



**ASC Z97 Procedures for the
Development and Coordination of
American National Standard ANSI Z97.1**

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Model procedures for Accredited Standards Committee Z97

1. General

These procedures are intended to meet the requirements for due process and development of consensus for approval, revision, reaffirmation and withdrawal of American National Standards (ANS) as given in Section 1 - Essential Requirements for Due Process, of the *ANSI Essential Requirements*.

Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has a right to participate by: a) expressing a position and its basis, b) having that position considered, and c) having the right to appeal. Due process allows for equity and fair play. The minimum acceptable due process requirements for the development of consensus are outlined in detail in the *ANSI Essential Requirements*.

2. Organization of the committee

The Accredited Standards Committee (ASC) shall consist of its consensus body, steering committee and secretariat. The ASC shall have a title, scope, and an interest classification system for its members. The ASC shall follow the normative policies and administrative procedures as outlined in Section 3 – Normative American National Standard Policies of the *ANSI Essential Requirements*.

3. Responsibilities

3.1 Consensus Body

The consensus body shall be responsible for:

- a) Voting on approval of proposed American National Standards within the scope of the ASC;
- b) Maintaining the standards developed by the ASC in accordance with Section 4.7 Maintenance of American National Standards, of the *ANSI Essential Requirements*;
- c) Adopting ASC policy and procedures for interpretations of the standard(s) developed by the consensus body.
- d) Other matters requiring consensus body action as provided in these procedures

3.2 Steering Committee

The Steering Committee shall be responsible for:

- a) Proposing American National Standards within the scope of the ASC;
- b) Responding to requests for interpretations of the standard(s) developed by the consensus body.
- c) Overall supervision and management of full Consensus Body
- d) Establish general policies, procedures and principles
- e) Adopting and implementing ASC procedures and revisions thereof;
- f) Membership review and balance, including review of disclosures for membership applicants and acceptance or modification of proposed membership categories during application of new members
- g) Financial responsibility and oversight for committee action
- h) Propose scope, purpose & duties for Task Groups
- i) Approve Task Group membership

- j) Facilitate resolution of Task Group issues
- k) Establish deadlines, schedules and milestones
- l) Coordination of overall standard review and revisions
- m) Direct the Secretary to initiate a PINS form through ANSI for any new ANS or the revision of an existing ANS.

3.3 Secretariat

The secretariat shall be responsible for:

- a) Applying for ASC accreditation by ANSI and maintaining accreditation in accordance with ANSI requirements, including submission of the consensus body roster;
- b) Overseeing the consensus body's compliance with these procedures;
- c) Maintaining a roster of the consensus body and a list of standards for which the consensus body is responsible;
- d) Providing a secretary to perform administrative work, including secretarial services; preparation of meeting notices and the handling of meeting arrangements; preparation and distribution of meeting agendas, minutes, ballots, and draft standards; and maintenance of adequate records;
- e) Submitting candidate standards approved by the consensus body, with supporting documentation, for ANSI review and approval as American National Standards;
- f) Performing other administrative functions as required by these procedures;
- g) The administrative secretariat shall provide a written agreement to ANSI defining explicit division of these responsibilities if composed of more than one organization (i.e., co-secretariats).
- h) The Secretariat shall annually submit budgets to the Steering Committee of the ASC for approval by a Yes/No/Abstain vote during a duly executed meeting or by ballot to project the expenses of the secretariat and the ASC as relate to ASC Z97.

3.4 Officers

There shall be a chair and a vice-chair appointed by the secretariat from the individual members or representatives of the consensus body, subject to approval by majority vote of the consensus body using a Yes/No/Abstain ballot format. Each will serve until a successor is selected and ready to serve. The vice-chair shall carry out the chair's duties if the chair is temporarily unable to do so. The secretary shall be appointed by the secretariat.

4. Membership

Members of the consensus body shall consist of organizations, companies, government agencies, individuals, etc., having a direct and material interest in the activities of the ASC. The selection and addition of members, along with their interest category, shall be subject to approval by a majority vote through a Yes/No/Abstain ballot of the consensus body after the application has been processed in accordance with 4.3. The termination of members shall be approved by the steering committee by majority vote at a duly executed meeting.

4.1 Application

A request for membership on the consensus body shall be addressed to the secretariat and shall indicate the applicant's direct and material interest in the ASC's work, qualifications and willingness to participate actively. In addition, if the applicant is an organization, company, or government agency, upon membership acceptance, that organization, company or government agency is then considered the ASC member. It shall then identify a representative and an alternate, if desired to participate on their behalf.

