

ANSI ASC A117

COMMITTEE PROCEDURES

A.1 GENERAL

These procedures meet the requirements for **due process** and development of consensus for approval of American National Standards as given in Sections 1 and 2 of the *ANSI Essential Requirements: Due Process requirements for American National Standards, hereafter referred to as "ANSI Essential Requirements."*

A.2 ORGANIZATION OF THE COMMITTEE

The Accredited Standards Committee (ASC) shall consist of its consensus body and secretariat. The ASC shall have a title, scope, and an interest classification system for its members. The membership shall be sufficiently diverse to ensure reasonable balance without dominance by a single interest category, individual or organization in accordance with Sections 1.2, 1.3, 2.2 and 2.3 of the ANSI Essential Requirements.

A.3 RESPONSIBILITIES

A.3.1 Consensus Body

The consensus body shall be responsible for:

- a. Proposing American National Standards within the scope of the ASC;
- b. Voting on approval of proposed American National Standards within the scope of the ASC;
- c. Maintaining the standards developed by the ASC in accordance with Section 4.7 of the ANSI Essential Requirements;
- d. Adopting ASC policy and procedures for interpretations of the standard(s) developed by the consensus body (see **A.11.3** herein);
- e. Responding to requests for interpretations of the standard(s) developed by the consensus body (see **A.11.3** herein);
- f. Adopting ASC procedures and revisions thereof;
- g. Other matters requiring consensus body action as provided in these procedures.

A.3.2 Secretariat

The secretariat shall be responsible for:

- a. Applying for ASC accreditation by ANSI and maintaining accreditation in accordance with ANSI Essential Requirements, including submission of the consensus body roster;
- b. Ensuring that all provisions of the Project Initiation Notification System form, or its equivalent, are complied with, including any deliberations that arise with this notification.
- c. Submitting a PINS form within 30 days of the consensus committee notification of the beginning of a standard development cycle. This

notification is sent by the secretariat.

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

A.4 OFFICERS

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

A.5 MEMBERSHIP

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

A.5.1 Application

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

A.5.1.1 Recommendation

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

- a. Need for active participation by each interest;
- b. Potential for dominance by a single interest category, individual or organization;

- c. Need to ensure balance among the interest categories;
- d. Extent of interest expressed by the applicant and the applicant's willingness to participate actively;
- e. The representative identified by the applicant organization, company, or government agency.
- f. Extent to which the applicant's interest is directly and materially affected by the standard.

A.5.1.2 Diverse Interests

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

A.5.1.3 Combined Interest

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

A.5.2 Review Of Membership

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

A.5.3 Individual Experts

The consensus body may select individual experts to assist it. Individual experts shall serve for a renewable term of one year and shall be subject to approval by vote of the consensus body. Individual experts shall have no vote.

A.5.4 Interest Categories

All appropriate interests that are directly and materially affected by the standards activity of the ASC shall have the opportunity for fair and equitable participation without dominance by any single interest. Each member shall propose its own interest category as appropriate and in accordance with the consensus body's established categories. (See Sections 1.2, 1.3, 2.2 and 2.3 of the ANSI Essential Requirements)

The interest categories shall be established or revised by a vote of the consensus body. The rationale for the selection of categories shall be included in the consensus body ballot and submitted to ANSI as part of the accreditation requirements. No single interest category shall have more than one-third of the membership of the consensus body.

A.5.5 Membership Roster

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

- a. Title of the ASC and its designation;
- b. Scope of the ASC;
- c. Secretariat: name of organization, name of secretary, and address(es);
- d. Officers: chair and vice-chair;
- e. Members: name of organization or agency, its representative and alternate (as applicable), addresses, and business affiliations; or name, address, and business affiliation of individual member(s);
- f. Classification of each member;
- g. Tally of classifications: total of voting members and subtotals for each interest category;
- h. For each subgroup: title, chair, and names and addresses of all members.

A.6 SUBGROUPS CREATED BY THE COMMITTEE

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

- a. The subgroup is responsible for the definitive content of one or more standards and for responding to views and objections thereon. Such subgroups shall maintain a membership roster in accordance with **A.5.5(a)** through **A.5.5(g)** and shall comply with the provisions in **A.5.4**, **A.7.1**, and **Clause A.8** as applied to voting on the standard(s); or
- b. The subgroup is responsible for assisting the consensus body (e.g. drafting all or a portion of a standard, drafting responses to comments, drafting positions on international standards, or other purely advisory functions).

A.6.1 Chairperson And Members Of Subgroups

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

A.6.2 Approval Of Standards

Draft standards and any substantive change (see Annex A of the ANSI Essential Requirements) in the content of a standard proposed by a subgroup shall be referred to the consensus body for approval.

A.7 MEETINGS

Consensus body meetings shall be held, as decided upon by the consensus body, the chair, the secretariat, or by petition of five or more members, to conduct business, such as making assignments, receiving reports of work, considering draft standards,

resolving differences among subgroups, and considering views and objections from any source. Meetings of subgroups may be held as decided upon by the members or chair of the subgroup.

A.7.1 Open Meetings

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

A.7.2 Quorum

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

A.8 VOTING

A.8.1 Vote

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

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

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

A.8.1.1 Vote Of Alternate

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

A.8.1.2 Single Vote

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

A.8.1.3 Voting Period

In general, the voting period for letter ballots shall end four weeks from the date of issue

or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chair's option, when warranted.

