

Accredited Standards Committee Z136 for the Safe Use of Lasers



Procedures for the Development of Z136 American National Standards

ANSI reaccreditation approval rec'd December 30, 2020

ASC Z136 member approval rec'd September 09, 2020

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Accredited Standards Committee Z136 for the Safe Use of Lasers Procedures for the Development of Z136 American National Standards

1. General

These procedures for the Accredited Standards Committee (ASC) Z136 meet the requirements for due process and development of consensus for approval of American National Standards as given in Clause 1 of the *ANSI Essential Requirements: Due process requirements for American National Standards*. Where these *Procedures for the Development of Z136 American National Standards* are silent on an issue, the *ANSI Essential Requirements* shall serve as the precedent document.

On questions of parliamentary procedure not covered in these procedures, *Robert's Rules of Order* (latest edition) shall be used to ensure due process.

2. ASC Z136

ASC Z136 shall consist of the Secretariat, Administrative Committee (ADCOM), and Committee¹ members. The scope of the Committee is to protect against hazards associated with the use of lasers and optically radiating diodes. In accordance with *ANSI Essential Requirements*, the composition of the Committee shall be sufficiently diverse to ensure that no single interest category (see 5.3.4 Interest Categories) constitutes more than one-third of the membership. Care shall be taken to ensure all interest categories are represented to the extent possible.

3. The Secretariat

The Laser Institute of America (LIA) shall be the Secretariat for ASC Z136. The Secretariat shall be responsible for the following:

- (a) Applying for Accredited Standards Developer accreditation by ANSI and maintaining accreditation of these procedures in accordance with the most current version of the *ANSI Essential Requirements*, including submission of the Committee roster
- (b) Overseeing the Committee's compliance with these procedures
- (c) Appointing a Chair and Vice-Chair (subject to confirmation by the Committee) and re-appointing the Chair and Vice-Chair on an annual basis
- (d) Appointing a Committee Secretary to perform administrative work including secretarial services, e.g., 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; and reappointing the Committee Secretary on an annual basis
- (e) Providing an Administrative Secretary to assist the Committee Secretary as necessary
- (f) Maintaining a roster of the Committee that includes the interest category of each member and a list of standards for which the Committee is responsible
- (g) Submitting candidate standards approved by the Committee, with supporting documentation (PINS, BSR-8, BSR-9, BSR-11), for ANSI review and approval as American National Standards

¹ For the purposes of these procedures, the term "the Committee" refers to all members of ASC Z136. It does not include individuals who solely participate at a subgroup level, see Section 6.

- (h) Recording and acknowledging requests for interpretations or explanations of standards developed by the Committee and submitting such requests to the Committee Secretary for appropriate action, in accordance with Section 9.2.
- (i) Recording and acknowledging requests for appeals of standards developed by the Committee, scheduling appeals hearings, reviewing requests for re-hearings and deciding whether to adopt the report of the appeals panel or schedule a re-hearing
- (j) Selecting an appeals panel when required to address an appeal, in accordance with Section 10.4
- (k) Reviewing membership annually with respect to the criteria of Section 5.3
- (l) Performing other administrative functions as required by these procedures

4. The Administrative Committee

The Administrative Committee (ADCOM) shall consist of the ASC Z136 Committee Chair, ASC Z136 Vice-Chair, ASC Z136 Past Chair, ASC Z136 Committee Secretary, the Administrative Secretary, a representative of the Secretariat, and one or more members at large from the Committee. The member(s) at large will be appointed by the Secretariat upon the recommendation of the ADCOM, and is (are) subject to reappointment on an annual basis. The ADCOM shall be responsible for directing the activities of the Committee and its subgroups, which includes the following:

- (a) Organizing the Committee
- (b) Developing and maintaining Committee policies and procedures
- (c) Appointing chairs to subgroups, subject to confirmation by the Committee (see Sections 6.1 and 6.2)
- (d) Reviewing Subcommittee Project Initiation Requests (Appendix B)
- (e) Effecting and reviewing responses to requests for interpretations or explanations (see Section 9.2) prior to forwarding them to the requestor
- (f) Reviewing all applications for Committee membership
- (g) Recommending action by the Committee on all applications for new members
- (h) Recommending action by the Committee on nominations for Members Emeriti
- (i) Recommending removal of members of the Committee for inactivity or other reasons
- (j) Interacting with ANSI on general matters such as publication, policy and procedure

5. The Committee

5.1 Officers

There shall be a Chair and Vice-Chair appointed by the Secretariat from the individual members or representatives of the Committee and confirmed by a vote of the Committee. Each officer may be reappointed annually by the Secretariat, but is not expected to serve more than seven years. The Vice-Chair shall carry out the Chair's duties if the Chair is temporarily unable to do so. The Committee Secretary shall be appointed by the Secretariat. The Committee Secretary shall record and publish minutes of each meeting of the Committee and the ADCOM.

5.2 Responsibilities

Committee members shall be responsible for the following:

- (a) Proposing American National Standards² within its scope
- (b) Where warranted, joining Consensus Body Balloting Groups (CBBGs) for voting on approval of proposed draft standards, including revision, reaffirmation or withdrawal of a currently existing standard within the Committee's scope
- (c) Voting on Committee membership-related issues, including but not limited to confirmation of officers and chairs
- (d) Voting on procedural matters, including but not limited to adoption of ASC Z136 procedures and approval of new projects
- (e) Maintaining the standards approved by the Committee in accordance with ANSI procedures
- (f) Acting on other matters requiring Committee action as provided in these procedures
- (g) Coordinating with other standards developing organizations
- (h) Protecting against actions taken in the name of the Committee without Committee authorization
- (i) Voting on ADCOM recommendations (as required by these procedures)

5.3 Membership

The membership of the Committee shall consist of individuals who may or may not represent organizations, which for the purpose of these procedures include private or public groups such as government entities or educational institutions (see Section 5.3.4 for interest categories). Committee members shall have a direct and material interest in the activities of ASC Z136. The opportunity for fair and equitable participation without dominance by any single interest category or entity shall be afforded to all members.

The selection and addition of members shall be subject to approval by a vote of the Committee after application to the Committee has been processed by the ADCOM in accordance with Section 5.3.1. Termination of members for just cause, e.g., non-participation, shall be subject to approval by a vote of the Committee after a review of the membership in accordance with Section 5.3.2. "Non-participation" shall be defined as failure to respond to any Committee balloting requests and failure to attend the annual meeting (in person or by proxy) over a period of greater than one (1) year.

5.3.1 Membership Application

A request for membership on the Committee shall be addressed to the Secretariat, shall indicate the applicant's direct and material interest in the Committee's work, interest category the member will represent (see 5.3.4 Interest Categories), qualifications and willingness to participate actively. Further, the request shall include the applicant's affiliation (e.g., employer or as a representative to a society or trade organization) if the applicant owes allegiance to, or represents that organization. If the applicant is representing an organization, an alternate representative (subject to confirmation by the Committee) may be identified by that organization.

² For the purpose of these procedures, the term "standards" includes standards, recommended practices, guides, amendments, and corrigenda.

5.3.1.1 Recommendation

In recommending appropriate action to the Committee on all applications for membership, the ADCOM shall consider the:

- (a) Material interest and credentials of the applicant
- (b) Need for active participation by each interest category
- (c) Balance in membership among interest categories
- (d) Potential for dominance by a single interest category or entity
- (e) Extent of the applicant's willingness and ability to actively participate

5.3.2 Review of Membership

The Secretariat shall review the Committee membership list annually with respect to the criteria of Section 5.3. Members are expected to fulfill obligations of active participation, e.g., meeting attendance, responding to ballots, and subcommittee activity. Where a member is found in habitual default of his/her obligations, the Secretariat shall direct the matter to the ADCOM for recommendation of appropriate action to the Committee, which may include termination of membership.

5.3.3 Members Emeriti, Observers and Invited Experts

Anyone with long and distinguished service in support of ASC Z136 standards may be nominated as a "Member Emeritus." Membership includes lifetime membership in ASC Z136, recognition in the front matter of ASC Z136 standards, and all privileges as an ASC Z136 member with the exception of voting on Committee matters and standards.

Individuals and organizations having an interest in the Committee's work may attend meetings as observers. Observers may submit comments for consideration, but shall have no vote.

The Committee may invite experts to assist it. These experts should possess special knowledge in a technical or administrative area of interest to the Committee. A request for appointment of an invited expert may come from any Committee member. Invited experts shall serve for a specified period of time as determined by the ADCOM. Invited experts shall be advised of the Committee's activities, may attend meetings, and may submit comments for consideration, but shall have no vote.

