



*ACCREDITED PROCEDURES FOR THE*  
**DEVELOPMENT OF AMERICAN  
NATIONAL STANDARDS**





APPA International (hereafter referred to as the Administrator) will follow the established Standards Development Policies and Procedures (hereafter referred to as Procedures) when developing ANSI American National Standards (hereafter referred to as ANS).

## 1. Introduction

This Appendix describes the APPA International (“APPA”) procedures used to develop APPA American National Standards (“American National Standards” or “Standards”). These procedures meet the requirements for due process and development of consensus for approval of American National Standards as required in the *ANSI Essential Requirements: Due process Requirements for American National Standards*. Where APPA is silent on an issue, the ANSI Essential Requirements will be the precedent document.

## 2. Antitrust Statement

APPA shall abide by the antitrust requirements as defined in the ANSI Essential Requirements, which state that “American National Standards shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop American National Standards are to be conducted in accordance with these laws.”

## 3. Organization

For the purposes of these Procedures, the term “Work Groups” shall be used to describe APPA standards writing committees. Participation in Work Groups shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership and participation on the Work Groups shall not be conditional upon membership in APPA or in any organization. Therefore APPA nonmembers (hereafter referred to as “Membership Opt-out Participants”) as well as APPA members shall be eligible for voting membership and participation in Work Groups. Membership or participation on the Work Groups shall not be unreasonably restricted on the basis of technical qualifications or other such requirements. A Work Group Member may choose to participate in a Work Group as either a “Voting member” or as an “Observer.” The membership of a Work Group shall be sufficiently diverse to ensure reasonable balance without dominance by any one single interest group. To ensure reasonable diversity, APPA will defer to ANSI’s historical balance requirements as outlined in the Essential Requirements, which state that the criteria for balance are that a) no single interest category constitutes more than one third of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards. Each Work Group shall seek broad and diverse participation with the objective of achieving balance. Should an APPA Work Group lack balance, in accordance with the historical criteria for balance, targeted outreach effort to balance the Work Group shall be undertaken.

## 4. Notification of Standard Development and Coordination

At the start of each project, the creation of the proposed standard or the revision of a current standard shall be submitted to ANSI by the APPA Administrator. The information supplied to ANSI by the Administrator shall include all relevant material required by ANSI as outlined in the *ANSI Essential Requirements*.

The Administrator shall announce in suitable media as appropriate, including the APPA website, to provide communications for directly and materially affected persons. The Administrator shall transmit to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *ANSI’s Standards Action*. The comment period for the PINS form is 30 days. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw a standard.

## 5. Comments Indicating Possible Duplication or Conflicts

At the initiation of a project to develop or revise an American National Standard, APPA will transmit notification to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in Standards Action. Comments received in connection with a PINS announcement shall be handled in accordance with these procedures:

APPA will prepare and disseminate a statement as part of the PINS announcement that shall include:

(a) an explanation of the need for the project, including, if it is the case, a statement of intent to submit the standard for consideration as an ISO, IEC or ISO/IEC JTC-1 standard; and (b) identification of the stakeholders likely to be directly impacted by the standard. If the response to sub-section (b) changes substantively as the standard is developed, a revised PINS shall be submitted and published.

For any APPA American National Standards maintained on a continuous basis, a PINS form will not be submitted provided that the ANS (1) is registered as such on the ANSI website, (2) includes a notice indicating that it is always open for comment as well as how to submit comments, and (3) duplicates the aforementioned notice for inclusion on the APPA website. A PINS will also not be submitted in connection with the decision to maintain an ANS under the stabilized maintenance option. APPA reserves the right to, but is not required, to submit a PINS form at the initiation of a project to reaffirm or withdraw an American National Standard.

If APPA receives written comments within 30 days from the publication date of a PINS announcement in Standards Action that a proposed standard duplicates or conflicts with an existing American National Standard (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 days from the comment deadline. Such a deliberation shall be organized by APPA and the commenter and shall be concluded before APPA may submit a proposed standard for public review. If the deliberation does not take place within the 90-day period, APPA will be charged with demonstrating that it has made a good faith effort to schedule and otherwise organize it. 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.

