

2024

# AHRI Policy & Procedures for the Development of Standards



AIR-CONDITIONING, HEATING,  
& REFRIGERATION INSTITUTE

we make life better®

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Note:

This document supersedes the June 2023 AHRI *Policy & Procedures for the Development of Standards*.

## Intent

This policy and procedures document provides requirements for the formation and operation of committees that are part of the AHRI standards process, and the development and approval of AHRI *standards*, *stand-alone appendices*, and *guidelines*.

## Review and Amendment

This policy and procedures document is subject to review and amendment as deemed appropriate by the AHRI Standards Committee.

## 2024 Edition

This edition of the *AHRI Policy & Procedures for the Development of Standards* document is owned and maintained by the AHRI Standards Committee (StdC), a standing committee of the AHRI Board of Directors, and defines the policies and procedures related to development and approval of AHRI *standards*, *guidelines*, and *stand-alone appendices*. This document was approved by the AHRI Standards Committee on 03 June 2024.

Copies of this document shall be made freely available to interested parties.

Figures and examples in this document, unless otherwise noted, are informative.

## Development of AHRI Policy & Procedures for the Development of Standards

Previous revisions include:

- AHRI *Standards Policy Committee Policy and Procedure*, January 2010
- AHRI *Standards Policy Committee Policy and Procedure*, December 2013
- AHRI *Standards Policy Committee Policy and Procedure*, July 2014
- AHRI *Standards Policy Committee Policy and Procedure*, Month 2016
- AHRI *Standards Policy Committee Policy and Procedure*, April 2018
- AHRI *Standards Policy Committee Policy and Procedure*, September 2019
- AHRI *Standards Committee Policy & Procedures*, February 2021
- AHRI *Policy & Procedures for the Development of Standards*, August 2021
- AHRI *Policy & Procedures for the Development of Standards*, April 2022
- AHRI *Policy & Procedures for the Development of Standards*, January 2023
- AHRI *Policy & Procedures for the Development of Standards*, March 2023
- AHRI *Policy & Procedures for the Development of Standards*, June 2023

## Summary of Changes

This 2024 edition of the *AHRI Policy & Procedures for the Development of Standards* contains the following updates to the previous edition:

- Editing and formatting to bring the document in line with the *AHRI Standards Style Guide*, including consistent use of expressions of provision and italicizing defined terms.
- Elimination of the Standards Subcommittees (SSCs), dividing responsibilities between the StdC and the STC.
- Simplification of voting requirements for approvals other than for advancement of documents.
- Adding a stand-alone appendix as a type of deliverable; changing the phrase “standards, guidelines, and stand-alone appendices” to “*deliverables*.”
- New STCs may be formed with membership restricted to AHRI members who manufacture products described by the standard.
- Removal of non-voting status in STCs.

**Committee Personnel**  
**AHRI Standards Committee**

| <b>Company/Organization</b> | <b>Participant</b> | <b>Voting Role</b> |
|-----------------------------|--------------------|--------------------|
| <b>Voting Organizations</b> |                    |                    |
| Trane                       | Darcy Lee          | Chair              |
| Daikin                      | Henry Ernst        | Vice Chair         |
| AO Smith                    | Hammam Amaireh     | Primary            |
| Bradford White              | Bryan Ahee         | Primary            |
| Carrier                     | Dominique Taudin   | Primary            |
| Copeland                    | Aditya Sakhalkar   | Primary            |
| Danfoss                     | Justin Prosser     | Primary            |
| Johnson Controls            | Patrick Marks      | Primary            |
| Lennox                      | Bruce Perkins      | Primary            |
| Mitsubishi Electric         | Jeremy Tidd        | Primary            |
| Nailor                      | Gus Faris          | Primary            |
| Rheem                       | Sachin Nehete      | Primary            |
| Swegon                      | Karl Peterman      | Primary            |
| Jerry Yeh                   |                    | AHRI Staff Liaison |

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# AHRI POLICY & PROCEDURES FOR THE DEVELOPMENT OF STANDARDS

## Section 1. Authority and Intent

### 1.1 Incorporation

The Air-Conditioning, Heating, and Refrigeration Institute (AHRI) is a legal entity, duly incorporated under the law of the Commonwealth of Virginia, United States, and can be held legally responsible for AHRI *standards* development activities.

