

**ANSI-Accredited Standards Developer**  
**Human Factors and Ergonomics Society (HFES)**  
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**Statement on Standards Development**

**Procedures for Canvass**

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**Clause 1. General**

This document constitutes the Human Factors and Ergonomics Society's accredited procedures for developing evidence of consensus for the approval, reaffirmation, revision, discontinuance or withdrawal of American National Standards. In the case of the discontinuance of an American National Standard (ANS), the discontinuance process will follow clause 4.2.1.3.3 of the ANSI Essential Requirements (ER) and ANSI shall be notified by HFES. These procedures are believed to meet the requirements found in the ER.

**Clause 2. HFES Internal Procedures - Summary**

HFES develops standards related to the interaction of humans with machines in order to achieve compatibility in the design of interactive systems consisting of people, machines, and environments to ensure their effectiveness, safety, and ease of use. It submits some of these standards as American National Standards (ANS). Before submitting any standard to ANSI for approval, HFES adheres to the requirements defined in the ANSI Essential Requirements and the procedures defined in this document for developing consensus among the stakeholders (i.e. materially and directly affected interests) and other interested parties who may participate in the development/revision of those standards. The detailed HFES procedures defined in this document have been specified to meet all of the requirements in the ANSI Essential Requirements. The procedures defined in this document include the following elements:

- Development of an American National Standard Canvass List
- Notification of American National Standard Development and Coordination
- Announcement of American National Standard Canvass Initiation
- Conduct of American National Standard Canvass
- Disposition of Viewpoints and Objections
- Submittal of American National Standard

The HFES Institute is the body that develops and maintains HFES Standards. The responsibilities of HFES as Secretariat to the HFES canvass committees include:

1. organizing the canvass committee(s),
2. overseeing the HFES' compliance with these procedures,
3. maintaining a roster of HFES canvass committees and a list of standards for which HFES is responsible,
4. preparing and distributing meeting agendas, minutes, ballots, and maintaining adequate records pertaining to the functions of the HFES, and
5. performing other administrative functions as required by these procedures.

This HFES Institute Statement on Standards Development defines the internal HFES procedures by which standards work will proceed. The governing principle is as follows: No HFES document will be approved as an HFES document, or proposed as an American National Standard, unless it has been developed in complete accordance with these HFES Procedures for Standards Development and approved by a majority vote of the HFES Executive Council. A majority shall be defined as more than half of the members present and voting.

### **Clause 3. Development of an American National Standard Canvass List**

HFES will develop a list of potential canvassees consisting of those organizations, companies, government agencies, standards developers, individuals, etc., known to be, or who have indicated that they are, directly and materially interested in the standard. The standards developer shall meet the requirements in ER1.2\* regarding lack of openness, lack of dominance, and balance.

- **Openness.** Participation shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership on the consensus body shall not be conditional on membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.
- \* **Lack of dominance.** 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.
- **Balance.** The standards development process should have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance. If a consensus body lacks balance in accordance with the historical criteria for balance, and no specific alternative formulation of balance has been approved by the ANSI Executive Standards Council, outreach to achieve balance shall be undertaken. No single interest category should constitute a majority of the membership of a consensus body dealing with other than safety-related standards and no interest category should exceed one-third of the membership of the consensus body dealing with safety-related standards.
- \* In order to achieve balance and lack of dominance in the canvass committee, the HFES Institute and the committee chair may limit the number of representatives from any interest group as necessary.

The interest categories for HFES's American National Standards include, but are not limited to:

- *Manufacturers*, defined as representatives of firms that manufacture (i.e., "make") components or products covered by a standard (e.g., keyboards, processors, monitors, software, tables, chairs, devices)
- *Distributors*, defined as representatives of companies that markets a commodity or product covered by a standard; for example, a wholesaler
- *Engineering firms* – companies that apply science and mathematics to the design and manufacture of complex products
- *Designers* (individuals who create and execute plans for a product or system, and *specifiers* (those who make recommendations regarding specific products to be purchase for use in a system or work environment

- *Customers (users)*, defined as the end user of a product or one who makes a purchase of a product for his or her own use; a person who uses the product or system, rather than the one manufacturing, designing, engineering or specifying it.

The requirements to maintain a current and accurate canvass committee roster, include:

1. Committee title
2. Committee scope
3. Committee Secretariat
4. Committee Officers - Chair and Vice-Chair, and
5. Committee Members - name, address, contact information, interest category, and business affiliation.

