



Home Innovation
RESEARCH LABS™

Standards Development
and Maintenance Program

PROCEDURES FOR
CONSENSUS DEVELOPED
STANDARDS

April 2023

Standards Development and Maintenance Program: Procedures for Consensus Developed Standards

Approved by Home Innovation Research Labs

Executive Standards Committee

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SECTION 1 GENERAL POLICIES

1.1 Scope

These *Standards Development and Maintenance Program: Procedures for Consensus Developed Standards* (Procedures) cover the role of the Executive Standards Committee (ESC) and *consensus committees* in the process of developing and revising standards by Home Innovation Research Labs, Inc. (Home Innovation).

1.2 Purpose

The purpose of these procedures is to ensure the standards development activities of Home Innovation are conducted in a responsible and fair manner that is open to all persons who are directly and materially interested by a particular standard's activity. These procedures are designed to comply with the ANSI *Essential Requirements* for standards intended to be designated as an *American National Standard* (ANS).

1.2.1 Alternative Procedures

The Secretariat can deviate from these procedures where an alternative process is deemed more appropriate for the development of a specific standard. Such procedures shall comply with ANSI *Essential Requirements* and the responsible *consensus committee* shall be informed of the alternative procedures in advance of its implementation. Changes to these procedures shall be submitted to ANSI for approval. The alternative procedures may be implemented pending ANSI approval.

1.3 Referenced Sections

Unless specifically stated otherwise, a reference to another section or subsection within these procedures includes all subsections of the referenced section or subsection.

1.4 General Maintenance and Process

1.4.1 Procedural Revisions

Any individual or an individual representing an organization may propose revisions to these procedures. Proposed revisions to these procedures shall be submitted to the Standards Coordinator for consideration by the ESC. The proposal should be correlated with the latest edition of the ANSI *Essential Requirements*. Any potential or questionable conflicts with the ANSI *Essential Requirements* shall be identified. A change to these procedures requires a majority vote of the ESC, and approval from ANSI.

1.4.2 Contents of Standards

Any individual or an individual representing an organization may submit *proposed changes* and *comments* on a standard to the Standards Coordinator at any time. The Secretary shall submit *proposed changes* and *comments* to the Secretariat or the responsible *consensus committee* for consideration during the development of the next edition of the related standard in accordance with these procedures.

1.4.3 Method of Submittals

Proposed changes, public comments, committee membership applications, etc., shall be submitted in accordance with the specific format and instructions issued by the Secretariat. Submittals in a format other than that specified by the Secretariat will not be accepted and will be returned to the submitter with a note explaining the correct method of submittal. General questions can be submitted via email to standards@HomeInnovation.com, or by mail to Home Innovation Research Labs, 400 Prince George's Blvd., Upper Marlboro, MD (Attn.: Standards Coordinator).

1.4.4 Standards Revisions

Active standards shall be revised at intervals of five years. Shorter revision periods are allowed upon a majority vote of the ESC. Extensions not to exceed an additional five years shall be approved by a majority vote of the ESC, and in the case of an ANS, shall be subject to approval by ANSI.

1.4.4.1 Revisions

Revisions to standards shall be processed in accordance with SECTION 4, as applicable.

1.4.4.2 Continuous Maintenance

An existing standard using the Continuous Maintenance revision process shall be revised within a four-year period from the last date of approval. *Proposed changes* submitted on standards using the Continuous Maintenance revision process shall be processed in accordance with Section 4.4.2.11. The published standard shall include a clear statement of the intent to consider requests for *proposed changes* and information on the process for submitting *proposed changes*. No portion of the standard shall be excluded from the revision process. Information shall be posted on Home Innovation's that the standard is under Continuous Maintenance, that the standard is always open for *proposed changes*, and how to submit *proposed changes*.

1.4.4.3 Reaffirmations

Reaffirmations of standards shall be processed in accordance with SECTION 4, as applicable. A standard shall clearly indicate on its cover or title page that it is a reaffirmation. A standard designated as "reaffirmed" shall not contain *substantive changes* to the main text of the standard.

1.4.4.4 Update of Referenced Standards

A standard undergoing an update of a referenced standard necessary to implement the standard shall be processed as a proposed change in accordance with Section 4.4 unless the updated reference is only a reaffirmation of the same edition of the *referenced standard*.

1.4.5 Style, Designation, and Publication

Standards shall comply with the ANSI *Style Guide Sheet* for preparation of proposed ANS or as otherwise approved by the ESC. Standards shall be designated in accordance with the requirements of the ESC or, if an ANS, the requirements of ANSI. Standards shall be published within six months of the approval date by the ESC or ANSI, as applicable.

1.4.6 Editorial Changes

Editorial changes are permitted to be made by the Standards Coordinator in the preparation of publishing a standard, and the text of an *existing standard*. *Editorial changes* shall not result in a *substantive change* to the requirements of a standard. If it is found a *substantive change* is required, the *proposed change* shall be processed in accordance with SECTION 4, as applicable.

1.4.7 Formal Interpretations

Formal Interpretations shall not be provided by the Secretariat or a *consensus committee*.

1.4.7.1 Person Opinions

The Standards Coordinator, *consensus committee* Secretary, committee chair, or any committee member may express a personal opinion on the meaning or intent of a standard, provided that the person rendering the opinion, either orally or in writing, clearly states that the opinion is personal and does not necessarily represent the position of the *consensus committee* or Home Innovation and shall not be considered to be or relied upon as such.

1.4.8 Units of Measurement

Standards shall use either SI units (metric) or English Units (inch-lb). The preferred units shall be determined by the Standards Coordinator and shall reflect the best interest of the end-user. Conversions from one unit system to the other shall be provided in parenthesis following units in the text of the standards. For figures, tables, and other instances where parenthetical conversions are unsuitable, unit conversions shall be provided in an appendix or with the specific table or figure.

1.4.9 Records

1.4.9.1 Maintenance of Records

Records shall be maintained by the Standards Coordinator and filed on the premises of the Secretariat in an organized and accessible format. Records concerning a withdrawal of a standard shall be retained for at least five years from the date of withdrawal. For standards under periodic maintenance, records shall be retained for one complete standards cycle, or until the standard is revised. For standards under continuous maintenance, records shall be maintained for a period of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard, whichever is longer, or as required by ANSI.

1.4.9.2 Types of Records

Records shall include, but not be limited to:

- (a) *Consensus committee* membership applications;
- (b) *Consensus committee* rosters;
- (c) Meeting minutes;
- (d) Annual reports;
- (e) *Consensus committee* actions on the development, reaffirmation, and withdraw of a standard;
- (f) Ballots and ballot reports;
- (g) Appeals resolutions;
- (h) Announcements and notifications of standards activities; and
- (i) Correspondence as directly applicable to items (a) through (h).

1.4.10 Commercial Terms and Conditions

Except as otherwise permitted by these procedures, standards shall not include terms or conditions that are primarily contractual or commercial in nature, as opposed to technical, engineering or scientific in nature. Thus, for example, a standard shall not include contractual requirements (1.4.11.1); endorse or require the use of proprietary products or services (1.4.11.2); or endorse or require the use of particular conformity-assessment bodies, testing facilities or training organizations (1.4.11.3).

1.4.10.1 Contractual Requirements

Except as provided below, standards shall not include contractual requirements such as those relating to particular products or services, guarantees, warranties, reworks, indemnities, buybacks, price-related terms and other conditions of sale or use.

1.4.10.2 Endorsements of Proprietary Products or Services

Standards shall not endorse or require the purchase or use of proprietary products or service providers as a condition of implementing the standard. Proprietary in this context means products or services that are the property of an owner and cannot be obtained or recreated without the consent of the owner. For example, a standard may not endorse or require the purchase or use of brand-name tools or components, licenses, manufacturer lists, service provider lists or copyrighted materials. The term "copyrighted materials" is not intended to include: (a) manufacturers' instruction/safety manuals; or (b)

third-party standards, when such documents are incorporated by reference into the text of a standard for non-commercial technical, or safety-related purposes, as long as such references do not otherwise violate other provisions of the Commercial Terms and Conditions Policy (e.g., they cannot also include warranties, guarantees and like commercial clauses). However, for informational purposes, where known sources exist for products or services necessary to comply with the standard, it is permissible, but not obligatory, to identify the sources (which may include a source's name and address) in a footnote, an appendix, or reference to a website. The referenced products or services shall be reasonably available from the referenced sources, the words to the effect of "or the equivalent" shall be added to the reference, and the reference shall also expressly state that identification of products or services is not an endorsement of those products or services or their suppliers.

1.4.10.3 Conformity Assessment, Testing, and Training

In connection with standards that relate to the determination of whether products or services conform to one or more standards, the process or criteria for determining conformity may be standardized as long as the description of the process or criteria is limited to technical, engineering or scientific concerns and does not include what would otherwise be contractual or commercial terms. It is permissible for health, safety or environmental protection reasons to include a generic requirement for third-party, i.e., independent, conformity assessment, testing or training. Standards shall not dictate the use or non-use of a particular conformity-assessment body, testing facility or training organization. However, for informational purposes, where known sources exist for products or services necessary to determine compliance with the standard, it is permissible, but not obligatory, to identify the sources (which may include a source's name and address) in a footnote, an appendix, or reference to a website. The referenced products or services shall be reasonably available from the referenced sources, the words to the effect of "or the equivalent" shall be added to the reference, and the reference shall also expressly state that identification of sources is not an endorsement of those sources.

1.4.11 Patents

Home Innovation shall comply with the ANSI patent policy as stated in the *ANSI Essential Requirements*. Standards employing or addressing an essential patent claim shall be in accordance with the ANSI patent policy as stated in the *Essential Requirements*.

1.4.12 Antitrust Policy

Home Innovation shall conduct development of standards in accordance with applicable antitrust and competition laws and meetings amongst competitors as part of a standard development process shall be conducted in accordance with these laws.

1.5 Definitions

For the purpose of these procedures, the terms listed in Section 1.5 have the indicated meaning. (*Terms defined in Section 1.5 are shown in italics in these procedures.*)

1.5.1 American National Standard (ANS)

A standard that is approved by the American National Standards Institute (ANSI) as an American National Standard.

1.5.2 Ballot Comment

A *comment* associated with the vote on a formal ballot.

1.5.3 Committee Action

The action taken by a *consensus committee* on *proposed changes* and *comments*, and other matters related to the processing of a standard. The committee action may be shown as a *Formal Action*.

1.5.4 Comment

- (a) A public comment received as a result of the release of, or a change (committee comment) made by a consensus committee on, a Draft Standard, or subsequent changes made thereto.
- (b) A comment submitted with a formal ballot vote (See Ballot Comment).
- (c) A comment received in conjunction with a PINS Announcement, or other activity or matter as outlined in these procedures.

1.5.5 Committee Comment

See *Comment*.

1.5.6 Committee Proposal

See *Proposed Change*.

1.5.7 Consensus

Consensus means substantial agreement has been reached by directly and materially affected interests. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution. Specific requirements for achieving consensus for the development of a standard are contained in these procedures.

1.5.8 Consensus Committee (CC)

The group that develops the content of a standard and whose vote demonstrates evidence of *consensus* among the committee members.

1.5.9 Dominance

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 to the extent the standards development process is dominated by any single interest category, individual or organization.

1.5.10 Draft Standard

A draft of a revised standard or a new standard, or part thereof that has been approved by the *consensus committee* and is released for *public comment*. (See *Pre-Draft Standard* and *Second Draft Standard*).

1.5.11 Editorial Change

A change or correction to the requirements of a standard that does not result in a *substantive change* or change to the intent of the requirements of a standard.

1.5.12 Existing Standard

A standard that has previously achieved *consensus* and has been approved by the ESC, ANSI, or other standards developer organizations.