5.3.4 Interest Categories

Each member shall specify his/her own general interest category as appropriate, i.e., based upon affiliation, which shall be considered the individual's interest category when voting on Committee ballots (see Section 7.7) unless otherwise stated at time of ballot.

For Standards Documents Ballots (see Section 7.9), upon joining a consensus body balloting group (CBBG), a member will declare his/her interest category based on his/her relationship to the subject matter of the standard being balloted. Established interest categories:

- (a) Academia: Persons, entities, or educational institutions that provide academic review of the standard being developed for a product, service, or reference material.
- (b) Consultant: A person or entity that relies on the standard to define conformance of the product or service and to create a common understanding of the product or service.
- (c) Consumer/Consumer Organization: A person or entity that may benefit directly or indirectly, and may be affected by the standard under development without being either a direct user or producer of the product or service being defined in the standard.

- (d) Department of Defense (DoD): A representative of any level of the Department of Defense with direct interest in the development of the standard for purposes of ensuring conformance of the product or service.
- (e) Directly Affected Public: A representative of a group of individuals that may benefit directly or indirectly, and may be affected by the standard under development without being either a direct user or producer of the product or service being defined in the standard.
- (f) Distributor/Retailer: A person or entity directly involved with the sale or distribution of a compliant laser product or service.
- (g) Government (non-DoD): A representative of any level of government of any nation with direct interest in the development of the standard for purposes of compliance.
- (h) Government Contractor: A person or entity directly involved with creating a compliant product, component, or service for sale or distribution to government agencies including the Department of Defense.
- (i) Health Care: A person or entity involved in health care that relies on the standard to define conformance of the product, service or procedure.
- (j) Industrial/Commerce: A person or entity directly involved with creating a compliant laser product, component, or service for sale or distribution or using a compliant laser product for creating non-laser products for sale or distribution.
- (k) Manufacturer: A person or entity directly involved with creating a compliant laser product, component, or service for sale or distribution.
- (l) Professional Society: An entity whose interest includes the content of the standard under development that may benefit directly or indirectly, and may be affected without being either a direct user or producer of the product or service being defined in the standard
- (m) Regulatory Agency: An entity directly involved with ensuring a compliant product, or compliance with the use of a laser product or service.
- (n) Testing Laboratory/Facility: A representative of any testing laboratory or facility with direct interest in the standard for purposes of assessing conformity.
- (o) Trade Organization: An entity or a group of individuals that represent segments of the laser industry and who may benefit directly or indirectly from the product or service being defined in the standard.

A vote of the Committee shall be required to add or change (revise) interest categories³, the rationale for which shall be included in the Committee ballot.

5.3.5 Membership Roster

The Secretariat shall be responsible for maintaining the Committee roster. The Committee roster shall be available on the official Z136 web site (www.z136.org) for download by all members of the Committee and shall include the person's name, interest category and name of organization represented (as applicable).

5.4 Meetings

Committee meetings shall be held, as decided upon by the Committee, the Chair, the Secretariat, or by petition of five or more members of the Committee. Such meetings are to conduct business, such as making assignments, receiving reports of work, considering draft standards, resolving differences among subgroups, and considering views and objections from any source.

³See Section 7.7.2 Actions Requiring Approval by Two-Thirds of the Votes.

5.4.1 Open Meetings

Meetings of the Committee shall be open to all members and others having a direct and material interest. A minimum of 30 days notice of regularly scheduled meetings of the Committee shall be provided for appropriate public notice, e.g., *ANSI Standards Action*, *LIA Today*, www.z136.org. 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 distributed with the meeting notice to members and to others expressing interest.

5.4.2 Quorum

A majority⁴ of the members of the Committee 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 vote at a future meeting⁵ or by letter or electronic ballot. However, an absent Committee member may request in writing⁵ to have a proxy assigned to any Committee member present at a meeting. Written proxy shall be included in determining a quorum, provided the agenda and action items have been forwarded to the Committee at least thirty (30) days prior to the meeting.

6. Subgroups Created by the Committee

The Committee may create one or more subgroups (subcommittees, working groups, writing groups, etc.) to expedite the work of the Committee. The formation of a subcommittee requires approval by a vote of the Committee and appropriate public notice e.g., *ANSI Standards Action*, *LIA Today*, or www.z136.org.

The scope and duties delegated to the subgroup shall be approved at the time it is formed. Subsequent changes in scope or duties, or the merger of two subgroups, or the disbandment of the subgroup shall also require approval by the Committee. Meetings of subgroups may be held as decided upon by the members or chair of the subgroup.

6.1 Subcommittees

6.1.1 Organization of the Subcommittees

Each subcommittee shall consist of a chair, and should include a vice-chair and secretary, as well as its members. The Chair shall be appointed by the ADCOM (subject to confirmation by the Committee), and shall be responsible for keeping the Committee informed of progress relative to its activities. The Vice-Chair and/or Secretary shall be appointed by the Subcommittee Chair; the Chair or Vice-Chair can also serve as the Secretary of the subcommittee. The Secretary should be responsible for ensuring the accuracy of the subcommittee roster⁶ and for generating the minutes of all subcommittee meetings. Each subcommittee shall have a title and scope that have been approved by the Committee.

Rules for timing of the consideration of appointments to membership on a subcommittee are at the discretion of the Subcommittee Chair. Subcommittee membership should be sufficiently diverse, with the goal of achieving reasonable balance without dominance by a single interest group. The Chair of a subcommittee is required to be a member of the Committee. The Vice-Chair of a subcommittee is encouraged to be a member of the Committee.

⁴ For the purpose of these procedures, the term “majority” means greater than half of the total number eligible.

⁵ For the purpose of these procedures, the term “in writing” refers to paper or electronic media.

⁶ Subcommittee rosters should include similar information to that of the Committee roster (see Clause 5.3.5).

6.1.2 Subcommittee Core Requirements

- (a) Subcommittee membership is open to individuals with a material interest in the topic and within the requirements established by these procedures
- (b) Subcommittee membership should conform to a reasonable standard of balance among the various interests represented on the subcommittee; this should be ensured by the Subcommittee Chair and communicated to the Secretariat annually
- (c) Subcommittee activities shall meet all deadlines established for the timely development and publication of standards
- (d) Continued subcommittee membership is dependent upon active participation in subcommittee activities

6.1.3 Terms of Office

The term of office for a chair of a standards subcommittee is intended to extend through the development cycle of the standard for which it is responsible, and not exceed beyond two cycles of the standard. The term of office for a chair of a technical subcommittee is normally not expected to exceed 15 years.

Subcommittee chair reappointment shall be reviewed annually by the ADCOM. Reappointment of subcommittee chairs is subject to confirmation by the Committee.

6.1.4 Standards Subcommittees

Each standards subcommittee (SSC) is responsible for a specific standard. The following is the list of standards subcommittees current at the time of publication of these procedures:

SSC-1: Safe Use of Lasers

SSC-2: Safe Use of Lasers and LEDs in Telecommunications Applications

SSC-3: Safe Use of Lasers in Health Care

SSC-4: Measurements and Instrumentation

SSC-5: Safe Use of Lasers in Educational Institutions

SSC-6: Safe Use of Lasers Outdoors

SSC-7: Eyewear and Protective Barriers

SSC-8: Safe Use of Lasers in Research, Development and Testing

SSC-9: Safe Use of Lasers in Manufacturing Environments

SSC-10: Safe Use of Lasers in Entertainment, Displays and Exhibitions

Additional standards subcommittees shall be established as required.

6.1.4.1 Responsibilities

Each SSC shall be responsible for the following:

- (a) Developing and maintaining Z136 standards within the scope of the subcommittee through the consensus process
- (b) Coordinating with technical subcommittees and with other standards developing organizations as appropriate
- (c) When warranted, establishing a Consensus Body Balloting Group (CBBG) for voting on approval of Subcommittee Drafts for Vote (SCDV) for Z136 standards within its scope, and effecting such voting in accordance with balloting requirements in Section 7.9 of these procedures

- (d) Providing Ballot Summaries to the Secretariat
- (e) Maintaining the standards developed by the subcommittee in accordance with these and ANSI procedures
- (f) Responding to requests for interpretation or explanation and forwarding response to the ADCOM in a timely manner
- (g) Acting on other matters requiring subcommittee action as provided in these procedures
- (h) Reporting annually to the Committee
- (i) Communicating with the Committee on specific subcommittee activities as needed

6.1.5 Technical Subcommittees

Each technical subcommittee (TSC) is comprised of individuals whose expertise overlaps the scope of one or more of the standards subcommittees. The following is the list of technical subcommittees current at the time of publication of these procedures:

- TSC-1: Biological Effects and Medical Surveillance
- TSC-2: Hazard Evaluation and Classification
- TSC-4: Control Measures, Training and Laser Safety Programs
- TSC-5: Non-Beam Hazards
- TSC-7: Analysis and Applications

Technical subcommittees shall be established or disbanded as required.

