



United States  
National Committee  
of the IEC

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**Model Operating Procedures  
For  
USNC Technical Advisory Groups  
(USNC TAGs)**

Approved by USNC Technical Management Committee

**JUNE 2019**

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## Model Operating Procedures for USNC Technical Advisory Groups (TAGs)

### 1. General

These procedures for USNC Technical Advisory Groups (hereafter referred to as USNC TAGs) meet the requirements for due process and coordination in the development of U.S. positions for IEC activities as given in ANSI “Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC” (ANNEX B). A USNC TAG consists of its Technical Advisor (TA), its members, and its TAG Secretary. A particular USNC TAG is related to a particular IEC Technical Committee, Subcommittee, or Systems Committee (e.g. “USNC TAG to IEC/TC xx ”or “USNC TAG to IEC/SyC.”)

The creation of new USNC TAGs is not covered by these Model Operating Procedures (*See Section D of the USNC’s Rules of Procedure<sup>1</sup> for USNC TAG operation*). Under the USNC Rules of Procedure, a USNC TAG can be created for Technical Committees (TCs), Subcommittees (SCs) or Systems Committees (SyC), depending on the levels of interest of materially affected U.S. parties.

Subgroups of USNC TAGs or separate USNC TAG may be formed to relate to Subcommittees of an IEC Technical Committee. Where the USNC TAG to an IEC Subcommittee is not independently recognized, the degree of independent authority to take actions shall be defined in writing (as part of the USNC TAG procedures, or as a policy or agreement) and shall be approved by the parent USNC TAG, and a copy provided to the USNC Technical Management Committee (hereafter referred to as TMC). In certain circumstances, the TMC may authorize the establishment of USNC TAGs for Working Groups (WGs), Maintenance Teams (MTs), or Project Teams (PTs). In these cases, the relationship between these USNC TAGs and the parent TC or SC must be clearly documented.

There are several responsibilities that may be shared among the Technical Advisor (TA), the Deputy Technical Advisor (DTA), and the TAG Secretary. These leaders shall have an agreement on who has the primary responsibility for each. Examples of shared responsibilities are indicated in clauses 2.2c and 7.4.

The official language of USNC TAGs is English.

From time to time, U.S.-domiciled Standards Developing Organizations (SDOs) may enter into various types of agreements with IEC, such as Category D Liaisons and Dual Logo or Joint Development Agreements. In such cases, the SDO is encouraged to advise the related USNC TAG in advance of its intent to submit a standard for consideration as an IEC Standard. In such instances, it is expected that the USNC TAG will raise any concerns related to the proposed IEC standard during its development cycle so that, if the standard is subsequently balloted for approval at the IEC level, the U.S. position will be to support its approval. For this reason, it is also strongly encouraged that the U.S.-based participants in the SDO actively participate as voting members of the related USNC TAG.

#### 1.1 **Reference Documents**

The [USNC Tool Box](#):

- a) USNC Statutes
- b) USNC Rules of Procedure

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<sup>1</sup> Statutes and Rules of Procedures of the USNC

- c) USNC Statutes for Sample Quorum Definitions
- d) TMC Reference Doc
- e) IEC Reference Documents

*ANNEX A – Default Voting Procedures*

*ANNEX B – Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC*

*ANNEX C – Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees*

*ANNEX D – USNC Policy on Distribution of Free Copies of IEC Standards and Working Documents for Use in USNC Standards Development Activities*

*ANNEX E – Example, USNC TAG Member Application*

[ISO/IEC/CEN/CENELEC electronic balloting commenting template \(Latest Version\) for comments](#)

*Robert's Rules of Order Newly Revised*

[ANSI Essential Requirements: Due process requirements for American National Standards](#)

[ISO/IEC Directives, Part 1: Procedures for the technical work](#)

[ISO/IEC Directives, Part 2: Principles and rules for the structure and drafting of ISO and IEC documents](#)

[ISO/IEC Directives, IEC Supplement: Procedures specific to IEC](#)

[ISO/IEC Directives, JTC 1 Supplement: Procedures specific to JTC 1](#)

[ANSI Procedures for U.S. Participation in the International Standards Activities of the ISO](#)

[ANSI's Conflict of Interest Policy](#)

[Code of Conduct](#)

## 1.2 Definitions

**Technical Advisor (TA)** – Single point of technical contact for a USNC TAG appointed by the TMC. The TA typically serves as Chair of the USNC TAG.

**Deputy Technical Advisor (DTA)** – Serves as Deputy for the TA and performs other functions as defined by the USNC TAG.

**USNC TAG Administrator** – Organization that is assigned by the TMC to provide administrative support for a USNC TAG.

**USNC TAG Secretary** – Individual who is appointed by a USNC TAG Administrator to provide day-to-day administrative support for a USNC TAG.

**U.S. National Interested Party** – One of the following entities directly and materially affected by the relevant standards activity:

1. an individual representing a corporation or an organization domiciled in the U.S. (including U.S. branch offices of foreign companies authorized to do business in one or more states as defined by the relevant state's corporation law within the U.S.);
2. an individual representing a U.S. federal, state, or local government entity; or
3. A U.S. citizen or permanent resident.

**Consensus** – General agreement, characterized by the absence of sustained opposition to substantial issues by any part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments

NOTE Consensus need not imply unanimity.

Source – [ISO/IEC Directives Part 1 + IEC Supplement](#)

## 2. Technical Advisor (TA) and Deputy Technical Advisor (DTA)

A TA shall be appointed for a four (4) year term of office by the TMC for each USNC TAG to an IEC TC, SC, or SyC on which the USNC elects to be a participating ("P") member. A TA shall be nominated by the responsible USNC TAG and the nomination forwarded to the TMC for its approval. TAs shall be eligible for reappointment subject to approval by the TMC. The TA may serve as Chair of the USNC TAG and Co-TAs may also be appointed where appropriate.

Upon recommendation of the USNC TAG, or TA, if so authorized by the USNC TAG, one or more Deputy Technical Advisors (DTAs) may be appointed by the TMC. The DTA shall work with the TA in accordance with any agreement reached between them. The DTA may attend meetings of the TMC and shall have the privilege of the floor. The term of office for the DTA should be concurrent with that of the TA and he/she may be reappointed. The USNC Office shall notify all members of the USNC of each appointment.

The TMC shall make all decisions concerning the appointment of TAs and DTAs, including their

continuation, reappointment, and, if necessary, withdrawal for cause. Concerns about the performance of TAs or DTAs should be brought to the attention of the USNC Office.

Candidates for TA and DTA, submitted to the USNC Office, shall include:

- a) a nomination confirming the endorsement by the related USNC TAG;
- b) complete contact information of the candidate(s) (i.e. affiliation, mailing address, phone, fax, and email information);
- c) a brief biographical sketch (curriculum vitae); and
- d) a statement of support from the candidate's employer.

## **2.1 Qualifications of TAs and DTAs**

The following are essential attributes that make somebody suitable for appointment to a TA or DTA position. An appointed TA or DTA no longer qualified as defined in this paragraph may no longer serve as a TA or DTA.

- a) technical expertise in the subject area
- b) knowledge of and recognition by the concerned part(s) of the U.S. industry sector
- c) negotiating skills
- d) financial and administrative support for travel and activities
- e) ability to conduct business electronically
- f) understanding of the IEC standards development process
- g) full membership in the USNC TAG

Candidates for a TA or DTA position that do not possess a particular attribute will need specific support from specified members of the USNC TAG or the USNC TAG Administrator/Secretary in those deficient areas.

## **2.2 Responsibilities of TAs**

A TA will perform the following functions and fulfill the following responsibilities: (*Note: A number of these responsibilities may be carried out by the TA, the DTA, the Head of Delegation to a TC/SC/SyC meeting, or the USNC TAG Secretary.*)

- a) Recommend an initial roster of a newly formed USNC TAG which shall be subject to approval by the USNC Office.
- b) Guide the USNC TAG in selecting qualified delegates to IEC TC/SC/SyC meetings.
- c) Arrange for the distribution of IEC documents to USNC TAG members and identified national interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the USNC Office, to the IEC Central Office when such documents are necessary or desirable. When requested by a WG expert, arrange for distribution of appropriate WG documents to the USNC TAG for collection and preparation of suitable documents for transmission through the WG expert.

