

American National Standards Operating Procedures for the Simon Institute

Approved, SI Standards & Certification Committee – October 31, 2013

Approved, SI Board of Directors – October 31, 2013



The Simon Institute is an Accredited Standards Developer by the American National Standards Institute (ANSI).

American National Standards Operating Procedures for the Simon Institute

1. General

These procedures constitute the Simon Institute's method of developing evidence of consensus for the approval, reaffirmation, revision, or withdrawal of American National Standards.

2. Notification of standards development and coordination

Notification of standards activity shall be announced in suitable media as appropriate to demonstrate the opportunity for participation by all directly and materially affected persons. Consultation with any relevant international and regional guides that may impact the proposed standard will be made and ANSI-Accredited U.S. Tag(s) shall be advised if the standard is intended to be submitted for consideration as an ISO, or ISO/IEC JCT-1 standard.

At the initiation of a project to develop or revise an American National Standard or to reaffirm or withdraw an American National Standard, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *Standards Action*. A statement shall be submitted and published as part of the PINS announcement that should include:

- (a) an explanation of the need for the project including, if it is the case, a statement of intent to submit the standard for consideration as an ISO, IEC or ISO/IEC JTC 1 standard; and
- (b) identification of the stakeholders (e.g., producers, users and general interest) likely to be directly impacted by the standard.
- (c) If the response to section (b) above changes substantively as the standard is developed, a revised PINS shall be submitted and published.

The categories include groups with interest in standards related to custodial, janitorial and housekeeping procedures and products as follows:

General Interest: Public or private organizations or individuals that have an interest in the practices associated with the Standards, but neither provide or use them directly. This could include architects, designers, consultants, trade associations, insurance companies, government agencies, environmental safety and health organizations, custodial workers with disabilities organizations, unions, human resource groups or, members of academia.

User: Organizations or individuals that use the process associated with the standards. This could include facility maintenance organizations, building service contractors, trade associations and government purchasing agencies.

Producer: Manufacturers of materials associated with the Standards.

The Simon Institute (SI) shall strive to maintain balance in its consensus process. The criteria for balance shall be that a) no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety related standards.

SI shall strive to maintain a lack of dominance by any single interest group, individual or organization in its consensus process. 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.

If the standards writing committee lacks balance in accordance with the historical criteria for balance, and no specific alternative formulation of balance was approved by the ANSI Executive Standards Council, outreach to achieve balance shall be undertaken.

Comments received in connection with a PINS announcement shall be handled in accordance with the following procedures. If SI receives written comments within 30 days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline. Such a deliberation shall be organized by SI and the commenter and shall be concluded before SI may submit a draft standard for public review. If the deliberation does not take place within the 90-day period and SI can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then SI will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project.

The outcome of such a PINS deliberation shall be conveyed in writing (the "Deliberation Report") by SI within 30 days after the conclusion of the deliberation to the commenter and to ANSI. Upon submission of the Deliberation Report, SI may continue with the submission of the draft standard for public review. If additional deliberations take place, they should not delay the submission of the draft 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, SI shall include all of the Deliberation Report(s) with the BSR-9 submitted to the ANSI Board of Standards Review (BSR) for consideration should SI ultimately submit the subject standard to ANSI for approval. Stakeholders who were involved in the PINS deliberation process may also file separate Deliberation Report(s) with ANSI and SI within 30 days after conclusion of any deliberation for consideration by the BSR if the standard is submitted to ANSI for approval.

In addition, proposals for new American National Standards and proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI using the BSR-8 form, or its equivalent, for listing in *Standards Action* in order to provide an opportunity for public comment. 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 thirty days if the full text of the revision(s) can be published in *Standards Action*;

A minimum of forty-five days if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or

A minimum of sixty days, if neither of the aforementioned options is applicable.

Such listing may be requested at any stage in the development of the proposal, at the option SI 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*.

3. The canvass process

3.1 Development of canvass list

SI shall develop a list of potential canvasees consisting of those organizations, companies, government agencies, standards developers, individuals, etc., known to be, or who have indicated that they are, directly and materially affected by the standard. SI shall meet the requirements for openness, balance and lack of dominance contained in the *ANSI Essential Requirements* and in Section 2 of these procedures. No individual shall represent more than one canvasee.