4.1.1 Interest categories

All appropriate interests that are directly and materially affected by the standards activity of the ASC shall have the opportunity for fair and equitable participation without dominance by any single interest category, individual, or organization. Participants from diverse interest categories shall be sought with the objective of achieving balance. Historically the criteria for balance are that:

- a) no single interest category constitutes more than one-third of the membership of the consensus body dealing with safety-related standards or
- b) no single interest category constitutes a majority of the membership of the consensus body dealing with other than safety-related standards.

Each member shall propose its own interest category during application for membership or at the time of committee reactivation as appropriate and in accordance with the consensus body's established categories. (See section 2.3 – Balance, of the ANSI Essential Requirements).

The interest categories shall be established or revised by a vote of the consensus body. The rationale for the selection of categories shall be included in the consensus body ballot and submitted to ANSI as part of the accreditation requirements. ASC Z97 currently has the established six (6) interest categories as defined:

- a) User, a party that purchases/uses safety glazing from a fabricator/distributor for installation in consumer owned materials or further procurement;
- b) Component Manufacturer, a party that manufactures materials used to make safety glazing;
- c) Fabricator/Distributor, a party that produces, manufactures, fabricates and/or distributes safety glazing;
- d) Professional Society/Trade Organization, an organization or society that has members with interest in safety glazing or has influence in product use areas;
- e) Testing Lab, a member of a facility that has interest due to qualification, certification and test procedures related to safety glazing; and
- e) General Interest, all others not affiliated with any above classification or public interest parties.

General interest applicants need to disclose who they are working for, if they are on retainer, being reimbursed or otherwise compensated in any way for participation in ASC Z97. If an individual is being compensated in whole or part for activities associated with ASC Z97, they must be assigned to the interest category of their sponsor. A company either by employee or compensated representative shall have no more than one vote.

4.1.2 Diverse interests

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

4.1.3 Combined interest

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

4.1.4 Observers and Individual Experts

Individuals and organizations having an interest in the ASC's work may request listing as observers. The consensus body may also select individual experts to assist it. Observers and Individual experts shall be subject to approval by vote at a duly executed meeting or by ballot of the steering committee. Observers

and individual experts shall be advised of the ASC's activities, may attend meetings, and may submit comments for consideration, but shall have no vote or be allowed to make a motion for the committee.

4.2 Steering Committee

4.2.1 General Membership

Application to become a member of the steering committee shall be made through the chair of the ASC. The chair shall determine acceptability of the applicant giving consideration to the issues of balance accuracy, size scope and workings of the steering committee. Pending acceptability by the chair, the member will be voted upon by the full ASC by a formal ballot using the Yes/No/Abstain format.

4.2.2 Positional Membership

The Chair, Vice-chair and Secretary of the ASC shall be members of the steering committee

4.2.3 Balance

The steering committee shall be balanced by interest category with no more than 50% being from one category.

4.2.4 Membership Application

When an application for membership is denied due to lack of balance, that candidate shall be invited to resubmit their application when their interest category is available.

4.2.4.1 Recommendation for Consensus Body Action

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

- a) Need for active participation by each interest;
- b) Potential for dominance or imbalance by a single interest category;
- c) Extent of interest expressed by the applicant and the applicant's willingness to participate actively;
- d) The representative identified by the applicant organization, company, or government agency.

4.3 Review of membership

The steering committee shall review the consensus body membership list annually with respect to the criteria of Section 4.1. Members are expected to fulfill obligations of active participation. Where a member is found in habitual default of these obligations, the secretary shall direct the matter to the steering committee for appropriate action, which may include termination of membership.

Active participation is defined at a minimum as, payment of membership dues within six (6) months of invoice date and timely response to formal balloted items. If a member or designate does not respond to three (3) consecutive formal balloted items prior to the closing date of the ballot, the ASC secretary will propose that membership be terminated by the ASC Steering Committee. The Steering Committee will take under advisement any extenuating circumstances as presented by the non-participating member and has the authority to continue the membership for a maximum of two (2) additional ballots.

The steering committee shall review and approve all applications for membership prior to ballot. Giving consideration to balance, membership category, accuracy and adherence to procedural issues.

4.4 Membership roster

The secretariat shall maintain a current and accurate consensus body roster and shall distribute it to the members and their consensus body representatives at least annually during active meeting cycles; and otherwise on request. The roster shall include the following:

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

4.5 Membership Fees

Membership fees will be determined after the ASC Steering Committee reviews the annual budget submitted by the Secretariat. Budget deficits, or projected budget deficits, if any, shall be paid by special assessment or added to the budget of the following annual period and, except as otherwise provided in (a) hereof, all expenses of the secretariat and the ASC shall be assessed pro rata to and paid by the non-exempt members as defined below. All other members shall be non-exempt and participate pro rata in the payment of expenses of the secretariat and the ASC.