- d) In collaboration with the USNC TAG Secretary:
  - i. Prepare or cause the preparation of a draft U.S. position (comments or votes) on issues being considered in IEC for deliberation within the USNC TAG
  - ii. Encourage such deliberations so as to come to a USNC TAG consensus position on each issue
- e) Make certain that the USNC TAG consensus position is forwarded to the USNC Office for transmission to IEC in a timely manner (i.e. typically one week in advance of the IEC deadlines so as to allow for the USNC Office processing, IEC Central Office processing, and to provide some safety margin to accommodate unforeseen events such as miscommunications).
- f) Initiate action by the USNC TAG to identify U.S. experts who can participate on desired Working Groups (WG), Maintenance Teams (MT), and Project Teams (PT).
- f) Arrange for existing U.S. national standards to be used as initial discussion drafts in related IEC TCs/SCs/SyCs, wherever appropriate and with the authorization of the standards developing organization.
- g) Promote harmonization between U.S. and IEC standards and, where appropriate, advocate for the adoption or adaptation of IEC standards by U.S. standards developing organizations.
- h) Maintain liaison with other TAs where required for consistency in U.S. positions for agreement on basic policies, or where they have mutual interests.
- i) Anticipate future programs of TC/SC to permit the maximum possible time for establishing a U.S. consensus.
- j) Consider IEC organizational changes and take the necessary steps to acquire additional Secretariats and other leadership roles (Chairs, Vice Chairs, Convenors, etc.) for the U.S.
- k) Keep all U.S. participants acquainted with the work and the disposition of their recommendations, nominations, determinations, proposals, and positions.
- l) After USNC TAG approval and USNC TAG arrangement for finances, recommend to the USNC that an international meeting of a particular TC, SC, or SyC be hosted by the U.S. This includes guaranteeing that financing and administrative support is assured in writing. Arrange, with the USNC Office, for the official invitation to be extended.
- m) Provide for the continuity of U.S. participation.
- n) Assure that a U.S. position is presented for each agenda item at a given meeting of a TC, SC, or SyC.
- o) Assure that the consensus of the USNC TAG is represented in U.S. positions and in oral opinions expressed by the USNC delegations to TC/SC/SyC meetings.
- p) Keep TMC informed about significant issues related to the TC/SC/SyC's work at the IEC level or within the USNC TAG. It is especially important that the TA consult with the TMC on:
  - i. Matters involving the proper organization and operation of the USNC TAG.
  - ii. Difficulties in finding delegates to international meetings or in obtaining financial support for such delegates.
  - iii. The U.S. response to "Questions of Principle" shown on reports of the TC/SC.
  - iv. Proposals for:
    - a. Committee Secretariat and possible USNC acceptance



- b. Committee Chairs
- c. Hosting of Committee meetings in the U.S.
- r) Ensure compliance with the USNC TAG's procedures and the USNC's Statutes and Rules of Procedure, in concert with the USNC TAG Secretary.
- s) Report to the USNC TAG on the status, progress and outcome of USNC TAG submissions to IEC in a timely manner.
- t) Agree to advance USNC TAG positions in IEC.

### **3. U.S. Technical Advisory Groups (USNC TAGs)**

For each IEC TC, SC, and SyC on which the USNC is a participating ("P") member, there shall be a U.S. Technical Advisory Group (USNC TAG). Exceptions to this policy require the specific approval of the USNC TMC.

#### **3.1 Criteria for Viability**

A viable USNC TAG is defined as one that has:

- a) an appointed USNC TAG Administrator that is an ANSI Member (organization, company, or government agency) or that pays the equivalent fee;
- b) an appointed TA;
- c) an appointed USNC TAG Secretary;
- d) three (3) or more Voting Members, including those who have paid requisite fees and those with approved waivers (such as Resource Experts and Consumer Advocates). (*See Section 7 Membership*); and
- e) TMC-endorsed USNC TAG Operating Procedures (MOPs or Unique).

#### **3.2 USNC TAG Validation Process**

Each USNC TAG must either formally adopt these Model Operating Procedures or formally adopt Unique Operating Procedures developed by the USNC TAG. Newly established USNC TAGs must have approved USNC TAG Operating Procedures prior to the third USNC TAG meeting.

The criteria for any USNC TAG-developed Unique Operating Procedures is that all subjects addressed in these Model Operating Procedures shall be addressed in the USNC TAG-developed Unique Operating Procedures. In addition, their requirements shall be the same as or more stringent than those in these Model Operating Procedures.

The USNC TAG's approved Unique Operating Procedures must be submitted to the USNC Office in writing for consideration and endorsement by the Subcommittee on Operating Procedures prior to submission to the TMC for approval.

The following USNC TAG Operating Procedures Submittal Package of Information shall be provided by the USNC TAG Secretary to the USNC Office electronically:

The USNC TAG Secretary's assertion that either:

- a) these Model Operating Procedures are used by the USNC TAG, or
- b) Unique Operating Procedures are used by the USNC TAG;

- a. A copy of the USNC TAG minutes or vote results that shows the USNC TAG's approval of the Operating Procedures being used; and
- b. When Unique Operating Procedures are used, a copy of such Procedures including, on the title page, the title and numerical designation of the related USNC TAG.

### 3.3 USNC TAG Revalidation Process

Revalidation is required if the USNC TAG no longer utilizes the Model Operating Procedures and develops Unique Operating Procedures. USNC TAGs that have been certified under Unique Operating Procedures must be revalidated when and if those Procedures are revised substantively.

Revalidation is also required for all USNC TAGs upon significant revision of these Model Operating Procedures. Sufficient time will be provided to revalidate.

*Note:* It is anticipated that USNC TAG Secretaries will be reminded annually of their obligations to revalidate by the USNC office.

## 4. USNC TAG Functions and Responsibilities

Among the responsibilities of a USNC TAG are the following:

- a) Nominate a Technical Advisor (TA) or Co-Technical Advisors, and Deputy Technical Advisor(s) as appropriate.
- b) Recommend registration of the USNC as a participating ("P") member of an IEC TC, SC, SyC, or recommend a change in membership status.
- d) Approve U.S. new work item proposal (NP) and Maintenance Items for submittal to IEC TC and SC for consideration.
- e) Establish the U.S. consensus positions on an IEC Document for Comment (DC), New Work Item Proposal (NP), Committee Draft (CD), and Committee Draft for Vote (CDV), Final Draft International Standard (FDIS), and other appropriate IEC documents.
- f) Identify USNC TAG members to become U.S. delegates to IEC TC or SC meetings, confirm Head of Delegations or designate alternate Heads of Delegations and members of the delegations.
- g) Assure that necessary funds needed to carry out the U.S. work in the related IEC TC/SC are secure. This includes the financing necessary for activities of delegates and experts. (*Note:* This does not imply that the USNC TAG will cover the expenses for the delegates and experts.)
- h) Determine U.S. consensus positions on agenda items of IEC TC, SC, and SyC meetings and advise the U.S. delegation to represent these positions and of any flexibility that may exist concerning them.
- i) Appoint experts to MTs, PTs, WGs, and AHGs who act in a personal capacity and not as the official representative of the U.S. It is recommended they keep close contact with the applicable USNC TAG in order to inform them and receive feedback about the progress of the work and of the various opinions in the working group at the earliest possible stage. See also section 7.6.

- j) Appoint U.S. Experts, nominate Project Leaders and Conveners to serve on IEC working groups and similar groups<sup>2</sup>.
- k) Provide assistance to U.S. Secretaries of IEC TCs, SCs, SyCs upon request, including resolving comments on DCs, NPs, WDs, CDs, CDVs, and FDISs.
- l) Identify and establish close liaison with other USNC TAGs in related fields, or identify ISO or IEC activities that may overlap the USNC TAG's scope. *(See ANNEX C – Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees)*
- m) Recommend to USNC the acceptance of Secretariats for IEC TCs, SCs, or SyCs after considering the obligations and responsibilities that include individuals with related expertise and source of secretarial services with funding.
- n) Recommend that USNC invite IEC TCs, SCs, or SyCs to meet in the U.S. after considering the obligations and responsibilities, which include available facilities and funding.
- o) Recommend to USNC, U.S. candidates for Chairs of IEC TCs, SCs, or SyCs after considering the obligations and responsibilities of that office and whether a candidate has the experience, time, and funding.
- p) For an existing USNC TAG, when the need for a new USNC TAG Administrator arises, the USNC TAG may recommend an entity to the TMC.

## 5. USNC TAG Administrator / USNC TAG Secretary

### 5.1 USNC TAG Administrator

Each USNC TAG shall be administered by a USNC TAG Administrator appointed by the USNC/TMC.

*Note:* When a new IEC Technical Committee, Subcommittee, or Systems Committee is established on which the USNC is registered as a Participating Member or when a currently assigned USNC TAG Administrator is relinquishing that responsibility, the USNC Office will invite, via ANSI's *Standards Action* publication, expressions of interest in this assignment from qualified entities.

### 5.2 USNC TAG Secretary

The USNC TAG Administrator shall appoint a USNC TAG Secretary, an individual who is responsible for the day-to-day administration of the USNC TAG.

Neither the USNC TAG Administrator nor the USNC TAG Secretary has veto power over the decisions of the USNC TAG.