In order to determine if potential canvassees are interested in participating, the standards developer shall conduct a precanvass interest survey, in which the standards developer informs the potential canvassees in writing about the use of these procedures for developing evidence of consensus, and, if the potential canvassees are interested in participating, obtains an appropriate interest-category classification. The standards developer's notice shall contain the title, designation, scope, and description of the standard along with the history of its development, purpose, and intended application and an explanation of the function of the American National Standards Institute (ANSI) in the process. The time for response shall be at least 30 days from the date of the standards developer's letter and shall be so noted in the letter.

The survey letter shall be published in the HFES *Bulletin* and, if appropriate, ANSI *Standards Action* and other professional and industry publications.

Once an interest survey has been completed for a standard, it need not be repeated for subsequent balloting of the document. In addition, the standards developer may conduct a single interest survey for a group or category of standards. Once selected for canvass committee membership, a canvassee who has indicated a desire to be on the standards developer's canvass list for a particular standard, a category, or categories of standards, shall receive the draft document(s), letter ballot(s), and all appropriate information pertaining to the ANS Canvass (See Clause 6)

#### **Clause 4. Notification of an American National Standard Development and Coordination**

Timely and adequate notice of standards development activity shall be announced in media suitable to demonstrate that a meaningful opportunity for participation, debate and deliberation by all directly and materially interested parties in a fair and equitable manner was provided. At the initiation of a project to develop or revise an ANS, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *Standards Action*. Comments received in connection with a PINS announcement shall be handled in accordance with these procedures. If HFES receives a written request for additional information or for the opportunity to discuss the proposal from a directly and materially interested outside party or current consensus body member, during the 30-day PINS comment period, HFES shall respond in writing within 30 days of the comment deadline.

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., telecom, consumer, medical, environmental) likely to be directly affected by the standard.

If the response to subsection (b) changes substantively as the standard is developed, a revised PINS shall be submitted and published.

#### **4.1 PINS Exceptions**

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

#### **4.1 Assertions of conflict or duplication**

If a developer receives written comments within 30 days of the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously (or concurrently) in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days of 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 90-day period and the developer can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project.

#### **4.2 PINS Deliberation Report**

The outcome of a PINS deliberation shall be conveyed in writing (the "Deliberation Report") within 30 days after the conclusion of the deliberation by the developer to the commenter and to ANSI. Upon submission of the Deliberation Report, the developer may continue with the submission of the proposed standard for public review, and an updated Deliberation Report shall be conveyed within 30 days after each deliberation. Any actions agreed upon from the deliberations shall be carried out in a reasonably timely manner, but normally should not exceed 90 days following the deliberation. Subsequently, the developer shall include all of the Deliberation Report(s) with the BSR-9 submittal to the ANSI Board of Standards Review (BSR) for consideration should the developer ultimately submit the subject standard to ANSI for approval. Stakeholders who were involved in the PINS deliberation process may also file separate Deliberation Reports with ANSI and the developer within 30 days after conclusion of any deliberation for consideration by the BSR, if the standard is submitted to ANSI for approval.

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

#### **4.3 Public Review**

In addition, proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI using

the BSR-8 form, or its equivalent, for listing in *Standards Action* in order to provide an opportunity for public comment. If it is the case, then a statement of intent to submit the standard for consideration as an ISO, IEC, or ISO/IEC JTC-1 standard shall be included as part of the description of the scope summary that is published in *Standards Action*. The comment period shall be one of the following:

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

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

## **Clause 5. Announcement of an American National Standard Canvass Initiation**

At the request of HFES, ANSI may announce the initiation of the canvass in *Standards Action*. This will alert all to the canvass and may elicit additional interested parties as canvassees. This announcement shall include a statement that the canvass list is available upon request from the developer, or alternately, a URL address where an electronic version of the canvass list is posted.

## **Clause 6. Conduct of an American National Standard Canvass**

The standards developer may begin to conduct the canvass at any time, but canvassees subsequently added to the canvass list shall have the same amount of time to respond as do the other canvassees.

