American Water Works Association (AWWA)

Standards Program Operating Procedures

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Preface

The Standards Program Operating Procedures set the requirements for preparation and revision of AWWA standards, manuals or other related publications, by the AWWA Standards Council and the consensus body Committees of the Standards Council. These procedures are subject to review and approval by the AWWA Standards Council.

The rules governing the Organization and Administration of the AWWA Standards Council are covered in Appendix A of this document and not subject to ANSI accreditation.

Section 1: Standards Development

1.1 AWWA Standards

The Standards Council has developed an explanatory paragraph which is printed on the inside cover of all standards. This paragraph is reprinted here as a reminder of what an AWWA standard represents:

This document is an American Water Works Association (AWWA) standard. It is not a specification. AWWA standards describe minimum requirements and do not contain all of the engineering and administrative information normally contained in specifications. The AWWA standards usually contain options that must be evaluated by the user of the standard. Until each optional feature is specified by the user, the product or service is not fully defined. AWWA publication of a standard does not constitute endorsement of any product or product type, nor does AWWA test, certify, or approve any product. The use of AWWA standards is entirely voluntary. This standard does not supersede or take precedence over or displace any applicable law, regulation, or codes of any governmental authority. AWWA standards are intended to represent a consensus of the water supply industry that the product described will provide satisfactory service. When AWWA revises or withdraws this standard, an official notice of action will be placed on the first page of the classified advertising section of Journal AWWA. The action becomes effective on the first day of the month following the month of Journal AWWA publication of the official notice.

1.1.1 For the purposes of published AWWA standards and related publications and these operating procedures, “shall” and “will” indicate firm requirements and “should” and “may” indicate recommended practices.

1.2 American National Standards

The American Water Works Association (hereafter referred to as AWWA) will follow the established Standards Program Operating Procedures when
developing standards as American National Standards (hereafter referred to as ANS). These procedures shall comply with the normative policies and administrative procedures defined in the ANSI Essential Requirements: Due Process Requirements for American National Standards (hereafter referred to as ANSI’s Essential Requirements), published by the American National Standards Institute (hereafter referred to as ANSI).

1.2.1 Notwithstanding any of the provisions of the Standards Council procedures, no final action relating to the adoption, modification, or withdrawal of a standard that is to be submitted for approval as, or that has been approved as, an American National Standard shall be effective unless the Standards Council, or the Executive Committee on appeal, determines that such action represents a consensus of those substantially concerned with the scope and provisions of the standard. A consensus is reached, for the purpose of this paragraph, when substantial agreement is reached by concerned interests. Consensus implies the acceptance of a substantial majority but not necessarily unanimity.

1.3 Other Standards
When developing standards that are not intended as ANS, AWWA will follow its organizational policies, procedures, and processes.

1.4 Related Documents
These procedures shall apply to the development of other related publications including books, manuals, and committee reports by committees of the council except that only standards shall be subject to public review, appeal, AWWA Board approval, and ANSI consideration. Final approval of books, manuals, and committee reports shall be by the council and are not subject to public comment or appeal.

Section 2: Standards Committees

2.1 Purpose
The purpose of the standards committee structure is to provide within the committee the knowledge, expertise and a representative cross-section of divergent interests to develop, by due process and consensus, technically competent standards and manuals of practice for goods, products or services used in the water supply and wastewater community.

2.1.1 Standards and related publications shall be developed by committees appointed by the Standards Council for that purpose or by joint committees with other organizations. AWWA representatives on joint committees shall be appointed by the Standards Council. A majority of the members of the committee shall constitute a quorum at a meeting of the committee. Unless otherwise provided in these procedures, a majority of those present and representing a quorum shall be required to take committee action. Specific reference is made to voting requirements identified in Section 7.1.
2.2 Responsibilities

2.2.1 Committees are the consensus body as defined by ANSI, and AWWA will strive to maintain a balance of interests on the consensus body. Committees shall consist of members of AWWA or their designated representatives, nonmembers, official representatives or designated members of organizations, and others as provided subsequently in this paragraph, all willing to participate and having a substantial concern and competence in the scope of the work of the committee. When no organized group represents an individual or a company that has a substantial interest in the committee’s scope, the Standards Council may appoint such an individual or representative of the company to membership on the committee.

2.2.2 The Standards Council shall determine the scope of activity of a committee. Requests for modification of a scope shall be submitted through the Standards Council secretary for approval by the council.

2.3 Termination of a Standards Committee

Committees may be terminated by the Standards Council upon request of the committee or for other appropriate cause as determined by the council.

Section 3: Committee Membership

3.1 Application and Appointment to a Committee

Prospective committee members are required to complete and submit a Volunteer Application and resume (if available). The staff liaison will forward the application and resume to the committee chair for approval, and then to the Standards Council secretary to approve on behalf of the council.

3.2 Membership Interest Categories

Committee members’ interest categories shall be classified by the Standards Council in accordance with the business interests of their employers or, in the case of an individual member, in accordance with the member’s interest. Committee members shall be classified as one of the following:

a. **Producer** – those predominantly responsible for the production and/or sale of the material, product, system or service that falls within the scope of work of the committee in question. Producer members shall either have (a) a manufacturing facility located in North America; or (b) an existing partnership and/or distribution or manufacturer representation agreement with a company located in North America. The number of producer members on a committee shall not exceed one third of the total membership of the committee.
b. **User** – those predominantly responsible for or interested in the use of the material, product, system, or service that falls within the scope of work of the committee in question.

c. **General interest** – those who have interests other than the above.