Among the responsibilities of the USNC TAG Secretary are the following:

- a) Support the TA in organizing and maintaining the USNC TAG.

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<sup>2</sup> When the USNC has the opportunity to appoint Conveners or Experts to IEC WGs, PTs, MTs, etc. it is the responsibility of the related USTAG to select the best qualified individual(s) for the position. Such individuals shall be adequately supported to accomplish their mission. The names and addresses of the nominees are submitted by the TA/USTAG Secretary to the USNC office, which in turn officially makes the appointment in the Expert Management System (EMS). Changes in U.S. Experts on these groups shall be processed by the USNC office.

- b) Provide for administrative services, including arrangements for USNC TAG meetings, timely preparation and distribution of documents related to the work of the USNC TAG, and maintenance of appropriate records, including USNC TAG rosters, minutes of meetings and voting results.<sup>3</sup> Requires full electronic document handling and communication capability to meet USNC and IEC requirements.
- c) In accordance with IEC, USNC, and its own approved procedures, arrange for the distribution of IEC documents to USNC TAG members, identified interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the USNC Office, to the IEC Central Office when such documents are necessary or desirable. When requested by a U.S.-Appointed Expert, arrange for distribution of appropriate MT, PT, and WG documents to the USNC TAG for preparation of suitable comments for the Expert.
- d) Transmittal of U.S. positions on relevant IEC TC/SC/SyC issues and votes to the USNC Office.
- e) Work to maintain the viability of the USNC TAG as part of the USNC TAG Participation Fee Program.
- f) Ensure compliance with the USNC TAG's Procedures and the USNC's Statutes and Rules of Procedures, in concert with the TA.

## 6. Officers

There shall be a Chair, who may be the TA, and other Officers if desired, appointed by the TA from the individual members of the USNC TAG, subject to approval by a majority vote of the USNC TAG. Each will serve until a successor is selected and ready to serve.

## 7. Membership

Membership shall be open to all U.S. national interested parties who indicate that they are directly and materially affected by the activity of the USNC TAG, after being informed concerning the USNC TAG's working procedures and scope of activities. Only U.S. National Interested Parties shall have voting membership on USNC TAGs.

There shall be no undue financial barriers to participation. The USNC assesses a USNC TAG Individual Participation Fee which is collected annually by the USNC Office. Some categories of membership are exempt from this fee, e.g. Resource Experts, USNC Honorary Life Members, Consumer Advocates, etc. In addition, USNC TAG Administrators may charge a fee to recover administrative expenses, but in all cases procedures for requesting a waiver of the fees shall be available. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements. See Section 12 for appeal of USNC TAG Administrator imposed participation fees.

### 7.1 Maintenance of Rosters

The USNC Office shall be the office of record for USNC TAG membership rosters. An individual becomes a USNC TAG member only upon completion of the requirements below, payment of any fees, and upon addition to the USNC Roster.

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<sup>3</sup> As of the date of approval of these Procedures, the ANSI recommended records retention guideline is as follows: "Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised, or reaffirmed IEC Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal."

## 7.2 Application

A request for membership shall be addressed to the TA or USNC TAG Secretary, and shall indicate:

- a) name and complete contact information of member applicant (*See ANNEX E for an example of one that may be used by a USNC TAG*)
- b) a Curriculum Vitae highlighting the applicant's technical qualifications, along with information detailing a direct and material interest in the USNC TAG's work
- c) the applicant's willingness to participate actively (*See Section 7.14 - Membership Obligations*)
- d) the applicant's interest category (*See Annex B4.2*)
- e) whether the applicant is a representative of an organization, company, or government agency

Note: Applicants are expected to understand and abide by the ANSI conflict of interest policy

## 7.3 Recommendation

The TA / USNC TAG Secretary shall consider:

- a) the appropriateness of the involvement of each interest in the work of the USNC TAG
- b) the potential for dominance by a single interest
- c) the extent of interest expressed by the applicant, and the applicant's willingness to participate actively

The TA / USNC TAG Secretary may consider reasonable limits on USNC TAG size.

## 7.4 New Members

The USNC TAG shall vote on the acceptance of new members based upon the information from sections 7.1 and 7.2.

## 7.5 Diverse Interests

The policy of "One Organization, One Vote" applies. If, however, representatives from distinct entities of an organization can demonstrate independent interests and authority to make independent decisions in the area of the activity of the USNC TAG, each may apply for membership.

## 7.6 Combined Interests

When appropriate, the TA / USNC TAG Secretary may recommend that the applicant seek representation through an organization that is already represented by a member who represents the same or similar interests.

## 7.7 Resource Expert

Each USNC TAG shall be allowed to designate, each year, one individual as a “Resource Expert” (RE) for the USNC TAG. If a USNC TAG wishes to nominate an additional RE, justification must be submitted to the USNC Office. The RE should be an individual whose knowledge and expertise are deemed vital for the USNC TAG’s work, and is unable to obtain the needed funding for USNC TAG membership from their employer or other sources. This RE shall be exempt from paying the applicable annual USNC TAG Participation Fee. The USNC TAG RE shall be nominated by the TA, elected by vote of the USNC TAG, and confirmed by the USNC Office for a period of one year. The RE shall count towards the minimum number of USNC TAG participants required to establish a viable USNC TAG.

## 7.8 U.S. Conveners and Experts

U.S. Conveners and Experts shall be members of their respective USNC TAGs. Such individuals are expected to conduct themselves in a professional manner. A USNC TAG member wishing to be appointed by the U.S. as an expert to a particular MT/PT/WG shall submit a request to the TA or USNC TAG Secretary accompanied by:

- a) A Curriculum Vitae (CV) highlighting experience in the specific technical area
- b) A letter from the applicant’s employer confirming support for the participation

The USNC TAG Secretary shall circulate a ballot to the USNC TAG along with a copy of the CV to confirm support for the U.S. appointment. The ballot should highlight the following areas for consideration by USNC TAG members:

- a) Experts should have significant experience in the subject, as technical expertise in the subject of the Maintenance Team, Project Team, or Working Group is critical
- b) Experts should be involved in national standardization for the subject
- c) Experts should represent personal knowledge, not company or national position
- d) Experts should have strong communication skills
- e) Experts should be able to travel and participate in meetings
- f) Experts are expected to actively participate in the development of U.S. comments
- g) Multiple experts from the same company division, product line, or service line should be avoided except when transitioning from one expert to another, such as due to an impending retirement
- h) Balance between interest groups such as those shown below is desirable, but may not be practical:
  - i. **Producer** - Individuals who are involved in the production, manufacture, or distribution of the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG. This includes individuals involved in the design, engineering support, manufacturing, testing, and/or marketing of the type of product or system; or who are employed by or represent a producer, manufacturer, or distribution of the type of product or system.
  - ii. **User** - Individuals who are involved in using the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG, but who are not involved with the production, manufacture or distribution of that type of product or system.

- iii. **Testing / Certification** - Individuals who represent organizations that provide testing, assessment and/or certification of the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG.
- iv. **Regulatory / Inspection** - Individuals who represent governmental entities having regulatory or inspection interest in or influence over the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG.
- v. **Special Expert** - Individuals who have expertise in an aspect of the type of product or system that are not covered by another interest group.

After a positive vote of the USNC TAG, the USNC TAG Secretary will notify the USNC Office of the proposed appointment using the designated USNC Expert Appointment form. The USNC Office will then confirm USNC TAG membership or invoice the proposed expert the USNC TAG Individual Participation Fee. Upon receipt of payment, the official appointment will be made in the IEC Expert Management System. Note that a fee may not be assessed to some participants; e.g. Resource Experts, USNC Honorary Life Members, USNC Premier Member companies, or Consumer Advocates.

#### 7.9 Appointed Delegates to TC/SC Meetings

All delegates to TC/SC meetings shall be members of the USNC TAG. Such delegates are expected to conduct themselves in a professional manner. Observers to TC/SC meetings need not be members of the USNC TAG, but shall be approved by the USNC TAG.

#### 7.10 Consumer Advocate

Annually, each USNC TAG can nominate one Consumer Advocate to the USNC Office and, with the endorsement of the USNC TMC in accordance with the related Fee Waiver Procedure, the annual USNC TAG Individual Participation Fee can be waived. An authorized Consumer Advocate shall count towards the minimum number of USNC TAG participants required to establish a viable USNC TAG.

#### 7.11 Liaison Participants

USNC TAGs may designate Liaison participants from other bodies with which ongoing contact is desired. These contacts are exempt from the USNC TAG Individual Participation Fee and do not vote. They include the following:

- a) desired contacts for all Full IEC Members of FINCA (Forum of the IEC National Committees of the Americas), subject to the authorization of the related USNC TAG(s)
- b) entities with which the USNC TAG desires to maintain technical liaison
- c) leadership for USNC TAGs for SCs participating in the USNC TAG for the parent TC, and the Leadership for the USNC TAG of the TC participating in the USNC TAGs for the SCs. This reciprocal relationship is highly recommended.