The standards developer shall transmit, at minimum, the following information to all canvassees and interested parties so requesting, unless the developer has previously supplied this information:

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

Upon request, the standards developer shall provide to the canvassee a reasonable number of copies of the document being considered, to allow for a speedy determination of position by the canvassee. 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 the standards developer shall provide opportunity for the canvass to indicate its position; i.e., approval, approval with comment, objection (with reasons), abstention (with comment), with the advice that, in order to receive consideration, objections must be accompanied by supporting written reasons and, where possible, should provide proposals for a solution to the problem raised. At least one follow-up shall be sent to canvassees not responding. The canvass ballot may be closed at the end of the comment period, or sooner, if all canvassees have responded. An extension 30 days shall be granted upon request from any canvassee giving a legitimate reason.

The balloting period for the initial ballot and any recirculation ballot shall be 45 days.

A follow-up e-mail requesting immediate return of the ballot to all members whose votes have not been received ten calendar days before the ballot closes. After the balloting period has ended, if a canvass committee member has not submitted a ballot, and has not responded within 30 days to two follow-up communications transmitted by electronic mail and by telephone, then the ballots should be recorded as Not Returned and they should not be eliminated from the canvass committee. Regardless of the readmission process, if the canvass committee member has not responded within the allotted balloting period, they will not be permitted to submit a "late ballot."

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, 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 approval by at least a majority of the canvass list and at least two-thirds of those voting, excluding abstentions.

Proposals for new American National Standards, and proposals to revise, reaffirm, or withdraw existing American National Standards, shall also be transmitted to ANSI for listing in Standards Action for comment. The standards developer shall determine whether such listing shall be concurrent with the canvass and whether announcement of the proposed action in other suitable media is appropriate. The standards developer shall transmit a copy of the proposed new, revised, or reaffirmed standard to the administrator(s) of the appropriate USA Technical Advisory Group(s) at the same time.

Views and objections resulting from the canvass shall be dealt with in accordance with Clause 7.

## **Clause 7. Consideration of Views and Objections**

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

Public review and consensus-body comments: In connection with an objection articulated during a public comment period, or submitted with a vote, an effort to resolve all expressed objections shall be made, and each objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefore. If resolution is not

achieved, each objector shall be informed in writing that an appeals process exists within procedures used by the standards developer. 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 BSR.

\* Resolved: A negative vote cast by a member of the consensus body or a comment submitted as a result of public review where the negative voter agrees to change his/her vote or the negative commenter accepts the proposed resolution of his/her comment.

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 and will generally be considered during the next review cycle. The submitter of the comments shall be so notified in writing.

Unresolved\* objections, attempts at resolution, and any substantive change\* made in a proposed American National Standard shall be reported to the consensus body in order to afford all members an opportunity to respond, reaffirm, or change their vote. Substantive changes made in a proposed American National Standard shall be listed in Standards Action. Note that any Substantive Change will require an additional Canvass Ballot to be conducted that includes all members of the Canvass Committee. Also note that Substantive Changes require an additional Public Review. If the substantive changes can be published in their entirety in *Standards Action* (i.e. less than five pages), then this additional public review period is 30 days. If they are more than 5 pages in length and available electronically, then the ANSI public review period is the usual 45 days.

\* Unresolved: (Ref ER Annex A) Either (a) a negative vote submitted by a consensus-body member or (b) written comments, submitted by a person during public review expressing disagreement with some or all of the proposed standard, that have not been satisfied and/or withdrawn after having been addressed according to the developer's approved procedures.

\* Substantive Change: (Ref ER Annex A) A substantive change in a proposed American National Standard is one that directly and materially affects the use of the standard. Examples of substantive changes are below:

“Shall” to “should” or “should” to “shall”;

The addition, deletion or revision of requirements, regardless of the number of changes;

The addition of mandatory compliance with referenced standards.

HFES shall notify all outstanding objectors of their right to appeal to HFES in writing. Note that any Canvass Committee member that submits a “Disapprove” ballot, even if they submit no comments with their ballot, is considered to be an objector. A negative note without comment is not required to be informed of their right to appeal. Such votes shall be reported as a “negative without comment,” but shall not be factored into the numerical requirements for consensus.

All comments and their dispositions may be incorporated into a single document that is distributed to all canvass committee members, and also to all parties that submitted public comments. This single document may serve as the comprehensive record of all resolved comments, unresolved comments, and substantive changes.

## Clause 8. Criteria for approval of an American National Standard

Upon completion of the procedures for canvass, for disposition of views and objections, and for appeals, the proposed standard may be submitted to ANSI for approval.