### 1.2 Bylaws

The AHRI Bylaws authorize the development and approval of AHRI *deliverables* under a policy approved by the *Standards Committee (StdC)*, a standing committee of the AHRI Board of Directors. All AHRI *standards* activities, including those of the *StdC*, *Standards Technical Committees (STCs)*, *Standards Work Groups (SWG)s*, and *Consensus Bodies (CBs)* are subject to the current provisions of AHRI’s governance documents including the Articles of Incorporation, Bylaws, and *standards*-related actions of the AHRI Board of Directors. The procedures outlined in this policy and procedure document are subject to the authority and restrictions outlined in the AHRI governance documents listed above. Any conflict between the policy and procedures stated in this document and AHRI’s governance documents shall be resolved in favor of AHRI’s governance documents.

### 1.3 Accreditation

As of the date of publication of this edition, AHRI is accredited by the *American National Standards Institute (ANSI)* to develop *American National Standards (ANS)*. This accreditation is through compliance of this *AHRI Policy & Procedures for the Development of Standards* with the *ANSI Essential Requirements (ANSI ER)*.

As of the date of publication of this edition, AHRI is accredited by the *Standards Council Canada (SCC)* to develop *National Standards of Canada (NSC)*. This accreditation is through compliance of this *AHRI Policy & Procedures for the Development of Standards* with the *SCC Requirements & Guidance (SCC R&G)*.

AHRI shall notify these respective organizations upon *revision* of this document.

### 1.4 Intent of Standards

The procedures in this document are intended to comply with internationally accepted *standards* principles and practices as outlined in the *ANSI ER* and *SCC R&G* and are not designed or intended to introduce barriers to trade or to discriminate among products based on place of origin. AHRI standards are not developed as a means to fix prices, exclude competition, or otherwise inhibit commerce beyond what is necessary to meet requirements of relevant technical regulations, or other legitimate sectoral or local requirements for compatibility, environmental protection, health and safety. AHRI standards are not meant to mislead consumers and other users of a product, process, or service addressed by the *standard, stand-alone appendix, or guideline*.

## Section 2. Definitions

### 2.1 Expression of Provisions

Terms that provide clear distinctions between requirements, recommendations, permissions, options, and capabilities.

#### 2.1.1 “Can” or “cannot”

Express an option or capability.

- 2.1.2      **“May”**  
Signifies a permission expressed by the document.
- 2.1.3      **“Must”**  
Indication of unavoidable situations and does not mean that an external constraint referred to is a requirement of the document.
- 2.1.4      **“Shall” or “shall not”**  
Indication of mandatory requirements to strictly conform to the document and where deviation is not permitted.
- 2.1.5      **“Should” or “should not”**  
Indication of recommendations rather than requirements. In the negative form, a recommendation is the expression of potential choices or courses of action that is not preferred but not prohibited.

## 2.2      **Policy-specific Definitions**

The following items are italicized throughout this document.

- 2.2.1      **Addenda**  
*Substantive changes* made to a single item or small portion of the document to correct the publication of the *deliverable*.  
Note:    See Section [8.3.1](#).
- 2.2.2      **AHRI-only STC**  
A type of *STC* composed only of AHRI member companies that manufacture, or incorporate into their products, those products or components within the scope of the *STC’s charter*.  
Note:    See Section [2.2.23](#), Section [4.3.2.1](#), and Section [4.3.4.1](#).
- 2.2.3      **Alternate Voter**  
A person who is designated by the member company as an alternate to the *primary voter* from that company.  
Note:    See Section [2.2.25](#)
- 2.2.4      **American National Standard (ANS)**  
A *standard* developed and approved under the ANSI-accredited AHRI standards process that adheres to the requirements of the *ANSI ER*.  
Note:    These *standards* include the ANSI organizational approval in their designation.
- 2.2.5      **American National Standards Institute (ANSI)**  
The national *standards* body for the United States.
- 2.2.6      **Approval Ballot**  
A formal ballot as described in Section [5.2](#), conducted by the StdC, an *STC*, an *SWG*, or a *CB*.
- 2.2.7      **Balance**  
A requirement not more than half of a committee’s members represent a single *interest category*.  
Note:    See Section [2.2.19](#).



