made to achieve consistency in the perceived conduct of the United States as a participant in international, non-treaty standards development. Toward that end, guidelines for determining a voting position are included herein in order to provide direction toward a consistent voting policy. These guidelines cannot cover all of the factors that must be considered in determining the U.S. vote. They do, however, represent generally accepted principles that should be applied to normal situations.

B6.1 If there is an existing U.S. national standard (i.e., an American National Standard¹¹ or, in the absence of an American National Standard, another standard generally accepted within the United States) and:

1. If the national standard can be considered equivalent¹² to the requirements in the international document, vote affirmative.
2. If the international document includes different, additional, or more stringent requirements than are in the national standard and the U.S. consensus indicates that such requirements are:
 - a. acceptable, and should be considered for inclusion in the national standard (See Section B7.2), vote affirmative, or
 - b. not acceptable, vote negative.
3. If the national standard includes different, additional, or more stringent requirements than are in the international document and the U.S. consensus indicates that such requirements:
 - a. should be modified in accordance with the international document (*See Section 7.2*), vote affirmative, or
 - b. must be maintained, vote negative, or
 - c. must be maintained, but the proposed document is considered to represent the best agreement which can be attained at the present time from an international point of

¹¹ See Footnote 3.

¹² The word “equivalent” is intended to convey the thought that any product or procedure that meets the requirements of the national standard will also meet the requirements of the international standard and vice versa when tested for conformance by accepted means.

view, vote abstain with a statement that the U.S. cannot modify its national standard for stated reasons.

B6.2 If no national standard exists and:

1. If U.S. consensus establishes that the international document is:
 - a. technically acceptable and could be used as the basis for the development of a national standard, vote affirmative, or
 - b. not technically acceptable, vote negative.
2. If the international document is of little or no interest to the U.S., abstain.
3. If the international document unnecessarily creates a barrier to domestic or international trade or impedes innovation or technical progress, vote negative.

B6.3 Regardless of whether or not a national standard exists, if no U.S. consensus has been established, abstain.

B6.4 The U.S. vote, if negative, must be accompanied by reasons and supporting information such as technical data and logical argument. Also, any known exceptions and/or additions that will be required to conform to U.S. safety practices or regulations shall be noted.

B6.5 Exceptions. Exceptions to the above stated voting guidelines should be carefully considered.

[B7: Criteria for Approval of U.S. Positions on International Standards Activities](#)

B7.1 Introduction. Implicit in the transmittal of U.S. positions on international standards activities to ANSI is the verification that the requirements of this document have been met and that consensus in support of the U.S. position has been established.

Consistent with ANSI's mission to promote U.S.-based technology globally, ANSI may approve a PSDO agreement. In all such instances, an ANSI-accredited Standards Developer is required to provide public notice of its intent to submit a proposed American National Standard (ANS) for consideration for approval as an ISO or ISO/IEC JTC-1 standard. (*See ANSI Essential Requirements: Due process requirements for American National Standards*) Further, in such instances, it is expected that ANSI-Accredited U.S. TAGs will raise any concerns related to the proposed ANS during its development cycle so that if the standard is subsequently balloted for approval at ISO, the U.S. position will be to support its approval. For existing ANS, the PSDO is required to seek and obtain the approval of the applicable ANSI-Accredited U.S. TAG prior to its submission of a standard to ISO under a PSDO agreement.

B7.2 Consensus. Consensus for a U.S. position is established when substantial agreement has been reached by the U.S. national interests that are directly and materially affected by the proposed international standard. Additionally, if the proposed U.S. position is based on giving consideration to

changes in an existing U.S. national standard, the consensus process shall include U.S. national interests that are directly and materially affected by the U.S. national standard.

B7.3 U.S. Proposals of Documents as the Basis for the Initiation of International Standards. All U.S. proposals for the initiation of new work items for the development of international standards shall be approved by the appropriate U.S. TAG. Such proposals shall be based on appropriate American National Standards, when they exist. In the absence of American National Standards, other appropriate, generally accepted standards may be proposed. In this instance, permission from the sponsor to propose documents as the basis for the initiation of international standards shall be obtained. In the absence of either ANSI standards or other appropriate, generally accepted standards, proposals may be based on a rationale, or a standard under development.