1.5.13 Formal Action

The *Committee Action* taken on a *proposed change* in accordance with Section 4.4.2.7, or the *Committee Action* taken on a *comment* in accordance with Section 4.4.5.7.

1.5.14 Legislative Text

Recommended changes to the text of a standard with revisions shown with strike-through text for deletions (~~strike through~~) and underlined text for additions (underline) (See *Non-Legislative Text*).

1.5.15 Non-Legislative Text

Text of a standard that includes recommended changes that are not shown in *legislative text* (See *Legislative Text*).

1.5.16 Objection

Either:

- (a) **Public Comments:** A *public comment* submitted during a public review period expressing disagreement with some or all of a proposed standard; or
- (b) **Ballot Comments:** A negative vote cast by a *voting member* of a *consensus committee*.

1.5.17 Pre-Draft Standard

A draft of a revised standard or a new standard or part thereof that has not achieved *consensus* among the committee members. A Pre-Draft Standard is used to determine *consensus* among the committee members on the revisions to an *existing standard* or the contents of a proposed new standard. *Consensus* among the committee members on a Pre-Draft Standard determines the content of a *Draft Standard*. A *Pre-Draft Standard* shall not be developed for maintenance of standards.

1.5.18 Proposed Change

A change proposed on the content of an *existing standard* or a proposed new standard either unsolicited, submitted in accordance with Section 1.4.2, 1.4.4.2, or Section 3.6.1, submitted as a result of a Call for Proposals, or a change on an *existing standard* or a proposed new standard made by a *consensus committee (committee proposal)*. Proposed changes assist the Secretariat or a *consensus committee* in developing a *Pre-Draft Standard*. Unless otherwise specified in these procedures, proposed changes are not considered comments. Proposed changes are also cited as “recommended changes” in the *ANSI Essential Requirements*. Proposed changes form the basis for the development of a *Draft Standard*.

1.5.19 Public Comment

See *Comment*.

1.5.20 Public Comments Report (PCR)

A report containing the *final committee action* on *public comments* and *committee comments*.

1.5.21 Public Proposals Report (PPR)

A report containing the action of a *consensus committee* on *proposed changes* to an *existing standard* or a new standard.

1.5.22 Referenced Standard

A standard or other document referenced in a standard that is necessary to implement the provisions of the standard.

1.5.23 Report On Reaffirmation (ROR)

A report containing the *final committee action* on the reaffirmation of a standard.

1.5.24 Resolved: Either:

- (a) **Public Comments:** A *public comment* submitted during a public review period where the *commenter* accepts the proposed resolution of his/her *comment*; or
- (b) **Ballot Comments:** A negative vote cast by a *voting member* of the *consensus committee* where the negative voter accepts the *consensus* of the committee and agrees to change his/her vote.

1.5.25 Second Draft Standard

A draft of *substantive changes* made to a previously released *Draft Standard*, or part thereof, as a result of *committee actions* on *public comments* or *committee comments*. A Second Draft Standard may consist of the entire text of a *Draft Standard* or only those sections or parts on which a *substantive change* was made. A Second Draft Standard is developed for the purpose of receiving *public comment* on those specific *substantive changes* shown in the Second Draft Standard. A Third Draft Standard, etc., may be issued when additional *substantive changes* are made on a previously released draft.

1.5.26 Substantive Change

A substantive change is one that directly and materially affects the use of the standard. Examples of substantive changes include:

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

1.5.27 Unresolved

- (a) **Public Comments and Proposed Changes:** An appeal filed in accordance with SECTION 5 in which the appellant notifies the Standards Coordinator that their *objection* was not *resolved* by the determination of the Appeals Panel, or when the submitter of a *public comment* notifies the Standards Coordinator that their *objection* was not *resolved* by the action of a *consensus committee*.
- (b) **Ballot Comments:** A negative vote submitted by a *consensus committee* member in which the member has not notified the Standards Coordinator that his or her *objection* was *resolved* through the standards development process.

1.5.28 Voting Member

A member of record of a consensus committee. If an alternate committee member is assigned, either the principal or the alternate is eligible to vote as designated by the principal member.

SECTION 2 RESPONSIBILITIES

2.1 Secretariat

The Secretariat shall be Home Innovation. The Secretariat shall be responsible for the overall administration of the standards development and maintenance program.

2.2 Executive Standards Committee

The Executive Standards Committee (ESC) shall be responsible for approval of revisions to these procedures; approval of standards activities; termination of standards activities; approval of the scope, intent, purpose, and title of a standard; approval of the scope and charge of a *consensus committee*; appointment of a Standards Coordinator; and other matters in accordance with these procedures.

2.2.1 ESC Members

The ESC shall be appointed by the President of Home Innovation, and at a minimum shall include the following four persons:

- (1) The President of Home Innovation;
- (2) A Vice President of Home Innovation;
- (3) A Staff of Home Innovation; and

(4) A staff of the National Association of Home Builders (NAHB)

2.3 Standards Coordinator

The Standards Coordinator shall be designated by the ESC. The Standards Coordinator shall be responsible for monitoring and reporting to the ESC the Consensus Committee's implementation of, and compliance with, these procedures.

2.4 Consensus Committees

Consensus committees shall be established by the ESC, and shall operate and be authorized to conduct standards development activities in accordance with these procedures.

2.5 Secretary

The Secretary shall be designated by the Standards Coordinator to assist a *consensus committee* in the processing of standards; and implementation of, and compliance with these procedures.

2.6 Appeals Panel

The Appeals Panel shall be responsible for resolution of appeals in accordance with SECTION 5. The Appeals Panel shall comprise a minimum of three members who are appointed by the ESC. The members of the Appeals Panel shall:

- (1) Not be directly involved with the matter on which the appeal is filed;
- (2) Not have a material financial or competitive interest in the outcome of the appeal; and
- (3) Not have any other conflict of interest that would impair his or her ability to make fair and impartial decisions on the appeal.

SECTION 3 ADMINISTRATION OF STANDARDS ACTIVITIES

3.1 Proposals for Standards Activities

Written proposals for standards activities may be submitted to the Standards Coordinator by any individual, organization or existing *consensus committee* at any time. The Standards Coordinator shall respond within 60 calendar days from receipt of the proposed standards activity. A change in scope, intent or purpose of a standard; change in scope or charge of an existing *consensus committee*; development of a new standard; and revisions, reaffirmations or withdrawals of an *existing standard*; are considered a proposed standards activity. The proposal shall contain the following information, as appropriate, for evaluation of the proposed standards activity:

- (a) A statement of the objectives and scope;
- (b) An assessment of need and potential impact;
- (c) Identification of any *existing standards* (international and domestic) or standards activities by other ANSI standards developers with regard to coordination and potential duplication;
- (d) The availability of existing non-standardized documents and knowledge to serve as resources;
- (e) Identification of specific interest groups or individuals that may be interested in, or are materially affected by, the proposed standards activity;
- (f) Budgetary requirements, including any costs to the Secretariat for administration, travel, meetings, and other expenses associated with the administration, maintenance, and processing of a proposed standards activity; and
- (g) Schedule for the complete standards activity, including maintenance of the activity.

3.2 Consideration of Standards Development Activities

Proposed standards activities shall be considered for approval by the ESC based on the information provided in accordance with Section 3.1.

3.2.1 Activities Requiring Approval

The following activities in the standards development process shall require approval from the ESC:

- (a) Initiation of a standards activity;
- (b) Selection and appointment of *consensus committee* members (including chairs);
- (c) Approval of standards; and
- (d) Submission of a standard to ANSI for approval as an ANS

3.2.2 Approval of Activity

Approval of a proposed standards activity shall require a two-thirds affirmative vote of the ESC. The vote shall be inclusive of all ESC members, including abstentions.

3.2.3 Documentation

The approval or disapproval of a proposed standards activity shall be documented in writing. A copy of the disposition shall be provided to the individual or entity making the proposal. The disposition shall address the ESC's determination regarding the following issues, as applicable, to the proposed standards activity:

- (a) The standards activity addresses a substantive need, is beneficial to the public, consistent with the goals and mission of Home Innovation, and feasible with available resources;
- (b) The scope of the standards activity is clearly defined;

- (c) The scope of the standards activity does not duplicate *existing standards* activities of other ANSI standards developers (unless adequately justified) and, where required, an adequate coordination mechanism with other standards activities is specified;
- (d) Adequate funds exist to complete the standards activity;
- (e) Whether the standards activity will be submitted to ANSI for approval as a new or revised ANS;
- (f) If an existing *consensus committee* or formation of a new *consensus committee* is required;
- (g) Whether mandatory or non-mandatory language is to be used; and
- (h) Adequate description of Interest Group Classifications appropriate for the specific standards activity.

3.3 Notification

The Standards Coordinator shall take reasonable steps to notify all interested or materially interested parties and persons of the standards activity, including the development of a new standard or revision or reaffirmation of an *existing standard*, and the availability of a PPR, PCR, and ROR. Reasonable notification shall include, but not be limited to:

- (a) Publication in *ANSI Standards Action*; and
- (b) www.HomeInnovation.com

3.3.1 ANSI Project Initiation Notification (PINS)

If the approved standards activity involves the development of a new ANS, or the revision (excluding Continuous Maintenance process), notifications and submissions to ANSI (Project Initiation Notification System - PINS) shall be provided as required by the *ANSI Essential Requirements*.

Note: *If a BSR-8 form would be used to initiate a public review of a standard and/or to solicit Consensus Committee members and a PINS form was submitted, the BSR-8 form should not be filed until the 30-day comment period on the PINS has elapsed.*

3.4 Coordination/Harmonization

The ESC shall make a good-faith effort to resolve potential conflicts and to coordinate standardization activities intended to result in harmonized ANS.

3.4.1 Deliberation

If written *comments* are received within 30 calendar days from the publication date of a Project Initiation Notification System (PINS) announcement in *Standards Action*, and said *comments* assert that a proposed standard duplicates or conflicts with an existing ANS or a candidate ANS that has been announced previously (or concurrently) in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 calendar days from the *comment* deadline. Such a deliberation shall be organized by the Secretariat and the commenter, and shall be concluded before the Secretariat may submit a *Draft Standard* for public review.

If the deliberation does not take place within the 90-day period and the Secretariat can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the Secretariat will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project.

While deliberation outcomes are not binding, unless binding provisions are agreed to by the secretariat, participants are encouraged to develop a consensus on whether and how the standard development project should proceed. The outcome(s) of such a deliberation shall be conveyed in writing (the

“Deliberation Report”) within 30 days after the conclusion of the deliberation by the Secretariat to the *commenter* and to the ANSI. Upon submission of the Deliberation Report, the secretariat may continue with the submission of the proposed standard for public review. Stakeholders who were involved in the PINS deliberation process may also file separate Deliberation Report(s) with ANSI and the Secretariate within 30 calendar days after conclusion of any deliberation by the BSR, if the standard is submitted to ANSI for approval.

If additional deliberations take place, they should not delay the submission of the proposed standard for public review, and an updated Deliberation Report shall be conveyed within 30 days after each deliberation. Any actions agreed upon from the deliberations shall be carried out in a reasonably timely manner, but normally should not exceed 90 days following the deliberation. Subsequently, the secretariat shall include all of the Deliberation Report(s) with the BSR-9 submittal to the ANSI Board of Standards Review (BSR) for consideration should the secretariat ultimately submit the subject standard to ANSI for approval.

The Secretariat shall retain evidence of such efforts in order to demonstrate compliance with this requirement to the satisfaction of the appropriate ANSI body.

3.5 Submittal of Comments on PINS Announcement

Comments submitted in conjunction with a PINS announcement shall be in writing to the Standards Coordinator and be submitted within the 30-day time period specified in the PINS announcement.