- 2.2.8 Canadian Interest**  
Specification of how a new or existing *standard* or *stand-alone appendix* meets the needs of the Canadian market or industry and how *Canadian interests* are represented using *SCC's Canadian Interest Form*.
- 2.2.9 Charter**  
A document that defines the scope of work of an *STC*.
- 2.2.10 Consensus Body (CB)**  
The group responsible for final approval of an *ANS*, as described in Section [4.5](#).
- 2.2.11 Continuous Maintenance**  
A mode of maintenance where an *ANS* is registered with *ANSI* under that mode and the *standard* is open continuously for review and comment. This mode allows for portions of a *standard* to undergo review and *revision*, while the entire document is reviewed every five years.  
Note: See Section [2.2.23](#), Section [2.2.33](#), and Section [8.5.1](#).
- 2.2.12 Days**  
All days in this document are calendar days.
- 2.2.13 Deliverable**  
A document developed, approved, and published in accordance with the *AHRI Policy & Procedures for the Development of Standards*, including AHRI standards, stand-alone appendices, and guidelines.
- 2.2.14 Derivative Deliverable**  
A *deliverable* based upon another published *deliverable*, using the same method of test, but applicable to a specific climate or country.
- 2.2.15 Editorial Change**  
A non-*substantive change* to correct spelling or grammar, or an explanatory change to aid in comprehension or understanding, that does not change the technical meaning of the document.  
Note: See Section [2.2.41](#).
- 2.2.16 Electronic Ballot**  
A mechanism to conduct an *approval ballot* using an email or web form.  
Note: See Section [2.2.6](#).
- 2.2.17 Errata**  
Non-substantive or editorial errors that do not affect the substantive or technical content or meaning of the *deliverable*, as described in Section [8.3.2](#).
- 2.2.18 Guideline**  
An informative AHRI *deliverable* that provides terminology, nomenclature, and instructional or explanatory information, and voluntary provisions only. Requirements and mandatory provisions are not provided.  
Note: See Section [3.2.1.3](#).
- 2.2.19 Interest Category**  
A description of a person's interest in AHRI *standards*. See descriptions in Section [4.5.5](#).

- 2.2.20 I-P Units**  
Inch-pound or US Customary Units of measurement (as opposed to *SI units*).
- 2.2.21 Meeting**  
A scheduled event of the *StdC*, *STC*, or *SWG* with prior notice, and prior document distribution, and with a *quorum* of members present, as described in Section [5.1](#).  
Note: The event may be held in-person or by web conference.
- 2.2.22 National Standard of Canada (NSC)**  
A *standard* developed and approved under the *SCC*-accredited AHRI standards process and adhering to the requirements of the *SCC R&G*.  
Note: These *standards* include the *CAN* organizational approval in their designation.
- 2.2.23 Open STC**  
A type of *STC* whose membership is open to AHRI member companies and companies that are not eligible to join AHRI.  
Note: See Section [2.2.2](#), Section [4.3.2.2](#), and Section [4.3.4.2](#).
- 2.2.24 Periodic Maintenance**  
The default maintenance schedule for *deliverables* where the *deliverable* is revisited and reviewed such that any *reaffirmation*, *withdrawal*, or publication of a *revision* takes place within five years of the previous approval.  
Note: See Section [2.2.11](#), Section [2.2.33](#), Section [8.5.1](#), and Section [8.5.2](#).
- 2.2.25 Primary Voter**  
The person designated by the member company as the primary voter from that company.  
Note: If the primary voter does not participate in the ballot, then the *alternate voter* can cast a ballot. See Section [2.2.3](#) and Section [5.2](#).
- 2.2.26 Project Initiation Form (PIF)**  
The AHRI document authorizing the start of an activity to develop or revise a *deliverable* and that defines the activity's scope, *deliverable* type, business need, and project schedule as described in Section [6.1.1.3](#).
- 2.2.27 Quorum**  
The attendance by 50% or more of voting members in a *meeting* or the participation by 50% or more of voting members on a ballot.
- 2.2.28 Reaffirmation**  
Approval of an existing *deliverable* as-is without *substantive changes*, as described in Section [6.1.1.3](#).
- 2.2.29 Recirculation**  
The process of sending comments associated with a negative ballot, and the attempts at resolution to those comments, to voters on an *StdC*, *STC*, *SWG*, or *CB*, giving the voting members the opportunity to change their vote based upon those comments, as described in Section [5.2.1](#) and Section [6.6.2](#).
- 2.2.30 Region- or Country-Specific Standards Technical Committee (RSTC)**  
The group responsible for development and initial approval of region- or country-specific *deliverables*, as described in Section [F.1](#).