6.1.5.1 Responsibilities

Each TSC shall be responsible for the following:

- (a) Coordinating with SSCs and with other standards developing organizations as appropriate
- (b) Providing information within the scope of the TSC as necessary to SSCs to expedite the creation of Z136 standards
- (c) Responding to requests for interpretations or explanations and forwarding response to the ADCOM in a timely manner
- (d) Acting on other matters requiring subcommittee action as provided in these procedures
- (e) Reporting annually to the Committee
- (f) Communicating with the Committee on specific subcommittee activities as needed

6.2 Editorial Working Group

The Editorial Working Group (EWG) shall consist of a chair, a secretary, a representative of the Secretariat, a designee from the sponsor SSC, a designee from technical subcommittee 7 (TSC-7, Analysis and Applications), a terminology coordinator, and one or more members at large. The TSC-7 designee shall be responsible for effecting a final review of the accuracy of the examples within the standards documents.

The Chair shall be appointed by the ADCOM (subject to confirmation by the Committee), and shall be responsible for keeping the Committee informed of progress relative to its activities.

6.2.1 Responsibilities

The overall responsibility of the EWG is to review drafts for consistency, style and consistent use of terminology. The EWG shall be responsible for the following:

- (a) Reviewing the Subcommittee Draft for Vote (SCDV) after approval by the subcommittee balloting group and prior to ballot by the CBBG
- (b) Reviewing the Committee Draft for Vote (CDV) one final time for style and consistency
- (c) Effecting the review of the galley proof of each printing of each standard

7. Balloting (voting)

The primary purpose of balloting is to achieve consensus on Subcommittee Drafts for Vote (SCDVs) and Committee Drafts for Vote (CDVs) documents. Balloting also occurs on procedural and administrative actions, e.g., membership and officers. At the subcommittee level, balloting takes place to ensure concurrence on interpretation responses.

The primary method of balloting should be electronic; however, voice or paper ballots are permitted except for balloting draft standards, i.e., SCDVs and CDVs. (See 7.9 for specific requirements for balloting draft standards via the balloting group method.) A Committee ballot may be authorized by any of the following:

- (a) Vote of those present at a Committee meeting
- (b) The Committee Chair
- (c) The ADCOM
- (d) The Secretariat
- (e) Petition of five or more members of the Committee, requesting a vote either in person or in writing, submitted to the Committee Chair and Secretary

7.1 Balloting Period

A timeline shall be established for all ballots. Prior to the close of ballot, a follow-up communication requesting immediate return of the ballot shall be sent, as appropriate, to members and alternate members whose votes have not been received. The follow-up communication should be distributed no less than four days prior to the close of ballot.

7.2 Alternate Vote

The vote of an alternate representative on the Committee is counted only if the principal representative fails to vote or fails to join the balloting group, as discussed in Section 7.9.

7.3 Single Vote

Generally, no individual will have more than one vote. However, if two or more organizations appoint the same individual as their representative, that individual may cast a separate vote for each organization represented. The interest category of each separate vote is that of the organization represented to ensure balance of interests as stated in Section 2. 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 the Committee, excluding the vote of that individual. When an individual represents more than one organization, the individual shall be counted equally as many times in the membership count to ensure balance of interests as stated in Section 2. For example, if Company A and Professional Society B are both represented in membership by John Doe, then John Doe will be listed next to each organization on the membership roster, will cast a vote on behalf of each organization for a total of two votes, and the interest category of each organization will be included in the tally for the ballot.

If a member holds both an individual membership and represents an organization, the member is limited to one vote. An organizational member which is represented by a primary and alternate, may not have their primary or alternate representative vote as individual member on a ballot, i.e., one organization cannot utilize both the primary and alternate to enable it to have two votes on a single issue.

7.4 Proxy Vote

An absent member may request in writing to the Secretariat to have a proxy assigned to any Committee member present at the meeting, provided the agenda and action items have been forwarded to the Committee at least thirty (30) days prior to the meeting. A member serving as a proxy must exercise his or her judgment as to the viability of instruction from the assigner when announced agenda items are amended or developed through the meeting process. Members serving as proxies may only vote on approved agenda items announced through the agenda distributed prior to the meeting. Proxy voting is allowed only for those voting members who cannot attend the entire meeting; proxies may not be assigned for parts of meetings. The Chair shall announce any proxy voting to the Committee members at the start of the period in which the proxy is to be in effect.

7.5 Default Balloting

Default balloting applies only to recirculation ballots. A recirculation ballot is used to inform the balloting group of the following: 1) each unresolved negative comment, 2) attempts at resolution and 3) each substantive change made to the proposed American National Standard.

A default ballot is a ballot that requires no action on the part of the balloter when the balloter does not wish to change his/her vote on a recirculation ballot. During ballot recirculation, a balloter can only change his/her vote based on the *changed* portions of the proposed standard, or on the unresolved negative comments. A balloter cannot change his/her vote based on a clause previously seen and approved, unless that clause is affected by the new material. If a member of the balloting group does not plan to change his/her vote on a default recirculation ballot, it is not necessary to return the ballot. In this case, the vote will be counted as in the original ballot. This applies to both affirmative and negative votes. The voting period for a default ballot shall be at least two weeks. The following votes may be cast on a default ballot:

- (a) Affirmative
- (b) Negative
- (c) Abstain

7.6 Voting Responses by Ballot Type

7.6.1 Standards Documents, Interpretations, or Procedural Ballots

The following votes may be cast on standards documents, interpretations, or procedure ballots:

- (a) Affirmative
- (b) Affirmative (with suggested revisions and comments)
- (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 objection⁷)
- (d) Abstain

⁷ Per *ANSI Essential Requirements*, consideration shall be given to all negative votes accompanied by any comments related to the proposal under consideration. 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 a submittal of a new proposal. Comments made with affirmative votes do not require recirculation.

7.6.2 Membership or Officer-Related Ballots

The voting period for membership or officer ballots (excluding voice votes) shall not be less than two weeks. The following votes may be cast on a membership or officer ballot:

- (a) Yes
- (b) No
- (c) Abstain

7.6.3 In-Person Meetings Votes

During in-person meetings in which quorum has been met, the Committee may ballot on meeting action items, see Section 7.7.3. The following votes may be cast on meeting action items:

- (a) Yes
- (b) No
- (c) Abstain

7.6.4 Other Ballots

The following votes may be cast on ballot types that are not covered in Section 7.6.1, 7.6.2, or 7.6.3:

- (a) Yes
- (b) No
- (c) Abstain

7.7 ASC Z136 Full-Committee Ballots

7.7.1 Actions Requiring Approval by a Majority Vote

The following actions require an electronic or paper ballot, with return of at least a majority of the full-Committee membership eligible to vote, and approval by at least a majority of those voting, excluding abstentions:

- (a) Confirmation of officers appointed by the Secretariat
- (b) Confirmation of subcommittee chairs appointed by the ADCOM
- (c) Formation or change of a subgroup (e.g., subcommittee), including its existence, scope, duties, or structure
- (d) Addition of new Committee members
- (e) Removal of Committee members in accordance with Section 5.3.2
- (f) Allowing one individual to represent two organizations, excluding the vote of that individual, in accordance with Section 7.3

7.7.2 Actions Requiring Approval by Two-Thirds of the Votes

The following actions require an electronic or paper ballot, or an equivalent formal recorded vote with return of at least a majority of the full-Committee membership eligible to vote, and approval by at least two-thirds of those voting, excluding abstentions:

- (a) Adoption of ASC procedures, categories of interest, or revisions thereof
- (b) Approval for submission to ANSI of change of ASC scope
- (c) Approval of new projects

For electronic or paper ballots not taken at meetings, the balloting period shall be no fewer than 30 calendar days.

When recorded votes are taken at meetings, members who are absent shall be given the opportunity to vote before (absentee ballot) or within 30 calendar days following the meeting.

7.7.3 Action Items during In-Person Meetings

The Committee may ballot during in-person meetings, in which quorum is met, on the following meeting action items with a requirement of a majority vote of those present:

- (a) Approval of Meeting Agenda
- (b) Approval of Meeting Minutes
- (c) Recommendations to Standards Subcommittees for Standards Document Content
- (d) Recommendations for ASC Z136 Procedure or Conventions Content
- (e) Recommendations for ADCOM Actions
- (f) Other items as provided by the agenda, distributed a minimum of 30 days prior to the meeting
- (g) Recommendations for Formation and Scope of New Subgroups, Subject to Absentee Ballot
- (h) Recommendations for Dissolution of Subgroups, Subject to Absentee Ballot

7.8 ASC Z136 Standards or Technical Subcommittee Ballots for Interpretations

Responding to interpretations require an electronic or paper ballot, or an equivalent formal recorded vote with return of at least a majority of the subcommittee membership and approval by at least two-thirds of those voting, excluding abstentions.