3.6 Response to Comments on PINS Announcement

The Standards Coordinator shall respond within 30 calendar days to *comments* submitted in conjunction with a PINS announcement other than those *comments* that assert a proposed standard duplicates or conflicts with an existing ANS or a candidate ANS as outlined in Section 3.4.1.

3.6.1 Proposed Changes

Comments submitted in conjunction with a PINS announcement that propose a change to the content of an *existing standard* or the draft of a proposed new standard are considered a *proposed change* and shall be processed in accordance with Section 4.4.2. The submitter of the *comment* shall be notified as to this process.

3.7 Terminations & Withdrawals

A standards activity or *consensus committee* may be terminated and a standard withdrawn by a majority vote of the ESC. The reason for a termination or withdrawal shall be documented and distributed to the members of the affected *consensus committee*. Reasons for termination may include, but are not limited to, budgetary or resource constraints, conflicts with other standards activities, or failure to comply with these procedures. ANSI should be notified within 30 calendar days when a vote by the ESC discontinues a standards activity or an ANS is withdrawn.

3.8 Reinstatement

Reinstatement of a standards activity or a *consensus committee* shall be in accordance with Sections 3.1 and 3.2, as applicable.

SECTION 4 CONSENSUS REQUIREMENTS

4.1 General

Standards shall be developed in accordance with SECTION 4.

4.2 Consensus Committee Organization

It shall be the responsibility of the ESC to review and approve applications, confirm an applicant's Interest Group Classification, and make appointments to *consensus committees*. The ESC will consider the qualifications of the applicant, technical expertise, previous standards development experience, reasons for interest, need for additional representation in various Interest Group Categories, *dominance* of any single interest, extent of interest represented by the applicant is already represented, and the requirement for openness and balance. Appropriate, representative user views shall be actively sought and fully considered in standards activities. When appropriate, the ESC may recommend that an individual applicant seek representation through an organization that represents the same or similar interest as the applicant. No single organization shall have more than two representatives serving as a *voting member* of a *consensus committee*. New members shall not be appointed during the balloting of a standard under which the applicant would be appointed.

4.2.1 Size

A *consensus committee* shall have a minimum of nine *voting members*. A non-voting *consensus committee* Secretary shall be appointed by the Standards Coordinator. The secretary may consider reasonable limits on Committee size to maintain administrative manageability. The secretary should consider factors such as, but not limited to; budgetary constraints, size/scope of standard activity, and or size/scope of standard.

4.2.2 Application for Membership

Consensus committee membership shall be open to all materially interested persons and organizations. Those seeking membership on a *consensus committee* shall submit a request, on an application form designated for the purpose, to the Standards Coordinator for review and approval by the ESC. If the applicant is an organization (e.g., company, association, government agency, etc.), it shall identify a Principal Representative (and Alternate Representatives, if desired). Individuals not representing an organization shall not have Alternates. All members of a *consensus committee* shall have an active email address. At a minimum, applications shall include:

- (a) Contact information (including email address);
- (b) Name of employer(s);
- (c) The entity the applicant will represent on the committee;
- (d) Proposed Interest Group Classification;
- (e) Source(s) of funding and other sources of revenue for participation on the committee, including clients;
- (f) Any potential conflicts of interest;
- (g) Assurance of active participation on the committee; and
- (h) A description of the person's background, experience, and qualifications.

4.2.2.1 Change in Status

At any time during the application process or as a member of a *consensus committee*, it shall be the responsibility of the applicant or *consensus committee* member to notify the Standards Coordinator of any changes in a member's application information, or change in status that may affect the member's

Interest Group Classification or representation on a *consensus committee*. The ESC may require annual confirmation of a *consensus committee* member's application information.

4.2.3 Interest Group Classification

The Interest Group Classification of *consensus committee* members shall be approved by the ESC. Interest Group Classifications shall be defined, cover all materially interested parties, and differentiate each classification from the other classifications. Such definitions shall be made available upon request. In defining the Interest Group Classification appropriate to a standard's activity, consideration shall be given to at least the following basic Interest Group Classifications:

- (a) Producer Interest;
- (b) User Interest; or
- (c) General Interest.

4.2.3.1 Interest Categories

The following Interest Categories define the basic Interest Group Classifications. Applicants representing entities that can be classified in more than one Interest Group Category, one of which is a Producer Interest, are assigned to the Producer Interest Category. Individuals representing entities that can be classified in the General Interest and User Interest Categories are assigned to the User Interest Category.

- (a) **Producer Interest (P):** Individuals assigned to the Producer Interest Category are those who represent the interests of an entity, including an association of such entities, which produces, installs or maintains a product, assembly or system subject to the provisions within the scope of the *consensus committee*. These entities include Distributor, Labor, Manufacturer, Material Association, Standards Promulgator, Testing Laboratory, and Utility.
- (b) **User Interest (U):** Individuals assigned to the User Interest Category are those who represent the interests of an entity, including an association of such entities, which is subject to the provisions or voluntarily utilize the provisions within the scope of the *consensus committee*. These entities include Builder, Contractor, Consultant, Applied Research Laboratory, Building Owner, Design Professional, Insurance Company, Private Inspection Agency, and Product Certification/Evaluation Agency.
- (c) **General Interest (G):** Individuals assigned to the General Interest Category are those who represent the interests of an entity, including an association of such entities, representing the general public or entities which promulgate or enforce the provisions within the scope of the *consensus committee*. These entities include Academia, Consumers, and Government Agencies.

4.2.3.2 Non-Voting Individual Experts

Members in this category are individual experts appointed to assist the *consensus committee*.

4.2.3.3 Other Interest Group Classifications

Depending on the scope and end-use of the standard, classifications within these Interest Group Classifications may be altered or additional subcategories may be created for the purpose of maintaining fair representation and balance, while preventing dominance of any single Interest Group Classification.

4.2.3.4 Staff Participation

A maximum of one staff of Home Innovation and a maximum of one staff of NAHB may participate as members of a *consensus committee* subject to the same requirements for membership as any other person.

4.2.4 Balance Criteria

The following criteria shall apply to the *voting members* for balance of Interest Categories on a *consensus committee*:

- (a) the goal is that no single Interest Category constitutes more than one-third of the voting membership of a *consensus committee* dealing with safety-related standards; and
- (b) no single Interest Category shall constitute a majority of the voting membership of a *consensus committee* dealing with other than safety-related standards

4.2.5 Term of Membership

The term of a member of a *consensus committee* shall be four years or for the development cycle of the standard, whichever is less. Membership renewals shall be approved by the ESC.

4.2.6 Termination of Membership

An individual's membership may be terminated for cause by a majority vote of the ESC. A membership may be terminated due to inactivity as determined by failure to return two consecutive ballots or failure to attend two *consecutive consensus* committees meetings, failure to maintain an active email address in accordance with Section 4.2.2.1, failure to notify the Standards Coordinator of a change in application information required by Section 4.2.2, or change in employment that causes non-conformity in the *consensus committee's* balance in accordance with Section 4.2.4.

4.2.7 Officers

Each *consensus committee* shall have a chair and vice chair appointed by a majority vote of the ESC. The term of officers shall be four years or for the development cycle of the standard, whichever is less. Reappointment shall be permitted.

4.2.8 Task Groups

Task Groups may be created by the chair for the purpose of performing tasks in support of the *consensus committee*, including developing or revising specific portions of a standard, researching specific issues, and making recommendations to the *consensus committee*. Persons serving on a Task Group need not be Members of the *consensus committee*. Task Groups shall not be bound to the procedural requirements for organization or operation as required for a *consensus committee*. Task Groups shall be a consultative resource to the *consensus committee* and shall not have authority to perform the functions of a *consensus committee*. The work product of Task Groups shall be limited to forming recommendations and reporting findings to the *consensus committee*.

4.2.9 Availability of Consensus Committee Roster

The affiliation and Interest Group Classification of each member of the *consensus committee* shall be made available to interested parties upon request.

4.3 Consensus Committee Operation

4.3.1 Meetings

Meetings of a *consensus committee* shall be conducted by the chair, vice chair or their appointed representative in the absence of both. Parliamentary procedure shall follow *Robert's Rules of Order* where not covered in these procedures. Meetings shall be open to the public (visitors). Visitors shall be permitted to address the *consensus committee* and have access to materials distributed to the *consensus committee* that are related to the development of a standard. The chair shall have the authority to adjust the time for addressing the committee as necessary in order to complete the meeting agenda.

4.3.1.1 Frequency and Location of Meetings

Meeting frequency and location shall be dictated by the activity, budget, and operating needs of the *consensus committee*. At each meeting, a location and date of the next meeting shall be discussed, as needed, to effectively conduct the business of the *consensus committee*. The chair may request that the Secretary schedule a meeting of the *consensus committee* when a meeting other than that scheduled at a previous meeting is required.

4.3.1.2 Notification

A minimum of 15 calendar day notice shall be given prior to a meeting of a *consensus committee*. Notification shall include a tentative meeting agenda. Exceptions to these notification requirements may be granted by the ESC for reasonable cause.

4.3.1.3 Quorum

There is no quorum requirement for meetings of a *consensus committee*.

4.3.1.4 Recording of Meetings

Meetings shall not be recorded verbatim by any means unless authorized by the Secretariat. If the request is approved, the Secretariat will make the recording. Costs associated with the recording are to be paid by the requestor. The original recording will remain the property of the Secretariat.

4.4 Processing of Standards

4.4.1 General

The activities for developing standards shall comply with Section 4.4.

4.4.1.1 Development of Consensus

Though included in these procedures in Section 4.4.2, the assembly of a *Pre-Draft Standard* as outlined in Section 4.4.3 is not considered a function requiring *consensus*. A *Pre-Draft Standard* can be developed without input from a *consensus committee*. Except for *proposed changes* submitted on standards developed under the Continuous Maintenance revision process in accordance with Section 1.4.4.2 no direct response is required from the Secretariat or *consensus committee* on *proposed changes* submitted on the development of revisions to an *existing standard* or the first edition of a new standard. The release of a *Draft Standard* in accordance with Section 4.4.4.5 or *Public Proposals Report* in accordance with Section 4.4.2.10 or 4.4.2.12 is considered notification to a submitter of a *proposed change* as to the action on the *proposed change*. For *proposed changes* to a standard undergoing maintenance, the release of a PCR in accordance with Section 4.4.2.12 is considered notification to a submitter of a *proposed change* as to the action on the *proposed change*. The approval of a *Draft Standard* by a *consensus committee*, and the consideration of *public comments* submitted on a *Draft Standard*, and subsequent changes thereto, are considered a function requiring *consensus* and shall be processed in accordance with these procedures, as applicable.

4.4.1.2 Scope, Intent, and Purpose of Standards

The scope, intent, and purpose of a standard shall be written by the Standards Coordinator and approved by the ESC. For an ANS, the scope of a standard shall reflect the wording and intent of the “Scope Summary” submitted with the ANSI PINS Form for the standard.

4.4.1.2.1 Public Comments on Scope of a Standard

The scope of a standard is open to formal *public comment* only during a period of 30 calendar days from the date of publication associated with notification in accordance with Section 3.3, or the PINS announcement in *Standards Action*, as required by the ANSI *Essential Requirements*, related to the affected standard. *Comments* received on the scope of a standard outside this 30-day period are considered a proposed standards activity and shall be submitted and processed in accordance with SECTION 3, as applicable.

4.4.1.2.2 Public Comments on Intent and Purpose of a Standard

Comments on the intent or purpose of a standard shall be considered a proposed standards activity and shall be submitted and processed in accordance with SECTION 3, as applicable.