#### 7.12 Ex-Officio Participants

USNC TAGs may include Ex-Officio participants by virtue of their office. These contacts are exempt from the USNC TAG Individual Participation Fee and do not vote. They include the following:

- a) U.S. Chair or Vice Chair of related IEC TCs/SCs/SyCs

- b) U.S. Secretaries or Assistant Secretaries of related IEC TCs/SCs/SyCs

### 7.13 Observers

Individuals and representatives of organizations having an interest in the USNC TAG's work may request listing as Observers. The request for Observer status should be submitted in writing to the USNC TAG secretary. Observers shall be advised of the USNC TAG activities, shall have access to new USNC TAG documents made available during the period of Observer status, and may attend meetings, but shall not vote. They are subject to the USNC TAG Individual Participation Fee.

### 7.14 Representation of Interests

All directly and materially affected U.S. national interested parties shall have the opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase "without dominance by any single interest" normally will be satisfied if a reasonable balance among interests can be achieved.

Unless it is claimed by a directly and materially affected person that a single interest dominated the standards activity, to the exclusion of fair and equitable consideration of other viewpoints, no test for dominance is required.

### 7.15 Membership Roster

The TA or USNC TAG Secretary shall maintain a roster of USNC TAG participants:

The roster shall include the following:

- a) title and designation of the USNC TAG
- b) Technical Advisor(s)
- c) Deputy Technical Advisor(s) (same as for TA)
- d) USNC TAG Administrator/Secretary
- e) Other USNC TAG Officers (if applicable)
- f) Voting Members, including USNC Honorary Life Members, Resource Experts, and Consumer Advocates and each individual's designated category
- g) U.S. Conveners and Experts
- h) Non-Voting Participants including:
  - i. USNC TAG-appointed Liaisons
  - ii. Observers

The TA or USNC TAG Secretary shall submit updates to the USNC Office ([USNC@ansi.org](mailto:USNC@ansi.org)) when changes occur. The roster shall include the affiliation, mailing, phone, and email information of each participant.



## 7.16 Membership Obligations

Members are expected to participate actively by fulfilling attendance, voting, correspondence, paying dues and any other obligations. Members are expected to conduct themselves in a professional manner.

## 7.17 Review of Membership

The TA / USNC TAG Secretary shall review the membership list annually with respect to the criteria in 7.1 – 7.16. Members are expected to participate actively by fulfilling attendance, voting, correspondence, and other obligations. Where a member is found in default of these obligations, the TA / USNC TAG Secretary shall direct the matter to the USNC TAG for appropriate action, which may include termination of membership or revocation of appointment as a USNC Expert. The USNC Office and USNC TAG Secretary shall coordinate the reconciliation of USNC TAG rosters on an annual basis.

## 8. Meetings

Meetings of the USNC TAG and meetings of the USNC delegates to international meetings should be scheduled to respond to international activities. USNC TAG meetings shall be held, as determined by the Chairman/TA or USNC TAG Secretary or by petition of a majority of the members. USNC TAG meetings can be either face-to-face (in-person), via electronic format (i.e. interactive web conferencing or audio conferencing), or a combination of the two.

A USNC TAG may, from time to time, invite guests to attend USNC TAG meetings or conferencing calls. In general, guests that may be invited are individuals with particular expertise who can provide information in order to help the USNC TAG develop the U.S. position on a particular issue. If a guest has a more permanent interest in the work of the USNC TAG, they should be invited to consider Voting Membership or Observer status.

Members shall not make verbatim recordings by any means (including, but not limited to, audible or written recordings) unless first authorized by unanimous approval of the meeting's attendees. If authorization is granted, the USNC TAG Secretary will notify USNC TAG members attending the meeting or conference call of that authorization prior to the recording of the meeting or conference. Furthermore, if authorization is granted, the recording shall be made available to the USNC TAG by the person(s) making the recording.

USNC TAGs shall determine for themselves their quorum requirements. Quorum requirements shall be available in writing upon request to the USNC TAG Secretary, and be submitted in writing to the USNC Office as part of the USNC TAG Validation Process. (*See Clause 3.2*) For guidance purposes, the following concepts might be considered when defining Quorum:

- a) Minimum number of USNC TAG members in good standing required, or
- b) % of USNC TAG voting members in good standing required.

[Note 1: See the USNC Tool Box for Sample Quorum Definitions](#)

*Note 2: The definition of Quorum may be different for meetings and for ballots (see Section 9, Voting)*

USNC TAG members are responsible to fund their own participation at USNC TAG meetings. The USNC TAG Administrator is not required to fund any participation costs.

Meetings of the USNC TAG shall be open to all members. At least four weeks' notice of regularly scheduled meetings shall be given by the TA or USNC TAG Secretary, which may be publicly announced in ANSI's *Standards Action* publication, or in other media designed to reach directly and materially affected interests. The notice shall describe the purpose of the meeting and shall identify a readily available source for further information. An agenda shall be available and shall be distributed in advance of the meeting to members and to others expressing interest.

## 9. Voting

The Default Voting Procedure described in Annex A may be selected by the USNC TAG. When a USNC TAG uses this Procedure, Clause 9.6 d does not apply. (See ANNEX A, *Default Voting Procedures*)

### 9.1 USNC TAG Member Voting

All voting members of a USNC TAG shall be a member in good standing paying all requisite fees. Each USNC TAG member may respond with one of the following positions. Consistent with the policy of "One Organization; One Vote," an organization (as specified in section 7.3) with multiple USNC TAG members shall designate one voting member and, if desired, one or more alternate voting members.

#### 9.1.1 IEC Ballot Document Voting

Within the USNC TAG, when considering the U.S. vote on an IEC document, the USNC TAG member is indicating how the USNC TAG recommends that the U.S. should vote and shall select one of the following options:

- a) Affirmative – Comments optional
- b) Negative – Comments mandatory (*In all but administrative matters, the reasons for a negative vote shall be given, should be technical in nature, and should include wording or actions that would resolve the objection.*)
- c) Abstain – Comments optional
- d) No Position taken on the document – Comments optional

*Note 1:* A "No Position" vote means that there is no support for any of the other options. No Position votes are not included in the final voting tally, but are considered to meet the obligation of a USNC TAG member to provide an input on the document. This position means that the voter does not wish to be included in the establishment of a consensus for a particular ballot. This is different from the case where the voter wants the U.S. to abstain, in which case an abstention vote is to be cast. This distinction can be important depending on the definition of a USNC TAG quorum as "No Position" votes may be used to determine whether a quorum is reached depending on the individual USNC TAG quorum procedures. In any case, No Position votes are not used when determining the final U.S. Position on a document.

*Note 2:* "Abstain," in the context of the IEC/ISO voting process, indicates that the U.S. has chosen not to participate in the decision process for the inquiry in question. The decision to submit a vote of "ABSTAIN" can arise from a variety of circumstances, including the following:

- a) Inability of the USNC TAG to achieve consensus on a compromise position by any means possible within the time constraints of the IEC process
- b) Decision by the USNC TAG to neither support nor oppose a particular IEC proposal based on political considerations
- c) TA / USNC TAG / USNC TAG Secretary did not submit a vote on time
- d) Insufficient USNC TAG members respond to meet quorum requirements (USNC TAG procedures specifies submitting “ABSTAIN” in that case)

The USNC TAG is advised to consider, when attempting to reach consensus, that the international community may interpret a vote to “ABSTAIN” as follows:

- a) The U.S. does not have a stake in the IEC proposal under consideration;
- b) The U.S. does not wish to take a position because of certain considerations;
- c) The U.S. did not make the effort to submit a position; or
- d) The U.S. could not reach a conclusion.

*Note 3:* See Annex B.6 for an explanation of the criteria suggested for determining whether to vote “AFFIRMATIVE,” “NEGATIVE,” or “ABSTAIN.”

#### **9.1.2 USNC TAG Procedural Voting**

When voting on internal USNC TAG procedural matters, the USNC TAG member is indicating a preference on an issue and the following options shall be:

- a) Approve
- b) Disapprove with comments
- c) No Position (*See 9.1.1*)

#### **9.2 Vote of Alternate**

An alternate’s vote is counted only if the principal representative fails to vote.

#### **9.3 Voting Period**

The voting period for letter ballots shall be established to allow for timely response to international time limits. An extension may be granted at the option of the TA, Chair, or USNC TAG Secretary when warranted (e.g. when the requirements for approval or disapproval specified by 9.5 or 9.6 are not achieved).