- a) The following members shall be exempt from the payment of expenses of the Secretariat and the ASC:
 - a. Individual members whose memberships and meeting attendance are supported entirely from personal funds;
 - b. Bona fidae, non-profit or not-for-profit public interest members.
 - c. Observers and individual experts
- b) Membership fee waiver may be granted in case of hardships by written request to the Chair and approval by the Steering Committee.
- c) Subject to a majority vote of the non-exempt members, the secretariat will grant exempt status to members requesting it, upon the submission of a written request of the requesting member, which contains adequate information to determine the propriety of the request.

4.6 Membership Modifications

- a) Modifications for a member organization, company, or government agency consisting of changes in the identity of the primary or affiliate representative or company name must be submitted to the Secretary in written form through hard copy or electronic mail. Such changes will be deemed technical and ministerial, will not require a vote of the full committee, and shall be noted in the next report by the Secretary to the committee.
- b) Individual participants on the committee who are not under consideration for dismissal for inactivity and have been representatives of a member organization, company or government agency for a minimum of 5 years may, upon leaving the full time employment of such organization, company or government agency, request re-assignment as an individual full committee member. Full disclosure of any affiliation or compensating support for participation is mandatory. A statement of affiliation, compensation or other support must be provided with the request to become an individual member.

The Steering Committee shall vote upon this request for member re-assignment, giving consideration to committee balance. Continuation of this member in committee activities will be announced to the Full Committee, but a vote of the Full Committee will not be required unless objection is raised to the Chair or Secretary of the committee in written form through hard copy or electronic mail, by three or more members of the Full Committee within 30 days of the announcement. The announcement shall carry a notice informing committee members of the comment period and terms for reconsideration.

5. Task Groups created by the consensus body

Task Groups are formed to expedite the work of the consensus body, their formation requires approval by a majority vote of the consensus body present at a duly executed meeting or by formal ballot. The scope and duties delegated to the Task Groups shall be approved at the time it is formed, and subsequent changes in scope or duties shall also require approval by a majority vote of the consensus body present at a duly executed meeting or by formal ballot by the consensus body. The charge to the Task Group shall clearly state whether:

- a) The Task Group and its Working Groups are responsible for the definitive content of one or more standards and for responding to views and objections thereon. Such Task Groups and Working Groups shall maintain a membership roster and shall comply with the voting provisions of Section 7 as applied to voting on the standard(s); or
- b) The Task Group is responsible for assisting the consensus body (e.g. drafting all or a portion of a standard, drafting responses to comments, drafting positions on international standards, or other purely advisory functions).
- c) Task Groups shall be disbanded by majority vote of the Steering Committee at a duly executed meeting or by formal ballot.

5.1 Chairperson and members of Task Groups

The chair and members of a Task Group shall be appointed by the Chair of the consensus body and confirmed by a majority vote of the steering committee present at a duly executed meeting or by formal ballot. The scope, duties, and membership of all Task Groups shall be reviewed by the consensus body annually. The officers and members of a Task Group shall be members or representatives of company members of the consensus body. Task Groups present their developed content to the full committee for acceptance and inclusion in the standard.

5.2 Working groups

The Task Group Chair may create Working Groups to assist in the work of the Task Group. Members of the Working Group shall be members or representatives of members or representatives of company members of the consensus body. Working Groups provide their content to the Task Group which reviews and accepts the content or rejects it and turns it back to the Working Group for revision. Working Groups shall be disbanded by the Task Group chair upon completion of their work.

6. Meetings

Consensus body meetings shall be held, as decided upon by the consensus body, the chair, the secretariat, or by petition of five or more members, to conduct business, such as making assignments, receiving reports of work, considering draft standards, resolving differences among Task Groups, and considering views and objections from any source. Meetings of Task groups may be held as decided upon by the members or chair of the Task Group.

6.1 Open meetings

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

6.2 Quorum

6.2.1 Consensus Body Quorum

Thirty-three percent of the members of the consensus body present in person, by proxy, or through their alternates, at the commencement of a duly noticed meeting at which the Chairman or Vice-Chairman and the Secretary are present shall constitute a quorum for conducting business at a meeting.

If a quorum is not present, actions shall only be taken subject to subsequent confirmation by formal ballot or vote at a future meeting.

6.2.2 Steering Committee Quorum

Fifty percent of the members of the steering committee present in person at the commencement of a duly noticed meeting at which the Chairman or Vice-Chairman and the Secretary are present shall constitute a quorum for conducting business at a meeting. The chair or vice-chair may appoint a temporary secretary for the purposes of conducting business at a duly notified meeting in the event that the secretary is not present.

