

IAPMO/ASSE PP-1:2022



Policies and Procedures for
**Consensus Development of
American National Standards**



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Policies and Procedures for Consensus Development of American National Standards

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IAPMO/ASSE PP-1:2022 Policies and Procedures for Consensus Development of American National Standards

0. Scope

0.1

These written operating procedures, together with the *ANSI Essential Requirements: Due Process Requirements for American National Standards* and *ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards*, sets forth the policies and procedures for the development of voluntary consensus American National Standards. These operating Procedures are maintained by the International Association of Plumbing and Mechanical Officials (IAPMO) and ASSE International Chapter of IAPMO LLC (“ASSE International”).

Note: *In this document, IAPMO consensus American National Standards are referred to as “standards”. Unless specified, “standards” applies to both IAPMO Standards and ASSE International Standards. Where “IAPMO” is referenced, it shall also apply to ASSE International.*

0.2

In these *Policies and Procedures*,

- (a) “shall” is used to express a requirement, i.e., a provision that the user is obliged to satisfy to comply with this document;
- (b) “should” is used to express a recommendation but not a requirement;
- (c) “may” is used to express an option or something permissible within the scope of this document; and
- (d) “can” is used to express a possibility or a capability.

1. General

1.1 American National Standards Developer Accreditation

IAPMO shall maintain their ANSI accreditation by being an incorporated legal entity and complying to ANSI’s procedural requirements and criteria for approval and withdrawal of American National Standards in accordance with Section 4.1 of the ANSI Essential Requirements.

1.2 Administration

These *Policies and Procedures* shall govern the activities of the International Association of Plumbing and Mechanical Officials (IAPMO) related to the development, approval, revision, reaffirmation, and withdrawal of standards.

1.3 Maintenance of Standards

Reaffirmations, revisions, or withdrawal of standards shall be completed within 5 years from their approval as American National Standards, in accordance with Section 4.7 of the *ANSI Essential Requirements* or Section 4.0 of the *ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards*. American National Standards that have not been revised or reaffirmed within 10 years from the date of their approval as American National Standards shall be withdrawn, and such action shall be announced in Standards Action.

1.4 National Adoption of ISO or IEC Standards

National adoption of ISO or IEC standards shall comply with this document and the *ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards*. An expedited development procedure shall be permitted for identical adoption to the ISO or IEC standards in accordance with the *ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards*.

1.5 Withdrawal for Cause

Withdrawal of an ANS for cause shall comply with Section 4.2.1.3.4 of the *ANSI Essential Requirements*.

1.6 Due Process

These policies and procedures apply to activities related to the development of consensus for approval, revision, reaffirmation, and withdrawal of a standard. Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has a right to participate by: a) expressing a position and its basis, b) having that position considered, and c) having the right to appeal. Due process allows for equity and fair play.

1.7 Openness

Participation shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership on the consensus body shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of any action to create, revise, reaffirm, or withdraw a standard, and the establishment of a new consensus body shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information. In addition, the member's name (or if membership is by organization, the name of the organization with a point of contact), affiliation and interest category of each member of the consensus body shall be made available to interested parties upon request.

1.8 Lack of Dominance

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

1.9 Definitions

Editorial Change: Corrections that do not alter the meaning of the standard, the test procedures, or the test criteria. Editorial corrections include, but are not limited to typographical, spelling, grammatical, section numbering and formatting errors.

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

Standards Committees: The consensus balanced committee responsible for development and maintenance of all standards.

Substantive Change: A change that directly and materially affects the use of the standard. Examples of substantive changes are: “Shall” to “should” or “should” to “shall”; Addition, deletion or revision of requirements, regardless of the number of changes; Addition of mandatory compliance with referenced standards.

Subcommittee: An ad hoc subcommittee of the Standards Committee that addresses a specific standard. Subcommittee actions shall be advisory to the appropriate Standards Committee. Subcommittees are not governed by the rules of balance or consensus as defined in these Procedures. Also known as task groups or working groups.

