

## **IES TECHNICAL COMMITTEE POLICIES AND PROCEDURES**

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## CONTENTS

<b>1.0</b>	<b><u>OVERVIEW</u></b>	<b>3</b>
1.1.	<u>SOCIETY PURPOSE AND SCOPE</u>	3
1.2.	<u>PURPOSE AND SCOPE OF THIS DOCUMENT</u>	3
1.3.	<u>ALTERNATIVE PROCESS AND CHANGES</u>	3
1.4.	<u>ABBREVIATIONS</u>	3
<b>2.0</b>	<b><u>POLICIES AND PROCEDURES</u></b>	<b>4</b>
2.1.	<u>OPENNESS</u>	4
2.2.	<u>LACK OF DOMINANCE</u>	4
2.3.	<u>THE CRITERIA FOR BALANCE</u>	4
2.4.	<u>INTEREST CATEGORIES</u>	4
2.5.	<u>COORDINATION AND HARMONIZATION</u>	6
2.6.	<u>NOTIFICATION OF STANDARDS DEVELOPMENT AND COORDINATION</u>	6
2.7.	<u>CONSIDERATION OF VIEWS AND OBJECTIONS</u>	9
2.8.	<u>EVIDENCE OF CONSENSUS AND CONSENSUS BODY VOTE</u>	9
2.9.	<u>APPEALS</u>	12
<b>3.0</b>	<b><u>NORMATIVE AMERICAN NATIONAL STANDARDS POLICIES</u></b>	<b>12</b>
3.1.	<u>ANSI PATENT POLICY - INCLUSION OF PATENTS IN AMERICAN NATIONAL STANDARDS</u>	12
3.2.	<u>COMMERCIAL TERMS AND CONDITIONS</u>	13
3.3.	<u>ANTITRUST POLICY</u>	13
3.4.	<u>S.I. POLICY</u>	13
3.5.	<u>INTERPRETATIONS POLICY</u>	13
3.6.	<u>EVIDENCE OF COMPLIANCE</u>	14
3.7.	<u>MAINTENANCE OF AMERICAN NATIONAL STANDARDS</u>	14
3.8.	<u>REAFFIRMATION OF AN AMERICAN NATIONAL STANDARD</u>	16
3.9.	<u>WITHDRAWAL OF STANDARDS</u>	16
3.10.	<u>PLANNING, COORDINATION AND PUBLIC NOTICE</u>	17
3.11.	<u>DESIGNATION OF AMERICAN NATIONAL STANDARDS</u>	17
3.12.	<u>PUBLICATION OF AMERICAN NATIONAL STANDARDS</u>	18
3.13.	<u>NATIONAL ADOPTION OF ISO OR IEC STANDARDS AS ANSI/IES STANDARDS</u>	18
<b>4.0</b>	<b><u>ANNEX A: DEFINITIONS</u></b>	<b>19</b>
<b>5.0</b>	<b><u>ANNEX B: PROCEDURES FOR THE DEVELOPMENT OF A PROVISIONAL AMERICAN NATIONAL STANDARD (ANS) OR A PROVISIONAL AMENDMENT TO AN ANS</u></b>	<b>21</b>
<b>6.0</b>	<b><u>ANNEX C – IES APPEALS BODY OPERATING PROCEDURES</u></b>	<b>24</b>
<b>7.0</b>	<b><u>ANNEX D – FORMS</u></b>	<b>28</b>

## **1.0 OVERVIEW**

### **1.1. Society Purpose and Scope**

- 1.1.1. Name: The Society name is the Illuminating Engineering Society (IES).
- 1.1.2. Responsibility: The Society's primary responsibility is to bring together those with lighting knowledge and to translate that knowledge into actions that benefit the public, through the development of consensus standards and the dissemination of lighting information. The Society strives to make its findings available through other scientific, professional and technical organizations and various electrical and other industry groups concerned with lighting.
- 1.1.3. Society Scope
  - A. The IES is primarily interested in investigating and reporting on the production, control and utilization of light that involves visual and nonvisual effects of light received by the human eye. However, the Society is also necessarily interested in the effects, as established by proper authorities, of invisible radiant energy accompanying light as it affects human vision, health and well-being.
  - B. The Society also recognizes that the art and science of illuminating engineering require knowledge of many subjects drawn from other arts and sciences; and that collaboration with other organizations brings important information to its members.

### **1.2. Purpose and Scope of This Document**

- 1.2.1. Purpose: The purpose of this document is to define the guidelines for document development to meet the American National Standards Institute (ANSI) requirements as a Consensus based technical document.
- 1.2.2. Scope: This document covers all committees within the IES whose purpose is to produce technical documents bearing the IES name as an IES Standard or Technical Report.
- 1.2.3. Related Document: Refer to the IES Technical Committee Guide for supplemental information on technical committees, the Standards Committee, and other IES governance policies not related to ANSI requirements.

### **1.3. Alternative Process and Changes**

- 1.3.1. Deviations from these Policies and Procedures are allowable where alternative procedures are deemed more appropriate for the development of a specific standard. Such procedures shall comply with the ANSI Essential Requirements, and the responsible consensus committee shall be informed of the alternative procedures in advance of its implementation.
- 1.3.2. Deviations or changes to these Policies and Procedures shall be submitted to ANSI for approval and subject to audit. The alternative procedures may be implemented pending ANSI approval.

### **1.4. Abbreviations**

- 1.4.1. SC: The IES Standards Committee, which provides oversight and final approval of IES Standards developed under these Policies and Procedures.

- 1.4.2. TC: Technical Committees, which are the consensus bodies responsible for producing the content of IES Standards developed under these Policies and Procedures.

## 2.0 Policies and Procedures

### 2.1. Openness

- 2.1.1. Timely and adequate notice of any action to create, revise, reaffirm, or withdraw a standard, and the establishment of a new consensus body 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<sup>1</sup> and interest category of each member of the consensus body shall be made available to interested parties upon request.
- 2.1.2. Committee meetings are usually open to Society members and the public, but only committee members may participate, unless the chair elects to recognize a guest.

### 2.2. Lack of Dominance

- 2.2.1. Unless it is claimed in writing (electronic communication accepted) by a directly and materially affected party that a single Interest Category, individual or organization dominated the standards development process, no test for dominance is required.
- 2.2.2. To avoid overrepresentation from any single entity, it is IES policy that technical committee membership be limited to **one voting member per employing organization**. This policy also applies when the chair and a member of a committee are from the same entity. Additional members from the employing organization and in the same location and/or department shall be designated as advisory (nonvoting).
- A. Exception: An exception to the above policy is permissible if individuals employed by distinct divisions of an organization can demonstrate independent interests and authority to make independent decisions in the area of the activity of the consensus body. In such a case, each person is permitted to apply for membership. Documentation of the exact employment responsibilities should be provided to the staff liaison.

### 2.3. The Criteria for Balance

- 2.3.1. No single Interest Category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards.
- 2.3.2. No single Interest Category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards.

### 2.4. Interest Categories

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1. "Affiliation" refers to the entity that the consensus body member represents (which may or may not be that person's employer). If the consensus body member is serving in an individual capacity, then the name of the individual, that person's employer, sponsor and interest category should be available. Contact information is not required.

