
AHAM**Procedures for Approval of AHAM Standards as American National Standards****June 2006**

IMPORTANT NOTE: These procedures were submitted to the American National Standards Institute (ANSI) on June 6, 2006. Revisions to this document shall not be implemented at AHAM until the procedures have been formally submitted to ANSI. ANSI must review and approve all procedural revisions.

INTRODUCTION

The Association of Home Appliance Manufacturers (AHAM) is an ANSI¹-Accredited Standards Developer Organization (SDO).

The procedures set for in this document reflect AHAM's process for developing consensus for the approval, reaffirmation, revision, and withdrawal of **American National Standards (ANS)**.

These procedures apply to those AHAM performance standards that are submitted to the American National Standards Institute (ANSI) as ANS. The AHAM process used to determine consensus begins *after* the draft standard has been developed through the AHAM standards development process following the procedures detailed in the AHAM *Policy and Procedures Governing Technical Standards*.

To maintain ANSI-accreditation, these procedures must be in compliance with the current edition of *ANSI Essential Requirements (2006)* and all other normative policies and administrative procedures established by the ANSI Executive Standards Council.

These procedures are to be maintained on file with ANSI as part of AHAM's accreditation record and are available from AHAM upon request. Any revisions to these procedures must be submitted in a timely manner to the ANSI Executive Standards Council (ExSC) via the ANSI Procedures & Standards Administration (PSA) Department for review. Submittal of the revised procedures to ANSI is necessary before implementation of any changes at AHAM. It is possible that ANSI will request that additional revisions to the procedures be made following ANSI review. Such revisions will be incorporated into these procedures in a timely manner.

¹ American National Standards Institute (ANSI)

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I. KEY STAGES OF ANSI NOTIFICATION

1.1 PROJECT INITIATION NOTIFICATION SYSTEM (PINS FORM)

At the initiation of a project to develop or revise an AHAM standard as an American National Standard, AHAM shall notify ANSI by completing and submitting a Project Initiation Notification System (PINS) form in a timely manner. This will prompt ANSI to publish the project announcement in the publication, *Standards Action*.

For AHAM standards that already have ANS status, timely submittal of the PINS means that AHAM must complete and submit the PINS to ANSI as soon as the appropriate Engineering Council has authorized the AHAM Task Force to begin drafting of revisions through the internal AHAM approval process.

For any other AHAM standards that do not have a current ANS designation, timely submittal of the PINS means that AHAM must complete and submit the PINS to ANSI as soon as AHAM decides to seek ANS status for that standard, even if the internal AHAM approval process has not yet been completed.

AHAM shall maintain the following records:

- (1) Engineering Council Minutes reflecting the authorization to form a Task Force to begin revisions to a new or revised ANS.
- (2) Engineering Council Minutes reflecting the decision to pursue ANS status of AHAM standards.
- (3) A copy of the PINS submitted to ANSI.

1.2 PUBLIC REVIEW – (BSR-8 FORM)

Proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI using the BSR-8 form for listing in *Standards Action* in order to provide an opportunity for public comment. The comment period shall be one of the following:

- A minimum of thirty days if the full text of the revision(s) can be published in *Standards Action*;
- A minimum of forty-five 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
- A minimum of sixty days, if neither of the aforementioned options is applicable.

AHAM can request a listing in Standards Action at any stage in the development of the proposal and this request can be concurrent with final balloting of the document.

Any substantive change subsequently made in a proposed American National Standard during the consensus development process requires re-submittal of another BSR-8 Form to initiate another public review period.

1.3 REQUESTING FINAL ANSI APPROVAL - (BSR-9 FORM)

Once the appropriate evidence of consensus is completed in accordance with the procedures described in the subsequent sections of this document and both of the numerical consensus requirements stated in 2.3 are met, AHAM shall submit a completed BSR-9 Form to ANSI to request final approval of the AHAM standard as an American National Standard. The BSR-9 shall be completed and submitted to ANSI within 6 months of the date of the final consensus body vote. Information requested on this form includes the following:

Designation of the Standard

Title of the Standard

Project Intent

Copy of the Consensus Body Roster (consisting of the name, affiliation and category of interest of each canvasee and their vote)

Total number of unresolved objections

Evidence of attempted resolution

Dates on which unresolved objections (public review/consensus) were provided to consensus body

Confirmation that unresolved objectors were informed of their right to appeal

Indication if any unresolved objectors appealed.