The outcome of a PINS deliberation shall be conveyed in writing (the “Deliberation Report”) within 30 days after the conclusion of the deliberation by APPA to the commenter and to ANSI. Upon submission of the Deliberation Report, APPA may continue with the submission of the proposed standard for public review. If additional deliberations take place, APPA shall 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, APPA shall include all of the Deliberation Report(s) with the BSR-9 submittal to the ANSI Board of Standards Review (BSR) for consideration should APPA ultimately submit the subject standard to ANSI for approval.

APPA reserves the right not to be bound by the outcome of a PINS-deliberation (unless binding provisions are agreed to by APPA). However, APPA shall make a good faith effort to develop a consensus with deliberation participants with regard to whether and how the standards development project should proceed.

## 6. Public Review and Comments<sup>1</sup>

Proposals for new ANS and proposals for revision, reaffirmation, or withdrawal of an ANS shall be transmitted to ANSI using a BSR-8/108 form for listing in the Standards Action in order to provide opportunity for public comment.

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

The comment period shall be one of the following:

- a. A minimum of thirty 30 days if the full text of the revision(s) can be published in *Standards Action*; or,
- 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 from which it can be obtained by the public is provided to ANSI for announcement in the *Standards Action*; or,
- c. A minimum of sixty days, if neither of the aforementioned options is applicable.

## 7. Organization

The APPA standards program shall consist of APPA serving as the Administrator, the APPA Working Groups (serving as ANSI Standards Writing Committees), and the APPA Standards and Codes Council.

### 7.1 APPA Work Groups

An APPA Work Group is responsible for drafting the content of an ANS. It also makes the initial determination to revise, reaffirm, or withdraw an existing ANSI/APPA standard. It completes its review and submits to the APPA Standards and Codes Council. The Work Group is responsible for responding to all written views and objections on the draft content of ANSs. APPA Work Groups shall be sufficiently diverse to ensure reasonable balance without dominance by one particular interest category or corporation in accordance with the *ANSI Essential Requirements*. APPA will strive for balance of all interested and affected parties giving them an opportunity to participate in the development of any ANS developed by APPA. If a Work Group decides a standard is appropriate for continuous maintenance, the published standard shall include a clear statement of the intent to consider requests for change and information on the submittal of such requests. No portion of the standard shall be excluded from the revision process.

- a. Revisions to a standard under continuous maintenance will be published quarterly (at the least) on the APPA website. In the event that no revisions are issued for a period of four years, action to revise, reaffirm, or withdraw the standard shall be initiated in accordance with the procedures contained herein for periodic maintenance.
- b. Each request for change will be reviewed by the Work Group through the voting procedures defined within these *APPA Accredited Procedures for the Development of American National Standards*.

### 7.2 APPA Standards and Codes Council (ASCC)

The APPA Standards and Codes Council reviews all final draft standards or revisions to standards prepared by a Work Group for technical and editorial accuracy and to offer comment to the Work Group, and to ensure that that standard follows the editorial style commonly associated with an ANS. The ASCC also makes the final determination as to whether to create a new Work Group or dissolve an existing Work Group.

Responsibilities of the APPA Standards and Codes Council (ASCC):

- a. Establishes new Work Groups and dissolves Work Groups on behalf of the APPA Board of Directors
- b. Appoints Work Group Chairs
- c. Monitors performance of the Administrator in supporting the APPA standards program and the Work Groups.
- d. Review all draft standards for editorial and content accuracy. ASCC comments and suggested edits are then returned to the Work Group for approval and at the Work Group's sole discretion.

After the completion of ASCC review for technical and editorial accuracy and comment, the draft or revision is returned to the Work Group. The Work Group shall consider whether to adopt the ASCC proposed changes and comments to the final draft, but is not obligated to accept the ASCC proposed changes and comments. All comments, including those stemming from public review and those originating from the ASCC will be responded to, and those whose comments are left unresolved will be notified in writing of their right to appeal to APPA in accordance with its appeals policy. Any comments that affect substantive change in the draft will result in it being relisted for another phase of public review. Furthermore, in the event of an unresolved objection or a substantive proposed change, an "attempt at resolution" will be enacted, during which a recirculation ballot is conducted to allow ASCC members to respond, reaffirm, or change their initial votes. Afterwards, upon final approval by the Work Group, the final draft is introduced into the ANSI consensus process for development as an American National Standard. The draft is

subject to ballot and comment by ANSI Public Review followed by (a) review and resolution of comments and objections, (b) re-circulation ballot (s) for unresolved negatives and substantive changes, and finally (c) submittal to ANSI. The actions of the Work Group and the public review determine the content of the standard; not APPA or the APPA Standards and Codes Council.