B7.4 U.S. Proposals to Fast Track a National Standard. The U.S. may submit a nationally accepted standard using the fast-track procedure approved by the ISO and IEC if the following criteria are met:

- 1) The U.S. is a P-member of a concerned technical committee.
- 2) The proposed standard must have the approval of both the originating organization and appropriate U.S. TAG.

The procedures in B7.3 shall be used in determining U.S. support for the proposed standard.

B8: Criteria for Appeals

The provision of appeals is important for the protection of directly and materially affected interests and for the organizations involved in the development of U.S. positions in international activities and is required as a part of due process. This section provides for the right to appeal, indicates what may be appealed, and gives general criteria regarding the appeals mechanism.

B8.1 Right to Appeal. Directly and materially affected U.S. national interested parties have the right to appeal any substantive procedural action or inaction in the development of U.S. positions on international standards activities.

B8.2 Appeals Mechanism. The following general criteria shall apply to any appeals mechanism provided by the U.S. TAG pursuant to these procedures:

- 1) Appeals shall be addressed promptly and a decision made expeditiously.
- 2) The right of the involved parties to present their cases shall not be denied.
- 3) Appeals procedures shall provide for participation by all parties concerned without imposing an undue burden on them.
- 4) Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed.
- 5) Records of appeals shall be kept and made available to the involved parties.

B8.3 Access. Appeals shall be directed in accordance with the written procedures used for the development of pertinent U.S. positions. *(See B5)* The ANSI Appeals Board will not normally hear an appeal of an action or inaction until all other appeal procedures have been exhausted.

ANNEX C

Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees

Systems Approach

The fundamental strength of the IEC over the decades has been the quality and market acceptance of its technology-based product standards and specifications, standards that also are the reference in the Commission's conformity assessment schemes. The need for such product or product family standards will continue for the foreseeable future and the IEC must maintain its efforts, and its reputation, in this traditional area of pre-eminence.

The multiplicity of technologies and their convergence in many new and emerging markets, however – particularly those involving large-scale infrastructure – now demand a top-down approach to standardization, starting at the system or system-architecture rather than at the product level. System standards are also increasingly required in sectors such as environment, safety, and health. Although the introduction of such processes in the IEC began some years ago, a major effort is now required to improve understanding of them and to widen their application. It will be necessary to take account of the implied need for increased co-operation with many other standards developing organizations, as well as with relevant non-standards bodies in the international arena. There will also be implications for the IEC's conformity assessment systems and processes.

1. When an IEC or national document is posted by the Central Office on which a U.S. position is needed and it is of interest to two or more TCs/SCs, its availability will become known to those TAG Officers and members of interested TAGs, who sign up for notification by communication tools such as IEC NEWDOC and MY IEC.

The related Group Managers and the Technical Advisors will inform the USNC General Secretary of known interested committees.

2. If a TAG has an interest in a document for which it is not the primary, the primary TAG shall be notified and asked to acknowledge and record the continuing interest of the other TAG(s).
3. A decision may be made by the TAGs involved to establish a Joint Task Force consisting of representatives of each of the TAGs to develop a draft USNC position for the consideration and approval of the TAGs within the required timeframe.
4. The representatives of the interested TAGs will be asked to send their comments on the document to the representative of the "primary" TAG. That representative will consider and collate the comments, and taking them into account, will establish a proposed USNC position on

the subject matter. Copies of this proposed position will be sent to all the representatives who commented, and to the General Secretary of the USNC. The representative of the primary committee will call a meeting of interested persons where this may be constructive.

5. Any TAG, having made substantive comments, that is not satisfied with the proposed position will promptly notify the General Secretary of the USNC, the Group Manager, and the Joint Task Force who prepared the position, giving specific reasons for the objection.
6. The General Secretary of the USNC and the Group Manager will attempt to bring about resolution by correspondence or by meetings and, failing to do so, will promptly notify the President and the TMC of the USNC for necessary action.
7. In the event a comment cannot be supported by a consensus of the TAGs, it will be withdrawn. In the event a vote cannot be supported by a consensus of the TAGs, the USNC will file an abstention.

Note 1: This procedure may also be utilized when coordination with U.S. TAGs for ISO TCs/SCs is desired.

Note 2: If the USNC is not a Participating Member, contact the USNC Office for guidance.

Note 3: Communicate with the USNC Office for guidance when necessary.