#### **9.4 Authorization of Letter Ballots**

A letter ballot may be authorized by:

- a) majority vote of those voting members present at a USNC TAG meeting
- b) the Technical Advisor

- c) the Chair
- d) the USNC TAG Secretary
- e) a petition of five members of the USNC TAG or a majority of the USNC TAG, whichever is less

#### **9.5 Actions Requiring Approval by Majority of the USNC TAG Voting Members**

The following actions require a letter ballot or an equivalent formal recorded vote with approval by a majority of the USNC TAG voting members, excluding No Position votes:

- a) Approval of officers appointed by the TA / USNC TAG Secretary or nominated by members of the USNC TAG
- b) Recommendation for TA nomination
- c) Formation of a subgroup, including its procedures, scope, and duties
- d) Disbandment of a subgroup
- e) Other actions of the USNC TAG not specified elsewhere

#### **9.6 Actions Requiring Approval by Two Thirds of Those Voting**

The following actions shall be approved by at least two thirds of those voting by letter ballot, excluding “No Position” votes or, if at a meeting, by two thirds of those present, excluding No Positions votes, provided a quorum exists. If a quorum does not exist, the vote shall be confirmed by subsequent letter ballot:

- a) Adoption of USNC TAG procedures, categories of interests, or revisions thereof
- b) Approval of recommendation to change the USNC TAG scope
- c) Approval of recommendation of appointment of a USNC TAG Administrator
- d) Approval of U.S. position on technical matters brought before the USNC TAG (i.e., DC, NP, CD, CDV, FDIS)
- f) Approval of recommendation to terminate the USNC TAG

#### **9.7 Consideration on Views and Objections to Ballots**

The TA, in cooperation with Chair and Secretary of the USNC TAG, shall determine whether the expressed views and objections shall be considered by telephone, correspondence, or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on a Final Draft International Standard (FDIS) listed in ANSI’s *Standards Action* publication. A concerted effort to resolve all expressed objections shall be made and each objector shall be advised of the disposition of the objection and the reasons therefore.

Comments, including objections or differing views, shall be reported to the USNC TAG members to afford all members an opportunity, with appropriate time limits, to object to the submittal of comments to the USNC Office. When voting quorum or consensus on ballots requiring a vote is not present, USNC TAG members shall be notified and given the opportunity to reaffirm or change their position on the vote.

If a consensus position cannot be determined for some differing views, neither view shall be presented. If the differing view is with regard to voting yes or no, an abstention shall be submitted.

## **9.8 Report of Final Result**

The final result of the voting shall be reported to the USNC TAG.

## **9.9 Submittal of U.S. Positions**

U.S. positions shall be processed as follows:

### **9.9.1 Responsibility for Submission**

Upon completion of the procedures for voting, consideration of views and objections, and appeals, the U.S. position shall be submitted to the USNC Office by the TA, DTA, or USNC TAG Secretary in electronic format and utilizing the required ISO/IEC/CEN/CENELEC electronic balloting [commenting template](#) for comments. All votes and comments shall be submitted to [USNC@ansi.org](mailto:USNC@ansi.org) email address.

The TA, DTA, and USNC TAG Secretary shall come to an agreement on who has the primary responsibility for submitting recommended ballot responses to the USNC Office. They shall cross check each other to ensure timely submittal of responses to the USNC Office.

Some back-up mechanism among the USNC TAG Officers must be identified in the event of unusual circumstances for filing ballots that are required to maintain “P” member status for the USNC. If a USNC TAG’s recommended vote/comments are not received by the USNC Office by the required deadline, typically one week before the IEC deadline, a “STAFF ABSTENTION” will be submitted and those involved will be so notified.

The USNC Office, representing the U.S. IEC member body, is responsible for providing all official U.S. positions to IEC.

### **9.9.2 Information to be Submitted**

By the designated deadline, normally one week prior to the announced IEC deadline, each TA or USNC TAG Secretary shall transmit to the USNC Office:

- a) title and designation of the document
- b) recommended votes and/or comments, proposals, documents, or other informational material suggesting the course of action to be followed on matters before the international committee
- c) status of any appeal action related to approval of the proposed U.S. position
- d) identification of all unresolved views and objectives, names of the objector(s), and a report of attempts toward resolution

The TA or USNC TAG Secretary shall ensure transmittal of the recommendations, positions, and related reasons to the members of the USNC TAG.

The USNC Office shall transmit to the IEC Central Office or TC/SC/SyC Secretary votes, comments, proposals, or informational material for consideration by the international Technical Committees or Subcommittees.

*Note: When a national standard is recommended as a New Work Item Proposal, the authorization of the standard's originating organization must be obtained prior to submittal.*

#### **9.10 Conflict of Interest**

In the event of a potential or apparent conflict of interest between the USNC TAG consensus position (comments or votes) and that of the TA, the issue shall be resolved in a USNC TAG meeting to the satisfaction of the USNC TAG, such that the USNC TAG has confidence that the USNC TAG's consensus position and its interests in that subject will be advanced and championed in IEC.

The intent of this resolution is to reconcile any USNC TAG / TA differences. Should resolution between the USNC TAG and TA not be possible, other provisions or actions must be made. For instance, in the case of an international meeting, this resolution could require the USNC TAG to authorize a special delegate to the meeting to carry the USNC TAG's consensus position and interests on that subject, or the USNC TAG may select a Head of Delegation (HOD)<sup>4</sup> for that meeting other than the TA. Depending on circumstances it may not be appropriate for the TA to be part of the delegation to that meeting.

#### **10. Termination of USNC TAG**

Failure to meet the requirements of Clause 3.1 – Criteria for Viability is reason for termination of the USNC TAG (by the TMC).

Any directly and materially affected interested party may propose to terminate a USNC TAG. The proposal shall be submitted in writing to the USNC Office and to the TA and USNC TAG Secretary and shall include the reasons why the USNC TAG should be terminated. The USNC TAG shall take action in accordance with 9.6. Based on the results of the vote and concurrence of the TMC, the USNC Office shall take action promptly to change the USNC's TC/SC/SyCs registration accordingly.

In the event that the U.S. holds the secretariat for an IEC TC, SC, or SyC for which the USNC TAG is considering termination, the organization serving as Administrative Secretariat shall be informed promptly and shall submit their position regarding termination of the USNC TAG to the USNC Office.

As a result of action taken in accordance with 9.6, should termination of the USNC TAG be approved, notification of such action shall be announced in ANSI's *Standards Action* publication. The announcement shall note that dissolution of the USNC TAG will result in the U.S. relinquishing its participating ("P") status in the international activity. Also, if the U.S. serves as international Secretariat, the announcement shall state that the U.S. will resign this position. The appropriate notification(s) shall be sent to the IEC Central Office regarding the change in status, and the relinquishment of the Secretariat, if applicable.

#### **11. Communications**

The primary form of USNC TAG communications shall be via electronic means. Written correspondence of the USNC TAG, its Officers, and Secretary should preferably be on "USNC TAG correspondence"

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<sup>4</sup> Head of Delegation (HOD) – If there is more than one delegate the USTAG designates one individual as Head (Leader) of the U.S. delegation to an IEC TC or SC meeting. He/she will be the delegation's principal spokesperson and will be responsible for casting the official U.S. vote on issues coming before the committee. The HOD may be the TA or another member of the USTAG.

letterhead. If not, correspondence should clearly show in the title/subject that it concerns USNC TAG matters. E-mail correspondence should indicate in the subject field that it is USNC TAG business.

External communications such as inquiries relating to the USNC TAG should be directed to the TA and/or the TAG Secretary, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the TA or USNC TAG Secretary.

## **12. Appeals**

Directly and materially affected U.S. National Interested Parties who believe they have been or will be adversely affected by a substantive procedural action or inaction of the USNC TAG or its Secretary shall have the right to appeal.

### **12.1 Complaint**

The appellant shall file a written complaint with the USNC TAG Secretary, copying the TA, within thirty days after the date of action or at any time with respect to omissions. The complaint shall state the nature of the objections(s) including any adverse effects, the section(s) of these procedures of the specific actions or omissions 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.

### **12.2 Response**

Within thirty days after receipt of the complaint, the USNC TAG Secretary shall reply in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

### **12.3 Hearing**

If the appellant is not satisfied with the response of the USNC TAG Secretary, they shall so inform the TA / USNC TAG Administrator within 10 working days. The TA / USNC TAG Secretary shall schedule a hearing with an Appeals Panel on a date agreeable to all participants, giving at least ten working days' notice.

### **12.4 Appeals Panel**

The Appeals Panel shall be appointed by the TA or the USNC TAG Secretary, and 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.

### **12.5 Conduct of the Hearing**

The appellant has the burden of demonstrating adverse effects, improper actions, or omissions and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the USNC TAG, the TA, and the USNC TAG Secretary 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 Newly Revised* shall apply to questions of parliamentary procedure not covered herein for the hearing.