4.4.1.2.3 Consensus Committee Action

A *consensus committee* cannot change the scope, intent or purpose of a standard. A *consensus committee* may request of the ESC changes to, or clarification on, the scope, intent or purpose of a standard. The ESC shall respond to the *consensus committee* within 30 calendar days after receiving such request.

4.4.1.3 Title of a Standard

The title of a standard shall be written by the Standards Coordinator and approved by the ESC. A *consensus committee* cannot change the title of a standard. A *consensus committee* may request of the ESC changes to, or clarification on, the title of a standard. The ESC shall respond to the *consensus committee* within 30 calendar days after receiving such request.

4.4.2 Proposed Changes

4.4.2.1 General

Proposed changes (Proposals) on an *existing standard* or proposed new standard, either unsolicited, submitted in accordance with Section 1.4.2, submitted in accordance with Section 3.6.1, or submitted as a result of a Call for Proposals in accordance with Section 4.4.2.3, shall be processed in accordance with Section 4.4.2.

4.4.2.2 Purpose

The consideration of *proposed changes* is the first of two formal phases for public participation in the development of revisions to an *existing standard* or the first edition of a new standard. The second is the public comment phase. The processing and consideration of *proposed changes* are for the purpose of assisting the Secretariat or a *consensus committee* in developing a *Pre-Draft Standard* in accordance with Section 4.4.3 or a Draft Standard in accordance with Section 4.4.4.

4.4.2.3 Call for Proposals

The Standards Coordinator may issue a Call for Proposals on an *existing standard* or the draft of a proposed new standard. A Due Date for the receipt of *proposed changes* shall be included with the Call. Any individual or an individual representing an organization, or the *consensus committee* (CC) responsible for the Document, may submit a *proposed change*.

4.4.2.4 Basis of Proposed Change

Proposed changes shall be based on the criteria as shown in a notification in accordance with Section 3.3, the PINS announcement in accordance with Section 3.3.1, or the Call for Proposals in accordance with Section 4.4.2.3, as applicable.

4.4.2.5 Submittal of Proposed Changes

Separate *proposed changes* shall be submitted on a specific section or part of an *existing standard* or the draft of a proposed new standard. *Proposed changes* that are duplicative for other sections shall be submitted separately from *proposed changes* on other sections. A notation on other sections that are duplicative of the *proposed change* or other sections that are affected by the *proposed change* shall be included as required by (g) below. *Proposed changes* shall be submitted in a format as required by the Standards Coordinator and, at a minimum, shall include the following:

- (a) Name of the individual submitting the *proposed change* and their affiliation (e.g., CC, organization, company), where appropriate;
- (b) The entity being represented on the *proposed change* (if different than the individual submitting the *proposed change*);
- (c) Identification (title and/or number) and the edition (year) of an *existing standard* or proposed new standard;
- (d) The specific section or part of the standard to which the *proposed change* applies;
- (e) Changes proposed to the text of the standard, including the wording to be added, revised or deleted, shall be shown in *legislative text* (~~strikethrough~~ and underline). Changes shall not be submitted in “track changes” format;
- (f) A statement of reason for the *proposed change*;
- (g) A notation on duplicative *proposed changes* for other sections, and other sections affected by the *proposed change*;
- (h) Signature of the submitter or other means of authentication approved by the Standards Coordinator;

- (i) A copyright release on the submitted materials; and
- (j) Two copies of any document(s) being proposed as a *referenced standard* or document.

4.4.2.5.1 Late Submittals

A *proposed change* received after the Due Date included in the Call for Proposals and prior to the publication of the related standard shall be returned to the submitter. The submitter shall be informed as to the reason for the return, informed of the *public comment* phase of development, and instructed that they may, if so desired, submit the *proposed change* after the next edition of the related standard has been published.

4.4.2.5.2 Withdrawal of Proposed Change

A *proposed change* may be withdrawn by the individual submitting the *proposed change* at any time up to consideration by a *consensus committee*.

4.4.2.5.2.1 Reporting

A *proposed change* that has been withdrawn in accordance with Section 4.4.2.5.2 shall be reported as Withdrawn. If the *proposed change* is withdrawn prior to being published to the committee or public, no further action is required. If the *proposed change* is withdrawn after being published, it shall be included in the *Public Proposals Report* (PPR), if so published, and be reported as “Withdrawn.”

4.4.2.6 Processing of Proposed Changes

The Secretary shall submit *proposed changes* to the Secretariat or the responsible *consensus committee* for consideration in revising an *existing standard* or developing a proposed new standard. When a number of *proposed changes* are received, all with the same recommendation and with similar reason, the Secretary may combine these *proposed changes* into a single or several *proposed changes* with multiple submitters. The statement of the problem and the reason for the proposed change shall be a general summary of the submitted material that is prepared by the Secretary.

4.4.2.6.1 Consideration by the Secretariat

Where the *proposed changes* are to be considered by the Secretariat, the *proposed changes* are not required to be submitted to a *consensus committee* or made available to the public. No response or reporting to the public or to the submitter of a *proposed change* on the actions taken by the Secretariat is required, except as otherwise required by these procedures.

4.4.2.6.2 Consideration by a Consensus Committee

Where the *proposed changes* are to be considered by a *consensus committee*, the proposed changes should be submitted to the *consensus committee* and made available to the public a minimum of 30 calendar days prior to consideration by the *consensus committee*.

4.4.2.7 Consensus Committee Action on Proposed Changes

Where the *proposed changes* are considered by a *consensus committee*, the consensus committee can either consider a *proposed change* without providing a response to the submitter, except as otherwise required by these procedures, or can take *Formal Action*. The determination on which method is used shall be made by the Standards Coordinator, with input from the *consensus committee* chair. When taken, *Formal Action* shall be recorded using one of the following positions. *Formal Actions* of Accept as Modified or Disapprove shall include a statement (reason), preferably technical in nature, on the reason for the *Formal Action*.

	ACTION	DESCRIPTION OF POSITION
(a)	Accept	(Accept the proposed change as submitted)
(b)	Accept as Modified	(Accept the proposed change as modified by the <i>consensus committee</i>)
(c)	Disapprove	(Disapprove the proposed change)

4.4.2.7.1 Other Actions

In addition to the *Formal Actions* outlined in Section 4.4.2.7, the following Other Action can be assigned to a *proposed change*. These Other Actions shall be grouped together, considered by the *consensus committee* separate from the consideration on the *proposed changes* on which *Formal Action* is taken, and a determination made that the Other Action is acceptable.

- (a) **Editorial Change.** Those *proposed changes* that are editorial in nature shall be reviewed by the Secretary. The Secretary shall report those *proposed changes* that appear to be an *editorial change* to the *consensus committee* for their consideration. No *Formal Action* is required by the *consensus committee* on those *proposed changes* determined to be an *editorial change*. The Secretary shall communicate to the submitter of the proposed *editorial change*, either directly or published in the PPR, the determination of the *consensus committee*. The Secretary shall incorporate the proposed *editorial change* into the standard as applicable.
- (b) **Non-Responsive.** Those *proposed changes* that do not apply to the standard, and those that are general in nature and do not propose any action that can be taken by a *consensus committee* can be classified as Non-Responsive. The Secretary shall report those *proposed changes* that appear to be Non-Responsive to the *consensus committee* for their consideration. No *Formal Action* is required by the *consensus committee* on those *proposed changes* determined to be Non-Responsive. The Secretary shall communicate to the submitter of the Non-Responsive *proposed change*, either directly or published in the PPR, the determination of the *consensus committee*.
- (c) **Non-Conforming.** A *proposed change* that is not in conformance with Section 4.4.2.4, or does not include all of the required information listed in Section 4.4.2.5 (a) through (j) may be classified as Non-Conforming. The Secretary shall report those *proposed changes* that are Non-Conforming to the *consensus committee* for their consideration. No *Formal Action* is required by the *consensus committee* on those *proposed changes* determined to be Non-Conforming. The Secretary shall communicate the determination of the *consensus committee* directly to the submitter of the Non-Conforming *proposed change*.

4.4.2.8 Changes Made by a Consensus Committee

Changes made by a *consensus committee* in the development of a *Pre-Draft Standard* and subsequent *Draft Standard* are not required to be separately identified. If the changes made by a *consensus committee* are identified, they shall be identified as a *committee proposal*. The determination on which method is used shall be made by the Standards Coordinator, with input from the *consensus committee* chair.

4.4.2.9 Initial Formal Action of Proposed Changes

The *consensus committee's Formal Action* on a *proposed change* shall be in accordance with Section 4.4.9.6.2.

4.4.2.10 Reporting of Committee Action on Proposed Changes

When the *consensus committee* takes no *Formal Action* on a *proposed change*, no reporting is required. When the *consensus committee* takes *Formal Action* on a *proposed change*, the *Formal Actions* shall be reported and released to the public as the *Public Proposals Report* (PPR). The reported *Formal Action* shall be determined in accordance with Section 4.4.3.6. The PPR shall be released concurrently with the release of a *Draft Standard* for *public comment* in accordance with Section 4.4.4.4.

4.4.2.10.1 Contents of PPR

At a minimum, a PPR shall contain the following information:

- (a) The roster of the *consensus committee* at the time of acceptance of the *proposed changes* and the Interest Category Classification for each member shall be indicated;
- (b) The availability of a *Draft Standard* related to the PPR;
- (c) A Call for Public Comment on the *Draft Standard*;
- (d) The due date for the receipt of *public comments*;
- (e) All *proposed changes* received in accordance with Section 4.4.2.1, or in conjunction with the Call outlined in Sections 4.4.2.3 that are in conformance with Sections 4.4.2.4 and 4.4.2.5; and
- (f) The following information on each separate *proposed change*:
 - (1) The name of the submitter of the *proposed change*;
 - (2) The entity represented;
 - (3) The text of the *proposed change*;
 - (4) The *Formal Action* taken by the *consensus committee*; and
 - (5) Any *consensus committee* statement on the *Formal Action*.

4.4.2.11 Continuous Maintenance

In addition to the requirements of Section 4.4.2, *proposed changes* submitted on standards developed under the Continuous Maintenance revision process in accordance with Section 1.4.4.2 shall comply with Section 4.4.2.11. The processing and consideration of *proposed changes* submitted in accordance with Sections 1.4.4.2 and 4.4.2.11 are for the purpose of achieving *consensus* on the *proposed change*, and is considered an effort and attempt to resolve all expressed objections contained in the *proposed change*.

4.4.2.11.1 Formal Action

Consensus Committee shall take *Formal Action* on each *proposed change* in accordance with Section 4.4.2.7.

4.4.2.11.2 Consensus on Proposed Changes

The *consensus committee* shall be balloted on the *Formal Actions* taken on each separate *proposed change* in accordance with Section 4.4.9.6.3.

4.4.2.11.2.1 Processing of Ballot Comments

All unresolved objections from the consensus committee received on the voting on the *Formal Actions* in accordance with Section 4.4.2.11.2 along with the attempts at resolution shall be recirculated to the *voting members* of the *consensus committee* for a minimum of ten calendar days in order to afford the *voting members* of the *consensus committee* an opportunity to respond, reaffirm or change their vote.

4.4.2.11.3 Reporting of Formal Action

The *Formal Action* determined in accordance with Section 4.4.2.11.1 shall be reported in a PPR. In addition to the information required by Section 4.4.2.10.1 the following shall be included in the PPR, continuing from Section 4.4.2.10.1(f)(5):

- (a) Number of consensus committee members eligible to vote;
- (b) Number voting in the affirmative;
- (c) Identification of negative voters and stated reasons for each negative vote;
- (d) Identification of those who have abstained, and reasons for each abstention;
- (e) Identification of those who have not returned ballots; and
- (f) A notice of the right to appeal as outlined in Section 4.4.2.12.

