

# **IAPMO POLICIES & PROCEDURES FOR CONSENSUS DEVELOPMENT OF AMERICAN NATIONAL STANDARDS**

## **Scope**

The development of consensus standards, where there are none currently in existence, for composition, dimensions, and/or mechanical and physical properties of materials, fixtures, devices, and equipment used or installed in plumbing or mechanical systems.

## **Goals and Guiding Principles**

- 1) To produce new documents and revisions more quickly and efficiently: an approved standard draft in six months; a new section of a standard in one year; and a standard within eighteen months.
- 2) To provide timely responses to inquiries.
- 3) To reduce impact on volunteers by accomplishing more with less effort and lower costs while encouraging wider participation in the development of standards.
- 4) To facilitate participation by all members.
- 5) To increase the intrinsic value of IAPMO products (print and alternate media).

The following guiding principles shall be maintained throughout this process:

- The products, documents, and responses are technically sound and timely.
- The integrity of the documents produced by consensus is secure.
- The protection of IAPMO from legal implications is sustained.
- IAPMO marks and copyrights are fully protected.

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## **1.0 General**

- 1.1. *Administration* – These procedures shall govern the activities of International Association of Plumbing and Mechanical Officials (IAPMO) related to the development, approval, revision, reaffirmation, and withdrawal of standards.
- 1.2. *Actions* – Actions needed to reaffirm, revise, or withdraw a standard using these procedures shall be completed within 5 years from the original standard approval date.
- 1.3. *American National Standards* – When submitting standards for approval as American National Standards, IAPMO will submit all required ANSI forms [or their equivalent] and comply with all required administrative practices in accordance with the *ANSI Essential Requirements*.

## **2.0 Organization**

- 2.1. *Standards Committees* – Standards Committees shall be established by IAPMO and shall be responsible for developing and maintaining standards that fall within the scope of these procedures. The membership of the IAPMO Standards Committees shall be sufficiently diverse to ensure reasonable balance and shall not have dominance by any single interest group (See Sections 2.5.6, Interest Categories, and 2.5.8, Balance).
- 2.2. *Secretariat* – IAPMO shall be responsible for maintaining the Secretariat for all Standards Committees established in accordance with these Policies and Procedures. The Secretariat shall:
  - a) Organize the Standards Committees and issue official appointments.
  - b) Oversee compliance with these procedures, including legal review as necessary.
  - c) Maintain rosters of any standards committees, subcommittees, and task groups.
  - d) Maintain all records pertaining to the standards committees.
  - e) Provide administrative support, including secretarial services for the standards committees.
  - f) Publish approved standards and revisions thereto.
  - g) Perform other administrative functions as required.
  - h) Appoint Standards Committee Officers in accordance with Section 2.5.13, Standards Committee Officers.
- 2.3. *Records* – Standards Committee records shall be accessible to directly and materially interested parties, subject to reasonable conditions of time, location, cost and convenience. Records concerning new, revised, or reaffirmed standards shall be retained for at least one complete standards cycle (until the standard is revised, withdrawn or reaffirmed). Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal.