#### 12.6 Decision

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

- a) Finding for the appellant and remanding the action to the TA, USNC TAG , or the USNC TAG Secretary 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 TA, USNC TAG or the USNC TAG Secretary for appropriate reconsideration

#### 12.7 Further Appeal

If the appellant gives notice that further appeal to the USNC TMC is intended, a full record of the complaint, response, hearing, and decision shall be submitted by the TA or USNC TAG Secretary to the USNC Office. The ruling of the USNC TMC may be appealed to the USNC Council. USNC Council is to review and provide a decision on the appeal. Subsequent to the USNC Council ruling, a final appeal is possible, if appropriate, to the standing ANSI Appeals Board.

#### 12.8 Informal Settlement

The USNC encourages settlement of disputes at any time if the settlement is consistent with the objectives of the USNC Procedures. Any settlement to which the parties agree in writing that is consistent with these procedures, or an agreement to withdraw the appeal, will terminate the appeal process.

#### 12.9 Appeal of USNC TAG Administrator Imposed Fees

- a) In the case of the failure of a USNC TAG to resolve an issue regarding USNC TAG Administrator imposed fees, an appeal of the USNC TAG decision to the TMC is the initial step in the appeals process (affected existing or prospective TAG members submits appeal).
  - i. USNC Office requests that the USNC TAG Administrator submit to the USNC Office a written response to the allegations included in the complaint along with evidence of attempted resolution. The response should include an explanation, supported by relevant documentary evidence, of why the fees at issue do not constitute an undue financial barrier to participation, and if a fee waiver or reduction was requested, a brief explanation of how it was considered and the reason for its denial. A TMC appeal Ad Hoc, consisting of not less than 3 nor more than 5 TMC members, is established by the TMC to review the complaint and response. Membership may



not include individuals who are part of the appellant, the affected USNC TAG or the affected USNC TAG Administrator staff.

- ii. Within 1 month of the appeal submittal, the TMC Appeal Ad Hoc provides a proposed decision to the TMC for ratification.
- b) If the resulting decision of the TMC is appealed, then the USNC Council is the next to review the issue.
  - i. A USNC Council Appeal Ad Hoc, consisting of not less than 3 nor more than 5 Council members, is established to review the TMC decision and the fee justification documentation. Membership may not include individuals who are part of the appellant, the affected USNC TAG, or the affected USNC TAG Administrator staff.
  - ii. Within 1 month of the request for Council appeal review, the USNC Council Appeal Ad Hoc provides a proposed decision to the USNC Council for ratification.
- c) If the decision of the USNC Council is appealed, the ANSI Appeals Board is next and last to review the issue.

## ANNEX A

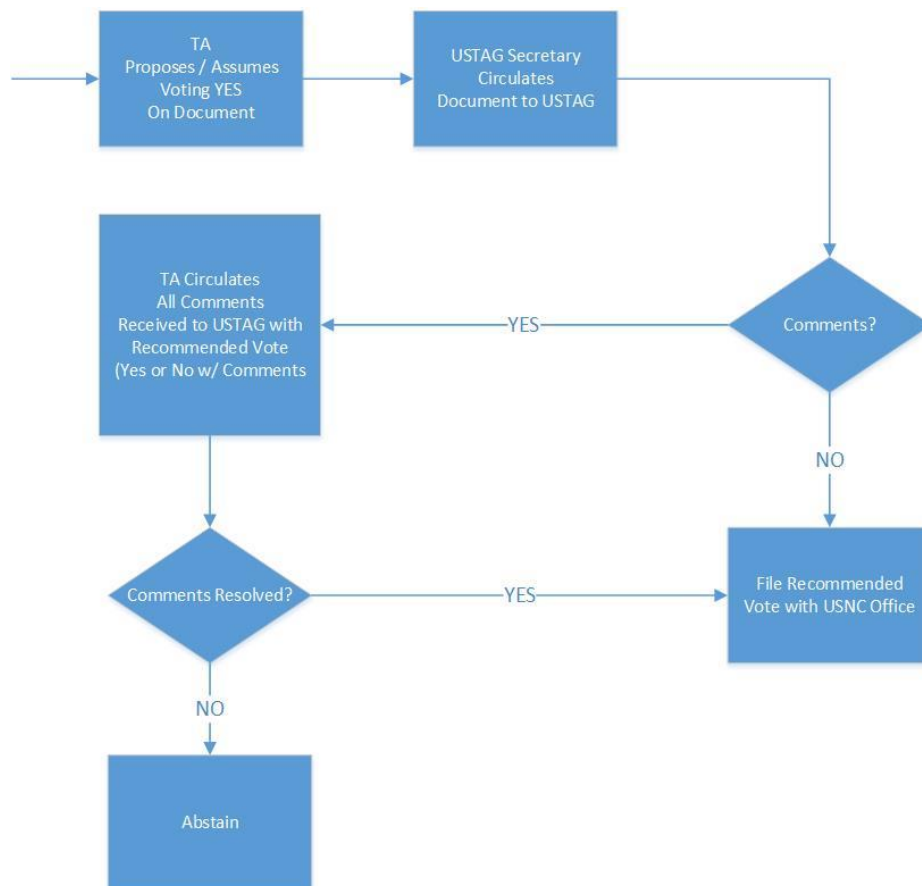
### DEFAULT VOTING PROCEDURE

In considering the voting response to documents, it has been noted that the voting members often were not voting because they had assumed a yes vote would be filed. In their opinion, consensus was apparent. It was determined that most members supported the comments and votes that were sent to the USNC Office for forwarding to the IEC Central Office and felt that with all the time developing the original documents and the familiarity that developed over time made the documents, in most cases, acceptable for movement to the next stage.

It was agreed that the TA shall recommend, as a default, in most cases to vote affirmatively. In cases where a no vote was recommended, or comments came forward, some additional circulation may be required to affirm the negative vote or positive vote with comments. Depending on prior USNC TAG discussions and agreements, alternative default ballot positions of negative or abstention might be proposed by the TA.

The following model was agreed on for how to process the documents forwarded for consideration in any of the five stages of the IEC process, i.e. NP, CD, CDV, FDIS, and IS.

The model flow chart below is meant to be an indication of the various typical scenarios considered by the referenced TAGs. It is recognized that it is possible to have a split of USNC TAG members where no position can be reached before the deadline, in which case the TA would notify the USNC Office to record an abstention.



*Note: To see the whole version of this document, please visit [ANSI Procedures for U.S. Participation in the International Standards Activities of ISO](#).*

## ANNEX B

### Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC

Participation in international standards activities of interest to members of the American National Standards Institute (ANSI) requires membership in two international non-treaty standardization organizations, namely the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC). ANSI is the U.S. member body of ISO and the U.S. National Committee (USNC) of the IEC, a committee of ANSI, is the U.S. member of the IEC. To assure that positions presented to these international bodies are representative of U.S. interests a mechanism must exist for the development and coordination of such positions. This document outlines ANSI's criteria for an appropriate mechanism. This document does not supersede an ISO TAG's accredited procedures.

ANSI normally looks to the body that develops national standards in a particular standards area in order to determine the U.S. position in a similar international standardization activity. Such national consensus bodies are designated by ANSI as "U.S. TAGs" for specific ISO or IEC activities. Each accredited U.S. TAG to ISO shall be referred to as an "ANSI-Accredited U.S. TAG" (or alternately, "ANSI/ [SDO] TAG to ISO/TC XX" or the equivalent) in all communications with TAG members and other parties regarding TAG activities. Where no national standards group exists, or is available to serve, or where several separate national standards groups exist, special bodies may be established for this purpose. The makeup of U.S. TAGs may include participants from companies, technical and trade organizations, government agencies, academia, and individuals.

In addition to U.S. TAG activities, as appropriate and consistent with ANSI's mission to promote U.S.-based technology globally, ANSI may approve the establishment of Partnership Standards Developing Organization (PSDO) agreements with ISO. To coordinate both activities with the American National Standards process, ANSI also requires early notification by an ANSI-Accredited Standards Developer of its intent to submit a proposed American National Standard (ANS) for consideration for approval as an ISO or ISO/IEC JTC-1 standard. See ANSI Essential Requirements: Due process requirements for American National Standards. In such instances, it is expected that ANSI-Accredited U.S. TAGs will raise any concerns related to the proposed ANS during its development cycle so that if the standard is subsequently balloted for approval at the ISO or ISO/IEC JTC-1 level, the U.S. position will be to support its approval. For existing ANS, the PSDO is required to seek and obtain the approval of the applicable ANSI-Accredited U.S. TAG prior to its submission of a standard to ISO under a PSDO agreement.