4.4.2.12 Notification of Committee Action

The release of a PPR is considered notification to a submitter of a *proposed change* or a related *ballot comment* as to the *committee action* on the *proposed change*. The PPR shall contain a notice that any *objection* contained in a *proposed change* is considered *resolved* unless a *public comment* is submitted in accordance with Section 4.4.5 or an appeal is filed. The PPR shall contain a notice of the right to appeal, the requirements for filing an appeal in accordance with Section 4.4.10 and SECTION 5, and indicate the date by which an appeal shall be filed.

4.4.2.13 Substantive Changes

Substantive changes made by a *consensus committee* during the consideration of *proposed changes* shall be published in a *Draft Standard* in accordance with Section 4.4.4.1, and released for *public comment* in accordance with Section 4.4.5.1.

4.4.3 Pre-Draft Standards

4.4.3.1 General

Pre-Draft Standards shall comply with Section 4.4.3.

4.4.3.2 Purpose

Pre-Draft Standards are developed for the purpose of approving the *proposed changes* developed by the Secretariat or a *consensus committee* for revising an *existing standard* or developing a new standard in accordance with Section 4.2.2. *Consensus* among the committee members on a *Pre-Draft Standard* determines the content of a *Draft Standard* in accordance with Section 4.4.4.

4.4.3.2.1 Continuous Maintenance

A *Pre-Draft Standard* shall not be developed for standards developed under the Continuous Maintenance revision process in accordance with Sections 1.4.4.2 and 4.4.2.11. The *Committee Action* on the *Formal Action* on each separate *proposed change*, as published in a PPR in accordance with Section 4.4.2.11.3, determines the content of a *Draft Standard* in accordance with Section 4.4.4.1.

4.4.3.3 Assembly of Pre-Draft Standard

The Secretary shall assemble a *Pre-Draft Standard* incorporating the changes that were developed by the Secretariat or accepted in accordance with Section 4.4.2.9. The *Pre-Draft Standard* on an *existing standard* shall be produced in both a *legislative text* version showing all of the approved changes, and a *non-legislative text* version. The version for a *Pre-Draft Standard* of a new standard shall be produced in *non-legislative text*. At the discretion of the Standards Coordinator, the *Pre-Draft Standard* can be the whole document, or only those sections or parts on which *substantive changes* were made.

4.4.3.4 Processing of a Pre-Draft Standard

A *Pre-Draft Standard* shall be recirculated to the *voting members* of the *consensus committee* for a minimum of 15 calendar days for review and *ballot comment*. *Ballot comments* shall be on *substantive change(s)* to a specific section of a *Pre-Draft Standard* in accordance with Section 4.4.3.4.1. *Ballot comments* shall cite in detail the reason for the *ballot comment*.

4.4.3.4.1 Basis of Ballot Comment

Ballot comments shall be based on the following criteria, as applicable.

- (a) **New Standards:** The entire content of the *Pre-Draft Standard* for a new standard is open for *ballot comment*.
- (b) **Existing Standards:** Only those specific *substantive changes* shown in a *Pre-Draft Standard* developed on an existing standard are open to *Ballot Comment*.

4.4.3.4.2 Previously Approved Standards

Those sections and parts of an *existing standard* that were not changed during the *proposed changes* phase are considered reaffirmed by the *consensus committee*, are not subject to processing or *ballot comment* in accordance with Section 4.4.3.4, and shall be included in a *Draft Standard* without further consideration.

4.4.3.5 Consensus on a Pre-Draft Standard

Consensus among the committee members on the content of a *Pre-Draft Standard* shall be in accordance with Section 4.4.9.6.4.

4.4.3.5.1 Processing of Ballot Comments

All unresolved objections from the consensus committee received on the recirculation of a *Pre-Draft Standard* in accordance with Section 4.4.3.4 along with the attempts as resolution shall be recirculated to the *voting members* of the *consensus committee* for a minimum of ten calendar days in order to afford the *voting members* of the *consensus committee* an opportunity to respond, reaffirm or change their *ballot comments*.

4.4.3.6 Reporting of Formal Actions

Where *Formal Action* is taken on a *proposed change* the *consensus* determined in accordance with Section 4.4.3.5 shall be reported in accordance with Section 4.4.2.10. Where a *proposed change* fails to achieve *consensus* in accordance with Section 4.4.3.5, the *Formal Action* related to that *proposed change* shall be reported as “Disapprove.” Where only a part of a *proposed change* achieves *consensus* in accordance with Section 4.4.3.5, the *Formal Action* shall be reported as “Accept as Modified,” the part that achieved *consensus* shall be identified, and a note to this effect shall be included in the PPR.

4.4.4 Draft Standards

4.4.4.1 General

Draft Standards shall comply with Section 4.4.4.

4.4.4.2 Purpose

Draft Standards are developed for the purpose of receiving *public comment* on revisions to an *existing standard* or the development of a new standard in accordance with Section 4.4.5.

4.4.4.3 Assembly of a Draft Standard

If the *substantive changes* that have achieved *consensus* among the committee members in accordance with Section 4.4.2.11.2 or 4.4.3.5 can be published in *Standards Action*, a separate *Draft Standard* is not required. If so developed, the Secretary shall assemble a *Draft Standard* incorporating the changes that achieved *consensus* in accordance with Section 4.4.2.11.2, or of a *Pre-Draft Standard* that achieved *consensus* in accordance with Section 4.4.3.5. A *Draft Standard* based on an *existing standard* shall be produced in both a *legislative text* version showing all of the approved changes, and a *non-legislative text* version. The version for a *Draft Standard* of a new standard shall be produced in *non-legislative text*. At the discretion of the Standards Coordinator, the *Draft Standard* can be the whole document, or only those sections or parts on which *substantive changes* were made.

4.4.4.3.1 Foreword

The *Draft Standard* shall contain a foreword that explains the sections or parts, or the *Draft Standard* as a whole (Basis of Comment) that is open to *public comment* in accordance with Section 4.4.5.4.

4.4.4.4 Release of Draft Standards

The *Draft Standard* shall be released concurrently with the release of a PPR, if so published, as outlined in Section 4.4.2.10. In conjunction with the release, the Standards Coordinator shall issue a Call for Public Comment in accordance with Section 4.4.5.3. *Draft Standards* shall be released for receiving *public comment* using one of the following methods:

- (a) A minimum of 30 days if the full text of the revision(s) can be published in *Standards Action*;
- (b) A minimum of 45 days if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or
- (c) A minimum of 60 days, if neither of the aforementioned options is applicable.

4.4.4.5 Notification of Committee Action

The release of a *Draft Standard*, and associated PPR if so published, is considered notification to a submitter of a *proposed change* as to the committee action on the *proposed change*.

4.4.5 Public Comments

4.4.5.1 General

Public comments (Comments) received on the release of a *Draft Standard* shall be processed in accordance with Section 4.4.5.

4.4.5.2 Purpose

The consideration of *public comments* is the second of two formal phases for public participation in the development of revisions to an *existing standard* or the first edition of a new standard. The first is the *proposed changes* phase in accordance with Section 4.4.2. The processing and consideration of *public comments* submitted on a *Draft Standard*, in accordance with Section 4.4.4, are for the purpose of achieving *consensus* on the content of the next edition of an *existing standard* or the first edition of a new standard, and is considered an effort and attempt to resolve all expressed objections in the development of a standard.

4.4.5.3 Call for Public Comment

The Standards Coordinator shall issue a Call for Public Comment on the changes shown in a *Draft Standard*. The Call shall be issued in conjunction with the release of a *Draft Standard* in accordance with Section 4.4.4.4. A Due Date for the receipt of *public comments* shall be included with the Call. Any individual or an individual representing an organization or the *consensus committee* (CC) responsible for the Standard, may submit a *public comment*.

4.4.5.4 Basis of Comment

Public comments shall be based on the following criteria as applicable:

- (a) **New Standards:** The entire content of the first *Draft Standard* for a new standard is open for *public comment*. Subsequent *Draft Standards* based on a previously released *Draft Standard* that has been afforded *public comment* and consideration of those comments by a *consensus committee* are open only for *public comment* on changes to the previous *Draft Standard*.
- (b) **Existing Standards:** *Draft Standards* based on an *existing standard* are only open to *public comment* on those specific changes shown in a *Draft Standard* or sections of the *Draft Standard* that are directly impacted by these changes.

4.4.5.5 Submittal of Public Comments

Separate *public comments* shall be submitted on a revision to a specific section or part as shown in the *Draft Standard*. *Public comments* that are duplicative for other sections shall be submitted separately from *public comments* on other sections. A notation on other sections that are duplicative of the *public comment* or other sections that are affected by the *public comment* shall be included as required by (g) below. *Public comments* shall be submitted in a format as required by the Standards Coordinator and, at a minimum, shall include the following:

- (a) Name of the individual submitting the *public comment* and their affiliation (e.g., CC, organization, company), where appropriate;
- (b) The entity being represented on the *public comment* (if different than the individual submitting the comment);
- (c) Identification (title and/or number) of the *Draft Standard*;
- (d) The specific section or part of the *Draft Standard* to which the *public comment* applies;
- (e) Changes proposed to the text of the *Draft Standard*, including the wording to be added, revised or deleted, shall be shown in *legislative text* (~~strikethrough~~ and underline) — changes shall not be submitted in “track changes” format;

- (f) A statement of reason for the *public comment*;
- (g) A notation on duplicative *public comments* for other sections, and other sections affected by the *public comment*;
- (h) Signature of the submitter or other means of authentication approved by the
- (i) Standards Coordinator;
- (j) A copyright release on the submitted materials; and
- (k) Two copies of any document(s) being proposed as a *referenced standard* or document.

4.4.5.5.1 Late Submittals

A *public comment* received after the Due Date included in the Call for Public Comments and prior to the publication of the related standard shall be returned to the submitter. The submitter shall be informed as to the reason for the return and instructed that they may, if so desired, submit the *comment* as a *proposed change* after the next edition of the related standard has been published.

4.4.5.5.2 Withdrawal of a Comment

A *public comment* may be withdrawn by the individual submitting the *public comment* at any time up to consideration by a *consensus committee*.

4.4.5.5.2.1 Reporting

A *public comment* that has been withdrawn in accordance with Section 4.4.5.5.2 shall be reported as Withdrawn. If the *public comment* is withdrawn prior to being published to the committee or public, no further action is required. If the *public comment* is withdrawn after being published it shall be included in the PCR and be reported as “Withdrawn”.

4.4.5.6 Processing of Public Comments

The Secretary shall submit the *public comments* to the responsible *consensus committee* for its consideration and action. When a number of *public comments* are received, all with the same recommendation and with similar substantiation for the *public comment*, the Secretary may combine these *public comments* into a single or several *comments* with multiple submitters. The statement of the problem and the substantiation for the *comment* shall be a general summary of the submitted material prepared by the Secretary. The *public comments* should be submitted to the *consensus committee* and made available to the public a minimum of 30 calendar days prior to consideration by the *consensus committee*.

4.4.5.7 Formal Action on Public Comments

The *consensus committee* shall take *Formal Action* on each *public comment*. *Formal Action* shall be recorded using one of the following positions. *Formal Actions* of Accept as Modified, Disapprove or Held shall include a statement (reason), preferably technical in nature, on the reason for the *Formal Action*. Such statement shall provide sufficient detail so as to convey the *consensus committee’s* reason for its action.

	ACTION	DESCRIPTION OF POSITION
(a)	Accept	(Accept the comment as submitted)
(b)	Accept as Modified	(Accept the comment as modified by the consensus committee)
(c)	Disapprove	(Disapprove the comment)
(d)	Held	(The comment is Held in accordance with Section 4.4.5.7.2)

4.4.5.7.1 Other Actions

In addition to the *Formal Actions* outlined in Section 4.4.5.7, the *consensus committee* may take the following Other Action on a *public comment*. These Other Actions shall be grouped together, considered by the *consensus committee* separate from the consideration on the *public comments* on which *Formal Action* is taken, and a determination made that the Other Action is acceptable.