## 7.3 Responsibilities of the Administrator (APPA)

- a. Overseeing compliance with ANSI procedure by Work Groups;
- b. Maintaining a roster of the Work Groups authorized by the ASCC, and the list of ANSI standards for which each Work Group is responsible;
- c. Providing staff to perform administrative work, including secretarial services; preparation of meeting notices and the handling of meeting arrangements; preparation and distribution of meeting agendas, minutes, ballots, and draft standards; and maintenance of adequate records;
- d. Submitting candidate standards approved by the Work Group, with supporting documentation, for ANSI review and approval as American National Standards;
- e. Performing other administrative functions as required by these procedures;
- f. Publish approved, revised, and/or reaffirmed standards;
- g. Record and distribute the minutes of all WG meetings;
- h. Conduct ballots when required;
- i. Oversee compliance with the *ANSI Essential Requirements*;
- j. Maintain, distribute, and ensure compliance with Standards Development Policies and Procedures;
- k. Receive applications for Work Group participation or membership;
- l. Maintain all necessary records pertaining to Work Group and subgroup activities,
- m. Perform other functions that may be materially necessary to the standards process.

## 8. Discontinuance of a Project

- a. The Administrator shall be permitted to abandon the processing of a proposed new or revised standard or portion if the Work Group approves such an action.
- b. Discontinuance of a project after the PINS announcement shall be handled in accordance with these Procedures.
- c. The Administrator shall determine whether announcement for such an action in suitable media is appropriate.

## 9. Interest Categories

### 9.1 Producer

A Producer is a manufacturer or supplier of products and services used by educational institutions to construct, operate, maintain and support facilities, grounds, and all physical assets found on an educational institution campus or property.

### 9.2 User

Any educational institution that maintains and supports facilities, grounds, and physical assets used in the delivery of academic teaching, education, and instruction, such as higher education institutions (to include public and private four-year and two-year colleges and universities from all Carnegie Classes); Kindergarten through 12th Grade (K-12) public and private schools and systems; museums; libraries; and other institutions whose mission is to provide education and instruction and that maintain facilities and grounds.

### 9.3 General Interest

An entity or individual with reasonable interest and experience in education, who does not qualify as either a Producer or User. This category includes but is not limited to consultants, academia, insurance companies, testing laboratories, government agencies, branches of the military, public interest organizations, and “not-for-profits” having an interest in educational facilities.

## 10. Membership Roster

The Administrator shall maintain a roster of Work Group members and shall post it on the APPA website.

## 11. Removal from Work Group Membership

Work Group members will be subject to removal upon any of the following:

- a. Failure to actively participate in Work Group meetings, proceedings or responsibilities (Unexcused)
- b. Failure to return two consecutive ballots (Unexcused)
- c. Failure to attend two consecutive meetings (including conference calls and internet based meetings) (Unexcused)
- d. Failure to respond to all communication attempts by the Work Group chair or by the Administrator.

The Work Group Chair may recommend removal of a committee member for not abiding by the Work Group guidelines on professional behavior and decorum. A majority vote (greater than 66 percent) of the Work Group, signifying in favor of removal of a Work Group member, is required.

## 12. Change or Termination of Membership Status on Work Group

Work Group members must notify the Administrator within thirty (30) days of any changes in employment affecting representation or interest category to the committee or consensus body and must submit a new application if continued membership on a Work Group is desired.

Work Group members resigning membership from the committee must tender a written resignation to the Administrator giving the effective date and reason for resignation.

## 13. Meeting Notification, Minutes, Decorum, and Related Requirements

### 13.1 Work Group Meeting Notices

The Chair, by way of the Administrator, shall issue a meeting notice to all Work Group members specifying the date, time, and place of meetings at least thirty (30) days in advance for face-to-face meetings and at least fifteen (15) days for teleconference and virtual meetings (if not regularly scheduled).

### 13.2 Work Group Meeting Agendas

The Work Group Chair shall develop an agenda for each meeting and forward it to the Administrator at least seven (7) days prior to meetings.

### 13.3 Attendance Records

Each member is expected to attend each meeting. The Administrator shall maintain records of attendance.