2. Organization of Standards Committees

2.1 Standards Committees

Standards committees (i.e., consensus bodies, as described in the *ANSI Essential Requirements*), shall

- (a) be established by IAPMO;
- (b) be responsible for developing, revising, reaffirming or withdrawing standards in accordance with these procedures;
- (c) shall include interest categories which are relevant to the scope of the committee
- (d) have a sufficiently diverse membership to ensure reasonable balance (see Section 3.4);
- (e) not be dominated by any single interest group (see Sections 3.3 and 3.4); and
- (f) attempt to achieve consensus for the action proposed on a standard.

2.2 Secretariat

IAPMO shall be the secretariat for the standards committees. The Secretariat shall:

- (a) organize the standards committees;
- (b) provide administrative support, including secretarial services;
- (c) process membership applications and notification of employment changes (see Sections 3.2 and 3.12);
- (d) determine the size of the standards committees (see Section 3.6);
- (e) maintain all records pertaining to the standards committees (see Section 3.10);
- (f) issue formal notifications (see Section 4.1);
- (g) prepare standards for public review (see Section 5);
- (h) issue and administer ballots, conduct recorded votes at meetings, and participate in the resolution and disposition of negatives and late ballots (see Section 6);
- (i) publish approved standards;

- (j) process interpretations (see Section 7);
- (k) oversee compliance with these *Policies and Procedures*, including legal review as necessary;
- (l) process appeals (see Section 8);
- (m) process revisions to these *Policies and Procedures* (see Section 11); and
- (n) perform other administrative functions as necessary.

2.3 Official Records

2.3.1 Availability

Standards committee records shall be available for ANSI audit.

2.3.2 Retention

Records related to new, revised, or reaffirmed standards shall be retained for at least one complete standards cycle (i.e., until the standard is revised, withdrawn, or reaffirmed). Records related to withdrawn standards shall be retained for at least five years from the date of withdrawal. Correspondences between ANSI and Staff, committee ballots, public announcements of new projects and public review announcements (including screenshots where appropriate) shall be retained for at least one complete standards cycle.

2.4 IAPMO Executive Standards Committee

The IAPMO Executive Standards Committee shall:

- (a) consist of the Vice President of Codes and Standards Development, Chief Administrative Officer, and the ASSE Executive Director;
- (b) revise and approve these *Policies and Procedures* (see Section 11);
- (c) approve the initiation for development of new American National Standards or revision of existing American National Standards.
- (d) address the handling of comments received in response to PINS announcements.
- (e) govern the standards committees, which includes:
 - (i) appointing standards committee officers (see Section 3.5);
 - (ii) appointing and categorizing standards committee members (see Sections 3.2 and 3.3);
 - (iii) appointing nonvoting members;
Note: *Nonvoting members may be appointed by the Executive Committee and may serve in an advisory, corresponding, or liaison capacity. Nonvoting members shall not vote on ballots.*
 - (iv) terminating the appointment of standards committee members (see Section 3.11); and
 - (v) conducting periodic reviews of the standards committee membership, considering expertise, balance, geographical representation, and individual contributions, and taking into account changes in the nature of the committee's scope and changes in the interests of its members.

2.5 Correspondence

2.5.1 Confidentiality

All standards committee correspondence shall be considered privileged and confidential and shall not be used for publication, reference or distribution other than specified in this document.

2.5.2 Standards Committee Correspondence

Official correspondence between standards committee members shall be forwarded to the Secretariat for approval and distribution. All official standards committee correspondence (e.g., meeting notices, agendas, reports and ballots) shall be distributed by the Secretariat.

2.5.3 External Correspondence

Inquiries related to the standards committees and standards shall be directed to the Secretariat. Standards committee members should advise individuals who contact them that responses to all inquiries are handled by the Secretariat.

3. Membership

3.1 General

Membership on standards committees shall be open to all stakeholders, subject to the procedures in Sections 3.2 to 3.13.

Note: *A stakeholder is an individual, group, or organization that is or will be directly and demonstrably affected by a standard.*

3.2 Applications and Appointments

3.2.1 Application

Individuals seeking membership on a standards committee shall complete an application indicating their interest in the work of the standards committee and their qualifications, willingness to participate, and affiliation(s) that might affect their classification. Applicants shall identify their interest category (see Section 3.3).