The voting period for ballots on interpretations should end no sooner than two weeks from the date of ballot issue or as soon as all ballots are returned, whichever comes earlier. Under extenuating circumstances, the balloting timeline may be less than two weeks should an urgent response to the requestor necessitate a shorter response time.

7.9 Standards Documents Ballots by Consensus Body Balloting Group (CBBG)

Consensus Body Balloting Groups (CBBGs) are used solely for SCDVs and CDVs, and shall be established at the time of balloting on new or revised draft standards, reaffirmation or withdrawal of a currently existing standard⁸, amendments and corrigenda. Each member or alternate member of the sponsoring SSC (for SCDVs) or the Committee (for CDVs) eligible to vote shall be invited to participate on the CBBG (see Appendix C). The SCDV shall be made available for comments to the coordinating TSCs named on the Subcommittee Project Initiation Report (SPIR), see Appendix B. Comments received from TSCs do not constitute a vote, but all comments received shall be considered.

Members who join a CBBG are expected to have interest in and commitment to reviewing and voting on a specific proposed standard. Committee and subcommittee members who accept the invitation to ballot on specific issues are required to return ballots by the date due.

The CBBG for the CDV shall provide for the development of consensus by all interests significantly affected by the scope of the standard. This is achieved through a balance of such interests in the balloting group membership.

⁸ American National Standards that have not been revised or reaffirmed within ten years from the date of their approval by ANSI shall be [administratively] withdrawn and such action shall be announced in *Standards Action* (see *ANSI Essential Requirements*).

The voting period for ballots on standards should end no sooner than four weeks from the date of ballot issue or as soon as all ballots are returned, whichever comes earlier. Under extenuating circumstances, the ADCOM can grant an (one) extension at the request of the chair initiating the ballot.

Ballots shall be conducted in accordance with the following requirements:

- (a) Three quarters (75%) of the ballots shall be returned (including abstentions) from those in the CBBG in order for the ballot to be valid.
- (b) Two thirds affirmative votes of the ballots returned (following ballot resolution) shall be required (excluding abstentions) for approval.
- (c) An effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made.
- (d) Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard, shall be recirculated to the entire balloting group to allow each member to confirm or change their vote or to comment. All CBBG members will have the opportunity to respond to the recirculation ballot, including cases where they did not cast an earlier vote or abstained. The basis of a negative ballot shall be limited to the proposed attempts at resolution, unresolved objections and substantive changes. This rebaloting should be done by default electronic ballot (see 7.5 Default Balloting). Concurrently, the modified SCDV or CDV (including amendments and corrigenda) shall be made available to balloting group members to afford each the opportunity to review the document, in its entirety.
- (e) When an SCDV has been approved via default ballot, no further recirculation ballots shall be conducted. Any critical comments resulting from that default ballot that would require a substantive change to resolve shall be recorded in writing and circulated with the first CDV ballot.

7.10 Disposition of Views and Objections – CBBG

Prompt consideration shall be given to the expressed views and objections of all participants. Any person with an unresolved objection resulting from the balloting process has the right to appeal in accordance with the procedures outlined in Section 10. Each objector shall be advised in writing of the disposition of the objection and the reasons. If resolution is not achieved, the Secretariat shall inform the objector in writing of the appeals process.

In the instance of non-substantive changes that address a negative ballot, the objector will be given the opportunity to withdraw the negative ballot prior to recirculation or final approval by the CBBG.

Unresolved objections and attempts at resolution, as well as any substantive change made in a proposed American National Standard shall be reported to the established CBBG in order to afford each an opportunity to respond, reaffirm or change their vote (see 7.5 Default Balloting). If comments not related to the proposal are submitted with a vote (negative or affirmative), the comments shall be documented and considered in the same manner as submittal of a new proposal.

8. ANSI Requirements

8.1 ANSI Coordination – Initiation of a Project

At the initiation of a project to develop or revise an ASC Z136 American National Standard, notification shall be transmitted to ANSI by the Secretariat using the Project Initiation Notification System (PINS) form, or its equivalent, for listing in *Standards Action*. A PINS form may be

submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard.

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; 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 subsection (b) changes substantively as the standard is developed, a revised PINS form shall be submitted for publication.

Comments received resulting from the filing of any ASC Z136 PINS form shall be addressed in accordance with Section 2.5.1 (and its subsections) of the most current version of *ANSI Essential Requirements*, including but not limited to assertions of conflict or duplication.

8.2 Opportunity for Public Review

8.2.1 Listing in *Standards Action*

Proposals for new American National Standards or reaffirmation, revision, or withdrawal of existing ones 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. The Secretariat shall share announcements of standards actions in other suitable media to encourage the participation of directly and materially affected persons.

The Secretariat shall determine whether listing of proposed standards actions shall be concurrent with the final letter ballot. Any substantive change subsequently made in a proposed American National Standard requires listing of the change in *Standards Action*.

8.2.2 Disposition of Views and Objections – Public Review

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on the listing in *Standards Action*.

Upon receipt of an objection from public review of a standard, each objector shall be advised in writing of the disposition of the objection and the reasons. If resolution is not achieved, the Secretariat shall inform the objector in writing of the appeals process, see Section 10.

In the instance of non-substantive changes that address objections received as part of the public review, the objector will be given the opportunity to withdraw the objection prior to final approval of the document.

8.3 Report of Final Result

The final result of all Committee and CBBG ballots shall be reported, by interest categories, to the Committee.

8.4 Submittal of Standard

Upon completion of the procedures for voting, disposition of views and objections, and appeals, the BSR-9 or its equivalent and evidence of due process and consensus shall be submitted to ANSI by the Secretariat.

If the Secretariat does not submit the BSR-9 or its equivalent and evidence of due process and consensus to ANSI within a reasonable period of time, any member(s) of the Committee may make the submittal.

8.5 Termination of the Committee

A proposal to terminate the Committee may be made by a directly and materially affected interest. The proposal shall be submitted in writing to the Committee and to the Secretariat, and shall include at least the following:

- (a) Reasons why the Committee should be terminated, and
- (b) The name of the organization(s) that will assume responsibility for maintenance of any existing American National Standard(s) that is (are) the responsibility of the Committee.

If it appears, after review and discussion among the proponent of the action, the Secretariat, and the ADCOM or its designee, that the desired objectives can best be reached by termination, the proposal and supporting documentation shall be submitted to the Committee with a letter ballot to terminate the Committee and transfer responsibility, as appropriate, for the affected standards. The proposal for termination of the Committee shall be announced for comment in *Standards Action*.

8.6 Patent Policy

If the use of an essential patent claim (one whose use would be required for compliance with a proposed or approved American National Standard) is required due to technical reasons that justify this approach, ASC Z136 will adhere to the current version of the ANSI Patent Policy as specified in the *ANSI Essential Requirements*.

8.7 Metric Policy

Units of the International System of Units (SI), the modernized metric system, are the preferred units of measurement in the Z136 series of laser safety standards.

8.8 Commercial Terms and Conditions

Provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions shall not be included in an American National Standard. ASC Z136 will adhere to the current ANSI Commercial Terms and Conditions Policy as specified in the *ANSI Essential Requirements*.

8.9 Antitrust Policy

The standards development process depends on volunteer participation by a diverse range of individuals on behalf of numerous stakeholders including participants representing business and industry. As a result, antitrust concerns can arise in connection with standards development activity. The primary purpose of an antitrust policy is to prevent an unfair competitive advantage by one or more of the stakeholders in the standards development process.

It is the policy of the ASC Z136 to comply fully with state and federal antitrust laws, and the ASC Z136 expects all participants in ASC Z136 standards development activities to conduct themselves in strict accordance with these laws. ASC Z136 minimizes the risk of antitrust problems by requiring adequate notice, including an agenda, of all meetings and by providing a forum for standards activities based on the principles of openness, honesty, fairness and balance and conducted in accordance with published rules and regulations. ASC Z136 conducts technical activities in conformance to the Essential Requirements for Due Process established by the American National Standards Institute (ANSI). Serving on the ASC Z136 or one of its sub-committees includes agreement to follow these policies. The following statement shall be included on all meeting agendas for the ASC or one of its sub-committees: "All Z136 ASC and sub-committee meetings shall be conducted in accordance with the ASC Z136 Antitrust Policy, which

requires that Z136 members avoid actions that restrain commerce or affect the competitiveness of a business they may represent or with which they may compete.”