For the committees working on AWWA Utility Management Standards (generally the G- and J-Series standards), committee members shall be classified as one of the following:

a. **Utility/User** – those predominantly responsible for or interested in the use of the management systems or services that falls within the scope of work of the committee in question.

b. **Service Provider/Consulting Services** – those predominantly responsible for providing professional consulting services related to the management systems or services that falls within the scope of work of the committee in question.

c. **Management interest** – those who have management interests other than the above, including academics, regulators, product manufacturers, trade associations, and others.

Where appropriate, and as approved by Standards Council, additional interest categories should be considered. Further interest categories 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; j) New Technologies.

3.2.1 Committees shall strive to maintain a balance of members from the primary interest categories. 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-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards. Committees not meeting the criteria for balance shall work with staff to publicize the need for new members from under-represented interest categories, using appropriate outreach methods.

3.3 **Membership Terms**

All committee members including AWWA members, nonmembers of AWWA, representatives of other organizations, companies and individuals shall be appointed for three-year terms by the Standards Council. Committee members are eligible for additional terms when recommended by the committee.
chair and approved by the Standards Council. A committee member may be removed from the committee by the Standards Council upon request of the member, for lack of adequate participation or for other appropriate cause as determined by the council. Interim appointments and reappointments to and removals from committees may be made by the Standards Council secretary in consultation with the chair of the council and the chair of the committee affected, subject to approval by the council. Requests from organizations or individuals for membership on committees shall be addressed to the secretary of the Standards Council for consideration by the council.

3.4 Committee Chairs

3.4.1 Committee chairs shall be appointed for a five-year term by the chair of the Standards Council subject to approval by the council. Committee chairs are eligible for additional terms when recommended by the Standards Council chair and approved by the council. A committee chair may be removed from office upon request of the committee chair or at the discretion of the Standards Council. Committee chairs shall be chosen from among persons eligible for classification as user or general interest members. Those eligible for classification as producer members shall not be selected as standards committee chairs. For the committees working on AWWA Utility Management Standards (generally the G- and J-Series standards), the chair may be chosen from any of the membership interest categories.

3.4.2 The chair should consider selecting both a vice-chair and a secretary from the committee roster. Subcommittees are optional but strongly recommended. The chair is responsible for appointment of all such committee and subcommittee officers. The vice-chair will be responsible for chairing meetings in the chair’s absence. The secretary is responsible for taking notes during committee meetings, transcribing notes into a written record and transmitting the minutes through the chair to the full committee within a month after the meeting. Staff can be counted on to perform many administrative functions for the committee such as mailings, word processing, technical editing and roster maintenance. The staff engineer cannot attend all committee meetings nor prepare meeting minutes and therefore cannot function as secretary for the committee.

3.4.3 Committee chairs may establish and disband subcommittees, task groups, or study groups to further the work of standards committees. Such subcommittees, task groups, or study groups may be permanent or ad hoc. The requirements of Section 3.2, as it relates to the ratio of member classifications, and Section 3.3 as it relates to chair classification, need not apply to subcommittees, task groups or study groups established by committee chairs. Members of the subcommittee, task group, or study group need not be members of the parent committee.

3.5 Subcommittees
Unless a committee has only one assigned standard or manual project, a subcommittee should be formed to handle each individual project.

3.6 Joint Committees
Joint committees shall be formed in accordance with the procedures of the sponsoring organizations or in accordance with procedures developed by the joint committee provided that said procedures are not in substantial conflict with the provisions of Sections 2.2.1 and 3.2.

3.7 Alternates
Committee members may delegate, subject to the approval of the Standards Council, an alternate. Alternates shall have all the privileges of members and shall receive all of the correspondence, including letter ballots, sent to members of the committee. The ballot of an alternate shall be counted only in the absence of a ballot from the member for whom alternate service is being provided. An alternate shall continue to serve until the end of the term of membership of the delegating committee member, until removed by the delegating committee member or until removed by the Standards Council, whichever comes first.

3.8 Removing Committee Members
Removal of a committee member from the committee by the Standards Council may be recommended by the committee chair upon the request of the member (resignation), for lack of adequate participation or other appropriate causes as determined by the council. A committee chair or staff may periodically poll the members of a committee to determine if they are interested in continuing as active members.

It may become necessary for non-responsive committee members to be removed from the committee. A general rule of thumb is suggested: should a member fail to return three committee letter ballots (CLBs) in a single calendar year or three consecutive CLBs, the member should be contacted by the chair or a designated representative to determine the reason for the lack of participation. Depending on the reason given, the chair may request that the Standards Council remove the individual from the committee. A vote of abstain on a CLB is a legitimate response. Failure to attend meetings for cause is insufficient reason for removal of a committee member who is otherwise responsive.

Section 4: Initiation of Standards Projects

4.1 Public Notice
When work is to be initiated by a committee to develop a new standard or to determine whether an existing standard should be revised, reaffirmed, or withdrawn, public notice of this activity shall be given in the most appropriate AWWA media to inform the AWWA membership. Notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its
equivalent, for announcement in ANSI Standards Action. For purposes of this paragraph, initiation of work on a new standard or related publication will occur following authorization by the Standards Council for such work. For purposes of this paragraph, initiation of work on an existing standard or related publication will occur at the direction of the committee chair or at the direction of the Standards Council in the absence of appropriate action by the committee chair.