- 2.4. *Executive Standards Committee* – Each IAPMO Standards Committee shall be governed by the IAPMO Executive Standards Committee consisting of the Sr. Director of IAPMO R&T, the IAPMO Director of Standards, and an IAPMO Standards Engineer.
- 2.5. *Membership* – Membership on IAPMO Standards Committees shall be open to any person directly or indirectly affected by the Standards, subject to the selection procedure hereinafter set forth, size limitations as contemplated in 2.5.2 Process, and requirements in 2.5.8 Balance.
- 2.5.1. *Application* – Individuals seeking membership on a Standards Committee shall submit a written request to the Secretariat indicating their interest in the work of the Standards Committee and their qualifications, willingness to participate, and affiliations that might affect their classification. Applicants shall identify their interest category (See Section 2.5.6, Interest Categories).
- 2.5.2. *Process* – The Secretariat shall promptly process all membership applications. Applications shall be considered by the Executive Standards Committee, which shall accept or reject all applications. Rejected applicants shall have the right to appeal in accordance with Section 8, Appeals. In accepting or rejecting applicants, consideration shall be given to the following:
- a) Need for active participation by members of each interest group.
  - b) Balance of members for each interest group.
  - c) Potential for dominance by members of a single interest group.
  - d) Extent of interest expressed by the applicant and willingness to participate.
  - e) Qualifications and ability to materially contribute to the work of the Standards Committee.
- 2.5.3. *Standards Committee Size* – The Secretariat shall consider and may recommend reasonable limits on the size of any Standards Committee.
- 2.5.4. *Participation* – Participation on a Standards Committee shall not be conditional upon membership in any organization and shall not be unreasonably restricted on the basis of technical qualifications or other such requirements.
- 2.5.5. *Notification* – The Secretariat shall promptly notify all applicants and the Standards Committee of the actions taken on applications and shall submit an annual membership report to the Standards Committee.
- 2.5.6. *Interest Categories* – All members of IAPMO Standards Committees shall be classified as Producers, Users, or General Interest representatives in accordance with the following definitions:
- a) *Producer* – Representatives of manufacturers, distributors, licensors, developers, contractors and subcontractors, construction labor organizations, associations of these groups, and professional consultants to these groups.

- b) *User* – Representatives of owners, owners’ organizations, designers and consultants retained by owners, testing laboratories retained by owners, and insurance companies serving owners.
- c) *General Interest* – General Interest members are neither Producers nor Users. This category includes but is not limited to educators, researchers, representatives of regulatory agencies, and technical societies.

*Note: Consultants* – An individual in professional practice or a consultant, retained under an indefinitely continuing agreement with an organization shall be classified in accordance with the classification of the organization retaining the individual and shall be so identified.

2.5.7. *Number of Votes* – There shall be a limit of one voting member from each company or organization.

2.5.8. *Balance* – No single interest category shall constitute a majority of the voting membership of a IAPMO Standards Committee. However, temporary imbalance can exist due to membership resignations. No ballots will be issued during periods of Standards Committee imbalance.

2.5.9. *Membership Roster* – The Secretariat shall prepare and maintain a membership roster documenting the classification of each Standards Committee member and the achievement of balance. The Executive Standards Committee shall review the Standards Committee roster annually and recommend changes, if necessary. Rosters shall include a summary of the voting membership, by interest category.

2.5.10. *Termination of Membership* – The Executive Standards Committee shall be authorized to terminate the membership of an individual on a Standards Committee for cause, including inactivity. A Standards Committee member shall be considered inactive:

- a. for failure to return two successive ballots, or
- b. for failure to attend at least one Standards Committee, Subcommittee, or Task Group meeting in a three year period.

2.5.11. *Changes in Employment* – Standards Committee members shall notify the Secretariat of any changes in employment affecting representation and shall submit a new application if continued membership on the Standards Committee is desired.

2.5.12. *Subcommittees* – Subcommittees shall be established by the Executive Standards Committee for the purpose of assisting the Standards Committee in drafting standards, considering comments or negative votes on portions of the standards and other advisory functions.

- a) Membership on Subcommittees may include persons who are not members of the main Standards Committee.
- b) Balance is not required for Subcommittees. A roster of all Subcommittees shall be maintained by the Secretariat.

- c) Subcommittee Chairpersons shall be members of the main Standards Committee and shall be appointed by the Executive Standards Committee.
- d) Subcommittee members shall be appointed by the Subcommittee Chairperson, with the concurrence of the Secretariat.

2.5.13. *Standards Committee Officers* – Each Standards Committee shall have a Chairperson, Vice Chairperson, and Secretary. The Chairperson, Vice Chairperson, and Secretary shall be appointed by the Executive Standards Committee from the individual members of the Standards Committee, subject to approval by a majority vote of the Standards Committee. Each will serve until a successor is selected and ready to serve. The Secretary need not be a member of the Standards Committee.