- 2.4.1. The interest categories appropriate to the development of consensus in IES standards activities are a function of the nature of the standard being developed; it is not necessary for each consensus body to have a representative from each of the Interest Categories listed in this Section. In addition, any of the categories described in **2.4.2** may be considered to include retired persons who previously were included therein.
- 2.4.2. Interest Category Types: In defining the Interest Categories appropriate to a standards activity, the following are recognized by the IES:
- A. Producer Interest Category (P): An employee, agent, or representative of a manufacturer of light sources, lighting equipment, accessories, controls, or software; or an employee of an organization that sells, represents, or distributes these products. Producers are those who (or whose company) would stand to gain financial benefit from the sale of products or services that the document may affect.
  - B. User Interest Categories: Appropriate, representative user views shall be actively sought and fully considered in standards activities. Whenever possible, user participants shall be those with the requisite technical knowledge, but other users may also participate. The IES recognizes the following User Interest Categories:
    - 1) Specifier (US): An individual, or an employee or representative of an organization who designs, specifies, purchases or maintains lighting equipment, accessories, or controls for use by his or her own organization or for use by other organizations that he or she represents (e.g., an electrical contractor employed by and for the user; an engineer, architect, consultant, or design professional who represents the user). This category includes those directly involved in the specification or purchase of equipment that the document may affect.
    - 2) Affected (UA): Generally, this category includes those directly affected by the installation of lighting equipment specified by those in the US category. Individuals may include employees or representatives of an organization who refers to IES standards, those who operate, maintain, or coordinate lighting within their facility (e.g., facility manager, building engineer), or a person who is a frequent occupant or user of the space directly affected by the lighting within the facility (e.g., a librarian in a library, nurse in a hospital).
    - 3) Public Interest (UP): An employee, agent or representative of a utility company, city, state, provincial, or federal agency, or other public-interest entity representing user interests and involved with the specification and/or purchasing of equipment that the document may affect. This User category excludes those in the GGR category.
  - C. General Interest Categories:
    - 1) Academic, Research (GAR): An individual, or an employee or representative of an accredited, post-secondary academic institution whose primary responsibility is either instructing enrolled students or who is actively engaged in research.
    - 2) General – Government, Regulatory (GGR): An individual, or an employee or representative of a government or code developing agency that may adopt or refer to the standard within the agency's own standards or regulations.

### 3) General – Unaffiliated Subject Matter Expert (GSME)

- D. An individual with subject matter experience and knowledge who is currently unemployed, retired or otherwise unaffiliated with all industry business interests. This User category excludes those in all other Interest Category Types. Organizational Member Category (OM): A representative from an allied organization, appointed by that organization. Agreement between the IES and the corresponding organization would be required, as a Memorandum of Understanding, formal Joint Publication agreement, or friendship agreement.
- E. Testing Laboratory Interest Categories:
  - 1) Test Equipment User (TEU): An individual, or an employee, or representative of an organization who conducts measurements using the test method as a third party or for a Producer that has demonstrated no conflict of interest, such as through accreditation to ISO 17025.
  - 2) Test Equipment Manufacturer (TEM): An individual, or an employee, or representative of a manufacturer of test equipment used for lighting photometry or to test lighting accessories or controls; or an employee of an organization that sells or distributes such test equipment.

## 2.5. Coordination and Harmonization

- 2.5.1. Good faith efforts shall be made to resolve potential conflicts between and among existing American National Standards (ANS) and candidate American National Standards.
- 2.5.2. Definition of Conflict: “Conflict” within the IES process refers to a situation where, viewed from the perspective of a future implementer, the terms of one standard are inconsistent or incompatible with the terms of the other standard such that implementation of one standard under terms allowable under that standard would preclude proper implementation of the other standard in accordance with its terms.
- 2.5.3. Coordination and Harmonization: The IES shall make a good-faith effort to resolve potential conflicts and to coordinate standardization activities to produce harmonized American National Standards. A “good faith” effort shall require substantial, thorough, and comprehensive efforts to harmonize a candidate ANS and existing ANSs. Such efforts shall include, at minimum, compliance with all relevant sections of these procedures. IES shall retain evidence of such efforts to demonstrate compliance with this requirement to the satisfaction of the appropriate ANSI body.

## 2.6. Notification of Standards Development and Coordination

2.6.1. Project Initiation Notification: At the initiation of a project to develop or revise an American National Standard,<sup>2</sup> notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *Standards Action*. Comments received in connection with a PINS announcement shall be handled in accordance with these procedures. *Note: The PINS is submitted after an IES Project Initiation Form (PIF) has been officially approved by the IES Standards Committee.*

A. The PINS announcement shall include:

- 1) 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
- 2) Identification of the stakeholders likely to be directly impacted by the standard.  
*Note: If the response to the ANSI BSR-PINS Project Intent changes substantively as the standard is developed, a revised PINS shall be submitted and published.*

B. PINS Exceptions

- 1) A PINS is not required for revisions of an American National Standard that is under ANSI Continuous Maintenance and:
  - a) Is registered as such on the ANSI website
  - b) Has a notice in the standard stating that the standard is always open for comment and how to submit comments
  - c) Has information on the IES website that the standard is under Continuous Maintenance and how to submit comments
- 2) A PINS is also not required in connection with the decision to maintain an ANS under the Stabilized Maintenance option. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard.

C. Assertions of Conflict or Duplication

- 1) If the IES receives written comments within 30 days from the publication date of a PINS announcement in *Standards Action*, and if said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously (or concurrently) in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline.

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2. Including the national adoption of ISO and IEC standards as American National Standards, but excluding actions set forth in 2.5.1.1 Announcement in *Standards Action*. Comments received in connection with a PINS announcement shall be handled in accordance with these procedures.

- 2) Such a deliberation shall be organized by the developer, and the commenter and shall be concluded before the developer may submit a proposed standard for public review. If the deliberation does not take place within the 90-day period and the developer can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders an opportunity to discuss whether there is a compelling need for the proposed standards project.

D. PINS Deliberation Report

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

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

2.6.2. Public Review

- A. 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* to provide an opportunity for public comment. If applicable, 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:
- 1) A minimum of 30 days if the full text of the revision(s) can be published in *Standards Action*
  - 2) A minimum of 45 days if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., a URL or an email address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*



3) A minimum of 60 days, if neither of the aforementioned options is applicable<sup>3</sup>

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

## **2.7. Consideration of Views and Objections**

- 2.7.1. 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*.
- 2.7.2. 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 (electronic communications accepted) of the disposition of the objection and the reasons therefor. If resolution is not achieved, each such objector shall be informed in writing that an appeals process exists within procedures used by the standards developer. In addition, except in the case of those received from Audited Designators, each objection resulting from public review or submitted by a member of the consensus body and which is not resolved (see definition) must be reported to the ANSI BSR.
- 2.7.3. When this process is completed in accordance with the written procedures of the standards developer, the standards developer may consider any comments received subsequent to the closing of the public review and comment period or shall consider them in the same manner as a new proposal. Timely comments that are not related to the proposal under consideration shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified.
- 2.7.4. Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the consensus body to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote.

## **2.8. Evidence of Consensus and Consensus Body Vote**

- 2.8.1. Evidence of consensus in accordance with these procedures will be documented. Consensus is demonstrated, in part, by a vote of the consensus body.

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3. Although a 60-day public comment period is not required in all instances, a number of provisions in the *ANSI Essential Requirements*, when read in combination, satisfy the World Trade Organization's (WTO) 60-day rule. Before adopting a standard, ANSI-Accredited Standards Developers shall allow a period of at least 60 days in total for submission of comments on the draft standard if requested by an interested party within the territory of a WTO Member. Exceptions outlined in the rule are permitted due to issues of safety, health or environment. (See *WTO Agreement on Technical Barriers to Trade (TBT)*, Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards (GCP), Substantive Provision.)

