

## **ATTACHMENT “B”**

### **ARCHITECTURAL WOODWORK INSTITUTE**

#### **PROCEDURES FOR ANSI-APPROVED STANDARDS**

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## **1. GENERAL REQUIREMENTS**

These procedures constitute the Architectural Woodwork Institute's (AWI) method of developing evidence of consensus for the approval, reaffirmation, revision, or withdrawal of American National Standards. AWI, an ANSI-accredited standards developer, shall comply with the provisions of the most current edition of ANSI Essential Requirements: Due Process Requirements for American National Standards.

## **2. SPECIFIC AWI POLICY STATEMENTS**

### **2.1 Interpretation Policy**

AWI Interpretations of its published American National Standards shall be restricted to such interpretations formally requested in writing or electronic communications. Inquiries are to be promptly acknowledged and the submitter notified of the AWI Standards Development Procedures' Interpretation Policy contained herein.

An "interpretation" of a standard, or the provisions of a standard, is an explanation or clarification of the meaning or intent of the language or the technical content for general understanding and use. Interpretations shall not be formulated for a proprietary product or use. AWI professional staff does not issue interpretations on portions of standards that they have no prior knowledge or expertise of. Interpretations shall be limited to providing clarification and explanation of the existing standard to the extent that the interpretation does not inadvertently modify the intent or technical provisions in the context of that standard.

Should an interpretation request be beyond the expertise of AWI professional staff or have the potential to modify the standard, the request will be referred to the appropriate AWI committee for review and potential response. The AWI committee to review may include AWI professional staff, members of the prior standards development committee, AWI's Technical Committee (AWI TC), AWI Board of Directors, or other technical subject experts as deemed necessary to handle the request for interpretation.

Upon completion, AWI shall advise the submitter in writing of any official interpretations, should one be determined, shall notify the submitter of committee actions taken, and shall maintain a record of all formal interpretations issued. Interpretation and suggestions for improvement will be reviewed by the AWI professional staff and referred to the appropriate standards development committee during the next revision cycle for potential inclusion or clarification in the standard

Any interpretation by the standards committee that involves legal issues or questions of AWI policies and procedures shall be referred to the AWI Executive Vice President and/or AWI Board of Directors for review.

## **2.2 Metrication Policy**

AWI will use Metric units in its future standards. The metric units will be used for but not limited to such values as: Measurement, Weight, Mass, Force and Temperature.

Metric units will be stated in the text of the standard, with the US (inch/pound) units shown following and in parentheses. Example: “25.4mm (1”).”

AWI supports the use of the Metric dimensions and units of measure to promote harmonization of standards worldwide.

### **2.2.1 Policy Statement**

Metric units will precede inch-pound units in all future standards sponsored by AWI. The choice of metric soft conversion and metric hard conversion units will depend on customer requirements through coordination with other related sectors such as commercial and private construction, manufacturing of architectural woodwork and related industries.

## **2.3 Record Retention Policy**

Records concerning new, revised, or reaffirmed American National Standards shall be retained for one (1) complete standards cycle. Records concerning withdrawn standards shall be retained for five (5) years from the date of withdrawal.

## **2.4 Patent & Commercial Terms and Conditions**

For the purpose of development, approval and maintenance of American National Standards, the AWI shall comply with applicable American National Standards Institute (ANSI) policies related to patents and commercial terms and conditions.

## **3. PROCEDURES**

AWI shall follow the standards development procedures set forth in this document, as modified periodically by AWI to comply with current ANSI Essential Requirements: Due Process Requirements for American National Standards, or as appropriate to update or improve the procedures. AWI will submit any changes to accredited procedure to ANSI for review and approval.