If a quorum is not present, actions shall only be taken subject to subsequent confirmation by formal ballot or vote at a future meeting.

7. Voting

7.1 Vote

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

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

For votes on membership and officer-related issues, the affirmative/negative/abstain method of voting shall be followed. Votes with regard to these issues need not be accompanied by reasons and need not be resolved or circulated to the consensus body.

7.1.1 Votes of alternates and Proxies

7.1.1.1 Consensus Body

An alternate's vote is counted only if the principal representative fails to vote. A member or alternate of

the consensus body may by written proxy delivered to the Secretary, and accepted by the Chairman or Vice- Chairman prior to the meeting, or after the meeting has commenced, appoint another person present at the meeting to vote at the meeting for the member or alternate. No member or alternate may vote more than two proxies.

7.1.1.2 Steering Committee

A member of the steering committee may, by written proxy delivered to the Secretary and accepted by the Chairman or Vice-Chairman prior to the meeting or after the meeting has commenced, appoint another person present at the meeting to vote at the meeting for the member. No member may vote more than one proxy.

7.1.2 Single vote

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

7.1.3 Voting period

The voting period for formal ballots shall end 30 days from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chair's option, when warranted.

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

7.1.4 Absentee Voting

Any consensus body member unable to attend a meeting where a formal recorded ballot is taken, or is to be taken regarding the approval of the full standard document or portion thereof, shall be provided the opportunity to submit a formal vote either before or after the meeting, or by designated proxy at the meeting. The vote shall be cast no later than 30 days after the formal recorded ballot. This applies to ballots related to the approval of the standard or portion of the standard only.

8. Approval of standards

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

8.1 Substantive change

A substantive change in a proposed American National Standard is one that directly and materially affects the use of the standard. Examples of substantive changes are below:

- a) Title, Scope, purpose and limitations changes/modifications.
- b) “shall” to “should” or “should” to “shall”;
- c) addition, deletion or revision of requirements, regardless of the number of changes;
- d) addition of mandatory compliance with referenced standards.

8.2 Actions requiring approval by a majority

8.2.1 Formal Ballot Majority Approval

The following actions require approval by a majority of the membership of the consensus body by formal ballot

- a.) Confirmation of officers appointed by the secretariat;
- b.) Addition of new consensus body members and designation of their interest categories;
- c.) Approval of an existing standard.

8.2.2 Meeting or Ballot Majority Approval

The following actions require approval by a majority of the membership present at a duly executed meeting or by formal ballot

- a.) Formation of a Task Group, including its scope and duties;
- b.) Reports provided to the consensus body
 - a. Approval of minutes from previous meetings
 - b. Membership roster approval
 - c. Financial Report approval
 - d. Secretaries Report approval

8.3 Actions requiring approval by two-thirds of those voting

The following actions require a formal ballot, with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions:

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

8.4 Authorization of formal ballots

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

- a) Majority vote of those present at a consensus body meeting;
- b) The Chair;
- c) The Steering Committee;
- d) The secretariat;
- e) Petition of five or more members of the consensus body.

8.5 Project Initiation Notification (PINS)

At the initiation of a project to develop or revise an American National Standard, notification shall be transmitted 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 the current *ANSI Essential Requirement* procedures.

8.6 Notification of standards development and coordination

8.6.1 Notification of Standards Activity

Notification of standards activity shall be announced in suitable media as appropriate to demonstrate the opportunity for participation by all directly and materially affected persons. At the initiation of a project to develop or revise an American National Standard, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *Standards Action*. A statement shall be submitted and published 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 or ISO/IEC JTC-1 standard; and
- (b) identification of the stakeholders (e.g., telecom, consumer, medical, environmental, etc.) 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. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard. Comments received in connection with a PINS announcement shall be handled in accordance with these procedures.

A PINS is not required for revisions of an American National Standard that is maintained under continuous maintenance and (1) is registered as such on the ANSI website, (2) has a notice in the standard that the standard is always open for comment and how to submit comments, and (3) has information on the developer's website that the standard is under continuous maintenance and how to submit comments. A PINS is also not required in connection with the decision to maintain an ANS under the stabilized maintenance option.

8.6.2 Public Review of Proposed Standards

In addition, 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, or its equivalent, for listing in *Standards Action* in order to provide an opportunity for public comment. If it is the case, then a statement of intent to submit the standard for consideration as an ISO or ISO/IEC JTC-1 standard shall be included as part of the description of the scope summary that is published in *Standards Action*. 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.

Such listing may be requested at any stage in the development of the proposal, at the option of the standards developer, and may be concurrent with final balloting. However, any substantive change subsequently made in a proposed American National Standard requires listing of the change in *Standards Action*.