- 2.8.2. Technical Committee (TC) Ballot Process: Online voting procedures shall be used, unless there is an informal (poll type) ballot opportunity (conference call and/or web meeting) afforded to all voting members wherein the participants have an opportunity to hear as well as be heard for all comments and arguments. All voting members of the consensus body shall have the opportunity to vote. When recorded votes are taken at meetings, voting members who are absent shall be given the opportunity to vote before or after the meeting. Where minor or preliminary actions are taken, the vote may be oral, and both voting and nonvoting members may participate.
- 2.8.3. TC Consensus Vote Tally: Standards or other important actions to be submitted to the Standards Committee (SC) (such as PIFs or draft documents) shall be voted on only by voting members.
- A. Consensus to approve a new standard or to revise, reaffirm or withdraw an existing American National Standard shall be determined as follows:
    - 1) A majority of the voting members casting a vote (including abstentions), and
    - 2) At least two-thirds of those voting approval (not counting abstentions)
  - B. Voting options are:
    - 1) Approve
    - 2) Approve with Comment
    - 3) Abstain
    - 4) Disapprove with Comment (note that Disapprove votes without comment shall not be considered toward the numerical consensus requirements).
  - C. Insufficient Tally: If the numerical tally falls below the consensus requirements listed above, the committee chair or staff liaison shall make every attempt in as reasonably expedient a time frame as possible to obtain ballots from those not responding. If the minimum quorum requirements have not been met within a reasonable time after the initial ballot due date, the ballot is considered to have failed.
- 2.8.4. Change of Vote:
- A. The IES shall not change a vote unless instructed to do so by the voter. If the change of vote was not submitted in writing by the voter, then written confirmation of such a vote change shall be provided to the voter by the IES. It is never appropriate for the IES to inform voters that if they are not heard from, their negative vote will be considered withdrawn and their vote will be recorded as an abstention or an affirmative. All negative votes that are not changed at the request of the voter shall be recorded and reported to the BSR as unresolved negatives by any ANSI-Accredited Standards Developer (ASD) that has not been granted the authority to designate its standards as American National Standards without approval by the BSR.
  - B. The IES shall maintain records of evidence regarding any change of an original vote (see **3.6 Evidence of Compliance**).
- 2.8.5. Negative Votes:

- A. IES shall record and consider all negative (Disapproved with Comment) votes accompanied by any comments that are related to the proposal under consideration. This includes negative votes accompanied by comments concerning potential conflict or duplication of the proposed standard with an existing American National Standard, and negative votes accompanied by comments of a procedural or philosophical nature. These types of comments shall not be dismissed simply because they do not necessarily provide alternative language or a specific remedy to the negative vote.
- B. IES is not required to consider negative votes accompanied by comments not related to the proposal under consideration, or negative votes without comments. The IES shall indicate conspicuously on the letter ballot that negative votes must be accompanied by comments related to the proposal and that votes unaccompanied by such comments will be recorded as “negative without comments” without further notice to the voter. If comments not related to the proposal are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal. If clear instruction is provided on the ballot and a negative vote unaccompanied by comments related to the proposal is received notwithstanding, the vote may be counted as a “negative without comment” for the purposes of establishing a quorum and reporting to ANSI. However, such vote (i.e., a negative vote without comment or a negative vote accompanied by comments not related to the proposal) shall not be factored into the numerical requirements for consensus. The IES is not required to solicit any comments from the negative voter. The IES is not required to conduct a recirculation ballot of the negative vote. The IES is required to report the “no” vote as a “negative without comment” when making their final submittal to the BSR unless the IES has been granted the authority to designate its standards as American National Standards without approval by the BSR.
- C. If a negative comment is resolved as a result of discussion, the commenter will be requested to respond using IES Final Commenter Reply Form. This form, in effect, clarifies the commenter’s voting position to either choice A (Approved) or B (Approved with Comment). The ballot tally would then be revised and redistributed to the TC.
- D. Unresolved objector(s) are notified in writing of the disposition of comments, including the reasons for committee rejection. If the objector remains unresolved they are informed in writing of their right to appeal.
- E. The IES shall maintain records of evidence regarding any change of an original vote (see **3.6 Evidence of Compliance**).

2.8.6. Recirculation Ballots: Recirculation ballots are required in order to afford all members an opportunity to respond, reaffirm, or change their votes under the following conditions:

- A. There are remaining unresolved issues for an objecting consensus body member or public review commenter, in spite of a concerted effort to reach resolution with the objector, and the objector therefore maintains his or her negative vote or unresolved objection from public review. In this case, the record of each objection and the attempts to resolve it shall be provided to the voting body in the recirculation ballot which will afford the consensus body members the opportunity to respond, reaffirm or change their vote.

- B. If substantive changes have been made to the document those substantive changes must be recirculated, regardless of origin. Only those comments designated by the chair and staff liaison to be substantive in nature need to be re-balloted. Editorial comments do not need to be recirculated.
- C. Recirculation Ballot Tally: The rules for the recirculation ballot are the same as listed in **2.8.3**, with the exception that original votes will be retained from those members not returning a vote on the recirculation ballot. The results of the recirculation ballot take precedence over the previous ballot.

2.8.7. Ballot Duration: The minimum duration for ballots on draft documents shall be 30 days unless, in exceptional, circumstances a shorter deadline is required (e.g., a co-sponsored document with another organization, with a timeline required by the lead organization).

2.8.8. Consensus and Approval: If there is consensus, as defined herein, among the voting members, the ballot is considered approved by the committee, and any remaining unresolved negative comments and attempts at resolution become part of the submittal package that goes forward when appropriate to the SC. (If timing is critical for processing a Standard, it may go directly to the SC.)

## **2.9. Appeals**

2.9.1. Right to Appeal: Appeals within the IES (refer to Annex C for complete information)

- A. Persons who have directly and materially affected interests and who have been or will be adversely affected by any procedural action or inaction by the IES have the right to appeal. The right to appeal any action or inaction shall be offered for procedural appeals only. The burden of proof to show adverse effect shall be on the appellant. Procedural appeals include whether a technical issue was afforded due process.
- B. Once a complaint or appeal is received by the Director of Standards, an attempt will be made to resolve the matter informally before scheduling a hearing. If not resolved informally, the appeal then goes to the Standards Committee for review. (See **Annex C** for additional information.) Appeals shall be addressed promptly and a decision made expeditiously.
- C. Appeals of actions shall be made within reasonable time limits; appeals of inactions may be made at any time. Appeals shall be directed to the IES for the action or inaction in accordance with its appeals procedures. The fee for any appeal shall be \$500 US, payable to the IES. If there is a request for a waiver or fee reduction, the request must be sent in writing to the Director of Standards.
- D. For the Appeals Body Operating Procedures, refer to **Annex C**.

2.9.2. Right to Appeal: Appeals at ANSI

- A. Persons who have directly and materially affected interests and who have been or will be adversely affected by any procedural action or inaction by ANSI or by any ANSI-related process have the right to appeal. ANSI will not normally hear an appeal of an action or inaction relative to the development of an American National Standard until the appeals procedures provided by the standards developer have been completed.

- B. Appeals of actions shall be made within reasonable time limits; appeals of inactions may be made at any time. Such appeals shall be directed to ANSI in accordance with the procedures of the appropriate ANSI board or council (e.g., Board of Standards Review, Executive Standards Council).

### **3.0 Normative American National Standards Policies**

#### **3.1. ANSI Patent Policy – Inclusion of Patents in American National Standards**

IES is currently not involved with patent issues in developing lighting standards. If any such patent issues should arise, IES would comply with the ANSI Patent Policy as outlined in the ANSI Essential Requirements, latest edition.

#### **3.2. Commercial Terms and Conditions**

- 3.2.1. Provisions involving business relations between buyer and seller, such as guarantees, warranties, and other commercial terms and conditions, shall not be included in an American National Standard. The appearance that a standard endorses any particular products, services, or companies must be avoided. Therefore, it generally is not acceptable to include manufacturer lists, service provider lists, or similar material in the text of a standard or in an annex (or the equivalent).
- 3.2.2. Where a sole source exists for essential equipment, materials, or services necessary to comply with or to determine compliance with the standard, it is permissible to supply the name and address of the source in a footnote or informative annex as long as the words “or the equivalent” are added to the reference.
- 3.2.3. In connection with standards that relate to the determination of whether products or services conform to one or more standards, the process or criteria for determining conformity can be standardized as long as the description of the process or criteria is limited to technical and engineering concerns and does not include what would otherwise be a commercial term.

#### **3.3. Antitrust Policy**

- 3.3.1. IES standards shall be developed in accordance with applicable antitrust and competition laws, and meetings amongst competitors to develop American National Standards are to be conducted in accordance with these laws.

#### **3.4. S.I. Policy**

- 3.4.1. The IES uses the International System of Units (SI) as the preferred units of measurement.

#### **3.5. Interpretations Policy**

- 3.5.1. Interpretations can be classified into two types; the first would be specifically related to published standard content queries (“internal”), and the second would be a form of committee “position statement” which may be issued from the IES to another organization (“external”).