## **4. ADMINISTRATION**

### **4.1 AWI Professional Staff**

AWI will assign a professional staff member(s) to be primarily responsible for execution of this AWI policy for the development and coordination of American National Standards. The professional staff administrator is authorized to exercise personal judgment as necessary to carry out this task, or to request guidance as may be needed from the AWI Technical Committee (TC). The AWI TC may also appoint a task group chairman to oversee the development or revision of standards governed by these provisions. The professional staff administrator or task group chairman shall provide periodic reports of standards development actions to the AWI TC for review.

## 4.2 AWI Technical Committee

The AWI TC shall have oversight of the standards development actions executed by the AWI professional staff standards administrator, and shall review periodic reports of such actions to affirm compliance with this AWI policy for the development and coordination of American National Standards. The AWI TC shall also assist the professional staff administrator as requested, or as the AWI TC shall determine to be appropriate, in the interpretation and application of provisions of this policy. The AWI TC shall also, as it deems appropriate, consult with the AWI Board of Directors for guidance and/or approval regarding actions related to the standards development and maintenance process.

## 5. CONSENSUS REQUIREMENTS

The procedure of this section are intended to ensure that substantial agreement has been reached by directly and materially affected interest categories comprising the consensus body established and operating in compliance with these procedures. Consensus requires that all views and objections be considered, that a reasonable effort has been made toward resolution, and there is a concurrence of more than a simple majority, but not necessarily unanimity.

The standards development process shall not be dominated by any single interest category, individual or organization. Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation to the exclusion of fair and equitable consideration of other viewpoints.

The standards development process should have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance. The criteria for balance are that a) no single interest category constitutes more than one-third (1/3) of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards.

No single organization shall have more than one (1) representative serving as members of the consensus body. Determinations will consider the qualifications of the individual, reasons for interest, need for additional representation in various interest groups, dominance of any single interest, and the requirement for openness. Balanced groups with interest in AWI standards development shall prevent dominance of any single interest and shall be established as follows:

**General Interest:** Public or private organizations or individuals that have an interest in the design or use of products associated with AWI standards, but neither produce nor use them directly. (e.g., industry trade associations, code officials, members of academia, governmental agencies, environmental NGOs, etc.)

**User:** Organizations or individuals that use or specify the products associated with AWI standards. (e.g., architects, distributors, fabricators, general contractors, consumers, etc.)

**Producer:** Manufacturers of the wood products associated with AWI standards (e.g., manufacturers of wall surfacing, casework, interior trim, etc.)

AWI shall strive to maintain balance in its consensus process. No single interest category shall constitute a majority of the membership of the consensus body.

The following guideline, though not required, may be used in attempting further balance of the consensus body:

General Interest:	20 – 45 percent
Users:	20 – 45 percent
Producers:	20 – 45 percent

The overall objective in developing the consensus body is to ensure that the producing industry remains in check with the balance of users and general interest representation. Additional participants in any category that needs to be balanced may be further solicited prior to instituting the canvass process. For standards intended for, or having potential to be adopted for a regulatory end-use, representatives of government agencies or regulatory organizations shall be contacted and considered for participation under the General Interest Category.

Categories may be further defined and considered appropriate to the standards activity being proposed. Expanded or redefined interest categories shall be made available upon request.

## **6. NOTIFICATION OF STANDARDS DEVELOPMENT AND COORDINATION**

Notification of standards activity shall be announced in suitable media as appropriate to demonstrate the opportunity for participation by all directly and materially affected persons. The AWI Technical Committee, AWI standards development group representatives, or AWI professional staff shall determine the need for initiation of projects to revise, affirm, or withdraw an ANSI/AWI standard. At the initiation of a project to develop or revise an American National Standard, notification shall be transmitted to ANSI by AWI professional staff using the Project Initiation Notification System (PINS) Standards Action Request Form, or its equivalent, for announcement in Standards Action. A statement shall be submitted and published as part of the PINS announcement that should include:

- (a) an explanation of the need for the project including, if it is the case, a statement of intent to submit the standard for consideration as an ISO, IEC or ISO/IEC JTC-1 standard; and
- (b) identification of the stakeholders (e.g., manufacturers, consumers,

distributers, environmental organizations, etc.) likely to be directly impacted by the standard.