- (a) **Editorial Changes.** Those *public comments* that are editorial in nature shall be reviewed by the Secretary. The Secretary shall report those *public comments* that appear to be an *editorial change* to the *consensus committee* for its consideration. No *Formal Action* is required by the *consensus committee* on those *public comments* determined to be an *editorial change*. The Secretary shall communicate to the submitter of the proposed *editorial change*, either directly or published in the PPR, the determination of the *consensus committee*. The Secretary shall incorporate the proposed *editorial change* into the standard as applicable.
- (b) **Non-Responsive.** Those *public comments* that do not apply to the standard, and those that are general in nature and do not propose any action that can be taken by a *consensus committee*, can be classified as Non-Responsive. The Secretary shall report those *public comments* that appear to be Non-Responsive to the *consensus committee* for its consideration. No *Formal Action* is required by the *consensus committee* on those *public comments* determined to be Non-Responsive. The Secretary shall communicate to the submitter of the Non-Responsive *public comment*, either directly or published in the PPR, the determination of the *consensus committee*.
- (c) **Non-Conforming.** A *public comment* that is not in conformance with Section 4.4.5.4, or does not include all of the required information listed in Section 4.4.5.5 (a) through (j) may be classified as Non-Conforming. The Secretary shall report those *public comments* that are Non-Conforming to the *consensus committee* for their consideration. No *Formal Action* is required by the *consensus committee* on those *public comments* determined to be Non-Conforming. The Secretary shall communicate the determination of the *consensus committee* directly to the submitter of the Non-Conforming *public comment*.

4.4.5.7.2 Held Comments

Except for *public comments* submitted on the first *Draft Standard* for a new standard, a *public comment* that proposes changes to a section or part of a *Draft Standard* that was not changed during the development of the *Draft Standard*, or was not considered by a *consensus committee* as reported in a PPR, shall be reported as Held. The submitter of a Held *comment* shall be informed, either directly or published in the PCR, the determination by the *consensus committee*. At the discretion of the submitter, a Held *comment* can be retained and be processed as a *proposed change* during the next revision of the standard.

4.4.5.8 Changes Made by a Consensus Committee

A *consensus committee* may only make *substantive changes* to a *Draft Standard* that are required to clarify or otherwise complete the substantive changes shown in the *Draft Standard*. The intent is that no changes to a section or part of a *Draft Standard* that was not changed or substantively impacted during the development of the *Draft Standard*, or was not considered by a *consensus committee* during the development of the *Draft Standard* be made. The change may be based on a *public comment*, or made independent of a *public comment*. Changes made independent of a *public comment* shall be identified as a *committee comment*. *Substantive changes* made to a *Draft Standard* shall be processed in accordance with Section 4.4.6.1.

4.4.5.9 Formal Action on Comments

The *consensus committee's Formal Action* on a *comment* shall be in accordance with Section 4.4.9.6.5.

4.4.5.10 Consensus on Comments

The *consensus committee* shall be balloted on *the Formal Actions* taken on *comments* in accordance with Section 4.4.9.6.6.

4.4.5.10.1 Processing of Ballot Comments

All unresolved objections from the consensus committee received on the voting on the *Formal Actions* in accordance with Section 4.4.5.10 along with the attempts at resolution shall be recirculated to the *voting members* of the *consensus committee* for a minimum of ten calendar days in order to afford the *voting members* of the consensus committee an opportunity to respond, reaffirm or change their vote.

4.4.5.10.2 Comments on Second Draft Standards

The final *consensus* among the committee members on the *Formal Action* on *comments* shall be determined after the consideration of *public comments* on Second Draft Standards in accordance with Section 4.4.6.8.

4.4.6 Second Draft Standards

4.4.6.1 General

The release of a *Second Draft Standard*, if so published, and *consensus committee* consideration of *public comments* (Comments) received on a *Second Draft Standard*, shall be processed in accordance with Section 4.4.6.

4.4.6.1.1 Second Draft Standard Not Needed

If no *substantive changes* are made to a *Draft Standard* or during the reaffirmation of an *existing standard*, a *Second Draft Standard* is not required.

4.4.6.2 Purpose

A *Second Draft Standard* is developed for the purpose of receiving *public comment* on *substantive changes* made to a previously released *Draft Standard*, or to an *existing standard* originally proposed for reaffirmation.

4.4.6.3 Assembly of Second Draft Standard

If the *substantive changes* accepted by the *consensus committee* in accordance with Section 4.4.5.8 or 4.4.8.8 can be published in *Standards Action*, a separate *Second Draft Standard* is not required. If so developed, the Secretary shall assemble a *Second Draft Standard* incorporating all *substantive changes* accepted by the *consensus committee* in accordance with Section 4.4.5.8 or 4.4.8.8, as applicable. The *Second Draft Standard* shall be produced in both a *legislative text* version showing all of the approved changes, and a *non-legislative text* version. Only those sections or parts of a *Draft Standard* on which a *substantive change* was made are required to be shown in a *Second Draft Standard*.

4.4.6.4 Concurrent Release and Balloting

A *Second Draft Standard* based on *substantive changes* in accordance with Section 4.4.5.8 should be released concurrently with the initial *consensus committee* balloting on the *Formal Action* on comments in accordance with Section 4.4.5.9. A *Second Draft Standard* based on *substantive changes* in accordance with Section 4.4.8.8 shall be released as necessary to complete the *consensus committee* work in accordance with Section 4.4.8.1.

4.4.6.5 Call for Public Comment

The Standards Coordinator shall issue a Call for Public Comment on the changes shown in a *Second Draft Standard*. A Due Date for the receipt of *public comments* shall be included with the Call. A *Second Draft Standard* shall be released for receiving *public comment* using one of the following methods:

- (a) A minimum of 30 days if the full text of the revision(s) can be published in *Standards Action*;
- (b) A minimum of 45 days if the document is available in an electronics format deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or
- (c) A minimum of 60 days, if neither of the aforementioned options is applicable.

4.4.6.6 Basis of Comment

Only those *substantive changes* shown in the *Second Draft Standard* are open to public comment.

4.4.6.7 Submittal of Comments

Public comments shall be submitted on a specific *substantive change* shown in a *Second Draft Standard*. *Public comments* that are duplicative for others sections shall be submitted separately from *public comments* on other sections. A notation on other sections that are duplicative of the *public comment*, or

other sections that are affected by the *public comment*, shall be included as required by (g) below. *Public comments* shall be submitted in a format as required by the Standards Coordinator and, at a minimum, shall include the following:

- (a) Name of the individual submitting the *public comment* and their affiliation (e.g., organization, company), where appropriate;
- (b) The entity being represented on the *public comment* (if different than the individual submitting the *public comment*);
- (c) Identification (title and/or number) of the *Second Draft Standard*;
- (d) Identification of the specific *substantive change* to which the *public comment* applies;
- (e) Changes proposed to the text of the *Second Draft Standard*, including the wording to be added, revised or deleted, shall be shown in *legislative text* (~~strikethrough~~ and underline) — changes shall not be submitted in “track changes” format;
- (f) A statement of reason for the *public comment*;
- (g) A notation on duplicative *public comments* for other sections, and other sections affected by the *public comment*;
- (h) Signature of the submitter or other means of authentication approved by the Standards Coordinator; and
- (i) A copyright release on the submitted materials.

4.4.6.7.1 Late Submittals

A *public comment* received after the Due Date included in the Call for Public Comments in accordance with Section 4.4.6.5, and prior to the publication of the related standard, shall be returned to the submitter. The submitter shall be informed as to the reason for the return and instructed that he or she may, if so desired, submit the *public comment* as a *proposed change* after the related standard has been published.

4.4.6.7.2 Editorial Changes

If a *public comment* proposes an *editorial change*, the *comment* is not required to be recirculated to the *consensus committee* as required by Section 4.4.6.8. The Secretary shall communicate directly to the submitter of the proposed *editorial change* this determination and notified of the right to appeal. Proposed *editorial changes* shall be considered by the Standards Coordinator in assembling the standard.

4.4.6.7.3 Non-Compliant Comments

Public comments not in conformance with Sections 4.4.6.6 and 4.4.6.7 shall be returned to the submitter. The submitter shall be notified of the reason for the return and of the right to appeal.

4.4.6.8 Processing of Comments

All *public comments* received on a *Second Draft Standard* along with the attempts at resolution shall be recirculated to the *voting members* of the *consensus committee* for a minimum of ten calendar days in order to afford the *voting members* of the *consensus committee* an opportunity to respond, reaffirm or change their vote made in accordance with Section 4.4.5.10 on the *Formal Action* related to the *substantive change* upon which the *public comment* was submitted, or the vote made in accordance with Section 4.4.8.7, as applicable.

4.4.6.9 Additional Substantive Changes

Additional *substantive changes* made to a *Second Draft Standard* shall be processed in accordance with Section 4.4.6.1, as applicable.

4.4.7 Reporting of Consensus Committee Action on Comments

4.4.7.1 General

The *consensus committee actions on comments* submitted on a *Draft Standard* in accordance with Section 4.4.5.1 shall be reported in accordance with Section 4.4.7. The *committee action* on the reaffirmation of a Standard in accordance with Section 4.4.8.1 shall be reported in accordance with Section 4.4.8.9.

4.4.7.2 Public Comments Report

The *Formal Action* on all *public comments* or *committee comments* on a *Draft Standard* and *Second Draft Standard*, if so published, shall be reported and released to the public as the *Public Comments Report* (PCR).

4.4.7.2.1 Contents of PCR

At a minimum, a PCR shall contain the following information:

- (a) The roster of the *consensus committee* at the time of balloting the *committee action on comments*. The Interest Category Classification for each member shall be indicated;
- (b) A foreword containing an overview, a timeline, and a description of the events in the development of the standard;
- (c) All *public comments* received in conjunction with the Call outlined in Sections 4.4.5.3 and 4.4.6.5 that are in conformance with Sections 4.4.5.4 and 4.4.5.5, and 4.4.6.6 and 4.4.6.7, respectively;
- (d) The following information on each separate *comment*:
 - (1) The name of the submitter of the *comment*;
 - (2) The entity represented;
 - (3) The text of the *comment*;
 - (4) The *Formal Action* taken by the *consensus committee*;
 - (5) Any *consensus committee* statement on the *Formal Action*;
 - (6) Number of *consensus committee* members eligible to vote;
 - (7) Number voting in the affirmative;
 - (8) Identification of negative voters and stated reasons for each negative vote;
 - (9) Identification of those who have abstained, and reasons for each abstention; and
 - (10) Identification of those who have not returned ballots.
- (e) Indication of any *comment* that resulted in a *substantive change* being required and the subsequent action on the *substantive change*; and
- (f) A notice of the right to appeal as outlined in Section 4.4.7.3.

4.4.7.3 Notification of Committee Action

The release of a PCR is considered notification to a submitter of a *public comment* or a *ballot comment* as to the *committee action* on the *comment*. The PCR shall contain a notice that the submitter of a *public comment* may inform the Standards Coordinator that they remain *unresolved* by the action of a *consensus committee*. The PCR shall contain a notice of the right to appeal, the requirements for filing an appeal in accordance with Section 4.4.10 and SECTION 5, and indicate the date by which an appeal shall be filed.

4.4.7.4 Completion of Consensus Committee Work

Once the *consensus committee* has taken all action as required by Section 4.4, and no additional *substantive changes* are required, the work of the *consensus committee* in the development of a standard is considered complete.