The notice shall provide information supplied by the committee chair or a designated representative concerning the scope of work, the intended product, and a person to contact for more information.

4.2 Comments Related to AWWA Public Notice or ANSI PINS

Comments received by AWWA related to public notice of standards projects initiation will be processed according the requirements of Section 2.5 of the most current version of the ANSI Essential Requirements.

4.3 Initiation, Revision, or Withdrawal of Standards or Related Publications

4.3.1 Proposals or suggestions for a new standard or related publication, or for revision or withdrawal of an existing standard or related publication, may be originated by the Board, a council of AWWA, the Executive Committee of AWWA, a standards committee, or by an interested party in or related to the water profession. Routinely, proposals for revision or withdrawal of an existing standard or related publication will be initiated, processed and approved by the appropriate standards committee and presented for Standards Council approval as a completed standards proposal. All proposals for a new standard or related publication and any proposals for revision or withdrawal of existing standards or related publications presented by persons outside the appropriate standards committee shall be made in accordance with the subsequent procedures.

4.3.2 Requester shall provide in a written application full information in support of the proposal that will enable the Standards Council to determine whether to authorize the development or revision of the standard, to authorize preparation or revision of a related publication, to consider withdrawal of the standard or related publication, or to reject the request.

4.3.3 Data, which can be readily verified, must be submitted to the Standards Council secretary on application forms supplied by the council secretary. Data must clearly indicate whether the subject of the proposal meets the requirements of Section 4.3.4. If a waiver from the requirements of Section 4.3.4 c. or d. or both is being requested, the application must clearly justify the requested waiver.

4.3.4 Prior to authorization of preparation or revision of a standard, the Standards Council will as a minimum assure itself:
a. That the proposed new or revised standard is within the scope of the AWWA standards program.

b. That there is benefit to the water community to be gained from the proposed new or revised standard.

c. That the product of the type, kind, and quality to be described in the proposed new or revised standard has a period of documented satisfactory use experience by established water utilities for not less than five (5) years.

d. That the product of the type, kind, and quality to be described in the proposed new or revised standard is available for purchase in North America with full product information to the user.

4.3.5 Upon receipt of the completed application, the Standards Council secretary will review it for completeness and within thirty (30) days, after consulting with the council chair, either return it to the requester for additional required data or forward the application for consideration by the New Standards & Technology Transfer standing committee of the Standards Council. The standing committee shall review the request and prepare a recommendation for the Standards Council. The Standards Council shall consider the application at their next regularly scheduled meeting and shall respond within thirty (30) days thereafter. Written notification shall be made by the secretary to the requester.

4.3.6 The Standards Council shall authorize development of a new standard or a proposed revision of an existing standard when the conditions described in a, b, and c are met:

a. A written application is filed in accordance with the requirements of these procedures.

b. The requester shows in the written application that the subject meets the requirements of Section 4.3.4.

c. The Standards Council does not have reasonable justification for failing to issue a new standard or to revise the existing standard. Previous issuance of an AWWA standard for a competing product shall be a compelling reason for considering authorization of the requested action.

4.3.7 If the product does not meet one or both of the requirements of Section 4.3.4 c. or d., the Standards Council may authorize preparation of a committee report. The Standards Council may waive the requirements of Section 4.3.4 c. or d. or both and authorize development of a standard, after review of the committee report, only on the basis of compelling evidence and a 3/4 majority vote of those voting members present. The Standards Council may also
authorize preparation of books and manuals for those topics considered appropriate.

4.4 Revision, Reaffirmation, or Withdrawal of Standards or Related Publications

4.4.1 All provisions of Section 4.4 shall apply to standards and to related publications. In this section, the word standard shall also mean related publications.

4.4.2 All standards shall be revised, reaffirmed without revision, or withdrawn within five years of the effective date of the standard except as provided hereinafter. Committees shall initiate necessary review at a time sufficient to allow appropriate final approval action within the five-year period.

4.4.3 The appropriate provisions of Sections 3, 4, and 6 shall apply to the revision, reaffirmation, withdrawal of a standard, or addenda to a standard.

4.4.4 The Standards Council shall coordinate extensions with ANSI Essential Requirements and may grant an extension of time beyond five years upon written request of the assigned standards committee provided the committee is actively working on a revision, reaffirmation, or withdrawal and provides a schedule for completion which is acceptable to the council. The written request shall be provided to the Standards Council at least one year prior to the end of the five-year period and shall include a proposed plan for revision, reaffirmation, or withdrawal and a schedule of completion. If the assigned committee fails to develop, by the end of the period five years after the effective date of the standard, a proposed plan and schedule acceptable to the Standards Council, the council shall process the standard for withdrawal in accordance with Section 7. ANSI Essential Requirements will be followed.

4.4.5 Standards, as they are adopted, revised, reaffirmed, or addended shall be submitted for approval as American National Standards. ANSI shall be notified of withdrawn standards.

4.4.6 AWWA will administratively withdraw ANSI approval from all standards over ten years of age.

4.5 Discontinuance of a Standards Project

The Standards Council may decide to abandon the processing of a proposed new or revised standards project. ANSI shall be notified of discontinued standards.