Date of Final Consensus Body vote

Evidence of Consensus (Final consensus Body vote tally)

Statement Regarding Patents

Statement of the two AHAM numerical requirements for voting as stated in Section 2.3 of this document

Confirmation that ANSI Essential Requirements were followed

1.4 ON-LINE SUBMITTAL TO ANSI

The ANSI forms referenced above shall be completed via the ANSI on-line form submittal web site (<http://12.15.192.27/>). A copy of each submittal shall be maintained by AHAM as a record to demonstrate compliance during ANSI audits.

1.5 GENERAL INFORMATION ABOUT ANSI FORMS

Care must be taken to ensure that all sections of the ANSI forms are correctly completed. Items that are incomplete or incorrectly completed may result in incorrect information being published in the ANSI Standards Action. Additionally, all administrative errors on the forms are cited by ANSI during the periodic audits. ANSI is available to provide guidance on the forms if needed.

II. CONSENSUS PROCESS

To determine consensus for approval of AHAM standards as American National Standards, AHAM identifies, to the extent possible, those who are directly and materially affected by the activity in question and conducts a letter ballot or “canvass” of those interests to determine consensus on a document.

2.1 PRE-CANVASS INTEREST SURVEY

As the first step in seeking consensus through the canvass process, AHAM shall first develop a list of potential canvasees consisting of those organizations, companies, government agencies, standards developers, individuals, etc., known to be, or who have indicated that they are, directly and materially affected by the standard. A record of the potential canvasee list shall be maintained. AHAM shall then conduct a pre-canvass interest survey.

- 2.1.1 In order to determine if potential canvasees are interested in participating, AHAM shall conduct a pre-canvass interest survey, informing the potential canvasees in writing about the use of the consensus, and, if the potential canvasees are interested in participating, obtaining an appropriate interest category classification. No individual shall represent more than one canvasee.
- 2.1.2 AHAM’s letter shall contain the title, designation, scope, description of the standard along with the history of its development, purpose and intended application of the standard, and an explanation of the ANSI function.
- 2.1.3 Potential canvasees are normally given 10 business days from the date of AHAM’s pre-canvass interest survey letter to respond. The timeline for response shall be so noted in the letter and canvasees that do not respond by the initial due date shall be sent a reminder. If a canvasee requests additional time, an extension of up to **30 calendar days** from the date of the AHAM pre-canvass interest survey letter is normally given.
- 2.1.4 Once the pre-canvass interest surveys have been returned, AHAM shall prepare the canvass list. All those who have agreed to participate shall be included on the canvass list, together with their agreed-upon interest categories in accordance with the requirements for balance and lack of dominance shown below. The affiliation and interest category of each member of the consensus body shall be made available to interested parties upon request.
 - 2.1.4.1 Pre-canvass interest surveys shall be reviewed for completion and correctness. In the event a member of the pre-canvass survey selects more than one interest category or selects an interest category that AHAM staff believes does not accurately reflect the category of interest, AHAM shall contact the pre-canvass interest survey member to verify the correct interest category. AHAM shall maintain a record of the communication for future reference.
 - 2.1.4.2 When interest in participation on the consensus body panel is been indicated via a method other than return of the pre-canvass interest survey, AHAM shall maintain a record of the expressed interest and the member’s interest category by including, for example, a note to the file regarding a telephone conversation or a copy of an e-mail exchange. The record is needed to support the member’s addition to the consensus body panel.