4.4.7.5 Assembly of Consensus Committee Report

The Secretary shall assemble a report of the work of a *consensus committee* in the development of a standard, including the vote on *committee actions*. The report shall include all formal documentation made available to the public. The report shall be submitted to the Standards Coordinator for the purpose of processing the standard for designation as a Home Innovation approved standard in accordance with SECTION 6.

4.4.8 Reaffirmations

4.4.8.1 General

The reaffirmation of an *existing standard* shall be processed in accordance with Section 4.4.8.

4.4.8.2 Purpose

The proposed reaffirmation of an *existing standard* is released for the purpose of receiving *public comment* on a *consensus committee's* determination that no *substantive changes* are required to the main text of an *existing standard*.

4.4.8.2.1 Decision on Reaffirmation

The Standards Coordinator, in consultation with the related *consensus committee*, shall decide to process an *existing standard* for reaffirmation. Where a decision for reaffirmation is made, the standard shall be processed in accordance with Section 4.4.8.1. Where a decision is made to revise the standard, it shall be processed in accordance with Section 4.4, as applicable.

4.4.8.3 Call for Public Comments

The Standards Coordinator shall issue a Call for Public Comment on the reaffirmation of an *existing standard*. A Due Date for the receipt of *public comments* shall be included with the Call. The Call shall include a statement to the effect that the *consensus committee* has reviewed the standard and has made the decision that no *substantive changes* to the standard are required. Any individual or an individual representing an organization, or the *consensus committee* (CC) responsible for the Document, may submit a *public comment*. The notice of reaffirmation shall be published in *Standards Action* for receiving *public comment* using one of the following methods:

- (1) A minimum of 45 days if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or
- (2) A minimum of 60 days, if the aforementioned option is not applicable.

4.4.8.4 Basis of Comment

All sections and parts of the standard are open to *public comment*.

4.4.8.5 Submittal of Comments

Public comments shall be submitted on a specific section or part of the standard, or the standard as a whole. *Public comments* that are duplicative for other sections shall be submitted separately from *public comments* on other sections. A notation on other sections that are duplicative of the public comment or other sections that are affected by the *public comment* shall be included as required by (g) below. Public comments shall be submitted in a format as required by the Standards Coordinator and, at a minimum, shall include the following:

- (a) Name of the individual submitting the *public comment* and their affiliation (e.g., CC, organization, company), where appropriate;
- (b) The entity being represented on the *public comment* (if different than the individual submitting the *public comment*);
- (c) Identification (title and/or number) and the edition (year) of the standard;
- (d) The specific section or part of the standard, or the standard as a whole, to which the *public comment* applies;

- (e) Changes proposed to the text of the standard, including the wording to be added, revised or deleted, shall be shown in *legislative text* (~~strikethrough~~ and underline) — changes shall not be submitted in “track changes” format;
- (f) A statement of reason for the *public comment*;
- (g) A notation on duplicative *public comments* for other sections, and other sections affected by the *public comment*.
- (h) Signature of the submitter or other means of authentication approved by the Standards Coordinator;
- (i) A copyright release on the submitted materials; and
- (j) Two copies of any document(s) being proposed as a *referenced standard* or document.

4.4.8.5.1 Late Submittals

A *public comment* received after the Due Date included in the Call for Public Comments and prior to the publication of the related standard shall be returned to the submitter. The submitter shall be informed as to the reason for the return and instructed that they may, if so desired, submit the *public comment* as a *proposed change* after the related standard has been published.

4.4.8.5.2 Withdrawal of a Comment

A *public comment* may be withdrawn by the individual submitting the *public comment* at any time up to consideration by a *consensus committee*.

4.4.8.5.3 Editorial Changes

A *public comment* or a *ballot comment* that proposes an *editorial change* is not required to be recirculated to the *consensus committee* as required by Section 4.4.8.6 or 4.4.8.7, respectively. The Secretary shall communicate directly to the submitter of the proposed *editorial change* this determination, and notified of the right to appeal. Proposed *editorial changes* shall be considered by the Standards Coordinator in assembling the standard.

4.4.8.5.4 Non-Compliant Comments

Public comments not in conformance with Sections 4.4.8.4 or 4.4.8.5 shall be returned to the submitter. The submitter shall be notified of the reason for the return and of the right to appeal.

4.4.8.6 Processing of Public Comments

The Secretary shall submit the *public comments* that are in conformance with Sections 4.4.8.4 and 4.4.8.5 to the responsible *consensus committee* for their consideration. Consideration shall be in accordance with Section 4.4.8.7.2.

4.4.8.6.1 Reason for Disapproval of Comment

Prior to the consideration of the *comments* required by Section 4.4.8.6, the Secretary shall develop for each *comment* a statement (reason) specific to the *comment*, preferably technical in nature, to support the *consensus committee's* decision that no *substantive changes* to the standard are required. The statement shall be submitted to the *consensus committee* with the associated *public comment*. The statement shall be considered as approved by the *consensus committee* if not more than a majority of the *voting members* voice disagreement with the statement.

4.4.8.7 Consensus on Comments

Consensus among the committee members on *comments* shall be determined in accordance with Section 4.4.9.6.7.

4.4.8.7.1 Concurrent Release and Balloting

The initial *consensus committee* balloting on the single question for reaffirmation of the standard shall be concurrent with the Call for Public Comments in accordance with Section 4.4.8.3.

4.4.8.7.2 Consideration of Public Comments

All unresolved objections from the *public comments* processed in accordance with Section 4.4.8.6 along with the attempts at resolution shall be recirculated to the *consensus committee in order to afford him or her an opportunity to respond reaffirm or change their vote.*

4.4.8.7.3 Processing of Ballot Comments

All unresolved objections from the consensus committee received on the initial ballot in accordance with Section 4.4.8.7.1 and all unresolved objections from the *consensus committee* received on the recirculation of *public comments* relating to substantive changes in accordance with Section 4.4.8.7.2 along with attempts at resolution, shall be recirculated to the *voting members* of the *consensus committee* for a minimum ten calendar days in order to afford the *voting members* of the *consensus committee* an opportunity to respond, reaffirm or change their vote.

4.4.8.7.4 Reversal of Committee Action

If the recirculation results in reversing the initial *committee action*, the *comment* shall be re-processed in accordance with Sections 4.4.8.6, 4.4.8.7, and 4.4.8.8, as applicable.

4.4.8.8 Substantive Changes

Substantive changes made by a *consensus committee* during the reaffirmation of a standard shall be processed in accordance with Section 4.4.6.1.

4.4.8.9 Report On Reaffirmation

After completion of the recirculation period required by Section 4.4.8.7, and the processing of any *substantive changes* in accordance with Section 4.4.8.8, the *committee action* on reaffirmation of a standard shall be reported and released to the public as the *Report On Reaffirmation (ROR)*.

4.4.8.9.1 Contents of ROR

At a minimum, a ROR shall include the following information:

- (a) The roster of the *consensus committee* at the time of balloting on Reaffirmation. The Interest Category Classification for each member shall be indicated;
- (b) A foreword containing an overview, a timeline, and a description of the events in the development of the standard;
- (c) All *public comments* received in conjunction with the Call outlined in Section 4.4.8.3 that are in conformance with Sections 4.4.8.4 and 4.4.8.5;
- (d) The following information on each separate *comment*:
 - (1) The name of the submitter of the *comment*;
 - (2) The entity represented;
 - (3) The text of the *comment*;
 - (4) The committee action taken on the *comment*;
 - (5) Any *consensus committee* statement on the *committee action*;
 - (6) Number of *consensus committee* members eligible to vote;
 - (7) Number voting in the affirmative;
 - (8) Identification of negative voters and stated reasons for each negative vote;
 - (9) Identification of those who have abstained, and reasons for each abstention; and
 - (10) Identification of those who have not returned ballots.

- (e) Indication of any *comment* that resulted in a *substantive change* being required and the subsequent action on the *substantive change*; and
- (f) The right to appeal in accordance with Section 4.4.8.10.

4.4.8.10 Notification of Committee Action

The release of a ROR is considered notification to a submitter of a *public comment* or *ballot comment* as to the final *committee action* on the *comment*. The ROR shall contain a notice that the submitter of a *public comment* may inform the Standards Coordinator that they remain *unresolved* by the action of a *consensus committee*. The ROR shall contain a notice of the right to appeal, the requirements for filing an appeal in accordance with Section 4.4.10 and SECTION 5, and indicate the date by which an appeal shall be filed.

4.4.8.11 Completion of Consensus Committee Work

Once the *consensus committee* has taken all action as required by Section 4.4.8.1, and no additional *substantive changes* are required, the work of the *consensus committee* on the reaffirmation of the standard is considered complete.

4.4.8.12 Assembly of Consensus Committee Report

The Secretary shall assemble a report of the work of a *consensus committee* in the reaffirmation of a standard, including the vote on *committee actions*. The report shall include all formal documentation made available to the public. The report shall be submitted to the Standards Coordinator for the purpose of processing the standard for designation as a Home Innovation approved standard in accordance with SECTION 6.

4.4.9 Voting

4.4.9.1 Voting by the Consensus Committee

Voting by a *consensus committee* shall be in accordance with Section 4.4.9.

4.4.9.2 Voting Member

Each *voting member* of a *consensus committee*, including the chairs, shall have one vote in the affairs of the *consensus committee*. The vote of an Alternate Representative shall be counted only when the Principal Representative does not vote. A *consensus committee* member eligible to vote shall be one who is a *voting member* of record on the date of a meeting or the distribution of a formal ballot.

4.4.9.3 Voting by Proxy

Voting by proxy shall not be permitted.

4.4.9.4 Voting at Meetings

In general, votes taken during meetings of a *consensus committee* on *proposed changes*, *comments*, and the reaffirmation of an *existing standard* are intended to establish a sense of agreement and are not considered *consensus* among the committee members unless the vote is a formal ballot in accordance with Section 4.4.9.5.1. Votes taken during meetings to establish a sense of agreement shall be in accordance with either (a) or (b). The chair, in consultation with the Standards Coordinator or Secretary, shall decide which method to use. In calculating the vote, those who abstain, those who are not present when the vote is taken, and those not eligible to vote shall not be included in the calculation.

- (a) Supported by a majority of the *voting members* at the meeting.
- (b) Supported by two-thirds of the *voting members* at the meeting.

4.4.9.5 Formal Ballots

A formal ballot shall be used to determine consensus among the committee members on *proposed changes* in accordance with Section 4.4.9.6.3, a *Pre-Draft Standard* in accordance with Section 4.4.9.6.4, on *comments* in accordance with Section 4.4.9.6.6, and the reaffirmation of an *existing standard* in accordance with Section 4.4.9.6.7. A formal ballot may be used to determine the acceptance of *proposed changes* in accordance with Section 4.4.9.6.2, and the acceptance of *comments* in accordance with Section 4.4.9.6.5. The formal ballot shall include the text of the *proposed change* or *comment*, the *Formal Action* taken by the *consensus committee* and the statement (reason) supporting the *Formal Action*. The results of formal ballots shall be used to determine the official position of the *consensus committee*.

4.4.9.5.1 Formal Ballots at Meetings

A formal ballot, as required by Section 4.4.9.5, may be taken at a meeting if all *voting members* of the *consensus committee* are present. The vote can be taken by a hand or voice count of the votes. A paper ballot is not necessary. The vote count shall be recorded by voter and reported as required by these procedures.

4.4.9.5.2 Securing of Formal Ballots

Except as allowed by Section 4.4.9.5.1, the Secretary shall provide each *voting member* a copy of the material under consideration and a formal ballot. The due date for the return of the ballot shall be noted on the ballot.