Section 5: Maintenance of AWWA Standards Committees

5.1 Meetings, Conference Calls and Web Conferences
5.1.1 Meetings and Meeting Administration. All AWWA standards meetings are open to anyone who wishes to attend as an observer. Participation by committee non-members is at the option of the committee chair. Often when a limited number of observers are present, their participation is allowed. Conversely, when many observers are present, it may be more productive to allow only committee members to participate. In such cases observers can provide notes or comments to committee members who then can make such comments as are considered appropriate.

5.1.2 Arrangements. AWWA standards committees generally schedule meetings to coincide with the AWWA Annual Conference & Exposition (ACE) normally held in June of each year. Meetings may also be scheduled to coincide with the annual AWWA Distribution System Symposium (DSS) held in early fall, the annual AWWA Water Quality Technology Conference (WQTC) held in the late fall, or at other times as determined by the committee. Meeting rooms, services, and other arrangements are provided by AWWA if meetings are scheduled for ACE, DSS and/or WQTC. Each committee chair will be contacted late in the calendar year by the AWWA standards engineer liaison regarding meeting arrangements required for the next Annual Conference. Meeting plans for the WQTC or DSS must be initiated by the committee chair with the AWWA standards engineer. For other meeting plans, the only services available for meetings away from AWWA headquarters are administrative. Funds are not available for reimbursement for any meeting expenses, including meeting room costs and travel expenses. Committee meetings can be arranged at AWWA headquarters at no cost and hotel and restaurant facilities are conveniently located nearby.

5.1.3 Frequency: No hard rule can be established to describe just how frequently a committee should hold meetings.

5.1.4 Agenda: Before a meeting is actually held, the committee chair needs to prepare an agenda. With the input of the committee officers, subcommittee chairs, and the staff engineer, as well as consideration of the minutes of past meetings, the committee chair should include in the agenda items requiring the attention of the committee. This agenda and all attachments should be provided to all committee and subcommittee members approximately one month before the planned meeting. The agenda outline might detail the following general items:

a. Title including committee name, and meeting date and time.
b. Call to order and introduction – Chair.
c. Self-introduction by all members and others in attendance.
d. Secretary’s report including amendment or approval of previous meeting minutes.
e. Subcommittee chairs reports.
f. Discussion of current or planned ballot issues, including discussion of negative ballots.
g. Consideration of old and new business.
h. Adjournment.

An agenda should be as descriptive as possible and it should be followed closely by the chair. With consideration of the time available to the committee, the chair must ensure that the agenda is covered. The chair should predetermine the time considered appropriate for discussion of each agenda item and use these times to ensure a progressive meeting. It may be helpful to include start-time notations in the margin of the agenda. Perhaps a task group could be developed to achieve consensus for later report or ballot to the full committee.

Section 6: Committee Balloting Procedures

6.1 Requirements for Consensus

6.1.1 All provisions of Section 6 shall apply to standards and to related publications. In this section, the word standard shall also mean related publications.

6.1.2 Committee chairs shall expedite the work of the committee in accordance with its statement of scope to develop committee consensus on the standard or related publication under consideration. Committee consensus shall be established when the requirements of Section 6.1.6 are met. Evidence of committee consensus shall be developed as follows:

6.1.3 The voting period for letter ballots shall be a minimum of four weeks.

6.1.4 The topic of the initial balloting of a standard shall be the entire standard as proposed. If the initial ballot of the entire standard has received responses from at least two-thirds of the committee, the topics of subsequent letter ballots, at the option of the committee chair, may be limited to technical changes made in the standard since the previous ballot and to unresolved negative ballots from the previous ballot. Topics excluded from subsequent letter ballots may be portions of the standard not contested during previous ballots. Comments not related to the proposal under consideration shall be documented and considered in the same manner as a submittal of a new proposal. The submitter of the comments shall be so notified.

6.1.5 The final vote of a committee on a standard shall be by written ballot. Each negative vote cast shall be accompanied by a detailed explanation of the reasons supporting the negative vote. Specific language changes to the draft standard proposed to resolve the negative vote should be provided by the negative voter whenever possible. A negative vote submitted without detailed
explanation of the reasons will be recorded as a negative vote without comment and without further notice to the voter.

6.1.6 Initial ballots and recirculation ballots of substantive changes shall require two-thirds of the total voting members to return a ballot or have a response carry forward from a prior ballot. Committee consensus on the initial ballot of a standard and on ballots of substantive changes shall require two-thirds of the total voting members to respond affirmative, affirmative with comment, or abstain. The number of abstentions shall not cause the combined number of affirmative and affirmative with comment votes to be less than one-half the total voting members. Any negative votes shall be considered and resolution attempted per Section 6.2. All votes of negative with reason on either an initial ballot or a ballot of substantive change must be resolved, withdrawn, or submitted to the committee in the form of a recirculation ballot of an unresolved negative. When a ballot of an unresolved negative vote is issued as required by Section 6.2.5, approval shall require two-thirds approval from those voting affirmative or negative, with a minimum of two-thirds of the total voting members responding to the ballot. Abstentions are counted as a ballot response but not a vote. Unresolved negatives shall be recirculated to the committee within a reasonable time as required by Sec. 6.2.5.