### **3.0 Meetings**

- 3.1. *Frequency and Location* – Standards Committee meetings shall be held as decided upon by the consensus body, the chair, the secretariat, or by petition of five or more members. An effort shall be made to hold meetings at locations convenient to the members.
- 3.2. *Notification* – At least 30 days written notice shall be given for meetings of all IAPMO Standards Committees. An agenda shall be prepared and distributed with the meeting notice.
- 3.3. *Open Meetings* – Except for authorized executive sessions (see Section 3.3.1), all meetings of Standards Committees shall be open and attendance by any interested party shall be welcome. Visitors shall not have the right to vote. Visitors shall be entitled to receive copies of meeting reports if requested in writing. Visitors shall be permitted to address the Standards Committee at a meeting, provided that a written request is sent to the Chairperson at least 10 days prior to the meeting. The Chairperson shall designate the time allotted for visitor presentations
- 3.4. *Executive Sessions* – Executive sessions shall be permitted for the purpose of considering administrative, financial and similarly sensitive issues not related to the technical content of any standards or the disposition of ballots or public comments. Attendance during executive sessions shall be limited to members and representatives of the Secretariat.
- 3.5. *Quorum* – A majority of the members of a Standards Committee, or a Subcommittee, shall constitute a quorum for conducting business at a meeting. No special quorum requirements exist for Subcommittees. Matters shall be deemed approved by the affirmative vote of a majority of the members present, except with respect to matters covered in Section 4, Voting Procedures. If a quorum is not present, actions on agenda items may be taken, but shall be subject to ratification by a letter ballot of the Standards Committee or Subcommittee.

- 3.6. *Parliamentary Procedures* – On questions of parliamentary procedure, Robert’s Rules of Order (Revised) shall apply.
- 3.7. *Subcommittee Meetings* – Subcommittee meetings may be called by the Chairperson of the Subcommittee, after receiving approval of the Standards Committee Chairperson and the Secretariat. The time and location of Subcommittee meetings shall be set so as not to conflict with meetings of the Standards Committee and to minimize conflicts with other Subcommittee meetings. Subcommittee meetings shall be open in accordance with Section 3.3, Open Meetings, except for authorized executive sessions in accordance with Section 3.4, Executive Sessions.

#### **4.0 Voting Procedures**

- 4.1. *Letter Ballots* – Approval, revision, reaffirmation, withdrawal, substantial changes to and interpretations, and withdrawal of all standards shall be approved by letter ballot of the Standards Committee. The Secretariat shall issue and canvass ballots.
- 4.2. *Administrative Ballots* – Administrative matters and editorial changes (in accordance with the ANSI Essential Requirements) to Standards may be decided by a majority of the members present at a regularly scheduled meeting of a Standards Committee or by letter ballot.
- 4.3. *Voting* – Each voting member shall return one of the following positions on letter ballots:
- a) Affirmative.
  - b) Affirmative with comment.
  - c) Negative with reasons. If possible, the negative ballot shall include specific actions that will resolve the negative.
  - d) Abstain.
- 4.4. *Voting Period* – The closure date for letter ballots shall be at least 30 days from the date of the mailing of the ballots and a reminder notice shall sent out prior to the closing date. The Standards Committee Chair shall be authorized to grant an extension of the voting period.
- 4.5. *Approved Actions* – Approvals, revisions, reaffirmations, withdrawals, substantive changes to and interpretations of standards shall be considered approved when all of the following conditions have been met:
- a) At least 67% of the voting members have returned their letter ballot.
  - b) At least 67% of the votes cast by voting members, excluding abstentions and negatives without reasons, are affirmative.
  - c) All negative votes with reasons have been addressed in accordance with Section 4.7, Negative Votes.
- 4.6. *Reporting Votes* – The results of each vote on all Standards shall be reported as follows:
- a) Number of voting members.