In order to determine canvass participation, SI should conduct a pre-canvass interest survey, informing potential canvasees in writing about the use of *SI's canvass process* for developing evidence of consensus, and, requesting that potential canvasees indicate both their interest in participation and self-selected interest category. SI's pre-interest survey shall contain the title, designation, scope, description of the standard along with the history of its development, purpose and intended application of the standard, and an explanation of the ANSI function. The time for response shall be at least 30 days from the date of SI's letter and shall be so noted in the letter. All those who have agreed to participate shall be included on the canvass list, together with their self-selected interest categories in accordance with *ANSI Essential Requirements*. In addition, the affiliation and interest category of each member of the consensus body shall be made available to interested parties upon written request.

Once an interest survey has been completed for a standard, it need not be repeated for subsequent balloting of the document. In addition, SI may conduct a single interest survey for a group or category of standards. A canvasee who has indicated a desire to be on SI's canvass list for a particular standard shall receive the draft document(s), letter ballot(s), and other information listed in Section 3.3 below.

3.2 Announcement of canvass initiation

SI may request that ANSI announce the initiation of the canvass in *Standards Action* to solicit additional canvasees. 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.

The review period shall be thirty days from the date of publication. Any resulting proposals for addition to the canvass list shall be referred directly to SI.

3.3 Conduct of canvass

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

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

- 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 SI's 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 canvasee; NOTE: Affiliation refers to the entity that the canvasee represents (which may or may not be that person's employer). If the canvasee member is serving in an individual capacity, then the name of the individual, that person's employer or sponsor and interest category should be available. Contact information is not required.
- e) a copy of the complete proposed American National Standard or the relevant portion under consideration when the canvasee has previously received the complete standard;
- f) the official letter ballot(s) to all canvasees which will also indicate a review period of thirty days from the receipt of the ballot.

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

The ballot form used by SI shall provide opportunity for the canvasee to indicate its position (i.e., affirmative, affirmative with comment, negative with reasons, or abstention (with or without comment), with the advice that, in order to receive consideration, objections must be accompanied by supporting written reasons and, where possible, proposals for a solution to the problem raised. A follow-up notice shall be sent to canvasees not responding within ten days prior to the close of the ballot. The canvass ballot may be closed at the end of sixty days or sooner if all canvasees have responded. An extension of up to sixty days shall be granted upon request from any canvasee giving a legitimate reason.

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 that a majority of the consensus body cast a vote (counting abstentions) and at least two-thirds of those voting approve (not counting abstentions).

Views and objections resulting from the canvass shall be dealt with in accordance with clause 4.

4. Consideration of views and objections

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

In connection with an objection articulated during a public comment period, or submitted with a vote, an effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made, and each such objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons. If resolution is not achieved, each such objector shall be informed in writing that an appeals process exists within procedures used by SI. In addition, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved must be reported to the ANSI BSR.

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

Unresolved objections, attempts at resolution and any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members of the consensus body an opportunity to respond and reaffirm or change their vote.

5. Submittal of standard

Upon completion of the procedures for canvass, for disposition of views and objections, and for appeals, the proposed standard and BSR-9 form shall be submitted to ANSI for approval.

The information to be supplied to ANSI shall include:

- a) title and designation of the proposed American National Standard;
- b) indication of the type of action requested (that is, approval of a new American National Standard or reaffirmation, revision, or withdrawal of an existing American National Standard); declaration that applicable procedures were followed;

- c) declaration that the proposed standard is within the scope of the previously registered standards activity;
- d) a declaration that conflicts with another American National Standard have been addressed in accordance with these procedures;
- e) 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;
- f) a declaration that all appeal actions related to the approval of the proposed standard have been completed;
- g) a declaration that the criteria contained in the ANSI patent policy have been met, if applicable; and
- h) identification of all unresolved negative views and objections, with names of the objector(s), and a report of attempts toward resolution.

The SI shall take action to revise or reaffirm a standard within five years of the last approval date of the standard.

6. Appeals

Persons who have directly and materially affected interests and who believe they have been or will be adversely affected by a standard within the committee's jurisdiction, or by the lack thereof, shall have the right to appeal substantive or procedural actions or inactions of the committee or sponsor.