Compliance with ASC Z136’s standards development rules and regulations is essential, but this alone is not sufficient to avoid conduct that may violate the antitrust laws. Participants must also avoid any conduct, conversations or agreements that would constitute an unreasonable restraint of trade or be otherwise illegal under antitrust laws. All Z136 ASC and sub-committee members shall follow these rules in the course of their Z136 standards development work:

- (a) Do not make statements or participate in discussions regarding profits, profit margins, prices, cost data, terms of sale, warranties or contract provisions for Z136 standards or for a company’s products/services;
- (b) Do not make statements or participate in discussions on selection, termination, division or allocation of customers, sales territories, or markets;
- (c) Do not refuse to deal with a specific business entity;
- (d) Do not act to put a competitor business at a disadvantage;
- (e) Do confine standards discussions to technical, engineering and safety factors; and
- (f) Do conduct oneself in a proper and professional manner and in such a way that all members are afforded an adequate opportunity to present their views

Participants in ASC Z136 activities may receive antitrust training or advice from their employers or other organizations or entities they represent. This ASC Z136 antitrust policy, as well as other information or presentations that ASC Z136 may provide concerning the antitrust laws and standards development, do not take the place of such training or advice; nor do they constitute legal advice to participants. Participants can assist ASC Z136 and their fellow participants by refusing to engage in inappropriate discussions and by speaking up if they have questions or concerns about any matter or discussion that occurs in the course of ASC Z136 standards development activities. Participants should bring matters of concern to the attention of the ASC Z136 Administrative Committee (ADCOM).

8.9.1 Violations of the Antitrust Policy

If a member is alleged to have violated this policy, the ASC Z136 ADCOM will investigate and work to rectify the violation. If this is not possible or if the member does not cooperate then the ASC Z136 may consider suspension or termination of membership. Any removal of a member will be conducted in accordance with the ASC Z136 Procedures.

8.10 Record Retention

Records shall be retained by the Committee Secretary and the Secretariat for one complete standards cycle or until the standard is revised, in accordance with *ANSI Essential Requirements*.

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

9. Formal Communications

9.1 Internal Communication

If correspondence between subcommittees or between working groups of different subcommittees involves issues or decisions (i.e., non-routine matters) affecting other subcommittees, copies shall be sent to all affected Subcommittee chairs, and all ADCOM members. An archive of all formal internal communications shall be maintained by the Secretariat.

9.2 External Communication

Inquiries relating to the Committee 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.

The Committee Secretary and ADCOM Chair shall serve as the Committee designees for receipt of requests for explanations and interpretations submitted in writing to the Secretariat and shall be responsible for determining the adjudged nature of the request (see Appendix F).

9.2.1 Explanations

An “explanation” relates to a simple clarification of a portion of a standard as it is written, e.g., a clarification of a definition, a simple request for assistance in calculations based on tabular material. An explanation does not address the *implication* or *intent* of a portion of the standard.

Requests judged to be “for explanation only” are directed to an appropriate member of the Committee or its subcommittees for the formal response. This response is then directed to the Secretariat (with copies to the ADCOM Chair and Committee Secretary). The Secretariat shall provide the formal explanation to the requestor. Documentation of explanations is not required.

9.2.2 Interpretations

An “interpretation” relates to the *implication* or *intent* of a portion of a standard as it applies to a specific application, i.e., it is a unique form of commentary on a standard; it can only discuss, address, and clarify what the standard currently says. It is not an explanation of what the standard should have said and *cannot* change the meaning of a standard as it currently exists. Even if the request points out an error in the standard, the interpretation cannot fix that error.

Written inquiries judged to be interpretations shall be forwarded to the Chair of the appropriate standards or technical subcommittee for processing. The Subcommittee Chair shall ballot their associated subcommittee to obtain concurrence for the response (see Section 7.8).

This response, along with balloting results, is then submitted to the Secretariat (with copies to the ADCOM Chair and Committee Secretary). Following review by the ADCOM Chair, the Secretariat shall provide the formal interpretation, in writing, to the requestor and document the process as required by these procedures.

Revisions to a standard resulting from requests for interpretations shall be processed in accordance with the procedures of the Committee.

10. Appeals

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 Committee or the Secretariat shall have the right to appeal. An appeal is limited to procedural issues and shall not consider technical issues.

10.1 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 clause(s) of these procedures that are 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.

10.2 Response to complaint

Within ten days after receipt of the complaint, the Secretariat shall send the appellant a written acknowledgment of receipt of the complaint, and shall send the respondent (the Chair of the SSC at issue) a copy of the complaint. Within 45 days of the receipt of the written acknowledgement of the complaint, the respondent shall respond in writing (reply brief) to the appellant and to the Secretariat, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge. The respondent shall include complete documentation supporting all statements contained in the reply brief.

10.3 Hearing

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, 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 meeting notice, which identifies the appeals panel, will be sent to the appellant.

10.4 Appeals Panel

An appeals panel shall be selected by the Secretariat when required to address an appeal, subject to the constraints that follow. 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 Secretariat shall appoint an independent arbitrator who in turn shall appoint the appeals panel.

10.5 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 Committee and the Secretariat took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. The respondent and appellant shall be limited to three members each and only those designated members may address or be addressed by the appeals panel. Each party shall be given equal time to present its case and a rebuttal. All discussions shall be between the appeals panel members and the respondent or appellant, but not between the respondent and appellant. Each party may adduce other pertinent arguments. Members of the appeals panel may address questions to the appellant, respondent, or individuals representing the appellant or respondent. *Robert's Rules of Order* (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

For consistency and fairness to all parties concerned with the appeal process the appeals panel should follow a set of pre-defined and documented steps, which include introductory statements, time limits, order of participation, and other details necessary to conduct an appeal.

10.6 Decision

The appeals panel shall render its decision in writing within thirty days of the hearing, 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 Committee 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 Committee or the Secretariat for appropriate reconsideration.

11. ASC Z136 Code of Conduct

11.1 General Principles

- (a) To promote and support the overall mission of ASC Z136 as well as the purposes and objectives of developing voluntary consensus standards.
- (b) To maintain a process that is open, honest, and fair to all participants.
- (c) To promote the development of consensus through the broad and balanced participation of a variety of interests and through a full airing and discussion of all points of view.
- (d) To adhere, both in letter and in spirit, to all duly established rules, regulations, and policies governing the ANSI voluntary consensus standards system.

11.2 Code of Conduct Applicable to Participants

- (a) All persons serving on the ASC Z136 main committee, standards subcommittees, technical subcommittees, editorial working group, or ad hoc groups (hereafter "Participants") shall act honestly, in good faith, and with the highest professional standards.
- (b) Although it is recognized that legitimate differences of opinion can exist on individual issues, Participants should act in a dignified and courteous manner, so as to avoid injuring others, their property, reputation, or employment by false, malicious, or improper action, and to avoid acting in a disrespectful or unprofessional manner towards other members or staff.
- (c) To ensure the points of view and information Participants contribute to the Z136 voluntary consensus standards can be accurately evaluated by others, Participants should always endeavor to make known their business, commercial, organizational, or other affiliations that might affect their interests or points of view, avoiding real or perceived conflicts of interest whenever possible.
- (d) In all discussion, debate, and deliberation, Participants should confine their comments to the merits of the issues under review. Although Participants may forcefully advocate their views or positions, they should be candid and forthcoming about any weaknesses in their position, and they should refrain from debate and discussion that is disrespectful or unprofessional in tone or that is unduly personalized or damaging to the overall process of achieving consensus.
- (e) No Participant should ever attempt to withhold or prohibit information or points of view from being disseminated, particularly on the grounds that the Participant is in disagreement with the information or points of view. Disagreements should be addressed and resolved through full presentation and discussion of all information and points of view, not through withholding information or preventing points of view from being expressed.

- (f) Participants retained to represent the interests of another with respect to a specific issue or issues that are to be addressed by any ASC Z136 body shall declare those interests.
- (g) Participants should treat all persons with respect and fairness and should not offer or appear to offer preferential treatment to any person or group.
- (h) Participants should refrain from disseminating false or misleading information or from withholding information necessary for a full, fair, and complete consideration of the issues duly discussed.
- (i) Participants should obey all applicable laws and ASC Z136 policies, including policies promulgated by ASC Z136 for the committee on which they participate.
- (j) Participants should safeguard ASC Z136's reputation and integrity by ensuring that any public statements relating to ASC Z136, which are not official statements of ASC Z136, are properly portrayed as the opinion of the individual making them.

11.3 Violations of the Code of Conduct

If a Participant violates this Code, the ASC Z136 ADCOM will investigate alleged violations of this code and work to rectify the violation. If this is not possible or if the Participant does not cooperate then the ASC Z136 may consider suspension or termination of membership. Any removal of a Participant will be conducted in accordance with the ASC Z136 Procedures.