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

Voting on Committee Actions associated with Public Proposals and Public Comments shall be as shown in Section A.8.1.3.1 and A.8.3.1.2.

A.8.1.3.1 Voting on Public Proposals

The voting period for letter ballots on the work of the Committee relating to Public Proposals and associated Committee Action shall end four weeks from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chair's option, when warranted.

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

Any ballot on Public Proposals and related Committee Actions that receives comment from a ballotter will automatically become a Public Comment to afford additional Committee review and action.

A.8.1.3.2 Voting on Public Comments

The voting period for letter ballots on the work of the Committee relating to Public Comments and associated Committee Action shall end four weeks from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chair's option, when warranted.

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

At the close of the balloting on Public Comments, the ballot results and any comments submitted with a ballot shall be re-circulated to the Committee members in order to afford an opportunity to respond to them, or to reaffirm or change their votes within two weeks.

A.8.2 Action Requiring Approval By A Majority

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

- a. Confirmation of officers appointed by the secretariat;
- b. Formation of a subgroup, including its procedures, scope, and duties;
- c. Disbandment of subgroups;
- d. Addition of new consensus body members and designation of their interest categories;
- e. Approval of withdrawal of an existing standard.

A.8.3 Action Requiring Approval By Two-thirds Of Those Voting

The following actions require a letter ballot or an equivalent formal recorded vote with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions. All members of the committee shall be given the opportunity to vote on the standards related actions described in items a, b and c below. When votes for items a, b and c are recorded at a committee meeting, those members who are absent shall be given the opportunity to vote before or after the meeting:

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

A.8.4 Authorization Of Letter Ballots

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

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

A.8.5 Other Review

Proposals for new American National Standards or reaffirmation, revision, or withdrawal of existing American National Standards shall be transmitted to ANSI for listing in **Standards Action** for comment for the appropriate comment period as determined by the Secretariat.

The secretariat shall determine whether listing of proposed *Standards Actions* shall be concurrent with the final consensus body letter ballot and whether announcement in other suitable media is appropriate.

Views and objections resulting from the above shall be dealt with in accordance with **A.8.6**. Any substantive change (see Annex A of the ANSI Essential Requirements) made in the proposed American National Standard shall be relisted in accordance with **A.8.6**.

A.8.6 Disposition Of Views And Objections

Except as shown in Sections A.8.1.3.1 and A.8.1.3.2, when the balloting has been closed, the secretary shall forward the ballot tally to the chair of the consensus body or, if appropriate, of the subgroup; the chair shall determine whether the expressed views and objections shall be considered by correspondence or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on the listing in *Standards Action*. An effort to resolve all expressed objections shall be made, and each objector shall be advised, in writing, of the disposition of the objection and the reasons therefor and given the opportunity to withdraw or maintain their objection. In addition, each objector shall be informed that an appeals process exists within procedures used by the standards developer.

Each unresolved objection and attempt at resolution, and any substantive change made shall be reported to the consensus body members, in writing, in order to afford all members of the consensus body an opportunity to respond to them or to reaffirm or change their votes within four weeks. Members intending to change their vote shall notify the Secretariat in writing of their intention.

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

A.8.7 Report Of Final Result

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

A.9 SUBMITTAL OF STANDARD

Upon completion of the procedures for voting, disposition of views and objections, and appeals, the proposed standard shall be submitted to ANSI by the secretariat.

The information supplied to ANSI by the secretariat shall include all relevant material required by ANSI as outlined in Section 4.2.1.1 of the ANSI Essential Requirements. If the secretariat does not submit the proposal to ANSI within a reasonable period of time, any member(s) of the consensus body may make the submittal.

A.10 TERMINATION OF ASC

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

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

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

Section 4.1.4 of the ANSI Essential Requirements is also applicable to the withdrawal of the accreditation of the ASC.

A.11 COMMUNICATION AND RECORDS

Correspondence of ASC officers should be on "ASC correspondence" letterhead.

A.11.1 Formal Internal Communication

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

A.11.2 External Communication

Inquiries relating to the ASC should be directed to the secretariat, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the secretariat.

A.11.3 Requests for Interpretation Of Standards

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

A.11.4 Records

Records shall be prepared and maintained to provide evidence of compliance with this policy. Records concerning new, revised, or reaffirmed American National 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 of the standard or until the next ANSI audit, whichever is longer.

A.12 APPEALS

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

A.12.1 Complaint

The appellant shall file a written complaint with the secretariat within thirty days after the date of notification of action or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the clause(s) of these procedures or the standard that is at issue, actions or inactions that are at issue, and

the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

A.12.2 Response

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

A.12.3 Hearing

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

A.12.4 Appeals Panel

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

A.12.5 Conduct Of The Hearing

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

A.12.6 Decision

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

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

A.12.7 Further Appeal

Once the standard is submitted to ANSI, ANSI will notify any unresolved objectors who completed an appeal at the ICC of their right to appeal to ANSI.

A.13 MISCELLANEOUS POLICIES

A.13.1 Units of Measure

Dimensions and units of force shall be converted to equivalent units of the International System of Units (SI), the modernized metric system. Millimeter equivalents for dimensions three inches and larger shall be rounded to the nearest multiple of five.

A13.2 Commercial Terms and Conditions

ASC A117 agrees to comply with the ANSI Commercial Terms and Conditions policy in the ANSI Essential Requirements.

A13.3 Patent Policy

ASC A117 agrees to comply with the ANSI Patent Policy.

A.14 PARLIAMENTARY PROCEDURES

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