8.6.3 Assertions of conflict or duplication

If a developer 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 (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 the developer and the commenter and shall be concluded before the developer may submit a proposed standard for public review. If the deliberation does not take place within the 90-day period and the developer can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer 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

8.6.4 PINS Deliberation Report

The outcome of a PINS deliberation shall be conveyed in writing (the “Deliberation Report”) within 30 days after the conclusion of the deliberation by the developer to the commenter and to ANSI. Upon submission of the Deliberation Report, the developer may continue with the submission of the proposed standard for public review. 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 developer 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 developer ultimately submit the subject standard to ANSI for approval. Stakeholders who were involved in the PINS deliberation process may also file separate Deliberation Report(s) with ANSI and the developer within 30 days after conclusion of any deliberation for consideration by the BSR, if the standard is submitted to ANSI for approval. In the case of ANSI Audited Designators, the Audited Designator shall provide a Deliberation Report to the commenter and to ANSI within 30 days after each deliberation. The Audited Designator shall review the results of the deliberation prior to designating a standard as an ANS.

While the outcome is not binding, unless binding provisions are agreed to by the developer, participants are encouraged to develop a consensus on whether and how the standards development project should proceed.

8.6.5 World Trade Organization

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.)

8.7 Consideration of views and objections

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

In connection with an objection articulated during a public comment period, or submitted with a vote, an effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made, and each such objector shall be advised in writing (including electronic

communications) of the disposition of the objection and the reasons therefore. If resolution is not achieved, each such objector shall be informed in writing that an appeals process exists within procedures used by the standards developer. In addition, except in the case of Audited Designators, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved (see definition) must be reported to the ANSI BSR.

When this process is completed in accordance with the written procedures of the standards developer, the standards developer may consider any comments received subsequent to the closing of the public review and comment period or shall consider them in the same manner as a new proposal. Timely comments that are not related to the proposal under consideration shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified.

Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote.

8.8 Evidence of consensus and consensus body vote

Evidence of consensus in accordance with these procedures and the accredited procedures of the standards developer shall be documented. Consensus is demonstrated, in part, by a vote of the consensus body. The developer's procedures shall state specifically how consensus will be determined.

An example of the criteria for consensus includes a requirement that a majority of the consensus body cast a vote (counting abstentions) and at least two-thirds of those voting approve (not counting abstentions). The developer may submit for approval an alternative methodology for determining consensus.

The consensus body vote shall be conducted and reported in accordance with the rules set forth herein. Votes for the approval of a document or portion thereof as a candidate ANS may be obtained by letter, fax, recorded votes at a meeting or electronic means. All members of the consensus body shall have the opportunity to vote. When recorded votes are taken at meetings, members who are absent shall be given the opportunity to vote before or after the meeting.

- a) ANSI-Accredited Standards Developers (ASDs) shall not change a vote unless instructed to do so by the voter. If the change of vote was not submitted in writing by the voter, then written confirmation of such a vote change shall be provided to the voter by the developer. It is never appropriate for an ASD to inform voters that if they are not heard from, their negative vote will be considered withdrawn and their vote will be recorded as an abstention or an affirmative. All negative votes that are not changed at the request of the voter shall be recorded and reported to the BSR as unresolved negatives by any ASD that has not been granted the authority to designate its standards as American National Standards without approval by the BSR.
- b) ASDs shall record and consider all negative votes accompanied by any comments that are related to the proposal under consideration. This includes negative votes accompanied by comments concerning potential conflict or duplication of the draft standard with an existing American National Standard and negative votes accompanied by comments of a procedural or philosophical nature. These types of comments shall not be dismissed due to the fact that they do not necessarily provide alternative language or a specific remedy to the negative vote.
- c) ASDs are not required to consider negative votes accompanied by comments not related to the proposal under consideration, or negative votes without comments. The ASD shall indicate

conspicuously on the formal ballot that negative votes must be accompanied by comments related to the proposal and that votes unaccompanied by such comments will be recorded as “negative without comments” without further notice to the voter. If comments not related to the proposal are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal. If clear instruction is provided on the ballot, and a negative vote unaccompanied by comments related to the proposal is received notwithstanding, the vote may be counted as a “negative without comment” for the purposes of establishing a quorum and reporting to ANSI. However, such votes (i.e., negative vote without comment or negative vote accompanied by comments not related to the proposal) shall not be factored into the numerical requirements for consensus, unless the ASD’s procedures state otherwise. The ASD is not required to solicit any comments from the negative voter. The ASD is not required to conduct a recirculation ballot of the negative vote. The ASD is required to report the “no” vote as a “negative without comment” when making their final submittal to the BSR unless the ASD has been granted the authority to designate its standards as American National Standards without approval by the BSR.