- 3.5.2. Internal interpretations of IES technical information contained in publications (including those that are American National Standards) and other communication media shall be determined by consensus by the IES TC responsible for their development. After approval, the IES SC and the IES Director of Standards shall be copied and provided with an opportunity to review and comment, prior to issuing.
- 3.5.3. External interpretations of IES technical information contained in publications (including those that are American National Standards) shall be determined by consensus by the IES TC responsible for the development and shall be reviewed by the IES Director of Standards and approved by formal ballot by the IES SC before issuance.
- 3.5.4. Requests for interpretation shall be submitted in writing. Once received by the IES Office, the request will be forwarded with the partially completed *Form for Technical Interpretation by Committees* (see Annex D) to the committee chair.
- 3.5.5. A committee may handle requests for interpretation by one of the following methods:
- A. The committee discusses the request at its next scheduled meeting
  - B. A subcommittee is appointed to handle such requests
  - C. The chair or a designated committee member prepares a response, which is circulated to the committee for letter ballot approval
- 3.5.6. Regardless of the method chosen, a written response must be prepared within 30 days of receipt of the request. A copy of the completed Form for Technical Interpretation by Committees indicating the committee response, together with all pertinent correspondence, shall be sent to the IES Director of Standards so that the appropriate written response to the inquiry may be prepared for SC approval and then sent to the person requesting the interpretation.
- 3.5.7. The IES SC, or the officers and staff, have the sole authority to issue (i.e., email or post) such interpretations or opinions. A committee may not respond directly to an interpretation inquiry. The President is the spokesperson for the Society in policy and administrative matters. If so deemed, the President may appoint an individual from among the officers or staff to represent the Society at a specific meeting of another organization.

### **3.6. Evidence of Compliance**

- 3.6.1. The IES shall retain records to demonstrate compliance with all aspects of these procedures. Such records shall be available for audit as directed by the ANSI Executive Standards Council (ExSC).
- 3.6.2. Records shall be retained according to the following schedule:
- A. For Periodic Maintenance, one complete standards cycle, until the standard is revised, or a minimum of five years.
  - B. For Continuous Maintenance, a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard.
  - C. For Stabilized Maintenance, until the standard is reaffirmed, revised, or subsequently reviewed in connection with the stabilized maintenance of the standard as an ANS.

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

### **3.7. Maintenance of American National Standards**

- 3.7.1. ANSI/IES standards shall be kept current and relevant by means of timely revision, reaffirmation, or action to stabilize. Obsolete standards shall be withdrawn. Except in the case of national adoption of an ISO or IEC standard as an ANSI/IES standard (where the maintenance provisions contained in the *ANSI Procedures for the National Adoption of ISO or IEC Standards as American National Standards* shall apply), there are permitted three options – periodic maintenance, continuous maintenance, and stabilized maintenance – as outlined below.

- 3.7.2. *Periodic maintenance* is defined as the maintenance of a standard by review of the entire document, and action to revise or reaffirm it on a schedule not to exceed five years from the date of its approval as an American National Standard.

- A. In the event that a PINS or BSR-8/108 form has not been submitted for an ANSI/IES standard within five years after its approval, the standards developer may request an extension of time to reaffirm or revise the standard or shall withdraw the standard. The request for an extension of time shall be submitted to ANSI within 30 days following five years after the approval date of the American National Standard. Requests for extensions shall provide the program and schedule of work that will lead to revision, reaffirmation, or withdrawal. The extension may be granted by the ExSC or its designee.
- B. No extension of time beyond ten years from the date of approval shall be granted for action on a standard. Except in the case of a national adoption, an ANSI/IES standard maintained under the periodic maintenance option shall not retain its status as a current American National Standard beyond ten years from the date of approval. Such approval automatically expires on the tenth anniversary date of approval as an American National Standard.

- 3.7.3. *Continuous maintenance* is defined as the maintenance of a standard by consideration of recommended changes to any part of it according to a documented schedule for consideration and action by the consensus body.

- A. If a BSR-8/108 form has not been submitted for an ANSI/IES standard under continuous maintenance within five years of its approval, the IES may request an extension, but shall then maintain the ANS under periodic maintenance.
- B. Any requests for change and information on the submittal of such requests shall be documented and verified by consensus action on each request for change; no portion of the standard shall be excluded from the revision process.
- C. For additional instructions refer to **Annex D**.

- 3.7.4. Stabilized Maintenance:

- A. A standard that is maintained under the stabilized maintenance option shall satisfy the following eligibility criteria:



- 1) The standard addresses mature technology or practices, and as a result is not likely to require revision
  - 2) The standard is other than safety or health related
  - 3) The standard currently holds the status of American National Standard and has been reaffirmed at least once
  - 4) At least ten years have passed since the approval or last revision of the standard as an ANS
  - 5) The standard is required for use in connection with existing implementations or for reference purposes
- B. An ANS maintained under the stabilized maintenance option is not required to be revised or reaffirmed on a routine 5-year cycle; however, it shall be subject to review of such status by the IES on a 10-year cycle. If it is determined in connection with this review that the standard shall continue to be maintained under the stabilized maintenance option and as such does not require revision or withdrawal, then this shall be communicated to ANSI by the IES, and a related announcement shall be made in *Standards Action*. Notification to ANSI shall be accomplished via the submittal of an informational announcement if the standard will continue to be maintained under the stabilized maintenance option or will be withdrawn, or via a PINS if the standard will be revised.
- C. If a recommendation is made at any time by a materially affected and interested party that a standard maintained under the stabilized maintenance option requires revision or should be withdrawn, then that recommendation shall be considered in the same manner as a new proposal but within a maximum of 60 days from receipt. A recommendation should include rationale to begin a revision and shall not be dismissed simply because it does not necessarily suggest a specific revision. The submitter of such a recommendation shall be responded to in writing by the IES within 60 days of the receipt of the recommendation and advised of the decision relative to the maintenance status of the standard.
- D. An ANS that is maintained under the stabilized maintenance option shall include a clear statement of the intent to consider requests for change, and information regarding the submittal of such requests.
- E. The decision to maintain an ANS under the stabilized maintenance option and the process by which it is maintained shall be subject to appeal to the IES. A subsequent appeal to ANSI may be made to the ANSI Executive Standards Council based on a claim of procedural noncompliance.

### **3.8. Reaffirmation of an American National Standard**

- 3.8.1. The due process and consensus requirements defined herein apply to reaffirmations, as they do to all approval actions related to American National Standards. The procedures used for reaffirmation of an American National Standard by an ANSI-Accredited Standards Developer (ASD) shall be implemented according to the IES's ANSI accredited procedures. Reaffirmations shall provide an opportunity for public comment.



- 3.8.2. Reaffirmations shall be accomplished without any substantive change to the main text of the standard. All non-substantive changes in the main text of the standard shall be explained, or noted, in a foreword.
- 3.8.3. An American National Standard undergoing an update of references to standards necessary to implement the American National Standard shall be processed as a revision unless the updated reference is only a reaffirmation of the referenced standard. Any substantive changes in such references require processing as a revision.
- 3.8.4. The IES shall clearly indicate on its cover or title page that the standard is a reaffirmation.

### **3.9. Withdrawal of Standards**

- 3.9.1. ANSI Administrative withdrawal: An ANSI/IES Standard shall be withdrawn five years following approval, if the standard has not been revised or reaffirmed, unless an extension has been granted by the ExSC or its designee or a PINS or BSR-8 form has been submitted to ANSI. An ANSI/IES standard that has not been reaffirmed or revised within the five-year period, and that has been recommended for withdrawal by the ExSC or its designee, shall be withdrawn at the close of a 30-day public review notice in *Standards Action*. ANSI/IES Standards that have not been revised or reaffirmed within ten years from the date of their approval as American National Standards shall be withdrawn, and such action shall be announced in *Standards Action*
- 3.9.2. Withdrawal by the IES: The IES may withdraw its approval of one or more of its ANSI/IES standards with a vote of the relevant consensus body. The IES will notify ANSI immediately of such actions, which will be announced in *Standards Action* and suitable IES media.
- 3.9.3. Record Keeping: Records shall be retained concerning withdrawal of any American National Standard (see **3.6 Evidence of Compliance**).
- 3.9.4. Discontinuance of a standards project: The IES may decide to abandon the processing of a proposed new or revised American National Standard or portion thereof at its own discretion and without a vote of the relevant consensus body. The IES will notify ANSI immediately of such actions, which will be announced in *Standards Action*.