- 2.2.31 Revision**  
Changing and republishing a *deliverable* with *substantive changes*.
- 2.2.32 SI Units**  
Units of measurement defined by the International System of Units, commonly known as the metric system (as opposed to *I-P units*).
- 2.2.33 Stabilized Maintenance**  
A maintenance schedule that allows an *ANS* or *NSC* standard to be revisited less often than every five years if changes are not anticipated, as described in Section [8.5.2](#).  
Note: See Section [2.2.11](#), Section [2.2.23](#), Section [8.5.1](#), and Section [8.5.2](#).
- 2.2.34 Stand-alone Appendix**  
An appendix to a *standard* that is published separately from the parent *standard* as a stand-alone document.
- 2.2.35 Standards Manager**  
The AHRI staff person responsible for oversight of AHRI standards activities.
- 2.2.36 Standard**  
An AHRI *deliverable* designed for use in performance testing and rating and that uses “shall” statements to state requirements.
- 2.2.37 Standards Committee (StdC)**  
The standing committee of the AHRI Board of Directors responsible for oversight of the AHRI *standards* activity, as described in Section [4.2](#).
- 2.2.38 Standards Council of Canada (SCC)**  
The national *standards* body for Canada.
- 2.2.39 Standards Technical Committee (STC)**  
The group responsible for development and initial approval of a *deliverable*, as described in Section [4.3](#).
- 2.2.40 Standards Work Group (SWG)**  
An optional subset of an *STC*, as described in Section [4.4](#).
- 2.2.41 Substantive Change**  
A change to a document that directly or materially affects the use or implementation of the document that includes one or more of the following:
- changing requirements (“shall” or “shall not” statements) to recommendations (“should” or “should not” statements), permissions (“may” statements), possibilities or potential (“can” or “cannot”), or external constraints (“must”)
  - changing recommendations (“should” or “should not” statements) or permissions (“may” statements) to requirements (“shall” or “shall not” statement)
  - addition or deletion of requirements (“shall” or “shall not” statements)
  - addition of mandatory compliance with referenced *standards*
  - changes that make a previously conformant product not conformant, or conversely if a previously nonconformant product is conformant.
- See Section [2.2.15](#).  
Note: Can be designated as a technical change.

**2.2.42 Withdrawal**

Ceasing the publication of an AHRI deliverable, as described in Section [6.1.1.4](#).

**2.2.43 Withdraw Level of Approval**

Formal action to cease a level of approval of a deliverable, with or without ceasing publication as described in Section [8.1](#).

### Section 3. Deliverables

**3.1 Use of AHRI Deliverables**

The use of AHRI deliverables is voluntary unless these publications are incorporated by reference in Federal, provincial, state, or local regulations.

AHRI *deliverables* are not designed for nor intended by AHRI to be used for creating unnecessary obstacles to trade, either intra-national or international; discriminating among products based on place of origin; fixing prices or inhibiting competition or commerce beyond what is necessary to meet requirements of relevant technical regulations; or misleading consumers or other users of products that are based on AHRI *deliverables*.

AHRI *standards or stand-alone appendices* intended for conformity assessment shall include a clear statement to that effect in the document's front matter.

**3.2 Deliverables**

AHRI develops, publishes, and maintains *standards, stand-alone appendices, and guidelines*. The process for development of these *deliverables* is outlined in [Section 6](#) and in [Appendix F](#).

**3.2.1 Types of Deliverables**

**3.2.1.1 Standards**

AHRI *standards* can be approved as AHRI-only and can be further approved as an *ANS* or an *NSC*, or both. All AHRI *standards* shall be revised, reaffirmed, or withdrawn within five years of publication. Issuance of *addenda* or *errata* does not affect the five-year review schedule of the related *standard*.

AHRI does not publish safety *standards*.

**3.2.1.2 Stand-alone Appendices**

AHRI *stand-alone appendices* can be approved as AHRI-only and can be further approved as an *ANS* or an *NSC*, or both. A *stand-alone appendix* can only be approved as *ANS* if the parent standard is an *ANS*. A *stand-alone appendix* can only be approved as *NSC* if the parent standard is an *NSC*. All AHRI *stand-alone appendices* shall be revised, reaffirmed, or withdrawn within five years of publication. Issuance of *addenda* or *errata* does not affect the five-year review schedule of the related *stand-alone appendix*.

**3.2.1.3 Guidelines**

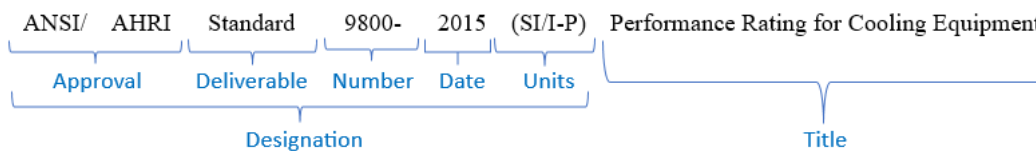
AHRI *guidelines* are published with AHRI-only approval and are not submitted for designation as an *ANS* or an *NSC*. *Guidelines* shall be reviewed every five years for continued correctness and applicability, and can be either revised, reaffirmed, or withdrawn.