- d) The ASD shall maintain records of evidence regarding any change of an original vote.

8.9 Report of final result

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

9. Submittal of standard

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

The information supplied to ANSI by the secretariat shall include all relevant material required by ANSI as outlined in section 4.2.1.1 h) 1-9 of the ANSI Essential Requirements. If the secretariat does not submit the proposal to ANSI within a reasonable period of time, any member(s) of the consensus body may make the submittal.

10. Discontinuance of a project

- a) A project (committee, Task Group etc.) may abandon the processing of proposed new or revised content or portion thereof if it the work is deemed unnecessary by the officially established group. A written justification for such an action shall be presented to the Officers of the ASC and made available upon receipt of any written request received from an ASC member within 60 days of the date of the final action. ASC Z97 will notify ANSI of the discontinuance of a standards project.
- b) The ASC Steering Committee may decide to abandon the processing of a proposed new or revised American National Standard or portion thereof at its own discretion by a majority vote of the Steering Committee, and without a vote of the relevant consensus body. Accredited standards developers must notify ANSI immediately of such actions which will be announced in Standards Action.

11. Withdrawal of standard

An American National Standard must be supported by an ANSI-Accredited Standards Developer. If an accredited standards developer wishes to withdraw its approval of one or more of its American National Standards, it may do so, with a majority vote of the Steering Committee, without a vote of the relevant consensus body. If an accredited standards developer does withdraw one or more of its American National Standards, then the standards developer shall notify ANSI immediately and the standard shall be withdrawn as an ANS and announced in Standards Action.

12. Termination of ASC

A proposal to terminate an Accredited Standards Committee may be made by a directly and materially affected interest. The proposal shall be submitted in writing to the Secretariat of the ASC (currently Glazing Industry Secretariat Committee hereafter “GISC”) and shall include at least the following:

Reasons why the ASC should be terminated;

- a) The name(s) of the organization(s) that will assume responsibility for maintenance of any existing American National Standard(s) that is(are) the responsibility of the consensus body.
- b) If it appears, after review by Secretariat and discussion among the proponent of the action, that the desired objectives can best be reached by termination, the proposal and supporting documentation shall be submitted to the committee with a Formal ballot to terminate the committee and transfer responsibility, as appropriate, for the affected standards. The proposal for termination of the ASC shall be announced for comment in Standards Action.

13. Communications

Correspondence between and from ASC officers should carry the designation of “ASC Z97” in the header or title bar of electronic or printed documents.

13.1 Formal internal communication

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

13.2 External communication

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

13.3 Requests for interpretation of standards

Written inquiries requesting interpretation of the ASC’s approved American National Standards shall be responded to in accordance with the policy of the ASC (see Annex A.4). Revisions to the standard resulting from requests for interpretations shall be processed in accordance with these procedures.

14. Appeals

ASC appeals policy will be followed in the event any person who have direct and material interests and who have been adversely affected by a procedural action or inaction of the consensus body of the secretariat. (see Annex A.1)

15. Parliamentary procedures

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

Appendix A – POLICIES

A.1 ANTITRUST POLICY

This section sets forth the Accredited Standards Committee Z97's ("ASC" or "Corporation") antitrust policy and the rules of conduct and compliance procedures which govern all ASC Z97 meetings, events, activities, deliberations, discussions, presentations, programs. These formal guidelines are intended to accomplish two things: (1) to prevent the occurrence of an actual antitrust violation in the course of ASC activities, and (2) to prevent inadvertent conduct which might give the appearance of an antitrust violation to someone unfamiliar with ASC's nature and purposes. These guidelines are designed to protect members of the Corporation and their respective employers and ASC from any accusation of wrongdoing arising out of any member's participation in ASC activities.

Each member is further urged to advise his or her colleagues and corporate officers of ASC's comprehensive antitrust compliance program, so that their continued support can be relied upon for their participation in ASC Activities.

A1.1 STATEMENT OF ANTITRUST POLICY

It shall be the responsibility of every member of ASC to be guided by ASC's policy of strict compliance with all applicable antitrust laws in all ASC activities. ASC is not intended to, and may not, play any role in the competitive decisions of its members or their employers, or in any way restrict competition in the paper and related industries. It shall be the special responsibility of all ASC officers to ensure that this policy is known and adhered to in the course of ASC activities pursued under their leadership.

It shall be the responsibility of every member of ASC to be guided by ASC's policy of strict compliance with all applicable antitrust laws in all ASC Activities. It shall be the special responsibility of all ASC corporate officers to ensure that this policy is known and adhered to in the course of ASC Activities pursued under their leadership.