3.2.2 Process

The Secretariat shall process all applications and notify the applicants and the standards committees of the actions taken on applications and their right to appeal (see Section 8).

3.2.3 Considerations

In accepting or rejecting applicants, consideration shall be given to the following:

- (a) need for active participation by members of each interest category;
- (b) balance or imbalance of members for each interest category;
- (c) potential for dominance by members of a single interest category;
- (d) extent of interest expressed by the applicant and willingness to participate; and
- (e) qualifications and ability to materially contribute to the work of the standards committee.

3.2.4 Appointments

The Executive Standards Committee shall decide whether the applicant should be appointed as a member, except, however, that for Committees developing ASSE International Standards, appointments will be made by the ASSE International President and the Executive Standards Committee. Members of the Standards Committee shall adhere to these procedures.

3.2.5 Term

Members shall be appointed for 2-year terms and be eligible for reappointment.

3.3 Interest Categories

3.3.1 Classification

All members of standards committees shall be classified by the Executive Standards Committee,

- (a) based on the member's interest category stated on application;
- (b) based on the member's predominant interest in the activities of the committee; and
- (c) in accordance with the interest categories defined in Section 3.3.2.

3.3.2 Interest Categories

The interest categories for IAPMO and ASSE Standards shall be defined as follows:

- (a) *Manufacturer*: a representative of a maker or marketer of a product, assembly or system, or portion thereof, that is affected by the standard (e.g., manufactures of particular products and association of manufacturers).
- (b) *User*: a representative of an entity that is subject to the provisions of the standard or that voluntarily uses the standard (e.g., educator, skill-trade trainer, skill trades person and academia).
- (c) *Installer/Maintainer*: a representative of an entity that is in the business of installing or maintaining a product, assembly or system affected by the standard (e.g., contractors, subcontractor, and construction labor organization).
- (d) *Research/Standards/Testing Laboratory*: a representative of an independent research organization; an organization that develops codes, standards or other similar documents; or an independent testing laboratory (e.g., code development organizations, certification agency, testing laboratory).
- (e) *Enforcing Authority*: a representative or an agency or an organization that promulgates and/or enforces standards (e.g., regulatory agency, inspectors and enforcers).
- (f) *Consumer*: a person who is, or represents, the ultimate purchaser of a product, system, or service (e.g., end user of a product and distributor).
- (g) *General Interest*: A person or organization interested in the products or standard addressed by the Committee, who is qualified to serve on the committee, and who does not fall under the other categories (e.g., consultants, special experts, or engineers).

3.3.3 Consultants

Individuals retained as consultants under an indefinitely continuing agreement with an organization shall be classified in accordance with the category of the retaining organization.

3.4 Balance of Representation

To ensure that standards committees have balanced representation, no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards or no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards. Efforts shall be taken to engage in outreach targeted specifically to all relevant interest categories that do not have any representation on the consensus body.

3.5 Standards Committee Officers

3.5.1 Appointment

Each standards committee shall have a Chairperson and a Vice Chairperson appointed by the Executive Standards Committee, except, however, that for ASSE International Standards, Chairperson and Vice Chairperson appointments will be made by the ASSE International President and the Executive Standards Committee. The Vice-Chairperson, in the absence of the Chairperson, shall perform the duties of the Chairperson's office and shall perform other such duties as may be assigned by the Chairperson.

3.5.2 Term

Standards committee officers shall be appointed for 2-year terms and are eligible for reappointment.

3.6 Size of Standards Committees

The Secretariat shall determine the size of each standards committee (minimums and maximums) to ensure that:

- (a) interests are adequately represented;
- (b) balance of representation is maintained; and
- (c) the standards committee is able to function efficiently.

Note: *Efforts should be made to ensure that the interest categories are adequately represented.*

3.7 Participation

Participation on standards committees shall not be conditional upon membership in any organization and shall not be unreasonably restricted on the basis of technical qualifications or other such requirements. Committee members shall attend meetings and shall respond to ballots.