With respect to any proposal to approve, revise, or reaffirm an American National Standard (including the national adoption of an ISO or IEC standard as an American National Standard for which one or more unresolved objections have been reported, the BSR shall evaluate whether:

- a) the standard was developed in accordance with the procedures upon which the developer was granted accreditation, with particular attention given to whether due process was followed, consensus was achieved, and an effort was made to resolve any objections to the standard;
- b) any appeal to the standards developer with respect to the standard was completed;
- c) notice of the development process for the standard was provided to ANSI in accordance with PINS or its equivalent;
- d) any identified conflict with another American National Standard was addressed in accordance with these procedures;
- e) other known national standards were examined with regard to harmonization and duplication of content and if duplication exists, there is a compelling need for the standard;
- f) ANSI's patent policy is met, if applicable;
- g) ANSI's policy on commercial terms and conditions is met if applicable.

- 1. title and designation of the American National Standard;
- 2. indication of the type of action (that is, approval of a new American National Standard or reaffirmation, revision, or withdrawal of an existing American National Standard);
- 3. a declaration that applicable procedures were followed;
- 4. a declaration that the proposed standard is within the scope of the previously registered standards activity;
- 5. a declaration that conflicts with another American National Standard have been addressed in accordance with these procedures
- 6. 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;
- 7. a declaration that all appeal actions related to the approval of the proposed standard have been completed;
- 8. a declaration that the criteria contained in the ANSI patent policy have been met, if applicable; and
- 9. Identification of all unresolved negative views and objections, with names of the objector(s), and a report of attempts toward resolution.

If the BSR determines, based on the weight of the evidence presented, that the above-stated criteria have been satisfied, the standard shall be approved as an American National Standard. The BSR shall deny approval, if, based on the weight of the evidence presented, the BSR determines that the American National Standard:

- a) is contrary to the public interest;
- b) contains unfair provisions;
- c) is unsuitable for national use; or that the accredited standards developer (HFES) has failed to make a good-faith effort to resolve conflicts.

Standards approved as American National Standards shall be designated, published, and maintained in accordance with the procedures contained herein. A substantive change that has not been afforded due process in accordance with these procedures may not be made in an approved American National Standard.

The BSR shall not approve standards that duplicate existing American National Standards unless there is a compelling need.

Notice of the BSR's final action on all standards shall be published in *Standards Action*.

## **9. Criteria for withdrawal**

### **9.1 Administrative withdrawal**

An American National Standard shall be withdrawn five years following approval, if the standard has not been revised or reaffirmed, unless an extension has been granted by the ExSC or its designee. An American National Standard that has not been reaffirmed or revised within the five-year period, and that has been recommended for withdrawal by the ExSC or its designee, shall be withdrawn at the close of a 30-day public review notice in *Standards Action*. American National Standards that have not been revised or reaffirmed within ten years from the date of their approval as American National Standards shall be withdrawn and such action shall be announced in *Standards Action*.