#### **B1 – Applicability**

These requirements apply to the development and coordination of U.S. positions for ISO and IEC activities.

#### **B2 – International Requirements**

Operating procedures for the development of U.S. positions shall comply with the requirements imposed on members by the relevant international standards body. For example, time limits are imposed on all participating international members of the international body with regard to voting, commenting, and other related matters. Reasonable time extensions may be requested for good cause.

#### **B3 – General**

The operating procedures of existing or newly established groups which develop U.S. positions for the standardization activities of ISO shall, at a minimum, meet the criteria for the organization, accreditation and operation of U.S. TAGs as provided herein. The operating procedures of existing or newly

established groups which develop U.S. positions for the standardization activities of IEC shall, at a minimum, meet the criteria for the organization and operation of U.S. TAGs as provided for in the Rules of Procedure of the U.S. National Committee of the IEC.

#### **B4 – Criteria for Organization**

The following minimum criteria shall be met in the organization of U.S. TAGs, which develop U.S. positions on international standards activities:

##### **B4.1 – Openness**

Participation shall be open to all U.S. national interested parties who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of the formation of new activities related to international standards shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information.

In addition, the member's name (or if membership is by organization, the name of the organization with a point of contact), affiliation and interest category of each member of the TAG shall be made available to interested parties upon request.

##### **B4.2 – Balance**

The process of developing U.S. positions shall provide an opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase "without dominance by any single interest" normally will be satisfied if a reasonable balance among interests can be achieved. Unless it is claimed by a directly and materially affected person (organization, company, government agency, individual, etc.) that a single interest category dominated the development of the U.S. position, no test for dominance is required.

Interest categories shall be discretely defined, cover all materially affected parties and differentiate each category from the other categories. Such definitions shall be available upon request. In defining the interest categories appropriate to a standards activity, consideration shall be given to at least the following: producer, user, general interest.

Where appropriate, more detailed subdivisions should be considered.

#### **B5 – Criteria for Operation**

The following minimum criteria shall be met in the development of U.S. positions in international standards activities:

##### **B5.1 – Written Procedures**

Written procedures shall govern the methods used for the development of U.S. positions and shall be available to any interested party.

##### **B5.2 – Listing in Standards Action**

Appropriate international standards activities shall be listed in Standards Action in order to provide an opportunity for public comment. The comment period shall be appropriate to the required timing for the action.

### **B5.3 – Consideration of Views and Objections**

Prompt consideration shall be given to the written views and objections of all participants including those commenting on the listing in Standards Action. A concerted effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor.

Unresolved objections and any substantive change made to a proposed U.S. position shall be reported to the participants.

### **B5.4 – Records**

Records shall be prepared and maintained to provide evidence of compliance with these criteria. Records concerning new, revised, or reaffirmed ISO Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal.

### **B5.5 – Appeals**

The written procedures shall contain an identifiable, realistic, and readily available appeals mechanism for the impartial handling of substantive and procedural complaints regarding any action or inaction.

### **B5.6 – Antitrust Policy**

U.S. positions developed by ANSI-Accredited U.S. TAGS or USNC appointed U.S. TAGs shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop U.S. positions are to be conducted in accordance with these laws.

## **B6 – Guidelines for Determining a U.S. Voting Position**

The development of a U.S. position with regard to voting on international documents is a matter of great complexity. Firm rules for casting affirmative votes, negative votes, or abstentions would be presumptuous and unworkable in many cases. However, efforts should be made to achieve consistency in the perceived conduct of the United States as a participant in international, non-treaty standards development. Toward that end, guidelines for determining a voting position are included herein in order to provide direction toward a consistent voting policy. These guidelines cannot cover all of the factors that must be considered in determining the U.S. vote. They do, however, represent generally accepted principles that should be applied to normal situations.

### **B6.1 – Existing National Standard**

If there is an existing U.S. national standard (i.e., an American National Standard (ANS) or, in the absence of an ANS, another standard generally accepted within the United States) and:

If the national standard can be considered equivalent to the requirements in the international document, vote affirmative

If the international document includes different, additional, or more stringent requirements than are in the national standard and the U.S. consensus indicates that such requirements are:

- a) Acceptable, and should be considered for inclusion in the national standard (see section B7.2), vote affirmative, or
- b) Not acceptable, vote negative

If the national standard includes different, additional, or more stringent requirements than are in the international document and the U.S. consensus indicates that such requirements:

a) Should be modified in accordance with the international document, (see section 7.2) vote affirmative, or

b) Must be maintained, vote negative, or

c) Must be maintained, but the proposed document is considered to represent the best agreement which can be attained at the present time from an international point of view, vote abstain with a statement that the U.S. cannot modify its national standard for stated reasons

## **B6.2 – No Existing National Standards**

If no national standard exists and

If U.S. consensus establishes that the international document is:

a) Technically acceptable and could be used as the basis for the development of a national standard, vote affirmative, or

b) Not technically acceptable, vote negative

If the international document is of little or no interest to the U.S., abstain

If the international document unnecessarily creates a barrier to domestic or international trade or impedes innovation or technical progress, vote negative

## **B6.3 – Abstain**

Regardless of whether or not a national standard exists, if no U.S. consensus has been established, abstain.

## **B6.4 – Negative**

The U.S. vote, if negative, must be accompanied by reasons and supporting information such as technical data and logical argument. Also, any known exceptions and/or additions that will be required to conform to U.S. safety practices or regulations shall be noted.

## **B6.5 – Exceptions**

Exceptions to the above stated voting guidelines should be carefully considered.

## **B7 – Criteria for Approval of U.S. Positions on International Standards Activities**

### **B7.1 – Introduction**

Implicit in the transmittal of U.S. positions on international standards activities to ANSI is the verification that the requirements of this document have been met and that consensus in support of the U.S. position has been established.

Consistent with ANSI's mission to promote U.S.-based technology globally, ANSI may approve a PSDO agreement. In all such instances, an ANSI-Accredited Standards Developer is required to provide public notice of its intent to submit a proposed American National Standard (ANS) for consideration for approval as an ISO or ISO/IEC JTC-1 standard. See ANSI Essential Requirements: Due process requirements for American National Standards. Further, in such instances, it is expected that ANSI-Accredited U.S. TAGs will raise any concerns related to the proposed ANS during its development cycle so that if the standard is subsequently balloted for approval at ISO, the U.S. position will be to support its approval. For existing ANS, the PSDO is required to seek and obtain the approval of the applicable ANSI-Accredited U.S. TAG prior to its submission of a standard to ISO under a PSDO agreement.

### **B7.2 – Consensus**

Consensus for a U.S. position is established when substantial agreement has been reached by the U.S. national interests that are directly and materially affected by the proposed international standard.

Additionally, if the proposed U.S. position is based on giving consideration to changes in an existing U.S. national standard, the consensus process shall include U.S. national interests that are directly and materially affected by the U.S. national standard.

#### **B7.3 – U.S. Proposals of Documents as the Basis for the Initiation of International Standards**

All U.S. proposals for the initiation of new work items for the development of international standards shall be approved by the appropriate U.S. TAG. Such proposals may be based on American National Standards (ANS), as appropriate. In the absence of ANS, other appropriate, generally accepted standards may be proposed. In all instances, permission from the sponsor to propose documents as the basis for the initiation of international standards shall be obtained. In the absence of either ANS or other appropriate, generally accepted standards, proposals may be based on a rationale, or a standard under development.

#### **B7.4 – U.S. Proposals to Fast Track a National Standard**

The U.S. may submit a nationally accepted standard using the fast-track procedure approved by the ISO and IEC if the following criteria are met:

- a) The U.S. is a P-member of a concerned ISO committee
- b) The proposed standard must have the approval of both the originating organization and appropriate U.S. TAG

The procedures in B7.3 shall be used in determining U.S. support for the proposed standard.

#### **B8 – Participation in the formulation of U.S. positions**

U.S. TAG Members and other contributors are expected to participate in good faith and in accordance with professional standards, respectful of the rules of the TAG and the authority given to the Officers of the TAG and TAG Administrator. As appropriate, the TAG and TAG Administrator may refer to Robert's Rules of Order, Disciplinary Procedures, for guidance.

#### **B9 – Criteria for Appeals**

The provision of appeals is important for the protection of directly and materially affected interests and for the organizations involved in the development of U.S. positions in international activities and is required as a part of due process. This section provides for the right to appeal, indicates what may be appealed, and gives general criteria regarding the appeals mechanism.

##### **B9.1 – Right to Appeal**

Directly and materially affected U.S. national interested parties have the right to appeal any procedural action or inaction in the development of U.S. positions on international standards activities.