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APPENDIX A

Normative

A.1 Outline for the Preparation of Draft Standards and Balloting at Subcommittee Level

(See Flowcharts A.1 and A.2)

- (a) To initiate work on a concept for a new document the stakeholders shall submit the need, scope, and summary to the ADCOM for approval of the project. The Secretariat, with the approval of the ADCOM, shall prepare and conduct a ballot (see Section 7.7.2) for approval by the Committee of the project and for establishing a new standards subcommittee (if necessary) to complete the work. Upon approval, the Secretariat shall submit a Project Initiation Notification System (PINS) form to ANSI. See Flowchart A.1. Any meeting held with the objective of PINS development will be organized by the ADCOM and open to all stakeholders.
- (b) To initiate work on an existing document (revision), the Secretariat shall submit a PINS form to ANSI following publication of the existing document but prior to subcommittee activity. The standards subcommittee (SSC) chair shall not hold a subcommittee meeting to develop a revision prior to the publication of the PINS by ANSI.
- (c) The SSC Chair shall submit a completed *Subcommittee Project Initiation Request* (SPIR – see Appendix B) through the Secretariat to the ADCOM. If the SPIR is determined by the ADCOM to be incomplete, the Secretariat shall return the SPIR to the SSC Chair for completion.
- (d) The Secretariat shall distribute a copy of the completed SPIR to each subcommittee chair to ensure that all subcommittees having material interest are included in the coordination process.
- (e) The SSC should immediately begin completing a Subcommittee Draft (SCD) to ensure expeditious release of new documents. See Flowchart A.2.
- (f) During development, the chair (or secretary, if one exists) of the SSC shall distribute each successive SCD to the members of the SSC.
- (g) When an SCD is ready for subcommittee ballot, the chair of the SSC shall establish a balloting group from the SSC membership and shall submit a Subcommittee Draft for Vote (SCDV) to the Secretariat. The Secretariat shall distribute the SCDV to the chair of each of the TSCs identified on the SPIR for final consideration before the Committee Draft for Vote (CDV) draft.
- (h) Balloting shall be effected by the sponsoring SSC, and shall adhere to the balloting requirements in Section 7.9. Once balloting begins, the balloting group will be closed to additional members.
- (i) Each ballot comment, or coordinating subcommittee comments, (including those from the identified technical subcommittees) shall be entered into the Summary Comment Form (Appendix D) and shall include the following:
 - Name of individual
 - Location of the text reference for each comment
 - Reason for voting negative – rationale or error
 - Proposed wording that would cause the individual to change their vote to affirmative
- (j) After the initial ballot, SCDVs that are modified to incorporate comments or reconcile negative votes shall be distributed to the balloting group along with the *Summary Comment Form* (Appendix D) that includes the following information:

- Name of individual
 - Location of the text reference for each comment
 - Reason for negative vote and wording change required to change vote to approval
 - Rationale for other changes suggested within affirmative ballots
 - SSC rebuttal or change incorporated to reconcile negative ballot, along with the rationale for adopting a proposed change
 - SSC rebuttal or change incorporated to address affirmative ballots containing comments
- (k) At the subcommittee level, a recirculation ballot shall be conducted if any substantive change is made, whether to address a negative vote or affirmative comment, or may be conducted at the discretion of the SSC chair to ensure consensus of proposed non-substantive comment resolutions. If a SCDV recirculation ballot is conducted, members of the balloting group will only be able to change their vote on issues addressed by the recirculation. Balloting group members who have abstained or failed to return a ballot during the previous ballot may vote; however may only base their vote on items that have been changed since the previous ballot. Changes may include items identified by the SSC Chair within the scope of the standard project before the subcommittee. Any new issue or recommended technical change obtained during recirculation shall be retained by the SSC secretary for consideration during the next maintenance cycle. A ballot summary shall be submitted to the Secretariat for record retention.
- (l) Once the SCDV is approved, the chair of the SSC shall forward an electronic file of the final approved SCDV to the Secretariat for distribution to the Editorial Working Group (EWG) for review for style and consistency.
- (m) During the EWG review, the Secretariat shall prepare a letter ballot and establish a CBBG.
- (n) If following EWG review any substantive changes have been recommended, e.g., to correct obvious errors, the SSC Chair shall recirculate the revised SCDV to the SSC balloting group with the EWG recommended changes highlighted. The subcommittee balloting group shall only ballot on the EWG substantive changes incorporated into the SCDV.
- (o) Following this recirculation ballot, the SSC Chair shall forward the final approved SCDV along with the recirculation ballot summary to the Secretariat.

A.2 Outline for Balloting on Draft Standards at CBBG Level

(See Flowchart A.3)

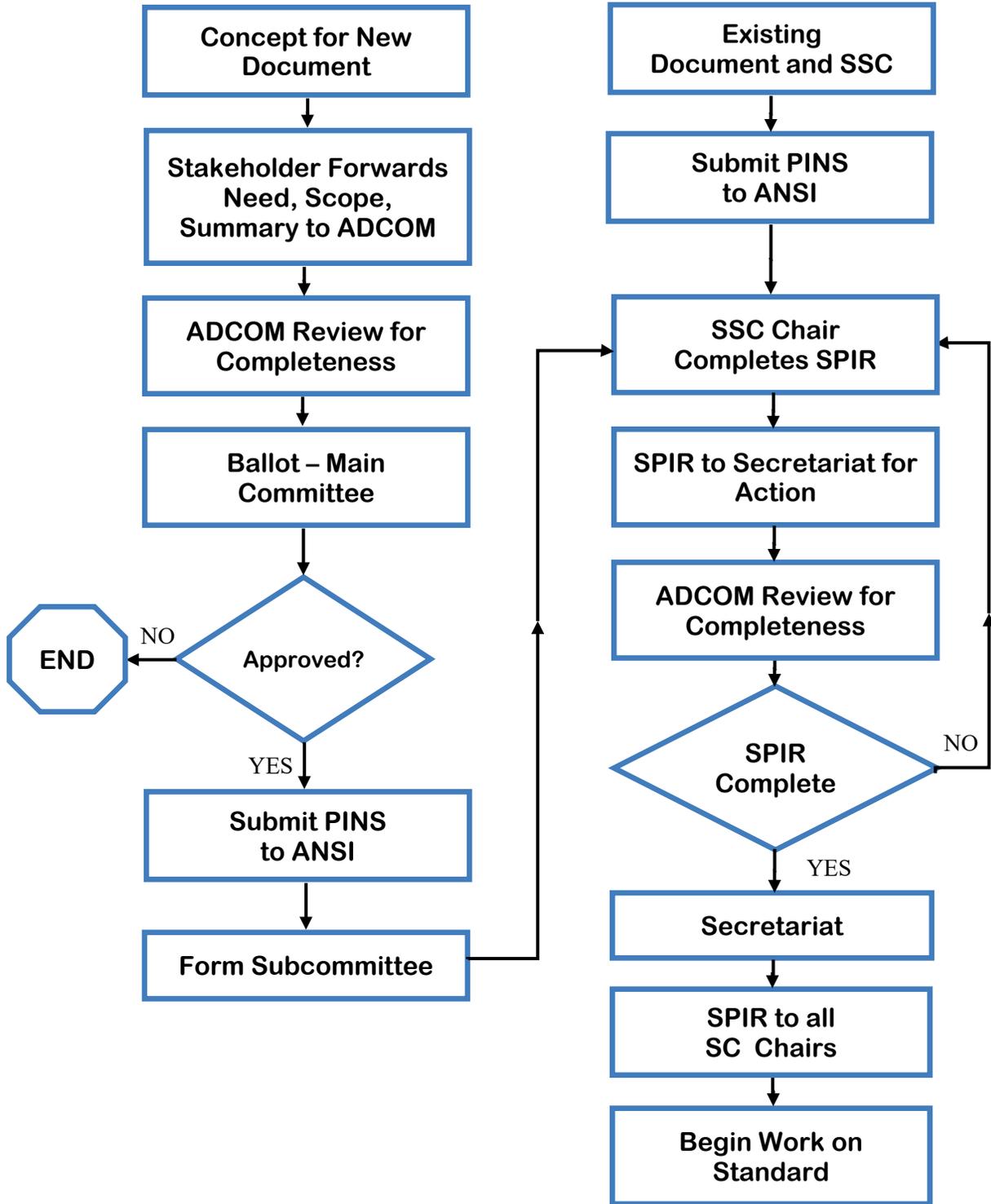
- (a) CBBG balloting is conducted by the Secretariat. The CBBG balloting draft shall be identified as a Committee Draft for Vote (CDV) with a draft number and date on each page. The balloting requirements in Section 7.9 shall be followed.
- (b) Concurrent with balloting by the CBBG, the Secretariat shall transmit the CDV to ANSI using the BSR-8 form, or its equivalent, for listing in *Standards Action* in order to provide an opportunity for public comment. In accordance with ANSI procedures, the public 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