3.8 Alternates

Committee members may appoint standing alternates subject to the approval of the Executive Committee. The alternate's expertise shall correspond to the member's interest category. Each alternate shall represent only one voting member.

Note: *An alternate is an individual authorized to act for a member of a committee in that member's absence.*

3.9 Representation of Organizations

There shall be no more than one voting member from any given company or organization on any given standards committee.

3.10 Ongoing Maintenance and Reporting

The Secretariat shall:

- (a) maintain membership rosters documenting the classification of each member and demonstrating balance; and
- (b) review the membership rosters and recommend changes as necessary to the Executive Standards Committee [see Section 2.4(e)(v)].

3.11 Termination of Membership

The Executive Standards Committee may terminate the appointment of an individual on a standards committee for cause, including inactivity. A standards committee member shall be considered inactive for failure to:

- (a) return three successive ballots; or
- (b) attend at least one standards committee meeting in a one-year period.

3.12 Changes in Employment or Affiliation

3.12.1

Standards committee members shall notify the Secretariat of any changes in employment or affiliation affecting his or her categorization and shall submit a new application if continued membership on the standards committee is desired. The application shall be processed in accordance with Section 3.2.

3.12.2

The continued participation of a previously appointed alternate shall be reviewed at the same time as that of the member changing affiliation or employment.

3.13 Notification/Communication to Committee Members

The standards committee members and applicants for committees shall be notified of their appointments, termination, rejection of application or of any changes made to their membership status or category of interest.

3.14 Subcommittees and Working Groups

Subcommittees may be established by the Secretariat for assisting with the development of standards or portions of standards as well as providing advice.

- (a) Membership on subcommittees may include persons who are not members of the standards committees.
- (b) Balance of representation shall not be required for subcommittees (see Section 3.4).
- (c) Subcommittee chairpersons
 - (i) shall be appointed by the standards committee chairperson and/or the Secretariat; and
 - (ii) may be members of the standards committee.
- (d) Subcommittee members may be appointed by the subcommittee chairperson, with the concurrence of the Secretariat.
- (e) Subcommittees may be merged or disbanded by the Secretariat. The Secretariat may consult with the responsible standards committee for merging or disbanding of the subcommittee.

4. Standards Committee Meetings

4.1 Notification

Written notices for meetings of standards committees shall be given at least 14 days in advance of the meetings. An agenda shall be prepared by the Secretariat and distributed prior to the meeting. Documentation related to issues to be discussed at meetings shall be distributed at least 3 days before the meeting.

4.2 Guests and Observers

All meetings of standards committees shall be open and attendance by any interested party shall be welcome.

4.2.1 Observers

- (a) shall not have the right to vote;
- (b) shall be entitled to receive copies of meeting reports if requested in writing; and
- (c) should be allowed to address the standards committee at meetings; and
- (d) if Executive Session is called, observers shall not be allowed.

4.2.2 Guests

Guests are welcome at meetings and shall notify Staff, in writing, if they wish to be added as observers.

4.3 Executive Sessions

Standards committee executive sessions shall be held for considering administrative, financial, and other sensitive issues not related to the technical content of any standards or the disposition of ballots or public comments.

4.4 Quorum

More than 50% of the members of a standards committee (or their alternates) shall constitute a quorum for conducting business at a meeting. Decisions and motions shall be considered approved or carried if the affirmative votes are in accordance with Section 6.4. If a quorum is not present, decisions taken at a meeting shall not be final and shall be subject to ratification by those voting members not in attendance, by one of the following means:

- (a) the Secretariat conducting a poll following the meeting;
- (b) a ballot; or
- (c) adding the item(s) to the agenda for the next meeting and having the decision ratified at that time.

4.5 Parliamentary Procedures

On questions of parliamentary procedure, Robert's Rules of Order shall apply.

5. Notifications and Public Review

5.1 Notifications of Standards Activities

Notification of standards activities shall be done in accordance with Section 2.5 of the *ANSI Essential Requirements*.