If AWI receives written comments within thirty (30) calendar days from the publication date of a PINS announcement in Standards Action, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in Standards Action, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within ninety (90) calendar days from the comment deadline. Such a deliberation shall be organized by the developer and the commenter and shall be concluded before the developer may submit a draft standard for public review. If the deliberation does not take place within the ninety (90) calendar day period and AWI can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The outcome of such a deliberation shall be conveyed in writing by the developer and commenter (ideally as a joint submission) to the ANSI Board of Standards Review (BSR) for consideration should AWI ultimately submit the related candidate standard to ANSI for approval.

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

- A minimum of thirty (30) calendar days if the full text of the revision(s) can be published in Standards Action;
- A minimum of forty-five (45) calendar 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 (60) calendar days, if neither of the aforementioned options is applicable.

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

All comments received in response to the filing of PINS with ANSI shall be addressed in accordance with clause 2.5 of the most current version of the ANSI Essential Requirements.

## **7. AWI CANVASS PROCESS**

### **7.1 Development of Canvass List**

AWI shall develop a list of potential canvasees consisting of those organizations, companies, government agencies, standards developers, individuals, etc., known to be, or who have indicated that they are, directly and materially affected by the standard. AWI shall meet the requirements of the ANSI Essential Requirements regarding lack of dominance. No individual shall represent more than one (1) canvasee.

In order to determine canvass participation, AWI shall conduct a pre-canvass interest survey requesting that potential canvasees indicate both their interest in participation and interest category. The survey shall contain the title, designation, scope, description of the standard. Potential canvasees will be informed about the use of AWI's canvass process for developing evidence of consensus, the history of the standard's development, purpose and intended application of the standard, and an explanation of the ANSI function. This information shall be presented with the survey letter or made available for review online. The time for response shall be fourteen (14) calendar days from the date of AWI's letter and shall be so noted in the letter. All those who have agreed to participate shall be included on the canvass list, together with their self-selected interest categories in accordance with the ANSI Essential Requirements. In addition, the affiliation and interest category of each member of the consensus body shall be made available to interested parties upon written request.

Once an interest survey has been completed for a standard, it need not be repeated for subsequent balloting of the document. In addition, AWI may conduct a single interest survey for a group or category of standards. A canvasee who has indicated a desire to be on AWI's canvass list for a particular standard shall receive the draft document(s), letter ballot(s), and other information required as part of the of the canvass process.

### **7.2 Announcement of Canvass Initiation**

AWI shall announce the initiation to develop or revise an American National Standard in Standards Action by submitting the PINS forms showing a proposed standard for public review or intent to revise the current standards and to request announcement for public review. The canvass list shall be made available upon request from AWI, or alternately, a URL address where an electronic version of the canvass list shall be posted. The review period shall be thirty (30) calendar days from the date of publication. Any resulting proposals for addition to the canvass list shall be referred directly to AWI.

### **7.3 Conduct of Canvass**

AWI may begin to conduct the canvass at any time after an initiation of canvass is announced, but canvasees subsequently added to the canvass list shall have the same amount of time to respond as do the other canvasees.

AWI shall transmit, at a minimum, the following information to all canvasees and other interested parties so requesting unless the developer has previously supplied this information:

- The purpose and intended application of the standard;
- A brief history and explanation of how the standard was developed;
- An explanation of ANSI's function and the use of AWI's canvass process in the voluntary consensus standards system;
- A copy of the canvass list, consisting of the name, affiliation, and category of interest of each canvasee;
- A copy of the complete proposed American National Standard or the relevant portion under consideration when the canvasee has previously received the complete standard;
- The official letter ballot(s) to all canvasees.

A vote of the majority of the AWI's Board of Directors may be taken to withdraw an AWI standard as a proposed or existing American National Standard. A written justification for such an action shall be made available upon receipt of any written request received by AWI within sixty (60) calendar days of the final action.