Antitrust compliance is the responsibility of every ASC member. Any violation of the ASC "General Rules of Antitrust Compliance" or this general policy will result in immediate suspension from membership in the Corporation and immediate removal from any Corporation office held by a member violating this policy.

A.1.2 GENERAL RULES OF ANTITRUST COMPLIANCE

The following rules are applicable to all ASC activities and must be observed in all situations and under all circumstances without exception or qualification other than as noted below.

- a) Neither ASC nor any ASC member or group of ASC members or activity of ASC shall be used for the purpose of bringing about or attempting to bring about any understanding or agreement, written or oral, formal or informal, express or implied, among competitors with regard to prices, terms or conditions of sale, distribution, volume of production, territories or customers.
- b) No ASC activity or communication shall include discussion for any purpose or in any fashion of prices or pricing methods, production quotas or other limitations on either the timing or volume of production or sale, or allocation of territories or customers.
- c) No ASC member or group of members shall undertake any activity which involves exchange or

collection and dissemination among competitors of any information regarding prices or pricing methods.

- d) No ASC member or group of members should undertake the collection of individual firm cost data, or the dissemination of any compilation of such data, without prior approval of legal counsel provided by or through the Corporation's legal counsel.
- e) No ASC activity should involve any discussion of costs, or any exchange of cost information, for the purpose or with the probable effect of (a) increasing, maintaining or stabilizing prices; or, (b) reducing competition in the marketplace with respect to the range or quality of products or services offered.
- f) No discussion of costs should be undertaken in connection with any ASC activity for the purpose of or with the probable effect of promoting agreement among competing firms with respect to their selection of products for purchase, their choice of suppliers, or the prices they will pay for supplies.
- g) Scientific or technical papers and / or regulations published by ASC or presented in connection with ASC programs may refer to costs, provided such references are not accompanied by any suggestion, express or implied, to the effect that prices should be adjusted or maintained in order to reflect such costs. All papers containing cost information must be reviewed by the ASC legal counsel for possible antitrust implications prior to publication or presentation.
- h) Authors of materials or presentations made to members of the Corporation shall be informed of ASC's antitrust policy and the need to comply therewith in the preparation and presentation of their papers.
- i) No ASC activity or communication shall include any discussion which might be construed as an attempt to prevent any person or business entity from gaining access to any market or customer for goods or services, or to prevent any business entity from obtaining a supply of goods or otherwise purchasing goods or services freely in the market.
- j) No person shall be unreasonably excluded from participation in any ASC activity where such exclusion may impair such person's ability to compete effectively in the glass, glazing and/or fenestration industry.
- k) Neither ASC nor any member thereof shall make any effort to bring about the standardization of any product for the purpose of or with the effect of preventing the manufacture or sale of any product not conforming to a specified standard.
- l) No ASC activity or communication shall include any discussion which might be construed as an agreement or understanding to refrain from purchasing any raw material, equipment, services or other supplies from any supplier.
- m) All members are expected to comply with these guidelines and ASC's antitrust policy in informal discussions at the site of an ASC meeting, but beyond the control of its chairman, as well as in formal ASC activities.

A.2 APPEALS POLICY

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

A.2.1 COMPLAINT

The appellant shall file a written complaint with the secretariat within thirty days after the date of notification of action or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the section(s) of these procedures or the standard that is at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

A.2.2 RESPONSE

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

A.2.3 HEARING

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, the appellant may request a hearing within thirty (30) days of the date of notification that attempts have been made to resolve by the respondent. The request for hearing shall state the nature of the objection(s), and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted. The secretariat shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least ten working days' notice.

A.2.4 APPEALS PANEL

The appeals panel shall consist of three individuals who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute. At least two members shall be acceptable to the appellant and at least two shall be acceptable to the respondent. If the parties to the appeal cannot agree on an appeals panel within six weeks, the matter shall be referred to the ASC Steering Committee which shall appoint the members of the appeals panel.

A.2.5 CONDUCT OF THE HEARING

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

A.2.6 DECISION

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

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

The decision of the appeals panel shall be final.

The appellant shall receive a written copy of the appeals panel decision.

A.3 RECORD RETENTION POLICY

Records to demonstrate compliance with applicable aspects of the ANSI Essential Requirements and the developer's accredited procedures shall be available for audit as directed by the ANSI Executive Standards Council (ExSC).

Records shall be retained for a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard whichever is longer.

Records concerning withdrawals of all American National Standards shall be retained for at least five years from the date of withdrawal or for the duration consistent with the audit schedule.

A.4 METRIC POLICY

The International System of Units (SI), the modernized metric system, is the preferred units of measurement in American National Standards. Both SI and U.S. Standard units will be used in this standard. U.S. Standard units are regarded as standard, SI units appear in parentheses for reference only.