- (a) Initiation for development of new American National Standards or revision of existing American National Standards shall be submitted to ANSI using the PINS form for listing in *Standards Action* for public comment in accordance with Section 2.5.1 of the *ANSI Essential Requirements*. A PINS form may be submitted, but is not required at the initiation of a project to reaffirm or withdraw an American National Standard. Prompt address shall be given to comments relating to conflict and duplication from the PINS announcement or public comment listing in *Standards Action*.
- (b) Proposals for new American National Standards or reaffirmation, revision, or withdrawal of existing American National Standards shall be submitted to ANSI using the ANSI BSR-8 form for listing in *Standards Action* for public comment¹ in accordance with Section 2.5.2 of the *ANSI Essential Requirements*.
- (c) If substantive changes are made to a draft standard subsequent to public review, those substantive changes shall be subjected to an additional public review, in accordance with Item (b). The Secretariat shall determine whether listing of proposed standards actions shall be concurrent with the final standards committee ballot and whether announcement in other suitable media is appropriate. Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote.
- (d) Once a standard has undergone complete due process and is ready for publication, an ANSI BSR-9 form (for approval/withdrawal of American National Standards) shall be submitted to ANSI.
- (e) All PIN, BSR-8, and BSR-9 forms will be completed correctly in a timely manner. All PINs shall be filed upon approval from the Executive Standards Committee, and BSR 9 shall be filed after the appeals deadline. All BSR-9 shall indicate if balance has been achieved in accordance with Section 3.4. All underrepresented interest categories along with attempts at targeted outreach to the underrepresented interest categories shall be reported to ANSI with the BSR-9 submission.
- (f) All standards project or portion thereof may be discontinued at IAPMO's own discretion and without vote from the relevant consensus body in accordance with Section 4.2.1.3.3 of the *ANSI Essential Requirements*. In so doing, IAPMO must notify ANSI immediately of such actions for announcement in ANSI's *Standards Action*.

¹Although a 60-day public comment period is not required in all instances, a number of provisions in the *ANSI Essential Requirements*, when read in combination, satisfy the WTO's 60-day rule. Before adopting a standard, ANSI-Accredited Standards Developers shall allow a period of at least 60 days in total for submission of comments on the draft standard if requested by an interested party within the territory of a Member of the WTO. Exceptions outlined in the rule are permitted due to issues of safety, health or environment. (See *WTO Agreement on Technical Barriers to Trade (TBT), Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards (CGP) Substantive Provision L.*)

5.2 Processing of Public Review Comments

5.2.1

All comments received during the public review period shall be considered by the standards committee and each commenter shall be notified, in writing, of the standards committee's decisions regarding the resolution and disposition of their comments. Commentors with unresolved objections will be informed in writing of their right to appeal (see Section 8). All objectors shall be advised in writing of the disposition of the objections and reasons. Unresolved public comments shall be addressed in accordance with Section 6.6.5.

5.2.2

Comments not technical in nature or not related to the matters being offered for public review shall be ruled non-germane.

5.2.3

Comments ruled non-persuasive or non-germane shall be considered resolved if, within 7 calendar days of receiving a notification, the commenter does not respond in writing indicating that he or she wishes to have the comment reported to ANSI as unresolved. IAPMO will comply with Section 5.2 in responding to public review commenters when it receives public review comments. In addition, IAPMO will not consider an objection received from public review “resolved” unless the following occurs:

- (a) The commenter receives a response letter with the appropriate language contained in Section 8.1 and does not respond by the deadline; or
- (b) The person responds in writing that they are “resolved.”

5.2.4

Comments received after the public review period has closed shall be considered in the same manner as new proposals for the next revision cycle.

5.3 Assertions of Conflict or Duplication

Assertions of conflict or duplication shall be resolved in accordance with Sections 2.5.1.2 and 2.5.1.3 of the *ANSI Essential Requirements*.

6. Voting Procedures

6.1 Ballots

Approval, revision, reaffirmation, substantive changes, interpretations, and withdrawal of standards shall be approved by ballots or recorded votes of the standards committees. The Secretariat shall issue and canvass ballots. All voting members have the obligation to vote, and votes may be cast by the members or their alternates.