Upon request, AWI shall provide to the canvasee a reasonable number of copies of the document being considered, or provide a URL for online document download, to allow for a speedy determination of position by the canvasee. Should the document contain material that is not to be considered for approval as an American National Standard, such as an introduction or annex, a clear statement shall be included indicating those portions of the standard that are to be considered for approval by ANSI.

The ballot form used by AWI shall provide opportunity for the canvasee to indicate its position (i.e., affirmative, negative (with reasons), abstain (with comment), with the advice that, in order to receive consideration, objections must be accompanied by supporting written reasons and, where possible, proposals for a solution to the problem raised. At least (1) one follow-up notice shall be sent to any non-responding canvasees. Ballots shall be tracked by AWI professional staff to determine non-responsive participants and reminder notification shall be sent as appropriate within ten (10) calendar days of the close of the ballot. The canvass ballot may be closed at the end of forty-five (45) calendar days or sooner if all canvasees have responded. An extension of up to thirty (30) calendar days shall be granted upon request from any canvasee at the discretion of the administrator.

Those not on the canvass list who have a direct and material interest in the standard have an opportunity to participate in the review of the standard during the public review process, as announced in Standards Action.

Approval of a new standard, revision or reaffirmation of an existing standard, or an addendum to part or all of an existing standard shall require that a majority of the consensus body cast a vote (counting abstentions) and at least two-thirds (2/3) of those voting approve (not counting abstentions).

Views and objections resulting from the canvass shall be dealt with in accordance with AWI's policy on consideration of views and objections.



#### **7.4 Consideration of views and objections**

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the PINS announcement or public comment listing in Standards Action. In connection with an objection articulated during a public comment period, or submitted with a vote, an effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made, and each such objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons.

Revisions made due to objections, comments, and further review of the proposed standard as canvassed shall be reviewed by AWI professional staff in order to determine whether they shall be deemed editorial or substantive. A substantive change is one that directly and materially affects the use of the standard. Examples of substantive changes include: uses of “shall” and “should”; addition, deletion or revision of requirements; addition of mandatory compliance with referenced standard.

Disposition of an objection or comment shall be communicated officially in writing after it is reviewed. Disposition may include incorporation of comments or revisions to the standard, consideration of comment in the next revision cycle, or review and comment for disposition by the appropriate body. Dispositions of comments shall be appropriately communicated to commenter including substantiation communicated through AWI TC meeting minutes, letter or response detailing disposition, or summary of all responses and rational.

If resolution is not achieved, each such objector shall be informed in writing that an appeals process exists within procedures used by AWI. In addition, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved must be reported to the ANSI BSR.

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

Unresolved objections, attempts at resolution and any substantive change made in a proposed American National Standard shall be reported to the consensus body and re-balloted as necessary in order to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote. Changes made to the proposed standard that are deemed editorial will be communicated to the consensus body but shall not require an additional ballot. If it is unclear whether a change is substantive or editorial, the change may be presented to the canvass committee for review and ballot.

## **7.5 Appeals Procedures**

Persons who have directly and materially affected interests; who have participated in reviewing a new proposed AWI sponsored standard or revision to an AWI sponsored standard or who, through some communication or notice have expressed a viewpoint on such a standard; and who stated and demonstrated that they have been or will be adversely affected by a standard sponsored by AWI shall have the right to appeal procedural actions or inactions of the sponsor following the procedures of this section.

### **7.5.1 Complaint**

The appellant shall file a written complaint with the sponsor within fifteen (15) calendar 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 or the standard 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.

### **7.5.2 Response**

Within thirty (30) calendar days after receipt of the complaint, AWI professional staff, work group, or sponsor representative shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

### **7.5.3 Hearing**

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, AWI shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least ten (10) calendar days notice.