6.1.7 On the letter ballot, each committee member should respond with one of the following positions:

a. Affirmative: A vote of “affirmative” without comments indicates unqualified support. No comments are submitted with the ballot.

b. Affirmative with comment: A committee member may vote “affirmative with comment” and provide editorial comments, or comments for future revisions. Affirmative votes submitted with comments requiring technical or substantive changes will not require the same resolution as a negative vote. Committee members should submit a negative vote with reason if their comments are other than editorial and require technical or substantive change in the subject being balloted.

c. Negative with reason: Negative votes must be accompanied by a detailed explanation of the reasons, and should include specific wording or actions that would resolve the objections. Negative votes that do not include comments will be recorded as “negative without comment” and no further notice to the voter is required. If comments outside the scope of the ballot are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal. Specific procedural requirements are provided for handling of negative votes. Submission of a marked-up copy of the draft with multiple negative technical concerns, without a separate written justification of each negative concern and proposed change(s) that would satisfy the
voter is discouraged. In such cases, the voter should condense the number of technical issues to the greatest extent possible.

d. Abstain: An abstention is considered a ballot response but not a vote. It is a committee member’s stated intent to not cast a vote on the issue being balloted. Abstentions should be discouraged except for compelling reasons, such as conflict of interest. If abstentions become numerous the committee roster and/or the tone in which the ballot was issued need to be reviewed and appropriate action taken.

Nonresponsive: Nonresponsive committee members require positive follow-up in an attempt to obtain a vote from each. If nonresponding members become numerous or if a single member becomes frequently nonresponsive, action should be taken to replace the nonresponsive member(s) (see section 3.8).

6.1.8 Positive effort shall be made to remind committee members to respond to ballots. Approximately one week before the closing date, a ballot reminder shall be sent to non-responsive members. Those not returning a ballot by the closing date shall be reported as nonresponsive. Alternates that return executed ballots will be counted as provided in Section 3.6.

6.1.9 The results of all letter ballots shall be held confidential by the Standards Council secretary and the officers of the committee until the balloting has been closed. Committee members shall refrain from discussing ballot materials during the period the ballot is open in order to avoid undue influence on other members’ votes. The committee chair and staff liaison are available during the ballot period to address voters’ technical or procedural questions that may arise. If clarification of ballot material or other questions need to be addressed by the entire committee, the committee chair or staff liaison will communicate these matters as soon as they are apparent.

6.2 Resolution of Ballot Comments

6.2.1 An effort to resolve all expressed objections 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. The committee chair shall determine whether consideration of negative votes and of comments involving technical changes to the standard shall be by telephone, by correspondence, or at a meeting of the committee or subcommittee involved. Technical changes are those which alter the requirements of the standard or alter the relationship between the parties using the standard. All proposed handling of proposed technical revisions to the standard will meet the requirements of Sec. 6.1.6.
6.2.2 Editorial changes to the standard shall be considered as determined by the committee chair. Editorial changes need not be submitted to the committee for approval. Editorial changes are those which clarify language already included in the standard, and do not change the requirements of the standard or alter the relationship between the parties using the standard.

6.2.3 Technical changes made in the proposed standard in order to resolve negative votes and all substantive changes shall be submitted to the committee in the form of a letter ballot. Approval shall be as provided in Section 6.1.6.

6.2.4 Objectors shall be advised in writing of the disposition of their objection and the reasons therefor. If a negative vote is resolved, the negative voter shall provide written confirmation of the resolution and the resolved vote shall be recorded as an affirmative vote. Any change of a committee member’s vote must be confirmed in writing.

6.2.5 If a negative vote or public comment objection cannot be resolved, it shall be submitted to the committee in the form of a letter ballot. The objector shall be advised in writing of the proposed disposition of the objection and the reasons therefore. Unresolved objections and attempts at resolution shall be recirculated to the committee to afford members the opportunity to respond, reaffirm or change their vote in light of the objection and attempted resolution. All unresolved objectors from the committee and public review process will receive written notification of the right to appeal. The topic of the letter ballot may be limited as provided in Section 6.1.4. The ballot shall include the negative ballot statement or public comment of the objector, a statement from the chair explaining why the objection has not been resolved, and other material deemed appropriate by the committee chair. The ballot may include consideration of one or more unresolved objections. Approval of an unchanged portion of the draft standard in the presence of an unresolved objection addressing that portion of the draft standard shall be as provided in Section 6.1.6.

6.3 Reporting of Ballot Results
The final result of balloting on a standard shall be compiled, recorded and reported to the committee and the Standards Council secretary for transmission to the council. Information reported to the Standards Council secretary shall include the negative ballot statements from any unresolved negative votes and the committee chair’s statements explaining why each negative vote has not been resolved. Also included shall be a summary of the committee voting results.

6.4 Subcommittee Procedures
Subcommittees, task groups, and study groups shall perform the tasks assigned by the committee chair. The committee procedures described in Sections 6.1 and 6.2 may be utilized by subcommittees, task groups, and study groups.
6.5 **Joint Committee Procedures**  
Joint committees shall develop standards in accordance with the procedures of the sponsoring organizations or in accordance with the procedures developed by the joint committee provided that said procedures are not in substantial conflict with provisions of Sections 6.1 and 6.2.

**Section 7: Standards Council Balloting Procedures**

7.1 **Requirements for Consensus**  
7.1.1 The provisions of 7.1.2 through 7.3 shall apply to standards and to related publications. In those sections, the word standard shall also mean related publications.