### **3.10. Planning, Coordination and Public Notice**

- 3.10.1. For the purpose of overall planning, coordination and public notice, the IES may implement one or more of the following:
  - A. Clear delineation of scope, purpose, and intended application of each standard
  - B. Public notice of standardization activities
  - C. Joint and cooperative activities with other organizations, including liaison representation
  - D. In the case of a joint agreement with another organization, formation of an independent but representative body acceptable to the involved parties to coordinate standards needs and projects and to develop standards as required
  - E. Appoint a liaison to the organization responsible for the U.S. position on corresponding international standards
  - F. Use of the ANSI PINS system

### **3.11. Designation of American National Standards**

- 3.11.1.** A standard that is approved as an American National Standard shall have its cover or title page marked with an approval logo furnished by ANSI or the words “an American National Standard.” In addition, American National Standards shall be marked in such a way as to identify the version of the standard or shall be identified by a unique alphanumeric designation in accordance with the guidelines contained herein.
- 3.11.2.** The ANSI approval logo and the words “an American National Standard” shall not be used to identify any standard that has not received approval as an ANS by the ANSI Board of Standards Review or been approved by an accredited standards developer who has been granted authority to designate its standards as American National Standards.
- 3.11.3.** Portions of a published document that were not approved through the ANS consensus process shall not contain requirements necessary for conformance with the approved American National Standard (ANS) and 1) shall be clearly identified at the beginning and end of each such portion of the document, or 2) such information shall be overprinted on the cover page. These portions of the document shall be marked with the following or similar explanatory language:
- “The information contained in this (portion of a document) is not part of this American National Standard (ANS) and has not been processed in accordance with ANSI’s requirements for an ANS. As such, this (portion of a document) may contain material that has not been subjected to public review or a consensus process. In addition, it does not contain requirements necessary for conformance to the standard.”*
- 3.11.4.** American National Standards shall be identified by a unique alphanumeric designation (e.g., ANSI/ASD 1232004). Multiple designations should be avoided. If a standard has multiple designations, an attempt shall be made by those concerned to arrive at a single designation.

### **3.12. Publication of American National Standards**

- 3.12.1.** ANSI/IES standards shall be published and made available as soon as possible, but no later than six months after approval as an American National Standard. The IES shall publish the standard or shall grant the right of publication to ANSI.
- 3.12.2.** If an ANSI/IES standard is not published within six months following its approval, the IES may request an extension of this deadline from the ExSC or its designee. Such a request shall be in writing (electronic acceptable), shall supply the reason for the delay, and shall indicate a firm final date for publication. At its discretion, the ExSC or its designee may grant an additional period for publication.
- 3.12.3.** The ExSC or its designee shall publish a notice in *Standards Action* of intent to withdraw approval if:
- A. The IES fails to publish the standard or grant ANSI the right to publish within six months after its approval as an American National Standard, and does not request an extension of the deadline despite follow-up
  - B. The IES fails to meet the extended deadline

### **3.13. National Adoption of ISO or IEC Standards as ANSI/IES Standards**

- 3.13.1. If the IES chooses to adopt an ISO or IEC standard as an ANSI/IES standard, it shall comply with the requirements set forth in the ANSI Procedures for the National Adoption of ISO or IEC Standards as American National Standards. If the IES adopts an ISO and or IEC standard, then expedited procedures may be used.

## 4.0 ANNEX A: Definitions

**ANSI Accreditation:** The approval by the ANSI Executive Standards Council (ExSC) of the written procedures submitted by a standards developer relative to the development and documentation of evidence of consensus in connection with standards that are expected to be approved as American National Standards. Accreditation by ANSI signifies that the procedures submitted by the standards developer satisfy the essential requirements contained herein.

**ANSI Audited Designator:** An Audited Designator is an ANSI-Accredited Standards Developer to whom the ANSI Executive Standards Council has granted the authority to designate their standards as American National Standards without such standards being reviewed and approved by the ANSI Board of Standards Review, but such developer is subjected to additional audits.

**Continuous maintenance:** The maintenance of a standard by consideration of recommended changes to any part of it according to a documented schedule for consideration and action by the consensus body.

**Consensus:** Substantial agreement by directly and materially affected interests. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered and that an effort be made toward their resolution.

**Consensus body:** The group that approves the content of a standard and whose vote demonstrates evidence of consensus.

**Periodic maintenance:** The maintenance of a standard by review of the entire document and action to revise or reaffirm it on a schedule not to exceed five years from the date of its approval as an American National Standard.

**Proxy:** A written and signed document by which a voting member of a consensus body authorizes another person to vote in the member's stead, if allowed by the developer's procedures.

**Resolved:** The changed status of a negative vote cast by a member of the consensus body or a comment submitted as a result of public review, where the negative voter has agreed to change his or her vote or the negative commenter has accepted the proposed resolution of his or her comment.

**Stabilized maintenance:** A standard that is maintained under the stabilized maintenance option shall satisfy the following eligibility criteria:

- a) The standard addresses mature technology or practices, and as a result is not likely to require revision
- b) The standard is other than safety or health related
- c) The standard currently holds the status of American National Standard and has been reaffirmed at least once
- d) At least ten years have passed since the approval or last revision of the standard as an ANS
- e) The standard is required for use in connection with existing implementations or for reference purposes

**Substantive change:** A change that directly and materially affects the use of the standard. Examples of substantive changes include:

- Change of "shall" to "should" or "should" to "shall"
- Addition, deletion, or revision of requirements, regardless of the number of changes

- Addition of mandatory compliance with referenced standards

**Unresolved:** The status of either a) a negative vote submitted by a consensus body member, or b) written comments submitted by a person during public review; in either case expressing disagreement with some or all of the proposed standard and having not been satisfied and/or withdrawn after having been addressed according to the developer's approved procedures.

## **5.0 ANNEX B: Procedures for the Development of a Provisional American National Standard (ANS) or a Provisional Amendment to an ANS**

### **B.1 General**

When an alternative process is not otherwise reflected in an ANSI-Accredited Standards Developer's (ASD's) accredited procedures, the procedures in this Annex set forth the requirements for the issuance of a Provisional ANS or a Provisional Amendment to an existing ANS and may be used when all of the following circumstances apply:

- When implementation of the Provisional ANS (or Provisional Amendment) may result in an improvement to the safeguarding of life, and there is a well-established need for the prompt dissemination of information that addresses an emergency situation or other special circumstance
- When the use of the accredited procedures of the ASD would cause an undue delay in the issuance of a related standard
- When an ASD supports the development of a Provisional ANS (or a Provisional Amendment), with the intention of initiating the processing as an ANS within 45 days of its approval date

Processing of the ANS shall be in accordance with the ASD's accredited procedures, including ANSI public review in *Standards Action* and consensus body ballot.

#### **B.1.1 Public Notice**

An announcement identifying the standard and describing the circumstances that warrant the issuance of a Provisional ANS (or Provisional Amendment) shall be provided to ANSI in a timely manner for publication in ANSI's *Standards Action* along with relevant developer contact information. The requirements in **2.6 Notification of Standards Development and Coordination** shall not apply with regard to a Provisional ANS (or Provisional Amendment) that is promulgated in accordance with these procedures.

#### **B.1.2 Minimum Consensus Body Ballot Period**

A developer using these procedures may utilize the minimum ballot period established by their accredited procedures for an ANS, or the consensus body may establish a ballot period that is not less than two weeks.