A.5 INTERPRETATIONS POLICY

Official interpretations of American National Standards shall be made only by the accredited standards developer responsible for maintenance of that standard. ANSI shall not issue, nor shall any person have the authority to issue, an interpretation of an American National Standard in the name of the American National Standards Institute. Requests for interpretations addressed to ANSI shall be referred to the responsible standards developer.

The Z97 Committee will render an interpretation of any requirement of the Standard in writing. The request for interpretation should be clear and unambiguous. The request for interpretation must be submitted in writing. The following format is recommended:

- a) Subject: Cite the applicable paragraph number(s) and provide a concise description.
- b) Edition: Cite the edition of the Standard for which the interpretation is being requested.
- c) Question: Phrase the question as a request for an interpretation of a specific requirement suitable for general understanding and use not a request for an approval of a proprietary design or situation.

Requests that are not in the above format may be rewritten by the Committee or its Secretary prior to being answered, which may inadvertently change the intent of the original request. The Committee reserves the right to deem certain requests for interpretations as not within its scope or expertise and

refuse to address them.

The steering committee will review requests and develop language to resolve the interpretation using the following procedure:

- a) Request for interpretation will be sent to all steering committee members for review.
- b) Steering committee will meet to review issue, draft response language or approve response language submitted to the committee for consideration.
- c) Secretary will draft response to the interpretation based on developed or agreed language and send to steering committee to approve or modify.
- d) Approval of interpretation response by 2/3 of steering committee is necessary for approval.
- e) Formal response will be prepared and sent to requestor and provided to members.
- f) Technical interpretations will be made available to the public through the website www.ansiz97.com.

The steering committee reserves the right to seek information and data from experts outside the committee as necessary in order to resolve interpretations.

The steering committee will respond to a written request for interpretation in writing within sixty (60) days of receipt by the ASC secretary. All interpretations will be made available to the ASC as they are issued. The committee reserves the right to reconsider any interpretation when or if additional information which might affect it becomes available to the Committee. Persons aggrieved by an interpretation may appeal to the Committee for reinterpretation. The Z97 Committee does not "approve," "certify," "rate," or "endorse," any item, construction, proprietary device, or activity beyond what is addressed in the Standard.

A.6 PATENT POLICY

ASC Z97 will follow the patent policy as outlined in section 3.1 – ANSI patent policy – Inclusion of Patents in American National Standards, of the ANSI Essential Requirements.

A.7 COMMERCIAL TERMS AND CONDITIONS

ASC Z97 will follow the commercial terms and conditions as outlined in section 3.2 – Commercial terms and conditions, of the ANSI Essential Requirements.

Annex B: DEFINITIONS

- **ANSI Accreditation:** The approval by the ANSI Executive Standards Council (ExSC) of the written procedures submitted by a standards developer relative to the development and documentation of evidence of consensus in connection with standards that are expected to be approved as American National Standards. Accreditation by ANSI signifies that the procedures submitted by the standards developer satisfy the essential requirements contained herein.
- **ANSI Audited Designator:** An Audited Designator is an ANSI-accredited standards developer to whom the ANSI Executive Standards Council has granted the authority to designate their standards as American National Standards without such standards being reviewed and approved by the ANSI Board of Standards Review but such developer is subjected to additional audits.
- **Continuous maintenance:** Continuous maintenance is defined as the maintenance of a standard by consideration of recommended changes to any part of it according to a documented schedule for consideration and action by the consensus body.
- **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.
- **Consensus body:** The group that approves the content of a standard and whose vote demonstrates evidence of consensus.
- **Periodic maintenance:** Periodic maintenance is defined as the maintenance of a standard by review of the entire document and action to revise or reaffirm it on a schedule not to exceed five years from the date of its approval as an American National Standard.
- **Proxy:** A written and signed document by which a voting member of a consensus body authorizes another person to vote in the member's stead, if allowed by the developer's procedures.
- **Resolved:** A negative vote cast by a member of the consensus body or a comment submitted as a result of public review where the negative voter agrees to change his/her vote, or the negative commenter accepts the proposed resolution of his/her comment.
- **Substantive Change:** A substantive change in a proposed American National Standard is one that directly and materially affects the use of the standard. Examples of substantive changes are below:
 - Title, Scope, purpose and limitation change/modifications,
 - "shall" to "should" or "should" to "shall";
 - addition, deletion or revision of requirements, regardless of the number of changes;
 - addition of mandatory compliance with referenced standards.
- **Unresolved:** Either (a) a negative vote submitted by a consensus body member or (b) written comments, submitted by a person during public review expressing disagreement with some or all of the proposed standard, that have not been satisfied and/or withdrawn after having been addressed according to the developer's approved procedures.