### **7.5.4 Appeals Panel**

The appeals panel shall consist of three (3) individuals who have not been directly involved in the matter in dispute, and who will not be materially affected by any decision made or to be made in the dispute. Persons participating in the canvass of ANSI standards, or on the formal (written) standards Reviewer list for other AWI sponsored standards are not prohibited from serving on the appeals panel provided that they have not been directly involved in the matter of the dispute, and will not be materially affected by any decision made or to be made in the dispute. At least two (2) members shall be acceptable to the appellant and at least two shall be acceptable to the respondent. Where the parties to the appeal cannot agree on an appeals panel within twenty-one (21) calendar days from the start of the selection process, the matter shall be referred to the AWI Board of Directors or its designee, which shall appoint members of the appeals panel.

### **7.5.5 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 AWI, the AWI TC committee, or sponsor took all actions in

compliance with these procedures, and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals. Robert's Rules of Order (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

#### **7.5.6 Decision**

The appeals panel shall render its decision in writing within thirty (30) calendar days, stating findings of fact and conclusions, with reasons therefore, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision

- Finding for the appellant, remanding the action to AWI with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;
- 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;
- Finding that new, substantive evidence has been introduced, and remanding the entire action to AWI for appropriate reconsideration.

### **8. SUBMITTAL OF STANDARD**

Upon completion of the above canvass process, the proposed standard shall be submitted to ANSI with the BSR-9 for review and approval.

The information to be supplied to ANSI shall include at a minimum:

- Title and designation of the proposed American National Standard;
- Indication of the type of action requested (that is, approval, reaffirmation, revision, or withdrawal);
- A declaration that applicable procedures were followed;
- A declaration that the proposed standard is within the scope of the previously registered standards activity;
- A declaration that conflicts with another American National Standard have been addressed in accordance with these procedures;
- A roster of the consensus body that indicates: the vote of each member including abstentions and unreturned ballots, if applicable; the interest category of each member; and a summary thereof;
- A declaration that all appeal actions related to the approval of the proposed standard have been completed;
- A declaration that the criteria contained in the ANSI patent policy have been met, if applicable; and
- Identification of all unresolved negative views and objections, with names of the objector(s), and a report of attempts toward resolution.

The AWI shall take action to revise or reaffirm a standard within five (5) years of the last approval date of the standard.

## 9. POLICY REVISION HISTORY

<u>Date</u>	<u>Revision</u>
3/05/2014	1 <sup>st</sup> Edition Rev. 2.0
3/06/2014	1 <sup>st</sup> Edition Rev. 3.0
3/07/2014	1 <sup>st</sup> Edition Rev. 3.1
8/08/2014	1 <sup>st</sup> Edition Rev. 3.2

ANSI Approval Granted on  
August 15, 2014

**ATTACHMENT “C”**  
**AWI Potential Initial Canvass Body\***

**General interest group:**

- Architectural Woodwork Institute (AWI)
- Woodwork Institute (WI)
- Architectural Woodwork Manufacturers Association of Canada (AWMAC)
- Hardwood Plywood and Veneer Association (HPVA)
- Window and Door Manufacturer’s Association (WDMA)
- Stairway Manufacturers’ Association (SMA)
- Other trade associations and/or government agencies to achieve 20% of the total canvass list but not to exceed 45%.

**User group:**

- R & M Group Architects, Charlotte, NC
- HOK Architects, Washington, DC
- WDG Architects & Planners, Washington, DC
- Other architects, distributors, fabricators and/or consumers to achieve 20% of the total canvass list but not to exceed 45%.

**Producer group:**

- To be determined.
- A number of manufactures to achieve 20% of the total canvass list but not to exceed 35%.

\*Note:

Those listed by name in the General Interest group have a long history working together on AWI’s standards writing initiatives. Because the number of stakeholders with sufficient concern to engage in the General Interest group is historically small then canvasses in this group may end up dictating population numbers of the User and Producer groups.