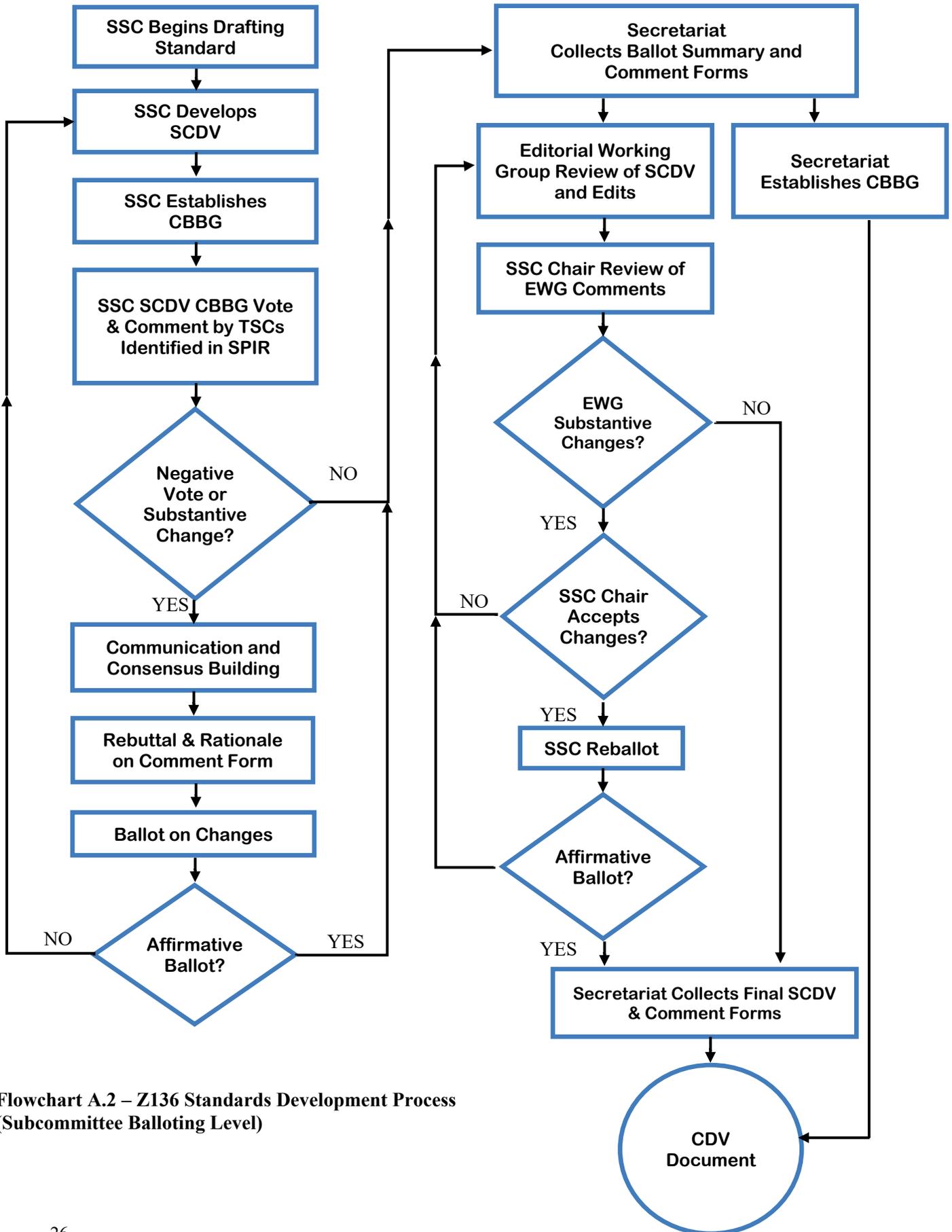
- A minimum of sixty days, if neither of the above options is available

Any substantive change subsequently made in a proposed American National Standard requires listing of the change in *Standards Action*.

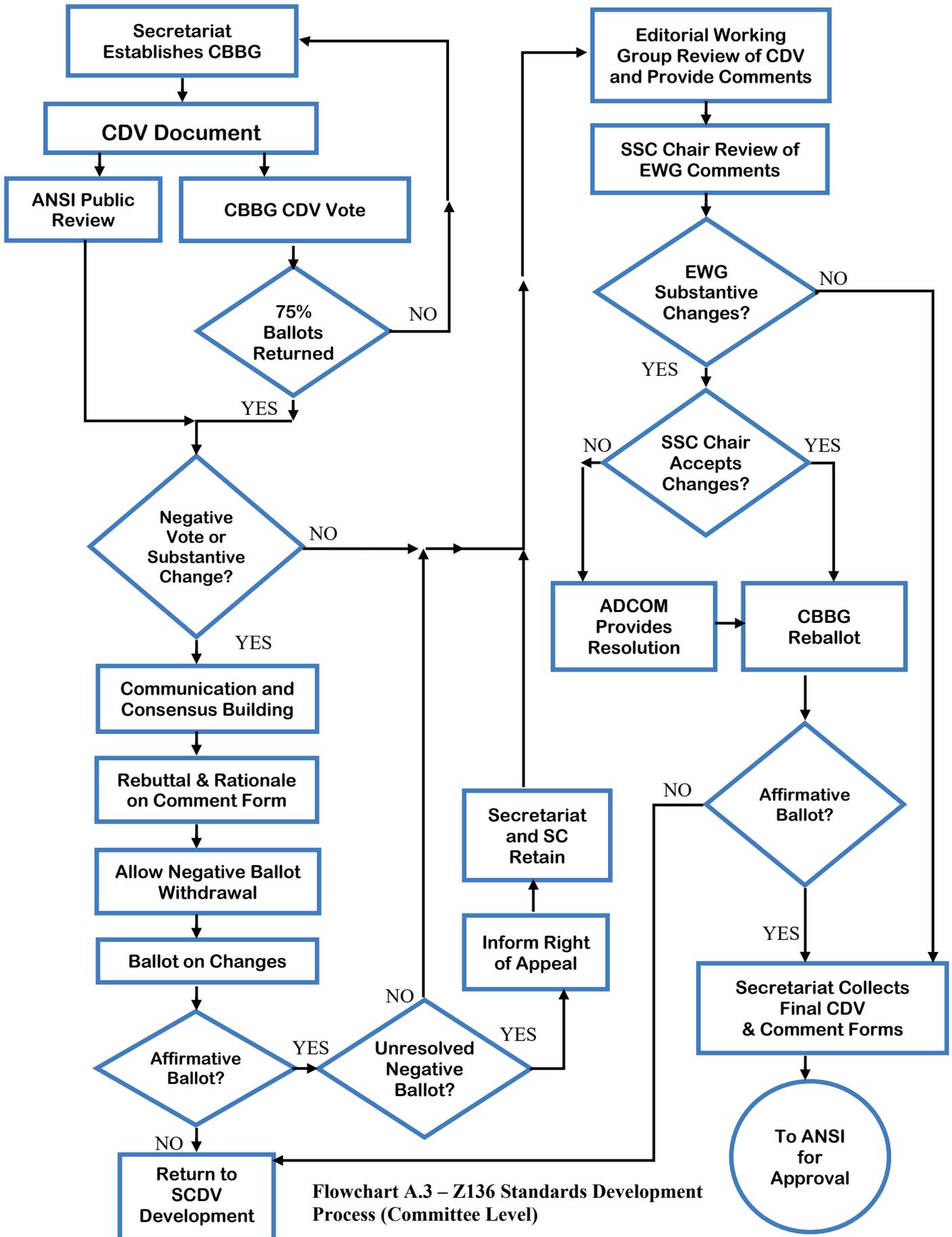
- (c) If taking into account any appropriately authorized extension of the ballot period, an insufficient number of ballots are returned by the balloting group as specified in Clause 7.9.(a), the Secretariat shall declare the voting invalid and disband the balloting group. The Secretariat shall then effect another invitation to ballot to the Committee membership to participate on a new CBBG to whom the CDV shall be distributed for vote.
- (d) If insufficient votes for approval are obtained and new issues are raised by the CBBG, or other than editorial changes are required to resolve negative votes, the CDV shall be referred to the sponsor subcommittee for revision of the SCDV with a more mature document or to provide comments on the Summary Comment Form (see Appendix D), respectively.
- (e) CBBG members who cast a negative ballot will be provided a written disposition of the objection and reasons therefore prior to a recirculation. Upon receiving the written disposition, the objector will be permitted to withdraw the objection within ten calendar days. If withdrawn, the objection will be considered resolved, thus eliminating the need for recirculation due to that objection.
- (f) Any member of the CBBG abstaining or failing to return a ballot during the previous CDV balloting will be permitted to cast a subsequent ballot during a recirculation; however, may only base their vote on substantive changes, attempts at resolution and unresolved objections since the previous ballot.
- (g) Each unresolved objection and attempt at resolution, and any substantive change, with rationale, made in a proposed CDV shall be recirculated by the Secretariat to allow each member of the CBBG to comment or change their vote on issues addressed by the recirculation. The Summary Comment Form in Appendix D shall be used. In addition, the modified CDV shall be made available to the CBBG to afford each the opportunity to review the document, including incorporated changes, in its entirety. Any new issue or recommended technical change raised during this recirculation should be retained by the Secretariat for consideration during the next maintenance cycle. Any person with an unresolved objection resulting from the balloting process has the right to appeal in accordance with the procedures outlined in Section 10.
- (h) The completed approved document shall be forwarded to the EWG who shall review one final time for style and consistency. Any change proposed by the EWG shall be reviewed by the SSC chair. Final editorial changes are incorporated into the final document with concurrence of the SSC chair. Any discrepancies arising from the final EWG review shall be reviewed by the ADCOM for resolution. If any proposed changes are deemed to be substantive, they shall be recirculated to the CBBG via default ballot. The CBBG shall only ballot on the EWG substantive changes incorporated into the CDV.