7.1.2 The final draft of a proposed or revised standard received by the Standards Council secretary shall be reviewed to ascertain that it is consistent with other standards and policies of AWWA. If the review indicates the need for editorial changes, they shall be submitted to the chair of the committee for approval. The standard, as edited, shall then be transmitted by the Standards Council secretary to the council for action. Standards proposed for reaffirmation without revision or for withdrawal shall be transmitted by the Standards Council secretary to the council without editorial change.

7.1.3 Approval of a standard by the Standards Council shall be by written ballot or by equivalent formal recorded method. Standards Council approval of all standards shall be by unanimous vote of those voting except as otherwise provided herein. The unanimous vote shall include at least a majority of the total Standards Council membership.

7.1.4 The voting period for letter ballots shall be a minimum of 28 calendar days from the date of issue.

7.1.5 The negative ballot statements from any unresolved committee negative votes and the committee chair's statement explaining why the negative votes have not been resolved shall be included as background information with the Standards Council ballot.

7.1.6 The results of all letter ballots shall remain confidential to the Standards Council officers and the committee chair until the balloting has been closed. Standards Council members shall refrain from discussing ballot materials during the period the ballot is open in order to avoid undue influence on other members’ votes. The Standard Council chair, SC secretary, and Standards staff are available during the ballot period to address voters’ technical or procedural questions that may arise. If clarification of ballot material or other
questions need to be addressed by the entire Standards Council, the SC
secretary will communicate these matters as soon as they are apparent.

7.2 Resolution of Ballot Comments

7.2.1 Each negative vote cast shall be accompanied by a detailed
explanation of the reasons supporting the negative. Specific language changes
to the draft standard proposed to resolve the negative vote should be provided by
the negative voter. A negative vote submitted without detailed explanation of the
reasons will be recorded as a negative vote without reason, and will not require
recirculation to the committee. Affirmative votes submitted with comments
requiring technical or substantive changes will not require the same resolution as
a negative vote.

7.2.2 Positive effort shall be made to remind Council members to respond
to ballots. Approximately one week before the closing date, a ballot reminder
shall be sent to non-responsive members. Those not returning a ballot by the
closing date shall be reported as nonresponsive.

7.2.3 After the ballot has been closed and follow-up accomplished, the
results and the explanations for the negative votes and other comments received
with the ballots shall be transmitted by the Standards Council secretary to the
chair of the committee.

7.2.4 The chair of the committee shall process the negative votes and
comments with the committee in the manner specified in 6.2.

7.2.5 If a Standards Council negative vote cannot be resolved or if the
term of the council member voting negatively ends prior to completion of the
resolution process, the unresolved negative vote shall be submitted to the council
by the council secretary. At the option of the Standards Council chair,
consideration of an unresolved negative vote may be by written letter ballot or at
a regular meeting of the council. Material supplied to the Standards Council by
the council secretary shall include the negative ballot statement of the objector, a
statement from the committee chair explaining why the negative vote has not
been resolved, and other material deemed appropriate by the council chair. The
topic for consideration under this section shall be limited to whether the original
vote of each Standards Council member shall be maintained or reversed in light
of the unresolved negative vote. The ballot may include consideration of one or
more unresolved negative votes. When a vote is taken in accordance with this
paragraph, approval of the unchanged standard in the presence of an unresolved
negative ballot shall be by two-thirds majority vote of a two-thirds majority of
Standards Council membership.

7.2.6 Standards not approved following the procedures outlined in 7.2.5
shall be processed as follows at the option of the Standards Council:
a. Returned to the originating committee for restudy.

b. Assigned to another committee.

c. Abandoned, in the case of a proposed new standard.

7.3 Final Standards Council Action
The results of the Standards Council's action shall be transmitted by the council secretary to the council and to the chair of the committee.

Section 8: Public Review

8.1 AWWA Public Review
When a committee approves or abandons a standard project, a notice shall be published in the most appropriate AWWA media to inform the AWWA membership of the action taken and to make review copies of an approved standard available at a reasonable cost. Comments and objections shall be filed in accordance with the instructions in the AWWA public review notice.

8.2 ANSI Public Review
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 ANSI public review form (currently BSR-8) in order to provide an opportunity for ANSI public comment in accordance with ANSI’s comment period. Comments and objections shall be filed in accordance with the instructions in the ANSI public review notice. All subsequent substantive changes shall undergo ANSI and AWWA public review.

8.3 Resolution of Public Review Comments
Prompt consideration shall be given to objections received during public review. The committee chair and staff shall make an effort to resolve all expressed objections and each objector shall be advised in writing of the disposition of the objection and the reasons therefor. The objector shall be given a minimum of 14 days to reply to the written disposition and will be considered resolved if a reply is not returned within the time period. Unresolved objections along with attempts at resolution shall be recirculated to the committee in the form of a letter ballot as provided in Section 6.2.5.

Section 9: AWWA Board Actions

9.1 AWWA Board Approval
Approved standards shall be submitted to the Board for action at its next meeting.
9.2 Returned Standards
Standards not approved by the Board shall be returned to the Standards Council with recommendations for revision. The Standards Council may thereupon, by formal recorded vote, either:

a. By a two-thirds majority of the total Standards Council membership, approve the standard as originally submitted to the Board and return it to the Board with a recommendation for reconsideration.

b. By a majority of the total Standards Council membership, request the committee to restudy the matter.