6.2 Voting

Each voting member shall vote using one of the following four options:

- (a) **Affirmative:** when the technical content of the draft is acceptable as presented.
- (b) **Affirmative with comment:** when the technical content of the draft is acceptable except for editorial changes or clarifications, no substantive changes are suggested.
- (c) **Negative with reasons:** when the technical content of the draft is deemed unacceptable, in error, or incomplete. Negative votes should be supported with reasons. Whenever possible, the negative voter should include specific actions to resolve the negative and change the vote to affirmative.
- (d) **Abstain.**

6.3 Voting Period

6.3.1 Ballots

Except for recirculation ballots, the time allotted to reply to a ballot shall be at least 21 calendar days*. The time allotted to reply to a recirculation ballot shall be at least 7 calendar days. A reminder notice shall be sent out prior to the closing date. Ballots may be closed before the closing date if all the members of the consensus body cast their votes before the closing date. If at the closing date there are insufficient returns to meet the numerical criteria for approval, an extension of the voting period may be made by the Secretariat.

**The recommended voting period for ballots other than recirculation ballots is 30 calendar days.*

6.3.2 Recorded Votes

Recorded votes may be taken at standards committee meetings and shall be conducted by the Secretariat. A notice of the recorded vote shall be issued at least 21 calendar days prior to the meeting, and a copy of the standard shall be included with the notice. Decisions shall be properly documented and changes to the standard made at the meeting shall be acceptable, provided they receive the necessary affirmative votes (see Section 6.4). Members who are not able to attend a meeting where a recorded vote is going to be taken shall be given the opportunity to vote before or up to 7 days after the meeting.

6.4 Numerical Criteria for Approvals

6.4.1

To meet the numerical criteria for approval, revision, reaffirmation, and withdrawal of standards, affirmative votes cast shall constitute:

- (a) more than 50% of the total voting membership; and
- (b) at least two-thirds of the votes cast, excluding abstentions and negatives without reasons.

Note: *The minimum number of affirmative votes required for approvals is the greater of more than 1/2 of the total voting membership or 2/3 of the votes cast.*

6.4.2

Approvals, revisions, reaffirmations, and withdrawals of standards shall require, in addition to the numerical requirements of Section 6.4.1, that all negative votes with reasons be resolved in accordance with Section 6.6.

6.5 Ballot Records and Vote Changes

6.5.1

Ballot results (together with the reasons for and disposition of any negative votes) shall be properly documented and recorded in such a manner that each member's vote is identified. Ballot reports should include at least the following statistics:

- (a) number of voting members;
- (b) number of voting members voting affirmatively;
- (c) number of voting members voting negative with reasons;
- (d) number of voting members voting negative without reasons;
- (e) number of voting members abstaining; and
- (f) number of voting members not returning ballots.

6.5.2

Any requested subsequent changes in vote from a consensus body member will be made in writing for documentation and record keeping purposes; Otherwise, such requested changes will not be accepted.

6.6 Negative Votes

6.6.1

All negative votes accompanied by any comments that are related to the proposal under consideration shall be recorded and considered. This includes negative votes accompanied by comments concerning potential conflict or duplication of the proposed standard with an existing American National Standard and negative votes accompanied by comments of a procedural or philosophical nature. These types of comments shall not be dismissed due to the fact that they do not necessarily provide alternative language or a specific remedy to the negative vote. Negative votes which are not accompanied by reasons shall be recorded as “negative without reasons” and no further action shall be necessary. An attempt to resolve all negative votes with reasons shall be made and dispositioned by the standards committee chairperson and/or the Secretariat by taking one or more of the following actions:

- (a) Attempt to resolve the negative vote directly with the voter and have the negative vote changed to affirmative.

Note: *Only the negative voter can change his or her vote to affirmative.*

- (b) Rule the negative vote non-persuasive if the reasons for the vote have previously been considered and not accepted by the standards committee. Such decision shall be supported by committee records.

Note: *A negative vote that has been ruled non-persuasive shall not be counted as affirmative unless the negative voter revises his or her vote to affirmative.*

- (c) Rule the negative vote non-germane if
 - (i) it is not accompanied by supporting reasons; or
 - (ii) the supporting reasons are not relevant to the items being balloted.