#### **B.1.3 Approval of a Provisional ANS or a Provisional Amendment to an ANS**

Approval of a Provisional ANS (or a Provisional Amendment to an ANS) requires approval by the consensus body of at least two-thirds of those voting, excluding abstentions.

#### **B.1.4 Comment Resolution**

All comments accompanying the ballot shall be circulated to the consensus body to afford all members an opportunity to respond, reaffirm, or change their vote. For recirculation of comments, a minimum period of not less than one week is required. An attempt to resolve the comments received relative to the Provisional ANS (or Provisional Amendment) is not required.

#### **B.1.5 Right to Appeal**

The right to appeal shall not be required in connection with the issuance of a Provisional ANS (or Provisional Amendment). After the standard or revision has been issued, if a directly and materially affected party believes that the Provisional ANS (or Provisional Amendment) should be withdrawn, then the *Withdrawal for cause* procedures detailed in the *ANSI Essential*

*Requirements: Due process requirements for American National Standards shall apply.*

#### **B.1.6 Approval Notification to ANSI**

Notice of the approval of a Provisional ANS (or Provisional Amendment) by an ASD shall be submitted to ANSI within 5 days of the approval of the document. The notice shall include the designation and title of the new or affected document, the approval date, and a certification that the developer has followed these procedures. An informational announcement shall be published in *Standards Action*.

#### **B.1.7 Processing the Provisional ANS as an American National Standard**

The ASD shall initiate the processing, as an ANS, of the Provisional ANS (or the Provisional Amendment to the ANS) within 45 days of its approval date. This processing: 1) shall be in accordance with the ASD's accredited procedures; 2) shall include publication of a PINS, either before or after publication of the initial announcement in *Standards Action* that identified the Provisional ANS (or the Provisional Amendment to the ANS) and described the circumstances that warranted its issuance, per **B.1.1 Public Notice**; and 3) shall be before ANSI public review of the draft proposed ANS (or amendment) in *Standards Action* and before the consensus body ballot. Following the publication of the PINS, all of the other requirements of **2.6 Notification of Standards Development and Coordination** associated with a PINS apply.

#### **B.1.8 Withdrawal**

A Provisional ANS (or Provisional Amendment) shall exist for no longer than two years from the date on which it is approved by the ASD. If consensus is achieved and the affected standard (either the Provisional ANS or the ANS as modified by the Provisional Amendment) is published as an ANS, the Provisional ANS (or Provisional Amendment) is superseded and shall be withdrawn. If consensus is not achieved, the Provisional ANS (or Provisional Amendment) shall be withdrawn at that time, but no later than two years from the date on which it was approved. A notice of the withdrawal shall be published in ANSI's *Standards Action*.

#### **B.1.9 Identification of a Provisional ANS or Provisional Amendment**

A standard (or an amendment to a standard) promulgated in accordance with these procedures shall be referred to as a Provisional American National Standard (or Provisional Amendment), and identified clearly as such on the cover or title page. In addition, a standard processed as a Provisional American National Standard, shall be identified by a unique alphanumeric designation in accordance with the following guideline:

- ANSI/ABCD 123 (PS), where ABCD reflects the developer's acronym

An American National Standard with a provisional amendment shall be identified as follows:

- ANSI/ABCD 123 (PA)

The following or similar text shall be included in the foreword of a Provisional Standard, or adjacent to a Provisional Amendment when included in the text of an ANS:

*"This document or some of the information contained in this document has been processed in accordance with ANSI's requirements for a Provisional American National Standard [Provisional Amendment to an American National Standard]. The same or similar document [or amendment] will undergo the standards development process set forth in the Accredited Standards Developer's accredited procedures. This Provisional ANS [Provisional Amendment(s)] shall be withdrawn on or before the two-year anniversary date of its approval as such."*

The ANSI approval logo and the words "an American National Standard" shall not be used to

identify an entire standard that has not received ANSI approval or been approved by an accredited standards developer who has been granted authority to designate its standards as American National Standards.

**B.1.10 Audit of Use of Provisional ANSI Process**

Evidence of compliance with these procedures shall be retained. This documentation shall be examined during the next scheduled audit of the developer.



## **6.0 ANNEX C – IES Appeals Body Operating Procedures**

### **C.1 Authority and Scope**

C.1.1 Authority to establish or modify an appeals mechanism rests with the IES Standards Committee.

C.1.1.1 The Appeals Body shall consider appeals by directly and materially affected entities (e.g., organizations, companies, government agencies, individuals) who believe they have been, or will be, adversely affected by a decision of IES, whether in the form of action or inaction, in the implementation of the IES Technical Committee Policies and Procedures.

C.1.1.2 The Appeals Body shall consider an appeal based on the procedural evidence that came before the committee or other organizational unit that made the decision that is being appealed. Any decision that is appealed shall not be reversed by the Appeals Body unless the Appeals Body finds that such decision was clearly erroneous. The burden of persuasion shall rest with the appellant. Pending resolution by the Appeals Body, the original action of the decision-making body shall stand unless the decision-making body determines otherwise.

### **C.2 Membership**

C.2.1 Composition: The Appeals Board shall have a membership of not less than three persons appointed for each appeal by the IES Standards Committee (SC). Membership in IES shall be a prerequisite for participation on the Appeals Body unless the SC specifically permits an exception. The members shall be chosen to broadly reflect the various categories of IES membership, to the extent practicable, and shall be members with no direct involvement in the subject of the appeal.

C.2.2 Terms of Membership: Terms shall be for the duration of the individual appeal; the member shall be eligible for reappointment for other appeals if appropriate. The maximum total term of service shall be for three appeals.

C.2.3 Qualifications: Members shall have experience in and be knowledgeable about the IES procedures and the voluntary standards system in general, and shall be chosen, to the extent practicable, so as to broadly reflect the various categories of IES membership. Members serving on the Appeals Board shall be unbiased/impartial and not be directly and materially affected by this issue or outcome.

C.2.4 Officers: One of the members of the Appeals Body shall be appointed by the SC as chair and shall serve for a term of one appeal. The chair shall be eligible for appointment to serve as a member of another Appeals Body, for a maximum total of three appeals.

C.2.5 Duties of Members: Each member of the Appeals Body shall consider and respond to matters placed before the Appeals Body in a manner consistent with these procedures and IES procedures.

C.2.6 Disqualifications and Challenges: Members of the Appeals Body shall disqualify themselves if they or a member of their immediate family has financial interest in or other close relationship with any of the parties (or with the subject matter) or a conflict of interest that would make it inappropriate for them to participate in the consideration and decision of any appeal. All parties to an appeal shall have the right to challenge, with justification, the ability of the Appeals Body members to be unbiased, at least one week prior to consideration of an appeal by the Appeals Body. Members of the Appeals Body who are disqualified from a specific appeal shall remove themselves from the arguments, deliberations, and decisions. The IES Standards Committee shall appoint a replacement member to serve in his or her place.

#### C.2.7 Meetings and Hearings:

C.2.7.1 Meetings of the Appeals Body shall be called as necessary to conduct its business, including the holding of hearings on appeals. All appeals shall be heard in person or by conference call.

C.2.7.2 All hearings shall be open to representatives of directly and materially affected persons, except that the number of representatives of any one interest group may be limited at the discretion of the chair. The Appeals Body may call an executive session before, during the course of, or following an appeal hearing to consider its action on a specific appeal.

C.2.7.3 On questions of parliamentary procedure not covered herein, *Robert's Rules of Order* (latest edition) shall prevail.

C.2.8 Voting: At an appeals hearing, decisions of the Appeals Body shall be based on a majority vote of its members.

### C.3 Appeals Process

C.3.1 All appeals shall be made in writing and shall be directed to the attention of the Director of Standards. Except in a matter involving extraordinary circumstances, the Appeals Body shall only consider an appeal of the final decision of the IES committee or other organizational unit whose decision is being appealed. A refusal by an IES committee or organizational unit to decide a matter within its jurisdiction, or undue delay by such body in reaching a decision, shall constitute "extraordinary circumstances."