Complaint. The appellant shall file a written complaint with the sponsor within fifteen 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 section(s) of these procedures or the standard that are at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

Response. SI will forward any complaints to the SI Standards and Certification Committee for discussion and response. Within thirty (30) days after receipt of the complaint, SI shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

Hearing. If the appellant and SI are unable to resolve the written complaint informally in a manner consistent with these procedures, SI shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving a least ten working days' notice.

Appeals Panel. The appeals panel shall consist of three individuals knowledgeable as to the policy and other concerns related to the appeal *who do* not have demonstrably real or apparent conflicts of interest with the subject of the appeal or the person filing the appeal. The SI and the appellant will select the members of the appeals panel. If the appellant and SI cannot agree on the composition of the panel within three weeks from the start of the selection process, the SI may appoint the panel.

Conduct of the Hearing. The appellant has the burden of demonstrating adverse effects, improper actions or inaction, and the efficacy of the requested remedial action. SI has the burden of demonstrating that the committee or sponsor took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals.

Robert's Rules of Order (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

The aforementioned hearing may be conducted via meeting or teleconference.

Decision. The appeals panel shall render its decision in writing within thirty (30) days, stating findings of fact and conclusions, with reasons therefore, based on a preponderance of the evidence. The panel may dispose of the case in any of the following manners:

Finding for the appellant remanding the action to the committee or the sponsor 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 committee or the sponsor for appropriate reconsideration.

7. Records Retention

Records concerning new, revised or reaffirmed ANSI standards will be retained for one complete development cycle or until the standard is revised. Records concerning withdrawn standards will be retained until five years from date of withdrawal.

8. Interpretations

All inquiries requesting interpretation of the language of the approved American National Standards shall be directed to SI in writing and promptly acknowledged. The SI Standards and Certification Committee has full responsibility for the development, activation and guidance of the ANSI Standard(s) related to cleaning times, frequencies, materials and tasks for job descriptions, basic housekeeping, custodial, janitorial cleaning process, basic housekeeping, custodial, janitorial safety programs, basic training process for housekeeping, custodial, janitorial cleaning workers and the formulation of general policy to insure the uniformity and equity of its administration on a continuing basis. This Committee shall consist of at least five and not more than twelve members. The president of the Institute, subject to the approval of the Board of Directors, appoints the committee chairperson. Committee members are appointed by the chairperson to serve a three year term and may be reappointed to an additional term(s).

The Administrator of the SI Certification Program will interpret the general procedures contained within the current edition of ANSI/SI standards consistent with fair and uniform treatment of all participants who use the standard. Matters of interpretation that are beyond the scope of general procedures will be directed to the Chairperson of the Standards and Certification Committee. If the interpretation remains unresolved, the matter will be presented to the Standards and Certification Committee for discussion and resolution either by email, conference call or at their next appointed meeting. SI shall advise the submitter in writing of the interpretation and maintain a record of all formal interpretations rendered.

9. Metrics

SI will utilize soft metric conversions based on the metric system, where appropriate, with the meter, liter, and gram (or kilogram) as basic units in American National Standards it develops or revises under the procedures of the American National Standards Institute (ANSI). English units will also be shown in parenthesis alongside the metric units to ensure the technical and scientific information conveyed in such standards is understood and accessible to the users of such documents.

10. Patents and Commercial Terms and Conditions

SI does not hold, nor do they intend to hold, any patent on any invention that would be used or required for compliance with any SI sponsored American National Standard. If any patent issues arise relative to the development of SI sponsored standards, SI agrees to comply with the current ANSI Patent Policy in force in the ANSI Essential Requirements.

11. Commercial Terms and Conditions

For the purpose of development, approval and maintenance of American National Standards, the SI shall comply with the American National Standards Institute (ANSI) Essential Requirements policies related to commercial terms and conditions and such standards will not include guarantees, warranties or other commercial terms and conditions.

12. Discontinuance of a standards process

SI may abandon the processing of a proposed new or revised American National Standard or portion thereof providing there was compliance with the accredited procedures. A written justification for such an action shall be made available upon receipt of any written request received by SI within 60 days of the final action.



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