ANNEX D

USNC POLICY

USNC POLICY ON DISTRIBUTION OF FREE COPIES OF IEC STANDARDS AND WORKING DOCUMENTS FOR USE IN USNC STANDARDS DEVELOPMENT ACTIVITIES

General

- IEC Standards and related working documents, such as technical publications, guides, advisory committee documents, working drafts, committee drafts, and final drafts (hereinafter “Working Documents”) are protected by IEC copyright. Under circumstances described in this policy, IEC Standards and Working Documents may be provided to authorized TAG Members and certain third parties free of charge for use in standards development activities. Such documents remain copyright protected, however, and continue to be subject to certain other copying and redistribution limitations.

Copies of IEC Standards and Working Documents for Use by TAG Members

- IEC Standards and/or Working Documents provided under this policy shall be used by the USNC, its members, the members of the USNC TAG, TAs, Deputy TAs, USNC Experts, TAG Secretary, and others specifically identified by the TAG Secretary (“Authorized TAG Members”) exclusively in the formation of USNC positions on the development, national implementation, or maintenance of IEC Standards.
- Authorized TAG Members needing free copies of IEC Standards or Working Documents should obtain permission from the TAG Secretary for the subject USNC TAG.
- A TAG Secretary may grant a request by Authorized TAG Members for free copies of IEC Standards or Working Documents in circumstances where such Authorized TAG Member has demonstrated a direct need for such documents in connection with the standards development, implementation, or maintenance activities of a USNC TAG. In making that determination the TAG Secretary may consult with the Technical Advisor (TA) or the Office of the UNSC General Secretary.
- Authorized TAG Members who have been provided free copies of IEC Standards or Working Documents under this policy shall take reasonable steps to ensure that such documents are not further disseminated outside of the USNC TAG and shall neither post the documents on public servers nor make them available to groups of non-TAG members.

- Authorized TAG Members who have been provided free copies of IEC Standards or Working Documents may share such documents with individuals within their companies for the purposes of defining company positions and representations to other TAG members.
- Subject to the provisions of this policy, free copies of IEC Standards or Working Documents furnished to Authorized TAG Members may be provided in an editable format which may be copied and modified by the Authorized TAG Member as needed.

Copies of IEC Standards and Working Documents for Use by Certain Third Parties outside the TAG

- On a limited-exception basis, and within the sole discretion of the TAG Secretary, particular IEC Standards or Working Documents may be shared with parties outside the TAG if such disclosure is required to ensure that the necessary expertise (representing broad U.S. interests) will be used in formulating decisions necessary to the standards development, implementation, or maintenance activities of a USNC TAG. If TAG Secretary determines that such disclosure is necessary, he/she shall provide a single copy of the relevant document to such third party who shall have no rights to further copy or distribute such document.

Watermarking of All Documents Made Available to Authorized TAG Members or Third Parties

- Whether made available in electronic or hard-copy format, all documents made available under this policy shall either be “watermarked” with the appropriate copyright statement in accordance with Attachment “A” or be accompanied by a cover page that includes the appropriate copyright statement. In either case, a typical “copyright” notice shall be placed in the document.

Announcements

- These policies are to be announced broadly to the USNC’s constituency and will be included in the USNC’s Statutes and Rules of Procedure and the Model USNC TAG Operating Procedures.

**Approved by USNC Council e-Ballot 43
on 23 September 2011**

ATTACHMENT A
(TO ANNEX D)

REQUIRED STATEMENT FOR INCLUSION ON IEC STANDARDS OR WORKING DOCUMENTS
PROVIDED FREE OF CHARGE FOR USE IN USNC TAG STANDARDS DEVELOPMENT ACTIVITIES

“All IEC Standards and Working Documents are copyrighted by the IEC. This copy, without regard to its form or media, whether a complete copy of an IEC Standard or Working Document or extracted portions from an IEC Standard or Working Document, retains all IEC copyrights. The conveyance of this copy does not affect IEC copyrights or transfer any copyrights.

This copy is for the exclusive use by the recipient only in the development of USNC position(s) on the development, evaluation, use, or maintenance (including adoption by U.S. Standards Developing Organizations (SDOs)) of this or other IEC publications. No other use is authorized. No further copying, distribution, or use of this document is authorized. Possession by others is not authorized. This document may not be used for commercial purposes.”