Flowchart A.1 – Z136 Standards Development Process (Project Initiation)



Flowchart A.2 – Z136 Standards Development Process (Subcommittee Balloting Level)



Flowchart A.3 – Z136 Standards Development Process (Committee Level)

APPENDIX B

Normative

Subcommittee Project Initiation Request (SPIR) Form

Date of Request _____ **Date of Approval** _____

(filled out by ADCOM)

Project Number _____

Project Title _____

Document Type _____

(Standard, Recommended Practice, or Guide)

Project Type _____

(New, Revision, Amendment, or Corrigenda)

<i>Subcommittee Chair Information</i>	
Name _____	Phone _____
Email _____	Fax _____

Number of Subcommittee Members in Drafting Working Group _____

Minimum Number of Persons Committed to Work Actively on this Project _____

Timetable for Completion of Proposed Project _____

Expected Date for SCDV Ballot _____

Expected Date for CDV Ballot _____

Scope of Proposed Project _____

Purpose of Proposed Project _____

**Subcommittee Project Initiation Request (SPIR) Form
(continued)**

Stakeholders likely to be impacted by the project _____
(e.g., telecom, medical, environmental, etc.)

Detailed Outline of Proposed Project	<i>Not required for reaffirmations or corrigenda</i>

Is this standard planned for adoption by another international organization? _____

If “YES”, what organization _____

If “NO”, explain _____

<i>Proposed Coordination / Recommended Method of Coordination</i>		
	Organization / Committee	Method*
Mandatory Coordination <i>(coordinating subcommittees requested by ADCOM)</i>	EWG	_____
	_____	_____
	_____	_____
	_____	_____
Requested Coordination <i>(coordinating subcommittees requested by subcommittee)</i>	_____	_____
	_____	_____
	_____	_____
	_____	_____

Additional Explanation Notes _____

*Circulation of Drafts (DR); Liaison Members (LI); or Common Membership (CO)

APPENDIX C

Informative

Invitation to Ballot Form

You are invited to ballot on the Subcommittee Draft for Vote or Committee Draft for Vote on the new or revised: *(insert document title here)*

Background: ASC Z136 Procedures call for the establishment of balloting groups prior to voting on any new or revised document. Balloters will be given a specified time period in which to respond to the ballot. In order for the ballot to be valid, *at least 75% of the ballots sent must be returned.* If you agree to become part of the following balloting group, you will be expected to vote on the document when it reaches the voting stage.

Affirmation Statement

I affirm that I have a material interest in the standard being balloted and have the expertise necessary to effect an informed decision. By agreeing to participate in this ballot, I have an obligation to respond. I understand that failure to return a completed ballot may disqualify me from participating in future ballots.

- Yes, I agree to participate in the balloting group and will return the ballot by the specified due date.
- No, I am not interested in participating on this balloting group.

Name: _____ Phone #: _____

Company: _____ Fax #: _____

Address: _____ Email: _____

Signature: _____ Date: _____

(Not necessary if emailing from a known email address)

Interest Category* - Check the interest category that you represent for this ballot (**select only one**):

- | | | |
|--|--|---|
| <input type="checkbox"/> Academia | <input type="checkbox"/> Consultant | <input type="checkbox"/> Consumer/Consumer Organization |
| <input type="checkbox"/> Department of Defense (DoD) | <input type="checkbox"/> Directly Affected Public | <input type="checkbox"/> Distributor/Retailer |
| <input type="checkbox"/> Government (non-DoD) | <input type="checkbox"/> Government Contractor | <input type="checkbox"/> Health Care |
| <input type="checkbox"/> Industrial/Commerce | <input type="checkbox"/> Manufacturer | <input type="checkbox"/> Professional Society |
| <input type="checkbox"/> Regulatory Agency | <input type="checkbox"/> Testing Laboratory/Facility | <input type="checkbox"/> Trade Association |

This form must be received by *(insert to whom)* by close of business, *(insert date and time)*

Please email, fax or mail to the following:

Name: _____ Phone: _____

Address: _____

City, State, Zip: _____ Email: _____

NO RESPONSES TO THIS INVITATION WILL BE ACCEPTED AFTER *(insert date and time here)*

*Interest category definitions to be provided electronically (via link) or in print with invitation to ballot.

APPENDIX D

Informative

Summary Comment Form

Title of Draft:

Number and Date of Draft:

Title of Subcommittee:

Submitted by [Name]	Text Reference Location	Rationale or Error Indicate by checkmark in left column if critical comment, see note. [X] Comment		Proposed Change	Resolution of Comment by Subcommittee and Rationale

NOTE: Reasons for a negative vote shall be given. Please provide specific wording or actions that would resolve the objection. Indicate in the column to the left of the comment (mark with “x”) if this is a critical comment to be addressed before you would be willing to change your vote. Insert additional rows as necessary.

8. BALLOT INFORMATION

List the interest categories of eligible balloters only.

Interest Category	No.						
-------------------	-----	-------------------	-----	-------------------	-----	-------------------	-----

9. SUMMARY OF ELIGIBLE BALLOTS: (Complete table below)

	<u>INITIAL BALLOT</u>		<u>RECIRCULATION BALLOT (if applicable)</u>	
	Draft _____ Number	Date Closed: _____ Percentage	Draft _____ Number	Date Closed: _____ Percentage
Ballots Mailed	_____	<u>100%</u>	_____	<u>100%</u>
Ballots Returned	_____	_____	_____	_____
Affirmatives	_____	_____	_____	_____
Negatives	_____	N/A	_____	N/A
Abstentions	_____	_____	_____	_____
Reasons for abstentions:	Lack of time = _____		Lack of expertise = _____	
	Other = _____			

10. RESOLUTION OF COMMENTS AND NEGATIVE VOTES

All balloting group members, and coordinating groups have been advised of substantive changes made with respect to the balloted draft standard (in response to comments, in resolving negative votes, or for other reasons) and have received copies of all unresolved negative votes with reasons from the negative voter and the rebuttal, and have been advised that they have an opportunity to change their votes.

- A. Have unresolved negative votes been circulated? Yes No No unresolved votes
Include unresolved negative comments and rebuttal.
- B. Have substantive document changes been circulated? Yes No No substantive change:

11. INTERNATIONAL STANDARDS ACTIVITIES

Is this document intended to be the basis of or included in an international standard? Yes No (Explain)

12. SOURCE MATERIALS SUBMITTED TO ASC Z136 Secretariat

A. Have electronic versions of the source documents (text and figures) been provided? Yes No Format: _____

B. Will a diskette or other online material be required to accompany the published standard? Yes No

13. SUBMISSION CHECKLIST (X = included in submittal package N/A = Not applicable)

X	Submission Package Item	
	This submittal form	
	Ballot summary form(s) (1 per ballot cycle)	
	Copies of <u>unresolved</u> negatives & rebuttals	
	Final balloted draft of proposed standard ___ # of complete paper copies of draft # ___	

<i>This draft standard has been developed in accordance with the policies and procedures of ASC Z136 and I am authorized by those policies and procedures to make this submittal.</i>	
Signature of Submitter	Title (role in Sponsor)

APPENDIX F

Informative

Interpretations & Explanations Procedures Flowchart