Section 10: Appeals Procedures

10.1 Filing of Appeals
10.1.1 An appeal of an action or inaction related to a standard may be filed with the Standards Council. An appeal may be based upon procedural due process and/or the technical content of the standard or addendum, and shall be filed together if the appeal includes both.

10.1.2 The burden of persuasion shall rest with the appellant. When the basis of an appeal is procedural, it shall be the burden of the appellant to demonstrate that proper procedures were not followed. When an appeal is based on technical content, it shall be the burden of the appellant to establish the grounds and basis of the appeal.

10.1.3 Unresolved objectors from committee and Standards Council balloting and from the public review process shall be notified of their right to appeal. Notification of the right to appeal shall occur after all public objections have been processed and after Standards Council approval of the standard.

10.1.4 Appeals shall be filed in writing with the Standards Council Secretary within 30 calendar days after written notification of the right to appeal. Appeals of inactions may be made at any time. Each appeal shall be accompanied by a filing fee. The fee may be waived or reduced by the Standards Council Chair upon sufficient evidence of hardship submitted by the appellant.

10.1.5 The appeal shall include:

a. A summary statement as to why the action should be modified.

b. A listing of the specific procedural or technical issues which are the basis of the appeal.
c. A proposed draft findings of fact to guide the Standards Council’s decision making.

d. A proposed draft summary decision for Standards Council consideration.

e. The appellant’s name, organization, and contact information including address, phone number, and email address.

f. A filing fee in the form of a cashier’s check made out to AWWA in the amount of $1,000.00 USD.

In the event an appeal is filed, the original action of the Standards Council shall be suspended pending decision on the appeal and the appellant shall be notified thereof.

10.2 Processing of Appeals

10.2.1 AWWA encourages informal settlement of appeals at any time if the settlement is consistent with the objectives of these 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. If the settlement leads to a substantive change in the standard, the change must be processed in accordance with these procedures.

10.2.2 Multiple appeals from a single organization/company may be grouped and addressed as a single consolidated appeal from that organization/company, at the discretion of the Standards Council Chair.

10.2.3 Within 15 calendar days of receipt of the appeal, the Standards Council secretary shall provide to the chair of the affected committee a copy of the appeal. The chair of the affected committee shall have the opportunity to submit a written statement on the committee’s position to the Standards Council secretary within 30 calendar days after receipt of the copy of the appeal. The written statement of the committee chair shall be shared with the appellant. An extension of the time required to submit a written statement may be granted to the committee’s chair if submitted to and approved by the Standards Council chair.

10.2.4 The Standards Council chair may appoint an ad hoc committee to review the appeal and to report to the council prior to council voting on the appeal. The ad hoc committee shall be appointed not later than 15 calendar days after receipt of the committee chair’s written statement and shall report to the Standards Council chair not later than 60 calendar days after being appointed. The ad hoc committee shall include not less than three nor more than five persons including the ad hoc committee chair who shall be a Standards Council member. In pursuing its deliberations the ad hoc committee may gather
additional information from the appellant, the standards committee chair and such other sources as deemed appropriate by the ad hoc committee.

10.2.5 The Standards Council may hear the appeal at a regular meeting or may conduct a letter ballot on the basis of the written statements of the appellant and the committee chair, the report of an ad hoc committee when available, and other appropriate materials. In the event the appeal is heard, the appellant and the committee chair shall be notified at least 15 calendar days in advance of the date set for hearing the appeal and invited to be represented at the hearing. In the event the Standards Council conducts a letter ballot on the basis of the written statements, said ballot shall be issued within 60 calendar days after the date of receipt of the appeal or within 30 calendar days after receipt of an ad hoc committee report, whichever is later.

10.3 Appeals Decision

10.3.1 The Standards Council shall decide, by a majority vote that the appeal, or any parts of the appeal, be upheld or denied. If an appeal is upheld, the issue shall be returned to the committee for consideration. In making its decision the Standards Council shall prepare a summary report in support of that decision. The appellant and the committee chair shall be notified of the decision of the Standards Council within 21 calendar days of the action by the council and a copy of a written summary report will also be provided.

10.3.2 The decision of the Standards Council shall be final. No further appeal of technical content is available within AWWA. Appellants completing the AWWA appeals process will be notified by ANSI of their right to appeal procedural issues only at the ANSI level following ANSI approval of the standard.

10.4 Conflict of Interest

Members of the Standards Council shall act at all times in a manner that promotes confidence in the integrity and impartiality of AWWA’s processes and procedures and should avoid a conflict of interest or the appearance of a conflict of interest in connection with appeal activities. A conflict of interest can arise when a member (or that member’s organization) would stand to financially benefit from the outcome of the appeal. If a party involved in the appeal asserts that it believes that a member of the Standards Council has a conflict of interest, that party is required to state the reason(s) for its belief. That information shall then be forwarded to the Standards Council member for that person’s response. If that Standards Council member disagrees with the assertion, then the Standards Council Chair shall make a final determination as to whether a conflict of interest exists. Any Standards Council Member with a conflict of interest shall not participate in the deliberations or decisions.