Note: *Non-germane votes shall be considered as not cast for the two-thirds affirmative votes' requirement in Section 6.4.1(b).*

- (d) Refer the negative vote to the standards committee if the particular reasons for the vote have not previously been considered by the committee, if the negative vote was cast by the chairperson, or if the vote has not been dispositioned in accordance with Items (a) to (c).

6.6.2

For negative votes referred by the chairperson and/or the Secretariat, the standards committee may rule that:

- (a) The negative vote is persuasive and should be accepted. In this event,
 - (i) the change(s) to the standard shall be approved through a new ballot or a recorded vote at a meeting; and
 - (ii) with the concurrence of the voter, the vote shall be reclassified as affirmative.
- (b) The negative vote is persuasive but should be considered as future business. In this case, with the concurrence of the voter, the vote shall be reclassified as affirmative.
- (c) The negative vote is non-persuasive. The reasons for this decision shall be documented.
- (d) The standard should be put on hold for further study.

6.6.3

In all cases, the rulings and technical changes to the standards shall be confirmed by ballot or recorded vote and properly documented.

6.6.4

When a negative vote is ruled non-germane or non-persuasive, the negative voter shall be notified, in writing, of the action, supporting rationale, and the right to appeal (see Section 8).

6.6.5

Unresolved objections, attempted resolutions to negative votes, and substantive changes made in a draft standard shall be circulated to the appropriate standards committee to afford all members of that standards committee an opportunity to respond, confirm, or change their vote.

6.7 Comments Accompanying Affirmative Votes and Abstentions

Standards committees shall review comments accompanying affirmative votes and may include them on the agenda for consideration at a subsequent meeting of the standards committee or subcommittee.

6.8 Editorial Comments

Editorial comments shall be resolved by the Secretariat with the objector.

6.9 Late Votes

Ballots received after the closing date shall not be considered, unless the standards committee chairperson and/or the Secretariat decide otherwise.

7. Interpretations

7.1 Definition

An interpretation is a written clarification of the meaning of a specific provision(s) of a standard, as determined by the standards committee in response to a written request for an interpretation. Requests for interpretation shall be clear and unambiguous and phrased in such a way that a “yes” or “no” answer will address the issue. In addition, requests for interpretation should include

- (a) the edition of the standard for which the interpretation is being requested;
- (b) the definition of the problem, making reference to the specific section of the standard and, when appropriate, an illustrative sketch explaining the question; and
- (c) an explanation of circumstances surrounding the actual field conditions.

7.2 Processing Interpretations

Requests for interpretations of standards shall be submitted in writing to the Secretariat and shall be forwarded to the chairperson. The request for interpretation shall be posed as a yes or no question. Proposed interpretations may be prepared by the chairperson or another standards committee member with expertise on the particular subject. All proposed interpretations shall be prepared in writing and shall be submitted for ballot to the standards committee. Interpretations shall be approved in accordance with the criteria in Section 6.4.1.

7.3 Accepting Requests for Interpretation

Requests for interpretation shall not be accepted if the:

- (a) matter is known to be before the courts or an administrative tribunal; or
- (b) requests refer to:
 - (i) a superseded or withdrawn standard; or
 - (ii) notes or informative appendices.

7.4 Notification of Interpretations

Notification of interpretations shall be sent in writing to the requester and the standards committee and shall also be published through technical journals and other appropriate means.

8. Appeals (Dispute Resolution)

8.1 Process

Persons who have been or might be affected by any standards committee procedural action or inaction shall have the right to appeal such action. The appellant shall file a written appeal with the Secretariat within 21 days of the date of notification of any action or, at any time, with respect to any inaction to which the appellant was not given notice. The written appeal shall state:

its nature;

- (a) the procedures or the sections of the standard(s) that are at issue;
- (b) the action(s) or inaction at issue; and
- (c) the specific remedial action(s) that would satisfy the appellant’s concerns.

8.2 Response

Within 30 days of the receipt of the appeal, the Secretariat shall:

- (a) respond in writing to the appellant, addressing each topic in the appeal to the extent possible; and
- (b) attempt to resolve, informally and directly with the appellant, the appeal.