### 13.4 Meeting Minutes

The Administrator shall record the minutes of meetings and distribute the draft copy to all members within forty-five (45) days. The minutes of each meeting shall contain the date of the meeting; a list of Work Group members attending; the time the meeting opened and its location; approval of previous minutes, if appropriate; action items; and the time the meeting adjourned.

### 13.5 Meeting Parliamentary Procedures

For any procedural issues not covered under these procedures, Robert's Rules of Order (latest edition) shall apply on questions of parliamentary procedure.

### 13.6 Meeting Observers

Attendance of a Work Group meeting by interested parties as observers shall be permitted. Participation by any observers shall be at the discretion of the Chair. The Chair shall also have the authority to exclude an observer who has engaged in disruptive behavior.

## 13.7 Quorum

Participation, either a face to face meeting or via teleconference or electronically of a simple majority (51%) of the members of a Work Group shall constitute a quorum for conducting business at the Work Group's meeting. If a quorum is not present, final actions shall only be achieved subject to subsequent consensus ballot by the Work Group.

## 14. Communications and Written Correspondence

All formal, written correspondence of the Administrator, the ASCC, and Work Group Chairs, should be on APPA letterhead or, if by electronic means not in the format of a letter or memorandum, it must be clear that they are communicating in such capacity. All official Work Group correspondence, including meeting notices, agendas, reports and ballots, shall be distributed by the Administrator. Copies of all other correspondence, print, electronic or otherwise, among and between ASCC members and Work Group members, relating to APPA standards activities or the activities of the Work Group, shall be forwarded to the Administrator.

### 14.1 External communication

Inquiries relating to the Work Groups and the ASCC should be directed to the Committee Chair and to the Administrator, as well as to all committee members. All replies to inquiries shall be made through the Administrator within 30 days.

- a. General inquiries relating to Work Group activities shall be directed to the Work Group Chair.
- b. Work Group members should refer individuals who contact them to the Chair.

## 15. Voting

Consensus ballots will be used by a Work Group for approval, revision, reaffirmation, withdrawal of, or substantial changes to an ANS and/or a candidate ANS. All members of the Work Group shall have the opportunity to vote within the deadline. When recorded votes are taken at meetings, members who are absent shall be given the opportunity to vote before or after the meeting. Consensus ballots may be initiated by the Work Group Chair, or by a majority of members present at a meeting. Votes may be obtained by letter, recorded votes at a meeting or electronic means. All Work Group members will be given the right to vote on ANS-related actions regardless of attendance at meetings.

No representative or organization/company shall have more than one vote.

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

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

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

A majority (51%) of the Voting Members of a Work Group constitutes a quorum. The act of a two-thirds majority (66%) of the Voting Members of a Work Group present at a meeting at which a quorum is present shall decide the actions of the committee. When less than a quorum is present at a meeting, those present may take actions and adopt resolutions that must be subsequently ratified by a majority vote at a meeting of a quorum or by mail, e-mail, fax, or other written or electronic means.

### 15.1 Voting period

The voting period for mailed paper letter ballots shall end 30 days from the date of issue or as soon as all ballots are returned, whichever comes earlier. Fifteen (15 days) shall apply for ballots conducted electronically. An extension may be granted at the chair's option, when warranted.

## 15.2 Authorization of letter ballots

Letter balloting may take place electronically via email, and/or by postal mail. A letter ballot shall be authorized by any of the following:

- a. Majority vote of those present at a Work Group meeting;
- b. The Chair.

## 15.3 Proxy Votes

Voting Members of a Work Group may choose to hire a proxy to attend the Working Group meetings and represent the Voting Member.

## 16. Publication

Standards approved as an ANS, shall be published no later than 6 months after approval. A request for an extension of this deadline may be filed with ANSI. APPA shall publish the standard and/or grant the right of publication to ANSI.

## 17. Appeals Procedure

### 17.1 Policy

Persons who have directly and materially affected interests and who have been or will be adversely affected by any procedural action or inaction by APPA with regard to the development of a proposed ANS or the revision, reaffirmation, or withdrawal of an existing ANS shall have the right to appeal.

### 17.2 Complaint

The appellant shall file a written complaint with the Work Group Chair within thirty (30) days after the date of notification of action or at any time with respect to inaction. The appellant has the responsibility of demonstrating adverse effects.