### **9.2 Withdrawal by ANSI-Accredited Standards Developer**

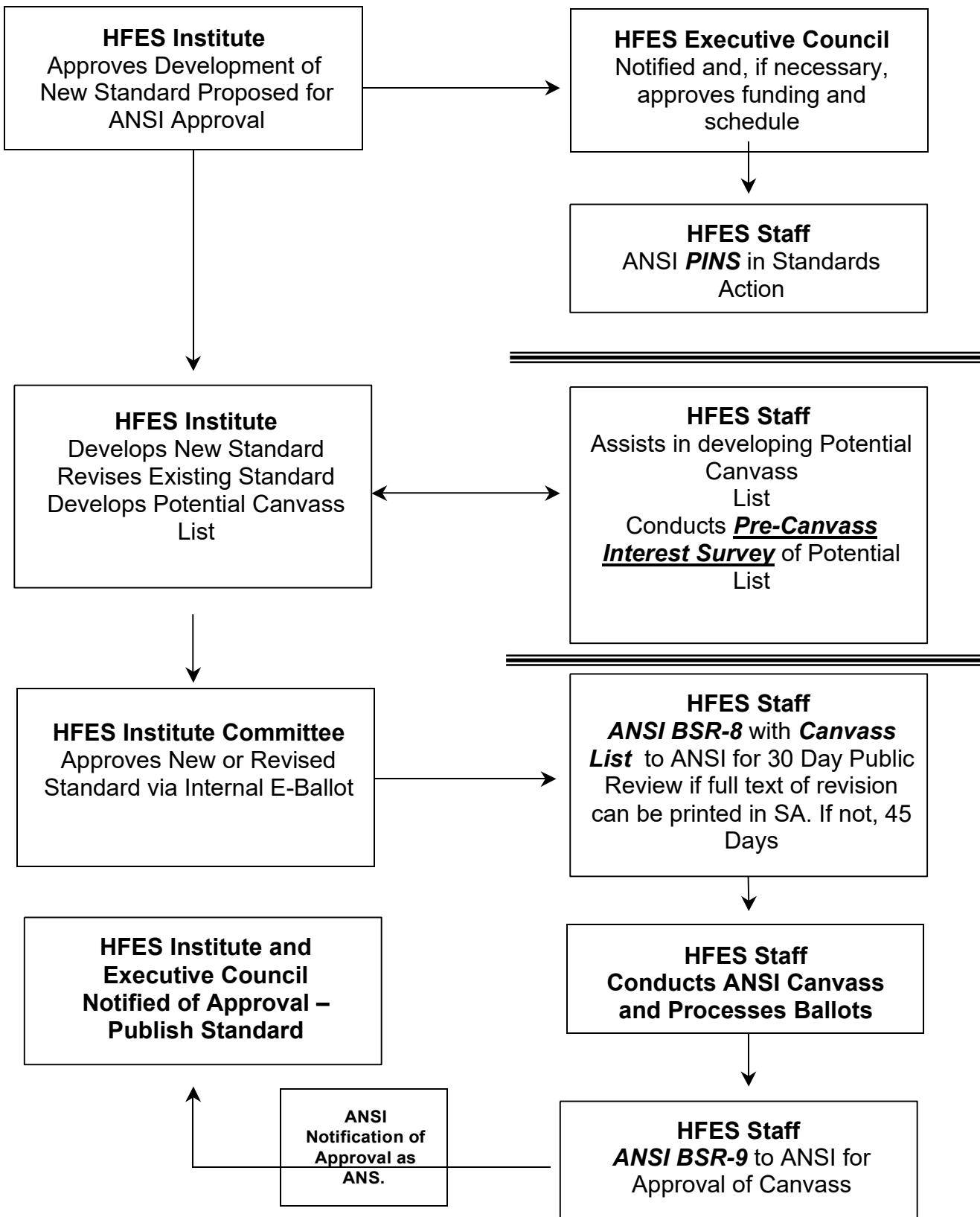
An American National Standard must be supported by an ANSI-Accredited Standards Developer. If HFES, as an accredited standards developer wishes to withdraw its approval of one or more of its American National Standards, it may do so without a vote of the relevant consensus body. If HFES, as an accredited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

### **9.3 Discontinuance of a standards project**

As an accredited standards developer, HFES may decide to abandon the processing of a proposed new or revised American National Standard or portion thereof at its own discretion and without a vote of the relevant consensus body.

Accredited standards developers must notify ANSI immediately of such actions which will be announced in *Standards Action*.

## HFES Standards Development Process Overview



## **Policies of the Human Factors and Ergonomics Society (HFES)**

### **1. Record Retention Policy (Ref ANSI Essential Requirements (ER) 3.4)**

The record retention policy complies with the ANSI minimum records retention requirements. Once an ANSI/HFES standard is issued (either new or revised), all records are kept until it is issued again (i.e. one complete development cycle).

Records concerning withdrawals of all American National Standards shall be retained for at least five years from the date of withdrawal. (Ref ER 3.4)

ANSI-accredited standards developers shall retain records to demonstrate compliance with all aspects of these and the developer's accredited procedures. Such records shall be available for audit as directed by the ANSI Executive Standards Council (ExSC).

1. Records shall be retained for one complete standards cycle, or until the standard is revised.

### **2. Interpretation Policy (Ref ER 3.6)**

HFES policy is not to interpret its standards. Written requests for clarification, or other modifications, shall be considered during the normal review and ballot cycle of those standards.

The HFES staff does respond to questions on the text content of all HFES publications. When a question covers an issue that staff has prior knowledge of, staff will provide the response. If the question involves an issue that staff does not have the necessary knowledge to respond, the question will be referred to the chair of the appropriate technical committee to provide the response. Responses sent are not official interpretations of the standard.

### **3. Patent Policy (REF ER 3.1)**

HFES shall comply with ANSI Essential Requirements (3.1) "ANSI Patent Policy – Inclusion of Patents in American National Standards."

### **4. Antitrust Policy (REF ER-3.3)**

HFES will comply with the current ANSI Antitrust Policy.