- b) Number of voting members voting affirmatively.
- c) Number of voting members voting negatively with reasons.
- d) Number of voting members voting negatively without reasons.
- e) Number of voting members abstaining.
- f) Number of voting members not returning ballots.
- g) Number of non-members returning negatives or comments

4.7. *Negative Votes* – Negative votes on a letter ballot shall be addressed as follows:

4.7.1. Negative votes with reasons shall be referred by the Secretariat to the Standards Committee or the Subcommittee responsible for that part of the Standard in question. The Standards Committee or Subcommittee shall review the negative vote with the voter at a meeting of the Standards Committee or Subcommittee and efforts shall be made to resolve the negative. If in the process, the Standards Committee or Subcommittee determines that substantive changes are required, the revised provision shall be re-balloted. In the event the voter is not present during a committee meeting, then the committee shall make due effort to contact the voter via conference call whereupon the agreed results shall be subsequently confirmed in writing. If contact with the voter cannot be made for whatever reason, then the committee shall so notate their minutes and re-schedule such a meeting.

4.7.2. Negative votes which are not accompanied by reasons shall be recorded as “negative without reasons” and no further action shall be required.

4.7.3. All negative votes that are *not resolved* shall be addressed as follows:

- a) *Previously Considered Negative Votes* – The Standards Committee may uphold previous action on negative votes previously considered not persuasive.
- b) *Not Related Negative Votes* – If the negative vote is not directly related to the item being balloted, the negative vote shall be placed on the agenda for consideration at the next regular meeting of the Standards Committee.
- c) *Not Persuasive Negative Votes* – Not persuasive recommendations must be affirmed by at least 75% of the voting members present at a meeting (excluding abstentions) or 75% of the voting members returning ballots (excluding abstentions), if the recommendation is considered by letter ballot. A negative voter found not persuasive at a meeting has the right to request a confirmatory ballot of Standards Committee action to find not persuasive taken at a meeting.
- d) *Appeals* – When a negative vote is determined to be “previously considered,” “not related,” or “not persuasive;” the negative voter shall be notified of the action, rationale, and the right to appeal in writing (including electronic communication).
- e) 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.

- 4.8. *Comments Accompanying Affirmative Votes and Abstentions* – The Standards Committee shall review comments and the comments shall be placed on the agenda for consideration at the next regular meeting of the Standards Committee or Subcommittee.

## **5.0 Interpretations**

- 5.1. *Processing Interpretations* – Requests for interpretations of Standards shall be submitted in writing to the Secretariat and shall be forwarded by the Secretariat to the Chairperson and Secretary. Proposed interpretations may be prepared by the Chairperson, Secretary or any other Standards Committee member with particular expertise on the subject in question. All proposed interpretations shall be prepared in writing and shall be submitted to the Secretariat for a letter ballot of the Standards Committee. Interpretations shall be approved in accordance with Section 4.5, Approved Actions.
- 5.2. *Notification of Interpretations* – Notification of approved interpretations shall be sent in writing to the requester. Notification shall also be given to other users of the Standards through technical journals and appropriate publications.

## **6.0 Public Review and Comment**

- 6.1. *American National Standards* - At the initiation of a project to develop or revise an American National Standard, notification shall be transmitted to ANSI using the PINS form (in accordance with Section 2.5 of “ANSI Essential Requirements”) except for projects under continuous maintenance. Proposals for new American National Standards or reaffirmation, revision, or withdrawal of existing American National Standards shall be transmitted to ANSI using the BSR-8 for listing in *Standards Action* for comment. If substantive changes are made subsequent to public review, those substantive changes shall be subjected to an additional public review, in accordance with Section 6.0. The Secretariat shall determine whether listing of proposed standards actions shall be concurrent with the final Standards Committee letter ballot and whether announcement in other suitable media is appropriate.

A BSR-9 form (for approval/withdrawal of American National Standards) shall be sent to ANSI after a standard has undergone complete due process and is ready for publication. This data will be published in ANSI Standards Action.

- 6.2. *IAPMO Standards* - Proposals for new IAPMO Standards or reaffirmation, revision, or withdrawal of existing IAPMO Standards shall be listed in suitable media for public comment. The Secretariat shall determine whether listing of proposed standards actions shall be concurrent with the final Standards Committee letter ballot and announcement in suitable media.