### 17.3 Response

After receipt of the complaint, the Work Group Chair shall respond in writing to the appellant, in an effort to resolve the complaint through an informal process. If feasible, the response to the appellant will occur within thirty (30) days. Otherwise, the appellant will be advised as to the reason for a delay.

### 17.4 Hearing

If the appellant and the Work Group Chair are unable to resolve the written complaint informally in a manner consistent with these procedures, the Chair shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least fifteen (15) calendar days' notice.

### 17.5 Appeals Panel

The appeals panel shall be appointed by the Work Group Chair. The appeals panel shall consist of three individuals who have not been directly involved in the matter in dispute and who will not be materially or directly affected by any decision made or to be made in the dispute. The appellant must be notified of the panel's composition and given the opportunity to object to the composition of the panel.

### 17.6 Conduct of the Hearing

The appellant has the responsibility of demonstrating adverse effects. The respondent has to demonstrate that the Work Group and APPA took all actions in compliance with these procedures. Each party may present pertinent arguments, and members of the appeals panel may address questions to individuals.

## 17.7 Decision

The appeals panel shall render its decision in writing within thirty (30) days, to the Chair presenting the findings of facts and conclusions, with reasons therefore, citing the evidence. The Chair shall notify the appellant and the Work Group of the decision of the appeals panel, which shall be binding. The findings may include the following positions:

- a. Finding for the appellant, giving specific issues and facts in regard to which actions or inactions were not taken with subsequent remanding the action to the Work Group and APPA.
- b. Finding for the Work Group and/or APPA, that all actions or inactions were taken in compliance with these procedures.

## 18. Interpretation Procedure

### 18.1 General

Formal interpretations are for the purpose of providing a clarification of the meaning or intent of the language or the content of the published standard.

### 18.2 Process

All requests for interpretation or clarification shall be submitted in writing to the Administrator for review before action by any Work Group. The Administrator shall issue an interim acknowledgment of the inquiry. Simple requests for information about a standard shall be answered by the Administrator, in consultation with the relevant Work Group Chair, as appropriate. Other requests shall be forwarded by the Administrator to the Chair of the Work Group that developed the standard. The Work Group Chair may appoint an ad hoc advisory group of Work Group members to draft a recommended response for review by the Work Group. The ad-hoc advisory group may include former members of the Work Group or other persons with subject matter expertise who are familiar with the standard and the issue or questions addressed in the request. A response shall be suitable for general understanding and use. It shall not be formulated for a particular proprietary design or circumstance. Approval of the recommended response shall be approved by at least two-thirds of the Work Group. The Administrator shall review the drafted response and submit it to the Work Group members for majority approval (greater than 66 percent). Upon Work Group majority approval, the Administrator shall transmit a copy of the interpretation to the originator of the request and post it on the website.

## 19. Patent Procedure

APPA has adopted the Patent Policy as outlined in the ANSI Essential Requirements for ANS development.

## 20. Record Retention Procedure

It is the policy of APPA to establish and maintain records of standards development in compliance ANSI Essential Requirements: Due process Requirements for American National Standards. Records concerning new, revised, or reaffirmed standards maintained under the periodic maintenance option shall be retained for at least one complete standards cycle (or until the standard is revised). Records concerning new, revised, or reaffirmed standards maintained under the continuous maintenance option shall be retained for a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard. Records concerning standards maintained under the stabilized maintenance option shall be retained until the standard is reaffirmed, revised, or subsequently reviewed in connection with the stabilized maintenance of the standard. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal. APPA may also maintain a document in accordance with the provisions for the stabilized maintenance of a standard as described in 4.7.3 of the ANSI Essential Requirements.

## 21. Metric Policy

Each Work Group will use the International System of Units (i.e., the “Metric System”) as the system of measurement used and published within its American National Standards. At the Work Group’s discretion, U.S. Customary Units may also be included within an ANS but in parenthesis and adjacent to “Metric System” measurements.

## 22. Revisions to Work Group Standards Development Policies

Any revisions to these policies and procedures must be submitted by APPA to ANSI for processing, review, and approval. Any approved revisions to these Standards Development Policies and Procedures shall be effective upon ANSI approval and publication. Secretariat staff will distribute any updated versions of these policies and procedures to the Work Group(s).

## 23. Commercial Terms and Conditions

APPA has adopted the Commercial Terms and Conditions Policy as outlined in *The ANSI Essential Requirements for ANS development*.



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