- 2.1.4.3 In the event that a member that has expressed an interest in participating on the consensus body panel but has not provided required information such as the interest category, AHAM shall make an attempt to obtain the information. A record shall be maintained of the communications made with the member. If the information is not obtainable following the request, AHAM shall notify the member in writing that they are not able to be added to the consensus body panel due to lack of required information and noting that the member can participate in review of the standard via the ANSI Public Review process. A record of the communications with the member shall be maintained.
- 2.1.4.4 Every effort shall be made to include all interested parties on the consensus body panel. However, it is possible that participation on the consensus panel must be limited to achieve balance. In such cases, AHAM shall notify the members that are not able to be added to the consensus panel of the option to participate in the review via the ANSI Public Review process. A record shall be maintained explaining the circumstances that led to the member's exclusion from the consensus panel and that the member has been advised of the option to participate via the ANSI Public Review process.
- 2.1.5 Balance: Participants from diverse interest categories shall be sought. AHAM categorizes interests as (1) users, (2) producers and (3) general interest. For balance, no single interest category constitutes a majority of the membership of a consensus body.
- 2.1.6 Lack of Dominance: Dominance means position 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. For AHAM's canvass process, no single interest category shall dominate.
- 2.1.7 Once an interest survey has been completed for a standard, it need not be repeated for subsequent balloting of the document. In addition, AHAM may conduct a single interest survey for a group or category of standards. A canvasee who has indicated a desire to be on AHAM's canvass list for a particular category or categories of standards shall receive the draft document(s), letter ballot(s), and all appropriate information as noted in Section 2.2.2 of this document.
- 2.2 CONDUCTING THE CANVASS
- 2.2.1 AHAM can begin conducting the canvass once the list of potential canvasees is completed.
- 2.2.2 AHAM shall transmit, at minimum, the following information to all canvasees and other interested parties so requesting unless AHAM has previously supplied this information:
- a) the purpose and intended application of the standard;
 - b) a brief history and explanation of how the standard was developed;
 - c) an explanation of ANSI's function and the voluntary consensus standards system;
 - d) a copy of the consensus body roster, consisting of the name, affiliation, and category of interest of each canvasee;
 - e) a copy of the complete proposed American National Standard or the relevant portion under consideration when the canvasee has previously received the complete standard;
 - f) official letter ballot(s) to all canvasees.

- 2.2.3 Upon request, AHAM shall provide to the canvasee a reasonable number of copies of the document being considered, to allow for a speedy determination of position by the canvasee. Should the document contain material that is not to be considered for approval as an American National Standard, such as an introduction or annex, a clear statement shall be included indicating those portions of the standard that are to be considered for approval by ANSI.
- 2.2.4 The ballot form used by AHAM shall provide opportunity for the canvasee to indicate its position (i.e., approval, objection (with reasons), abstention (with comment), or nonparticipation, with the advice that, in order to receive consideration, objections must be accompanied by supporting written reasons and, where possible, proposals for a solution to the problem raised.
- 2.2.5 At least one follow-up reminder shall be sent to canvasees not responding. A written record of the follow-up communication shall be maintained..
- 2.2.6 The canvass ballot may be closed at the end of thirty calendar days, or sooner if all canvasees have responded.
- 2.2.7 An extension of up to thirty calendar days shall be granted upon request from any canvasee giving a legitimate reason.
- 2.2.8 Those not on the canvass list who have a direct and material interest in the standard have an opportunity to participate in the review of the standard during the public review process, announced in *Standards Action*.

2.3 NUMERICAL CONSENSUS REQUIREMENTS

- 2.3.1 Approval of a new standard, revision or reaffirmation of an existing standard, or an addendum to part or all of an existing standard shall require the following two conditions:

- (1) Voting by at least a majority of the canvass list; and
- (2) Approval of the standard by at least two-thirds of those voting, excluding abstentions.

Both of these conditions must be stated on the ANSI BSR-9 form. Refer to Clause 1.3.

The numerical consensus requirements for withdrawal of an ANS are the same as those stated above.

III. DISPOSITION OF VIEWS AND OBJECTIONS

Views and objections resulting from the canvass shall be dealt with in accordance with the following section.

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on either the PINS announcement or public comment listing in *Standards Action*.

3.1 PINS ANNOUNCEMENT COMMENTS

- 3.1.1 If AHAM receives written comments within 30 days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline. Such a deliberation shall be organized by AHAM and the commenter and shall be concluded before AHAM may submit a draft standard for public review.
- 3.1.2 If the deliberation does not take place within the 90-day period and AHAM can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then AHAM 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.
- 3.1.3 The outcome of such a deliberation shall be conveyed in writing by AHAM and commenter (ideally as a joint submission) to the Board of Standards Review (BSR) for consideration should AHAM ultimately submit the related candidate standard to ANSI for approval

3.2 PUBLIC REVIEW AND CONSENSUS BODY COMMENTS

- 3.2.1 In connection with an objection articulated during a public comment period, or submitted in connection with a vote, an effort to resolve all expressed objections shall be made, and each objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefore. AHAM shall maintain a record to show that the objector received a written communication identifying how each objection was handled (e.g., incorporated immediately, considered by the appropriate body or incorporated during the next revision cycle) even if the resolution was obtained during a face-to-face meeting or verbally.
- 3.2.2 If resolution is not achieved, the objector shall be informed in writing that an appeals process exists within procedures used by AHAM. In addition, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved must be reported to the ANSI Board of Standards Review (BSR).
- 3.2.3 When this process is completed in accordance with AHAM's written procedures, AHAM may consider any comments received subsequent to the closing of the public review and comment period, or shall consider them at the next review.