##### **B9.2 – Appeals Mechanism**

The following general criteria shall apply to any appeals mechanism provided by the U.S. TAG pursuant to these procedures:

- a) Appeals shall be addressed promptly and a decision made expeditiously
- b) The right of the involved parties to present their cases shall not be denied
- c) Appeals procedures shall provide for participation by all parties concerned without imposing an undue burden on them
- d) Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed
- e) Records of appeals shall be kept and made available to the involved parties

### **B9.3 – Access**

Appeals shall be processed in accordance with the written procedures used by the U.S. TAG for the development of pertinent U.S. positions. (See B5) ANSI will not normally hear an appeal of an action or inaction until all other appeal procedures have been exhausted.



## ANNEX C

### Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees

#### Systems Approach

The fundamental strength of the IEC over the decades has been the quality and market acceptance of its technology-based product standards and specifications, standards that also are the reference in the Commission's conformity assessment schemes. The need for such product or product family standards will continue for the foreseeable future and the IEC must maintain its efforts, and its reputation, in this traditional area of pre-eminence.

The multiplicity of technologies and their convergence in many new and emerging markets, however – particularly those involving large-scale infrastructure – now demand a top-down approach to standardization, starting at the system or system-architecture rather than at the product level. System standards are also increasingly required in sectors such as environment, safety, and health. Although the introduction of such processes in the IEC began some years ago, a major effort is now required to improve understanding of them and to widen their application. It will be necessary to take account of the implied need for increased cooperation with many other standards developing organizations, as well as with relevant non-standards bodies in the international arena. There will also be implications for the IEC's conformity assessment systems and processes.

#### Process

- a) When an IEC or national document is posted by the IEC Central Office on which a U.S. position is needed and it is of interest to two or more TCs/SCs, its availability will become known to those USNC TAG Officers and members of interested USNC TAGs, who sign up for notification by communication tools such as [IEC NEWDOCS](#) and MY IEC.

The Technical Advisors will inform the USNC Office of known interested committees.

- b) If a USNC TAG has an interest in a document for which it is not the primary, the primary USNC TAG shall be notified and asked to acknowledge and record the continuing interest of the other USNC TAG(s).
- c) A decision may be made by the USNC TAGs involved to establish a Joint Task Force consisting of representatives of each of the USNC TAGs to develop a draft USNC position for the consideration and approval of the USNC TAGs within the required timeframe.
- d) The representatives of the interested USNC TAGs will be asked to send their comments on the document to the representative of the "primary" USNC TAG. That representative will consider and collate the comments, and taking them into account, will establish a proposed U.S. position on the subject matter. Copies of this proposed position will be sent to all the representatives who commented, and to the USNC Office. The representative of the primary committee will call a meeting of interested persons where this may be constructive.
- e) Any USNC TAG, having made substantive comments, that is not satisfied with the proposed position will promptly notify the USNC Office and the Joint Task Force who prepared the position, giving specific reasons for the objection.
- f) The USNC office will attempt to bring about resolution by correspondence or by meetings and, failing to do so, will promptly notify the President and the TMC of the USNC for necessary action.

- g) In the event a comment cannot be supported by a consensus of the USNC TAGs, it will be withdrawn. In the event a vote cannot be supported by a consensus of the USNC TAGs, the USNC will file an abstention.

*Note 1:* This procedure may also be utilized when coordination with USNC TAGs for ISO TCs/SCs is desired.

*Note 2:* If the USNC is not a Participating Member, contact the USNC Office for guidance.

*Note 3:* Communicate with the USNC Office for guidance when necessary.

## ANNEX D

### USNC POLICY ON DISTRIBUTION OF FREE COPIES OF IEC STANDARDS AND WORKING DOCUMENTS FOR USE IN USNC STANDARDS DEVELOPMENT ACTIVITIES

#### General

IEC Standards and related working documents, such as technical publications, guides, advisory committee documents, working drafts, committee drafts, and final drafts (hereinafter “Working Documents”) are protected by IEC copyright. Under circumstances described in this policy, IEC Standards and Working Documents may be provided to authorized USNC TAG Members and certain third parties free of charge for use in standards development activities. Such documents remain copyright protected, however, and continue to be subject to certain other copying and redistribution limitations.

#### Copies of IEC Standards and Working Documents for Use by USNC TAG Members

IEC Standards and/or Working Documents provided under this policy shall be used by the USNC, its members, the members of the USNC TAG, TAs, Deputy TAs, USNC Experts, USNC TAG Secretary, and others specifically identified by the USNC TAG Secretary (“Authorized USNC TAG Members”) exclusively in the formation of U.S. positions on the development, national implementation, or maintenance of IEC Standards.

Authorized USNC TAG Members needing free copies of IEC Standards or Working Documents should obtain permission from the USNC TAG Secretary for the subject USNC TAG.

A USNC TAG Secretary may grant a request by Authorized USNC TAG Members for free copies of IEC Standards or Working Documents in circumstances where such Authorized USNC TAG Member has demonstrated a direct need for such documents in connection with the standards development, implementation, or maintenance activities of a USNC TAG. In making that determination the TAG Secretary may consult with the Technical Advisor (TA) or the USNC Office.

Authorized USNC TAG Members who have been provided free copies of IEC Standards or Working Documents under this policy shall take reasonable steps to ensure that such documents are not further disseminated outside of the USNC TAG and shall neither post the documents on public servers nor make them available to groups of non-USNC TAG members.

Authorized USNC TAG Members who have been provided free copies of IEC Standards or Working Documents may share such documents with individuals within their companies for the purposes of defining company positions and representations to other USNC TAG members.

Subject to the provisions of this policy, free copies of IEC Standards or Working Documents furnished to Authorized USNC TAG Members may be provided in an editable format which may be copied and modified by the Authorized USNC TAG Member as needed.

#### Copies of IEC Standards and Working Documents for Use by Certain Third Parties outside the USNC TAG

On a limited-exception basis, and within the sole discretion of the USNC TAG Secretary, particular IEC Standards or Working Documents may be shared with parties outside the USNC TAG if such disclosure is required to ensure that the necessary expertise (representing broad U.S. interests) will be used in formulating decisions necessary to the standards development, implementation, or maintenance activities of a USNC TAG. If USNC TAG Secretary determines that such disclosure is necessary, he/she

shall provide a single copy of the relevant document to such third party who shall have no rights to further copy or distribute such document.

#### Watermarking of All Documents Made Available to Authorized USNC TAG Members or Third Parties

Whether made available in electronic or hard-copy format, all documents made available under this policy shall either be “watermarked” with the appropriate copyright statement in accordance with Attachment “A” or be accompanied by a cover page that includes the appropriate copyright statement. In either case, a typical “copyright” notice shall be placed in the document.

#### Announcements

These policies are to be announced broadly to the USNC’s constituency and will be included in the USNC’s Statutes and Rules of Procedure and the USNC TAG Model Operating Procedures.

#### ATTACHMENT A

(TO ANNEX D)

#### **REQUIRED STATEMENT FOR INCLUSION ON IEC STANDARDS OR WORKING DOCUMENTS PROVIDED FREE OF CHARGE FOR USE IN USNC TAG STANDARDS DEVELOPMENT ACTIVITIES**

“All IEC Standards and Working Documents are copyrighted by the IEC. This copy, without regard to its form or media, whether a complete copy of an IEC Standard or Working Document or extracted portions from an IEC Standard or Working Document, retains all IEC copyrights. The conveyance of this copy does not affect IEC copyrights or transfer any copyrights.

This copy is for the exclusive use by the recipient only in the development of USNC position(s) on the development, evaluation, use, or maintenance (including adoption by U.S. Standards Developing Organizations (SDOs)) of this or other IEC publications. No other use is authorized. No further copying, distribution, or use of this document is authorized. Possession by others is not authorized. This document may not be used for commercial purposes.”

## ANNEX E

### EXAMPLE, USNC TAG MEMBER APPLICATION

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

USNC TAG(s): \_\_\_\_\_

#### Interest Category:

- **Producer** – Individuals who are involved in the production, manufacture, or distribution of the type of product or system under the scope of the USNC TAG. This includes individuals involved in the design, engineering support, manufacturing, testing, and/or marketing of the type of product or system; or who are employed by or represent a producer, manufacturer, or distribution of the type of product or system.
- **User** – Individuals who are involved in using the type of product or system that is the topic of the USNC TAG, but who are not involved with the production, manufacture or distribution of that type of product or system.
- **Testing / Certification** – Individuals who represent organizations that provide testing, assessment and/or certification of the type of product or system that is the topic of the USNC TAG.
- **Regulatory / Inspection** – Individuals who represent governmental entities having regulatory or inspection interest in or influence over the type of product or system that is the topic of the USNC TAG.
- **Special Expert** – Individuals who have expertise in an aspect of the type of product or system that are not covered by another interest group.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Attach Curriculum Vitae for circulation with USNC TAG membership ballot.