4.4.9.5.3 Voting on Formal Ballots

Each *voting member* shall record his or her vote on a formal ballot as Approve, Disapprove, or Abstain or equivalent. A vote of Disapprove shall include a *ballot comment* (an explanation) outlining the reason for disagreement. A vote of Abstain shall include the reason for the abstention. A *ballot comment* on a vote of Approve is allowed. A choice to vote in the affirmative on all *committee actions* shown on the ballot should be included. The ballot shall be returned within the time limit specified on the ballot. The voting period for formal ballots shall not be less than 15 calendar days from the date of issue to the *committee*.

4.4.9.5.4 Circulation of Ballot Comments

All unresolved objections from the consensus committee along with the attempts at resolution shall be recirculated to each *voting member* in order to afford him or her an opportunity to respond, reaffirm or change their vote. *Ballot comments* and vote of an Alternate Representative shall only be recirculated when the Principal Representative fails to return a ballot. A recirculation of ballot comments is not required if no negative votes are cast.

4.4.9.5.5 Calculating Votes

The final vote shall be determined after the recirculation of the *ballot comments* as required by these procedures. In calculating the final vote, those who have expressed in writing valid reasons for abstaining, those who returned negative ballots without *comments*, and those who, after a second request, fail to return their ballots, shall not be included in the calculations.

4.4.9.5.5.1 Calculation

A ballot from a majority of the *voting members* of a *consensus committee* (counting abstentions and negative ballots without *comment*) is required, and at least two-thirds of those voting in the affirmative (not counting abstentions and negative ballots without *comment*) is required to achieve *consensus* among the committee members.

4.4.9.5.6 Confidentiality

The results of formal ballots, except for the number of responses received, shall remain confidential until the voting period is closed.

4.4.9.5.7 Consensus Committee Approval of a Standard

The approval of the content of a revised *existing standard* or a new standard is determined in two phases. The first phase is a *consensus committee* reaching *consensus* among the committee members on the *Formal Action* on each separate *proposed change* in accordance with Sections 4.4.2.9 and 4.4.2.11.2, or achieving *consensus* among the committee members on the *substantive changes* shown in a *Draft Standard* in accordance with Sections 4.4.3.4 and 4.4.3.5. The second phase is a *consensus committee* reaching *consensus* among the committee members on the *Formal Action* on each separate *comment* in accordance with Sections 4.4.5.9 and 4.4.5.10. All of the separate changes approved by a consensus committee and incorporated into a standard constitute the approval of a standard as a whole.

4.4.9.6 Specific Voting Requirements

Specific voting requirements required by these procedures shall be in accordance with Section 4.4.9.6.

4.4.9.6.1 Matters Other Than Standards Development

A minimum of a majority of the *voting members* of a *consensus committee* is required to approve matters not related to the development of a standard.

4.4.9.6.2 Formal Action of Proposed Changes

An affirmative vote of a majority of the *voting members* of a *consensus committee*, calculated in accordance with Section 4.4.9.5.5.1, is required to determine the initial acceptance of a *proposed change* in accordance with Section 4.4.2.9. If the proposed change is considered at a meeting, the vote shall be determined in accordance with Section 4.4.9.4.

4.4.9.6.3 Consensus on Proposed Changes

A formal ballot in accordance with Section 4.4.9.5 shall be used to determine *consensus* among the committee members on the *Formal Action* taken on *proposed changes* in accordance with Section 4.4.2.11. *Consensus* is determined separately on each *proposed change*. An affirmative response of two-thirds of the *voting members* of a *consensus committee*, calculated in accordance with Section 4.4.9.5.5.1, is required for a *committee action* on each separate *proposed change* to achieve *consensus* and be approved. Those *committee actions* that do not achieve *consensus* shall be reported a “Disapprove.” The final determination of *consensus* shall be made after all *ballot comments* have been processed in accordance with Section 4.4.2.11.2.1.

4.4.9.6.4 Consensus on a Pre-Draft Standard

A formal ballot in accordance with Section 4.4.9.5 shall be used to determine *consensus* among the committee members on a *Pre-Draft Standard*. An affirmative response of two-thirds of the *voting members* of a *consensus committee*, calculated in accordance with Section 4.4.9.5.5.1 and as outlined in this section, is required for each separate *substantive change* shown in a *Pre-Draft Standard* to achieve *consensus* and be approved. *Consensus* on the *committee actions* shall be determined after the *Pre-Draft Standard* has been processed in accordance with Sections 4.4.3.4 and 4.4.3.5. An affirmative ballot *comment*, or the receipt of no *ballot comment* on a *substantive change(s)* to a specific section of a *Pre-Draft Standard*, is considered a vote in the affirmative. A negative *ballot comment* on a *substantive change(s)* to a specific section of a *Pre-Draft Standard* is considered a vote in the negative. Those *substantive changes* to a specific section of a *Pre-Draft Standard* that do not achieve *consensus* shall not be included in a *Draft Standard*.

4.4.9.6.5 Formal Action on Comments

An affirmative vote of a majority of the *voting members* of a *consensus committee*, calculated in accordance with Section 4.4.9.5.5.1, is required to determine the initial *committee action* on a *comment* in accordance with Section 4.4.5.9. If the *comment* is considered at a meeting, the vote shall be determined in accordance with Section 4.4.9.4.

4.4.9.6.6 Consensus on Comments

A formal ballot in accordance with Section 4.4.9.5 shall be used to determine consensus among the committee members on the *Formal Action* taken on *comments*. *Consensus* is determined separately on each *comment*. An affirmative response of two-thirds of the *voting members* of a *consensus committee*, calculated in accordance with Section 4.4.9.5.5.1, is required for a *committee action* on each separate *comment* to achieve *consensus* and be approved. Those *committee actions* of Accept, Accept as Modified, or Held that do not achieve *consensus* shall be reported a “Disapprove.” The final determination of *consensus* shall be made after all *ballot comments* have been processed in accordance with Section 4.4.5.10 and all *public comments* have been recirculated in accordance with Section 4.4.6.8.

4.4.9.6.7 Consensus on Reaffirmation

A formal ballot in accordance with Section 4.4.9.5 shall be used to determine *consensus* among the committee members on the reaffirmation of an *existing standard*. An affirmative response of two-thirds of the *voting members* of a *consensus committee*, calculated in accordance with Section 4.4.9.5.5.1, is required to achieve *consensus* on the reaffirmation of an *existing standard*. The final determination of consensus shall be made after the all *public comments* and *ballot comments* have been processed in accordance with Section 4.4.8.7.

4.4.10 Resolution of Objections

4.4.10.1 General

The resolution of *objections* and the classification of *unresolved objections* shall be in accordance with Section 4.4.10.

4.4.10.2 Resolution of Objections

The consideration of *proposed changes* and related *ballot comments* in accordance with Section 4.4.2.11, and *public comments* and *ballot comments* in accordance with Sections 4.4.3.1, 4.4.5.1, 4.4.6.1, and 4.4.8.1 is considered an effort and attempt to resolve all expressed objections. As noted in Section 4.4.2.12, 4.4.7.3, and 4.4.8.10, the *committee action* and statement (reason) supporting the *Formal Action* reported in a PPR in accordance with Section 4.4.2.11.3, a PCR in accordance with Section 4.4.7.2, or ROR in accordance with Section 4.4.8.9, is notification to the submitter of a *proposed change* or a *public comment* as to the reason for acceptance or disapproval of the *proposed change* or *comment*. Those *proposed changes* or *comments* that are not supported by an affirmative action on the part of the *consensus committee* are considered non-persuasive. In connection with an objection by a Consensus Committee member accompanied by a negative ballot comment related to the proposal under consideration, an effort to resolve all expressed objections shall be made, and each such objector shall be advised in writing (including electronic communications) of the disposition of the objection and reasons therefor. Efforts to resolve such expressed objections shall be made by the Consensus Committee chair, Task Group Chair, or Task Group.

4.4.10.3 Classification as an Unresolved Objection

Unresolved objections as classified as follows:

- (a) **Public Comments:** For submitters of *public comments*, only an appeal filed in accordance with Section 5.1 on a specific *substantive change* or *committee action* is tentatively classified as an *unresolved objection*; or notification from the submitter of a *public comment* that they remain *unresolved* by the action of a *consensus committee* is classified as an *unresolved objection*.
- (b) **Ballot Comments:** For negative ballots cast by a *consensus committee* member, only those items on which the member indicates to the Standards Coordinator that his or her *objection* is resolved and changes his/her vote in writing are classified as a *resolved objection*.

SECTION 5 APPEALS

5.1 General

Appeals related to these procedures shall be processed in accordance with SECTION 5.

5.2 Purpose

Parties who are directly and materially interested and who have been or will be adversely affected by any procedural action or inaction by the Secretariat with regard to the development of a proposed standard or the revision, reaffirmation or withdrawal of an *existing standard*, have the right to appeal. Appeals submitted in accordance with Section 4.4.10.3 are classified as an *unresolved objection*.

5.3 Types of Appeals

Appeals shall be based on compliance with or interpretation of these procedures.

5.4 Appeal Procedures

Appeals shall be submitted and processed in accordance with Section 5.4.

5.4.1 Notification of Appeal

An appeal shall be submitted by registered mail to the Standards Coordinator within 30 calendar days after notification of the objectionable action taken or by the date specified in a notification of the right to appeal. The appeal shall identify and address the original source of the objection. The appeal shall specify the type of appeal as outlined in Section 5.3, the cause of the appeal, the applicable section(s) of these procedures related to the appeal, and a proposed corrective action.

5.4.2 Fee

The appeal shall be accompanied by a filing fee of \$500.00. This fee may be waived or reduced upon sufficient evidence of hardship.

5.4.3 Appeals on inaction

An appeal asserting an inaction may be submitted at any time after the conditions for the alleged inaction has taken form.

5.4.4 Hearing

The appeal shall be considered by the Appeals Panel at a hearing on the premises of Home Innovation and shall be scheduled within 90 calendar days of receipt of the appeal by the Standards Coordinator. The date of the hearing shall be provided in writing, including electronic communications, to the appellant. The date of the hearing may be included in a notice of the right to appeal. The hearing shall allow ample opportunity for the appellant to substantiate the appeal and also allow for rebuttal from the chair or the chair's appointed representative(s) from the *consensus committee* related to the appeal. Opportunity for re- rebuttal shall be permitted at the discretion of the Appeals Panel. If acceptable to the appellant and the Appeals Panel, appeals may be processed by letter ballot of the Appeals Panel without a hearing. The burden of proof to show adverse effect shall be on the appellant.

5.4.5 Determination

Any action on an appeal shall require a majority vote of the Appeals Panel. The vote shall be inclusive of all Appeals Panel members including abstentions. The determination of the Appeals Panel shall be final and a written notification of the determination, addressing the substance of the appeal submitted in accordance with Section 5.4.1, shall be sent to the appellant, Standards Coordinator, and consensus *committee members*. The appellant shall be notified as to the final classification of *unresolved objections*.

5.4.5.1 Action by Consensus Committees

If the determination requires action by a *consensus committee*, the *consensus committee* shall act on the directive(s) of the Appeals Panel in accordance with these procedures.

SECTION 6 APPROVAL OF STANDARDS

6.1 Review for Compliance

A report in accordance with Section 4.4.7.5 or 4.4.8.12, as applicable, notification of any *unresolved objection* related to a *public comment* or negative ballot in accordance with Section 4.4.10.3, and notification of any *unresolved objections* received on an appeal, shall be provided to the ESC regarding the development of a standard.

6.2 Approval

Following completion of the appeals process and review of the documentation related to the standard under consideration, the ESC shall make a final determination regarding compliance with these procedures in the development of the standard. Approval shall require a majority vote of the ESC, including abstentions. The ESC may also require submittal of the standard to ANSI for approval as an ANS in accordance with ANSI requirements and procedures.

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