Section 11: Publication of Standards or Other Related Publications
11.1 Official Notice of Publication

Following approval as required by these procedures and by other sponsoring organizations, as appropriate, standards or other related publications shall be published by AWWA. Official notification of the availability of new, revised or reaffirmed standards and of withdrawal of standards shall be published in the most appropriate AWWA media for public notification.

11.2 Effective Date

The effective date of a standard shall be the first day of the month following the month of publication in accordance with 11.1 unless another date is fixed by the appropriate final approval authority. The effective date of withdrawal of a standard shall be the date of final approval action unless another date is fixed by the appropriate final approval authority.

11.3 Summary of Revisions

A summary of the revisions shall be included in a prominent place in the standard. When a standard has been reaffirmed without revision, subsequent printings shall indicate this fact.

Section 12: Additional Policies and Procedures

12.1 Parliamentary Procedures

When questions of procedures develop outside the bounds of established AWWA procedures and practices, common sense should provide adequate redirection. The AWWA bylaws indicate that “Robert’s Rules of Order” apply for parliamentary procedural questions. Basically this published volume offers a codification of rules and practices based on the mutual rights of the majority, rights of a minority, rights of individuals and rights of members absent.

12.2 Records Retention

12.2.1 AWWA will retain records for one complete standards cycle, or until the standard is revised. Records concerning withdrawals of all standards shall be retained for at least five years from the date of withdrawal or for a duration consistent with the ANSI audit schedule.

12.2.2 A record shall be kept of committee proceedings. Copies of all aspects of the record, including but not limited to correspondence, meeting minutes, drafts, ballots, ballot results, ballot comments, resolution or disposition of negative votes and ballot comments, and other related material shall be transmitted as they are developed to the designated representative of the Standards Council secretary for use and filing as appropriate at AWWA headquarters.
12.2.3 Committee progress reports should be submitted regularly, but as a minimum shall be submitted at least once a year to the Standards Council secretary for transmission to the council.

12.3 Standards Interpretation Policy
No interpretation, either oral or written, of an AWWA standard may be issued by any person in the name of AWWA. Only editions of standards and addenda officially adopted by the Board may be issued in the name of AWWA.

12.4 Metric Policy
Metrification will be consistent with the AWWA Metric Guide.

12.5 Patent Policy
AWWA adopts and will remain in compliance with the current ANSI Patent Policy.

12.6 Commercial Terms and Conditions
AWWA adopts and will remain in compliance with the ANSI Commercial Terms and Conditions Policy.

12.7 Antitrust Policy
AWWA adopts and will remain in compliance with the ANSI Antitrust Policy. The AWWA Antitrust Compliance Guide should be consulted for additional guidance.
Appendix A: Standards Council Organization and Administration
(Please Note: This Appendix is not subject to ANSI Accreditation and has not been subject to ANSI Review)

A.1 Membership

The membership of the Standards Council shall be composed as follows:

a. One Standards Council Chair, selected from current or past members of the Council and shall be a member of the Association in good standing.

b. Thirteen Members-at-Large, selected from among AWWA members working in areas of varying interest.

c. One Representative from each of the Divisions of the Technical & Educational Council.

d. One Liaison from the Manufacturers/Associates Council.

e. One Liaison from the Young Professionals Standing Committee.

f. One non-voting Staff Advisor appointed by AWWA’s chief executive office from among the AWWA staff.

The Liaison from the MAC may be a person who would be categorized as a producer member as defined in Section 3.2 of the Standards Program Operating Procedures, but without regard to any specific committee. All other Standards Council members shall be persons who would be categorized as user or general interest members as defined in Section 3.2 of the Standards Program Operating Procedures, but without regard to any specific committee.

One member may be elected as Vice-Chair to assist the Chair in council administration.

A.2 Terms of Council Members

Terms shall be as defined in the AWWA Board Policy Manual for the Chair and Members-at-Large. Terms of Representatives and Liaisons shall correspond to the member’s term on the originating volunteer unit.

A.3 Appointment of Council Members

The appointment process for Members-at-Large shall be as defined in the AWWA Board Policy Manual. Appointment of the Representatives and the Liaisons from the other volunteer units shall correspond to the procedures of the
originating volunteer unit. Liaison appointments to the Standards Council shall be presented for approval to the Standards Council Chair by the chair of the originating volunteer unit. If agreement cannot be reached on a Liaison appointment, the Presidential Officer from the most recent Standards Council Appointing Committee shall be consulted and a consensus agreed to.

A.4 Chair and Vice-Chair Election

Eligibility and terms of office for the Chair and Vice-Chair shall be as defined in the AWWA Board Policy Manual. At the last regular meeting of the council before the annual conference, in every third year, the council shall elect a chair from among self-nominated candidates. Vice-Chair elections shall occur every year. Individuals interested in becoming Chair or Vice-Chair shall notify the council staff advisor 30 days prior to the meeting at which the election will occur. Elections shall be conducted using anonymous written ballots. The elected Chair and Vice-Chair shall take office at the conclusion of the last scheduled session of the following annual conference.

A.5 Council Administration and Operation

Standards Council affairs shall be managed and supervised by its chair in accordance with the following procedures.

A.5.1 The council shall meet at least twice each year. One such meeting shall be held in the spring and the second meeting shall be held in the fall.

A.5.2 Council operations shall be conducted in accordance with these procedures. A majority of the members of the council shall constitute a quorum. Unless otherwise provided in these procedures, a majority of those present and representing a quorum shall be required to take council action.