- 3.2.4 Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members an opportunity to respond, reaffirm, or change their vote within thirty days.
- 3.2.5 Substantive changes made in a proposed American National Standard shall be listed in *Standards Action* through submittal of another BSR-8 to ANSI.

3.3 REQUESTING ANSI APPROVAL

Upon completion of the procedures for canvass, for disposition of views and objections, and for appeals, AHAM can submit the proposed standard to ANSI for approval. Refer to Section 1.3 for further details on the BSR-9 Form process. Upon approval confirmation from ANSI, AHAM shall prepare an updated version of the revised standards that includes the ANSI logo and updated title. The text of the standard's Introduction shall include the ANSI approval date.

IV. INITIATING REVIEW OF AMERICAN NATIONAL STANDARDS

4.1 REVIEW OF AMERICAN NATIONAL STANDARDS

AHAM standards that are approved as ANS should be reviewed and action should be taken to revise or reaffirm the ANS designated standards on a schedule not to exceed five years from the date of the ANS approval received from ANSI. To allow sufficient time for this to occur, AHAM should initiate the internal discussion regarding the possible need for revision/reaffirmation sooner (for example, shortly after the fourth anniversary of the approval of the standard if possible) and should submit the PINS form or BSR-8/108 form as far in advance of the fifth anniversary as possible to increase the likelihood that the full process is completed by the fifth anniversary. AHAM maintains a list of the approval dates of all ANS standards and reviews the status of its standards with its Engineering Councils at least annually.

4.2 REQUESTING AN EXTENSION FROM ANSI

In the event that a PINS or BSR-8/108 is not submitted within five years after the ANSI approval, AHAM shall request an extension of time to reaffirm or revise the standard, or shall withdraw the standard. The request for an extension of time shall be submitted to ANSI within thirty days following five years after the approval date of the ANS. Requests for extensions shall provide the program and schedule of work that will lead to revision, reaffirmation, or withdrawal.

4.3 EXPIRATION OF AMERICAN NATIONAL STANDARDS

No extension of time beyond ten years from the date of the ANS approval will be granted by ANSI. ANS approval of AHAM standards automatically expires on the tenth anniversary date of approval as an ANS.

V. NORMATIVE ANSI POLICIES

5.1 PATENT POLICY

Refer to Section XIII of AHAM's *Policy and Procedures Governing Technical Standards*.

5.2 COMMERCIAL TERMS AND CONDITIONS

- 5.2.1 Provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions shall not be included in AHAM standard being developed as American National Standards.
- 5.2.2 To avoid the appearance that the standard endorses particular products, services or companies, it is generally not acceptable to include manufacturer lists, service provider lists, or similar material in the text of a standard or in an annex (or the equivalent).
- 5.2.3 Where a sole source exists for essential equipment, materials or services necessary to determine compliance with the standard, it is permissible to supply the name and address of the source in a footnote or informative annex as long as the words "or the equivalent" are added to the reference.
- 5.2.4 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 can be standardized as long as the description of the process or criteria is limited to technical and engineering concerns and does not include what would otherwise be a commercial term or proper name.

5.3 RECORDS RETENTION POLICY

Refer to Section XI of the AHAM *Policy and Procedures Governing Technical Standards*

5.4 METRIC POLICY

Refer to Section XII of the AHAM *Policy and Procedures Governing Technical Standards*.

5.5 INTERPRETATIONS POLICY

Refer to Section X of the AHAM *Policy and Procedures Governing Technical Standards*.

Written inquiries requesting interpretation of the AHAM approved American National Standards shall be responded to in accordance with AHAM's policy. Revisions to the standard resulting from requests for interpretations shall be processed in accordance with the procedures outlined herein.

5.6 APPEALS PROCESS

Refer to Section IX (B) of the AHAM *Policy and Procedures Governing Technical Standards*.

VI. RECORD KEEPING

- 6.1 To ensure that the proper electronic records are maintained per ANSI ANS and audit requirements, AHAM tracks the file location of all records using the AHAM Record Keeping Checklist for ANSI ANS Process.
- 6.2 From the initiation of a project to develop or revise an American National Standard to its completion, the assigned AHAM staff project manager shall use and complete the referenced checklist to ensure (1) that all necessary records are being maintained and that (2) the location of those records is identified for future retrieval.
- 6.3 At the completion of the ANS process (ANS approval obtained by ANSI), the final checklist shall be reviewed to ensure completion and correctness and the date of final ANSI approval noted on the document.