C.3.2 An appeal shall be initiated by written notice of appeal to the Director of Standards within 30 days of the decision of the committee or organizational unit that is the subject of the appeal. An appeal for an inaction can be made at any time. (see **2.9 C**). The notice of appeal shall specify the decision being appealed, the IES body that made the decision, a short statement of the matter in controversy, and the reason(s) why the appellant believes the decision is in error. The notice of appeal shall also list all other parties that appeared before the IES body with respect to the matter being appealed and shall contain a copy of the written decision, if any, being appealed. Pending resolution by the Appeals Body, the original action of the decision-making body shall stand unless the decision-making body determines otherwise.

C.3.3 The Appeal Statement shall include:

C.3.3.1 An explanation of the issue and the procedural history

C.3.3.2 The specific reasons why appellant believes the decision was in error and a reference to the provision(s) of the IES procedures upon which appellant relies

C.3.3.3 Evidence in support of the appellant's position, except that such evidence must have been before the IES body that made the decision that is being appealed

C.3.3.4 The specific relief sought by the appellant from the Appeals Body

C.3.4 Distribution of Appeal: The appeal notice, and statement shall be distributed by the Director of Standards to the IES Standards Committee (SC). The SC shall determine by letter ballot or in-person meeting whether the appellant has established a prima facie case that the decision being appealed was clearly erroneous. If the SC determines that a prima facie case has not been established, it will so notify the appellant in writing, and the appeal will be dismissed. If the Board determines that a prima facie case has been established, an Appeals Body will be appointed, and the Director of Standards will so notify all parties that appeared before the IES body that rendered the decision being appealed. Thereafter, these parties shall have 15 working days to submit a response to the appeal statement. The response shall include:

ANSI/IES 2022 Policies & Procedures update Approved by IES Standards Cte, IES Board, ANSI

C.3.4.1 The reasons why respondents believe the decision under appeal was correct, and a reference to the provisions in the IES procedures upon which they rely

C.3.4.2 All evidence in support of the respondent's position, except that such evidence must have been before the IES body that made the decision being appealed

C.3.5 Distribution of Response: Upon receipt of the response, the Director of Standards will transmit copies to all members of the Appeals Body and the appellant. No reply to the response prior to the forthcoming hearing shall be permitted without a showing of good cause and a need therefor.

C.3.6 Extensions: Extensions of time to submit an appeal statement or response shall be granted at the discretion of the Director of Standards.

C.3.7 Hearings: A hearing on an appeal shall be set by the Director of Standards after consultation with the chair of the Appeals Body, except that a later date may be scheduled if mutually agreeable to the participants in the hearing. All parties shall be given at least 15 working days' notice of the hearing date. No party to an appeal may communicate with any member of the Appeals Body while the matter is pending. Should any party at interest not be present at the hearing, the decision of the Appeals Body shall be based on the written submissions and the presentations made by the parties that are present at the hearing.

C.3.8 Conduct of the Hearing:

C.3.8.1 Parties may select up to three speakers of their choosing, without restriction, to address the Appeals Body. No verbatim transcription or recording of hearings is permitted. Hearing attendees must be identified in advance of the hearing.

C.3.8.2 Rebuttals, Q&A, and Deliberation: Each side is afforded 30 minutes to present and may reserve any portion of that time for rebuttal. Material presented must relate to the appeal documentation, and no new subject matter may be introduced. Verbal exchange or questions between the parties is not permitted. The Appeals Body then engages in an unlimited question and answer period, followed by an Executive Session, during which time the Appeals Body deliberates on the appeal. A verbal decision is not issued on the day of the hearing; rather, a written decision is issued following the hearing. Parties are requested not to contact the Appeals Body members or IES Staff to inquire about the decision but to await the written decision.

#### **C.4 Appeals Board Decision**

C.4.1 Announcement of Appeals Body Decision: Notice of a decision reached by the Appeals Body concerning an appeal shall be sent to the parties within 15 working days of the hearing or completion of a letter ballot, as the case may be. The decision shall specify the outcome of the appeal, the reasons for such outcome, and the specific relief granted, if any. Once an appeals decision has been issued, it is not subject to further interpretation by the adjudicating body or by IES Staff, but any party to such an appeal may request reconsideration by sending a request in writing to the Director of Standards within 10 working days after notification of the decision by the Appeals Body. The Appeals Body may entertain a request for reconsideration based upon claims of a mistake, oversight, error in the decision, the existence of appropriate and persuasive evidence, or any other reason justifying relief from the implementation of the decision.

C.4.2 Report: The Appeals Body report shall be submitted to the IES Standards Committee, to be received at the next meeting of the SC.



C.4.3 Accessibility of Documentation and Decisions: A copy of all documents provided to the Appeals Body shall be accessible to any directly and materially affected person who may wish to inspect and copy such documents.

C.4.4 Informal Settlement: IES encourages settlement of disputes at any time if the settlement is consistent with the objectives of the IES procedures. Any settlement (to which the parties agree in writing) that is consistent with IES procedures, or an agreement to withdraw the appeal, will terminate the appeals process. If the settlement leads to a substantive change in a standard, the change shall be processed in accordance with the document process contained in the IES Technical Committee Policies and Procedures.

## 7.0 ANNEX D – FORMS

### Project Initiation Form (PIF)

IES PROJECT INITIATION FORM FOR PROPOSING NEW PUBLICATION/REVISION TO AN EXISTING PUBLICATION																	
1	Committee or Sub-Committee Name	IES Educational Facilities Committee															
2	Chair																
3	Vice-Chair																
4	Secretary																
5	Date Approved by Committee																
6	Committee Vote (entered by Staff)	YES	NO	ABSTAIN													
7	Is this a revision to an existing document?	YES	NO														
8	The committee would like to propose an:	RP	DG	TM	LM	LEM	G	WP	CR								
9	Title: e.g., ANSI/IES RP-3-13 American National Standard F																
10	Purpose																
	<i>e.g., Revise RP-3 to add daylighting, interactive whiteboards, and LEDs as an Addendum.</i>																
11	Scope																
	<i>e.g., provide new sections with guidance, images, graphics and tables.</i>																
12	Is new research required before starting?	YES	NO														
13	If yes, who would be a candidate to do the research?																
14	Does the document need ANSI accreditation?	YES X	NO														
15	Likely frequency of revision of the document?	3-5	Years														
16	Identify stakeholders (designers, architects, engineers, users, general public, environmentalists, utilities)																
17	Are there any known negatives or duplication of other standards associated with the document being proposed?	YES	NO														
18	Is assistance required from other IES committees, outside organizations, or experts?	YES	NO														
19	If yes, please list.																
20	List at least five people (the TG leader and four others) who have expressed an interest in being part of the Task	<table border="1"> <thead> <tr> <th>Name and e-mail</th> </tr> </thead> <tbody> <tr><td>1</td></tr> <tr><td>2</td></tr> <tr><td>3</td></tr> <tr><td>4</td></tr> <tr><td>5</td></tr> </tbody> </table>								Name and e-mail	1	2	3	4	5		
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21	List committee members assigned to tasks:	<table border="1"> <thead> <tr> <th>Name and E-mail</th> </tr> </thead> <tbody> <tr><td>Writing</td></tr> <tr><td>Find Research</td></tr> <tr><td>Find Images</td></tr> <tr><td>Citations/References</td></tr> <tr><td>Annex Materials</td></tr> <tr><td>Review Drafts</td></tr> <tr><td>Meeting Minutes/Agendas</td></tr> </tbody> </table>								Name and E-mail	Writing	Find Research	Find Images	Citations/References	Annex Materials	Review Drafts	Meeting Minutes/Agendas
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22	Development milestones	<table border="1"> <thead> <tr> <th>Completion Date</th> </tr> </thead> <tbody> <tr><td>Table of Contents</td></tr> <tr><td>CB Vote on TOC</td></tr> <tr><td>50% Draft</td></tr> <tr><td>CB Vote 50% draft</td></tr> <tr><td>Final draft/vote</td></tr> </tbody> </table>								Completion Date	Table of Contents	CB Vote on TOC	50% Draft	CB Vote 50% draft	Final draft/vote		
Completion Date																	
Table of Contents																	
CB Vote on TOC																	
50% Draft																	
CB Vote 50% draft																	
Final draft/vote																	
23	RETURN FORM TO: IES Manager of Standards Development - pmcgillicuddy@ies.org																



**This file is an Excel form that is sent to Public Review commenters.**

**IES Comment Form**

**Final Commenter Reply Form- Technical Committee Members**

Deadline for receipt of Commenter's reply:

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Final Disposition – Please note that selection of option A or B effectively changes your vote from *Disapproved to Approved with Comment*.