- 6.3. *Processing Comments* - All comments received from the public review shall be considered by the Standards Committee, and the commenter shall be notified, in writing, of the Standards Committee's decision/response. Negative comments from the public review shall be addressed according to Section 4.7, Negative Votes.

## **7.0 Correspondence**

- 7.1. *Standards Committee Correspondence* – Correspondence between Standards Committee members relating to IAPMO Standards activities shall be on “Standards Committee Correspondence” letterhead. Correspondence from a Standards Committee or Subcommittee member to the entire membership of the Standards Committee or any Subcommittees shall be forwarded to the Secretariat for approval and distribution. All official Standards Committee/Subcommittee correspondence, including meeting notices, agendas, reports and letter ballots, shall be distributed by the Secretariat. Copies of all other correspondence between Standards Committee/Subcommittee members, relating to IAPMO standards activities shall be forwarded to the Secretariat. All Standards Committee correspondence shall be considered privileged and confidential. It shall not be used for publication or reference.
- 7.2. *External Correspondence* – Inquiries relating to the Standards Committee and Standards shall be directed to the Secretariat. Standards Committee members should advise individuals who contact them that responses to all inquiries are handled by the Secretariat.

## **8.0 Appeals**

- 8.1. *Process/Complaint* – The right to appeal is important for protection of affected interests, of standards developers and is required as a part of due process. Persons who have been or may be affected by any Standards Committee action or inaction shall have the right to appeal such action or inaction. The appellant shall file a written complaint with the Secretariat within 30 days after the date of notification of any action or, at any time, with respect to any action to which the appellant was not given notice or with respect to inaction. The complaint shall state the nature of the objection, the procedures or the sections of the Standards that are at issue, the actions or inaction at issue, and the specific remedial action(s) that would satisfy the appellant's concerns.
- 8.2. *Response* – Within 30 days after the receipt of the complaint, the Secretariat shall respond in writing to the appellant, specifically addressing each allegation in the complaint to the extent possible. The Secretariat shall attempt to resolve, informally, the complaint of the appellant.
- 8.3. *Appeals Panel and Hearing* – If the Secretariat is unable to informally resolve the complaint, it shall appoint an appeals panel to hold a hearing on a date agreeable to all participants, with at least 15 days working notice. The appeals panel shall consist of three

individuals who have not been directly involved in the dispute and who will not be materially affected by any decision made in the dispute. At least two members of the panel shall be acceptable to the appellant and at least two shall be acceptable to the Secretariat.

8.4. *Conduct of the Hearing* – The appellant has the responsibility of demonstrating improper actions or inaction, the adverse effects there from and the efficacy of the requested remedial action. The Secretariat has the responsibility to demonstrate that the Standards Committee took all actions in question in compliance with these procedures and that the requested remedial action would be ineffective or detrimental.

8.5. *Decision* – The appeals panel shall render its decision in writing within 30 days, stating its findings of fact and conclusions, with reasons therefore and citing the evidence. The Secretariat shall notify the appellant and the Standards Committee of the decision of the appeals panel, which shall be binding and final on all concerned.

## **9.0 Metric Policy**

9.1. IAPMO standards will be developed Standards using inch-pound units followed by metric units in parentheses for consistency with National Standards.

## **10.0 Patented Items**

10.1. *Reference* – IAPMO shall comply with the current ANSI Patent Policy.

## **11.0 Revisions to Procedures**

11.1. *Proposed Revisions to Procedures* – Proposed revisions to these procedures shall be submitted to the Secretariat in writing with an explanation or the reason for the proposed revision. The Secretariat shall submit the proposed revision to the Standards Committees for comment and to the Executive Standards Committee for action.

11.2. *Approval and Implementation* – Each Standards Committee shall consider and take action on proposed revisions to these procedures and the Secretariat shall notify the Executive Standards Committee of all decisions.

## **12.0 Commercial Terms and Conditions**

12.1. *Reference* – IAPMO shall comply with the current ANSI commercial terms and conditions policy.

## **13.0 Coordination and Harmonization**

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

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

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