8.3 Appeals Panel

The appellant shall respond within 10 days of the notice to request a hearing with the appeals panel if not satisfied with the attempt to resolve. If the appellant does not request a hearing by the deadline given, the appeal is considered closed. If the Secretariat is unable to informally resolve the appeal, it shall appoint an appeals panel to hold a hearing on a date agreeable to all participants, with at least 15 days' notice. The appeals panel shall consist of three individuals who have not been directly involved in the dispute and who will not be materially affected by any decision made regarding the dispute. At least two members of the panel shall be acceptable to the appellant and at least two shall be acceptable to the Secretariat. If the parties cannot agree on the composition of the panel within 15 days, the Executive Standards Committee shall appoint the appeals panel.

8.4 Conduct of the Hearing

The appellant shall be responsible for demonstrating improper action(s) or inaction(s), the adverse effects derived from such action(s) or inaction(s), and the efficacy of the requested remedial action.

8.5 Decision

The appeals panel shall render its decision in writing, within 30 days, stating its findings of fact and conclusions, with reasons therefore and citing the evidence. The burden of proof to show adverse effect shall be on the appellant. The appellant shall have the responsibility of demonstrating adverse effects, improper actions or inactions, and the efficiency of the requested remedial action. IAPMO shall have the responsibility of demonstrating that actions taken were in compliance with these Procedures. The Secretariat shall notify the appellant, in writing, and the standards committee of the decision of the appeals panel, which shall be binding and final.

9. Commercial, Antitrust, Metric, and Patent Policies

9.1 Antitrust Policy

IAPMO shall comply with the current ANSI antitrust policy.

9.2 Commercial Terms and Conditions

IAPMO shall comply with the current ANSI commercial terms and conditions policy.

9.3 Patent Policy

Participants in the IAPMO ANSI standards development process are encouraged to bring patents with claims believed to be essential to the attention of IAPMO. IAPMO shall comply with the current ANSI patent policy.

9.4 Metric Policy

Standards may be developed using SI (metric) units followed by inch/pound units in parentheses. The primary units used shall be determined by the applicable standards committee and determined for each individual standard.

10. Coordination and Harmonization

10.1 Reference

Good faith efforts shall be made to resolve potential conflicts between and among existing American National Standards and candidate American National Standards.

10.2 Definition of Conflict

Conflict within the American National Standards process refers to a situation where, viewed from the perspective of a future implementer, the terms of one standard are inconsistent or incompatible with the terms of the other standard such that implementation of one standard under terms allowable under that standard would preclude proper implementation of the other standard in accordance with its terms.

10.3 Standards Committees and ANSI

Standards committees shall make a good-faith effort to resolve potential conflicts and to coordinate standardization activities intended to result in harmonized American National Standards. A “good faith” effort shall require substantial, thorough, and comprehensive efforts to harmonize a candidate and existing American National Standards, and shall include, at minimum, compliance with all relevant sections of these *Policies and Procedures*. Standards committees shall retain evidence of such efforts in order to demonstrate compliance with this requirement to the satisfaction of the appropriate ANSI body.

11. Revisions to Policies and Procedures

11.1 Proposals

Proposals to revise these *Policies and Procedures* shall be submitted to the Secretariat in writing with the supporting rationale. The Secretariat shall submit the proposed revision(s) to the standards committees for comment and, subsequently, submit the proposed revisions and comments to the Executive Standards Committee for resolution and approval.

11.2 Approval and Implementation

The revised Procedures shall be submitted to ANSI for review and approval. The Secretariat shall notify the standards committees of approved changes and revisions to these *Policies and Procedures*.

12. Copyright and Intellectual Properties Rights

IAPMO has all and full rights in copyright in any material authored, either individually or with others, by members of the Committees or Subcommittees, or which is submitted for proposed use of the Committees and Subcommittees in an IAPMO Standard, ASSE International Standard or other IAPMO publication or ASSE International publication. IAPMO reserves the right to register copyright of any material, standard or publication produced through the IAPMO or ASSE International Standards Program in its own name.