### **5. Commercial Terms and Conditions (REF ER-3.2)**

HFES will comply with the ANSI Commercial Terms and Conditions Policy in the current edition of the ANSI Essential Requirements.

### **6. Metric Policy (Ref ER 3.5)**

Each ANSI-accredited standards developer shall have on file at ANSI a metric policy. International System of Units (SI) are the preferred units of measurement in American National Standards. (Ref ER-3.4)

HFES's current policy is to use SI units in its standards. To assist those users who wish to translate metric equivalents to inch/foot/pound measurement, HFES shall add equivalent tables in its standards where appropriate.

## 7. Appeals Policy (Ref ER 2.8)

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

**Appeals:** The written procedures of an ANSI-accredited standards developer (ASD) shall contain an identifiable, realistic, and readily available appeals mechanism for the impartial handling of procedural complaints regarding any action or inaction. Procedural complaints include whether a technical issue was afforded due process. Appeals shall be addressed promptly and a decision made expeditiously. Appeals procedures shall provide for participation by all parties concerned without imposing an undue burden on them. Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed. (Ref: ER-1.7)

### **HFES Canvass Appeals Process (CAP)**

**Right to appeal at the standards developer level:** Parties who are directly and materially interested and who have been or will be adversely affected by any procedural action or inaction by a standards developer with regard to the development of a proposed American National Standard or the revision, reaffirmation, or withdrawal of an existing American National Standard, have the right to appeal. A standards developer may choose to offer an appeals process to address appeals on other than procedural issues. Procedural complaints include whether a technical issue was afforded due process. The burden of proof to show adverse effect shall be on the appellant. Appeals of actions shall be made within reasonable time limits; appeals of inactions may be made at any time. The appellant must request a hearing with an appeals panel within 15 working days of the notice of procedural action. If the appellant does not request the hearing within 15 working days, then the appeal is considered closed. Appeals shall be directed to the standards developer responsible for the action or inaction in accordance with the appeals procedures of the standards developer. (Ref: ER-2.7.1)

#### **CAP-1 Complaint**

The appellant shall file a written complaint with the HFES Central Office within 30 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 is at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

#### **CAP-2 Response**

Within 30 days after receipt of the complaint, the respondent, HFES, shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

#### **CAP-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 (in-person or teleconference) with an appeals panel on a date agreeable to all participants, giving at least 10 working days notice.

#### **CAP-4 Appeals panel**

The appeals panel shall consist of three individuals who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute. At least two members shall be acceptable to the appellant and at least two shall be acceptable to the respondent.

#### **CAP-5 Conduct of the hearing**

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

#### **CAP-6 Decision**

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

- Finding for the appellant, remanding the action to the consensus body or the secretariat with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;
- 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 the consensus body for appropriate reconsideration.

The appellant shall receive a written decision.

## ANNEX

### Additional General HFES Responsibilities As an ANSI-Accredited Standards Developer

- HFES staff and volunteer personnel charged with standards-related duties shall regularly review the list of open HFES projects by visiting the following ANSI website – [www.ansi.org/asd](http://www.ansi.org/asd).
- HFES staff and volunteer personnel charged with standards-related duties shall review ANSI's list of approved ANS ([www.ansi.org/asd](http://www.ansi.org/asd)) at least twice a year to reconcile its list of ANSs with ANSI's list of HFES ANSs to ensure that HFES does not have over-aged standards, that periodic maintenance is initiated in a timely manner, and that ANSI's records are accurate. By regularly reviewing this list, HFES staff will be able to determine if a standard requires routine maintenance or is nearing its expiration as an ANS.
- HFES will retain PDF versions of all emails relevant to the deployment of its standards.
- HFES staff and volunteer personnel charged with standards-related duties shall share past audits and responses with current and new staff so that they are aware of any areas of procedural concern and of HFES' corrective actions.
- HFES shall include and update as necessary a copy of procedures, membership application with interest categories, meeting schedule, public notice announcements, consensus body roster, etc. on the HFES website.
- HFES shall provide training to volunteers on key requirements of consensus processing. Furthermore, HFES take advantage of ANSI training programs for volunteers to keep their knowledge of ANSI standards processes current. Training can be found at <mailto:https://www.ansi.org/education/activities/standards-training-courses-webinars>.
- HFES shall participate in the ANSI Organization Member Forum ("OMF").
- HFES will annually review the HFES Procedures for any needed changes and provide ANSI with a copy of the changes.

END OF DOCUMENT