If you are not resolved (option C), your comments will be retained and attached to the draft for future ballot processes, and will be returned to the IES Committee for their records. In addition, if you are not resolved, ANSI requires that you receive a notification of the right to appeal any procedural actions related to this ballot.

Please select one:

A. ☐ The Committee has adequately responded to my comment(s), and I consider myself resolved.

B. ☐ Not accepting the committee's response to my comment(s), but not wanting to delay publication of the document, I wish to be listed as resolved even though I disagree with the committee's position.

C. ☐ After further contacts with the committee on \_\_\_\_\_ date(s), the committee's final response still does not resolve my comment, and I wish to be listed as unresolved.

If you choose Option C (unresolved) please indicate if you intend to submit an Appeal. Please note, per **Section 2.9 Appeals**, Appeals are based on procedural inactions only.

☐ I intend to file an appeal.

☐ I do not intend to file an appeal.

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

Please Print or Type Name: \_\_\_\_\_

## Final Commenter Reply Form- Public Reviewers

Deadline for receipt of Commenter's reply:

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Final Disposition – Please check one of the options below.

If you are not resolved (option C), your comments will be retained and attached to the draft for future ballot processes, and will be returned to the IES Committee for their records. In addition, if you are not resolved, ANSI requires that you receive a notification of the right to appeal any procedural actions related to this ballot.

Please select one:

A. ☐ The Committee has adequately responded to my comment(s), and I consider myself resolved.

B. ☐ Not accepting the committee's response to my comment(s), but not wanting to delay publication of the document, I wish to be listed as resolved even though I disagree with the committee's position.

C. ☐ After further contacts with the committee on \_\_\_\_\_ date(s), the committee's final response still does not resolve my comment, and I wish to be listed as unresolved.

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☐ I intend to file an appeal.

☐ I do not intend to file an appeal.

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

Please Print or Type Name: \_\_\_\_\_



## **Process for Change to an ANSI/IES Standard under Continuous Maintenance**

This standard is maintained under continuous maintenance procedures, for which IES has an established and documented program for regular publication of addenda or revisions, including procedures for timely, documented, consensus action on requests for change to any part of the standard. Committee consideration will be given to proposed changes by June 30 of any given year for proposed changes received by the IES Director of Standards no later than December 31 of the previous year.

### **Submittal Format**

Proposed changes must be submitted to the IES Director of Standards in the announced published format. However, changes may be accepted in an earlier published format, if the differences are immaterial to the proposed change submittal. If the Director of Standards concludes that a current form must be utilized, the proposer may be given up to 20 additional days to resubmit the proposed changes in the current format.

Specific changes in the text or values are required and must be substantiated. Any change proposals that do not meet these requirements will be returned to the proposer. Supplemental background documents to support changes submitted may be included.

### **Submission to the Committee Chair**

The Director of Standards shall forward proposed changes received on appropriate forms to the committee chair for assigning to committee members (responders) to develop responses to submitters of proposed changes.

### **Review and Clarification**

Responders shall review proposals and should contact the proposer if necessary for clarification.

### **Response Recommendation**

Designated responders shall draft a recommended committee response, including any recommended changes to the standard. The responders' recommended responses shall be submitted to the committee chair in electronic form usable by Society Staff, including any recommended change to the standard in response to proposals received.

Options for Committee response are limited to:

- a) Proposed change accepted for public review without modification
- b) Proposed change accepted for public review with modification
- c) Proposed change accepted for further study
- d) Proposed change rejected

The responders shall provide reasons for any recommendation other than option (a) above.

The designated responders shall not recommend option (c) unless the further study can be completed by October 1 of that year, and providing the Committee can then vote for option (a), (b), or (d) no later than November 15 of that year.

### **Editing**



The Committee chair or his or her designee shall edit the draft responses and circulate the edited drafts to the committee for review.



**Form for Proposing Change to an ANSI/IES Standard under Continuous Maintenance**

*NOTE: Use a separate form for each comment. Submit to the Director of Standards, IES, 120 Wall Street, 17<sup>th</sup> Floor, New York, NY 10005-4001. Email: [standards@ies.org](mailto:standards@ies.org). Fax: 212-248-5017.*

1. Submitter: \_\_\_\_\_  
Affiliation: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_  
Zip: \_\_\_\_\_  
Country: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Fax: \_\_\_\_\_  
E-mail: \_\_\_\_\_

I hereby grant the Illuminating Engineering Society (IES) the nonexclusive royalty rights, including nonexclusive rights in copyright, in my proposals. I understand that I acquire no rights in publication of the standard in which my proposals in this, or other analogous, form are used. I hereby attest that I have the authority and am empowered to grant this copyright release.

Submitter's signature: \_\_\_\_\_

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

2. Title of publications and year published \_\_\_\_\_  
3. Clause (section), sub-clause or paragraph number; and page number: \_\_\_\_\_  
4. My proposal (*check one*):  
☐ Change to read as follows  
☐ Delete and substitute as follows  
☐ Add new text as follows  
☐ Delete without substitution

*Use underscore to show material to be added (added) and strikethrough for material to be deleted (~~deleted~~). Use additional pages if needed.*

5. Proposed change:

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6. Reason and substantiation:

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*Select as applicable:*

☐ Additional pages are attached. Number of additional pages: \_\_\_\_\_

☐ Attachments or referenced materials cited in this proposal accompany this proposed change.

*Please verify that all attachments and references are relevant, current, and clearly labeled to avoid processing and review delays. Please list your attachments here:*



## Form for Response to Proposal of Change to an ANSI/IES Standard under Continuous Maintenance

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

IES Standard Title: \_\_\_\_\_

Proposal Number: \_\_\_\_\_

Responder's Name: \_\_\_\_\_

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

Commenter: \_\_\_\_\_

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

Fax: \_\_\_\_\_

Proposal Number(s): \_\_\_\_\_

<b>Committee Action:</b>	_____ Proposed change accepted for public review without modification
	_____ Proposed change accepted for public review with modification (see below)
	_____ Proposed change accepted for further study (see below)
	_____ Proposed change rejected (see below)
	_____ More information is needed (see below)

Committee Response:

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Any proposed changes to the continuous maintenance process, text contained in affected standards, or practices associated with the information contained herein shall be submitted in writing to ANSI ([psa@ansi.org](mailto:psa@ansi.org)) in a timely fashion.

Return this form to:

Director of Standards  
Illuminating Engineering Society  
120 Wall Street, 17<sup>th</sup> Floor  
New York, NY 10005



Phone: 212-248-5000

Email: [standards@ies.org](mailto:standards@ies.org)



**Form for Interpretation to an ANSI/IES Standard under Continuous Maintenance**

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

IES Standard Title: \_\_\_\_\_

Proposal Number: \_\_\_\_\_

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

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

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

Request Number(s): \_\_\_\_\_

<b>Committee Action:</b>	_____ Request discussed within the consensus body
	_____ Response formed and successfully balloted by the CB
	_____ Request rejected for further study
	_____ Request rejected as out of Scope for this CB
	_____ More information is needed (see below)

Committee Response:

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Any proposed changes to the text contained in affected standards shall be processed in accordance with the current IES Technical Committee Policies & Procedures.

Return this form to:  
Director of Standards  
Illuminating Engineering Society  
120 Wall Street, 17<sup>th</sup> Floor  
New York, NY 10005  
Phone: 212-248-5000  
Email: standards@ies.org