**3.2.2 Naming**

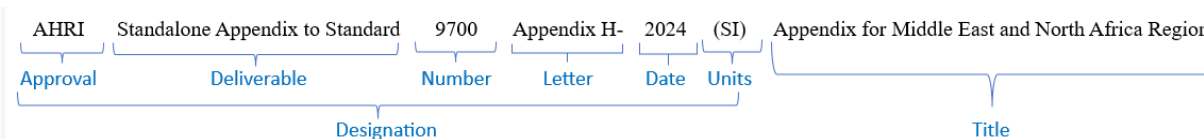
*Deliverables* are named as shown in [Figure 1](#) through [Figure 6](#).

The name of a *deliverable* includes the designation the title. The designation is composed of the approvals, number, date, status, units, language, and country or climate code.

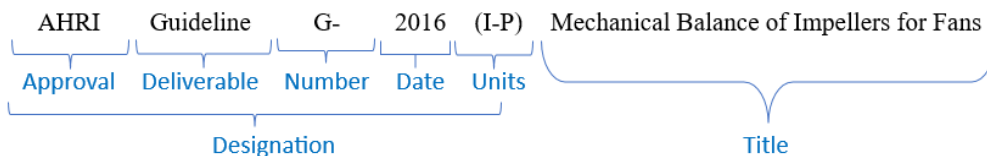
If an effective date or applicability is related to the use of the *deliverable*, this information shall be included as part of the document’s front matter, separate from the name. See Section 3.4.12 of the *AHRI Standards Style Guide* for further information.



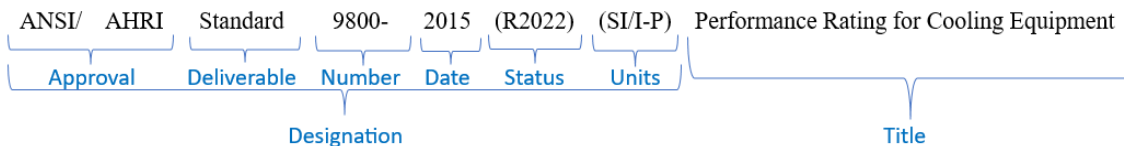
**Figure 1 Example of Naming for a Standard (Informative)**



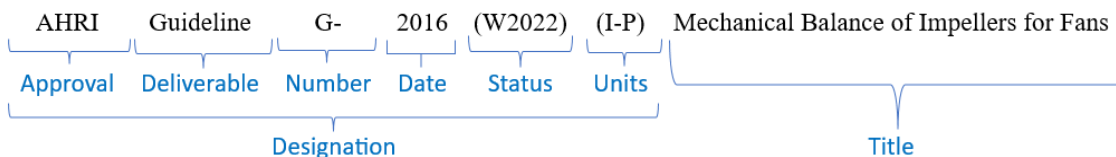
**Figure 2 Example of Naming for a Stand-alone Appendix (Informative)**



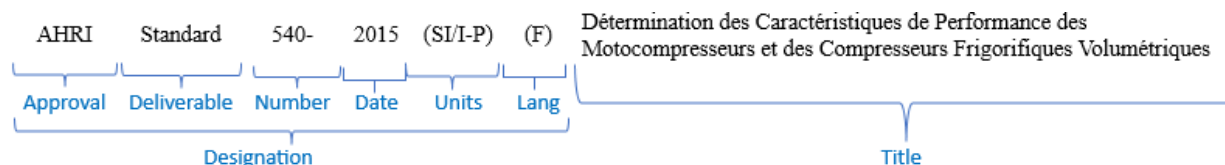
**Figure 3 Example of Naming for a Guideline (Informative)**



**Figure 4 Example of Naming for a Reaffirmed Deliverable (Informative)**



**Figure 5 Example of Naming for a Withdrawn Deliverable (Informative)**



**Figure 6 Example of Naming for a Deliverable Published in a Language other than English (Informative)**

**3.2.2.1 Organizational Approval**

Organizational approval is indicated at the beginning of a document’s designation by a prefix listing the approvals given to the deliverable by organizations. Multiple approvals are combined, with the individual approvals separated by a slash (/), in the following order:

- CAN for a *standard* approved in accordance with SCC requirements.
- ANSI for a *standard* approved in accordance with *ANSI* requirements. *Standards* intended for this approval that have not yet been given final approval shall include the BSR designation instead.
- AHRI for a *deliverable* approved by AHRI.
- ASHRAE, CSA or other for a *standard* jointly developed and approved by AHRI and another organization.

**3.2.2.2 Number**

Either a number or letter, depending on the type of *deliverable*.

*Standards* use numbers for this designation. When two or more *standards* have been consolidated into a single *standard* the compound number may be separated by a slash (/) or may use a single number.

*Stand-alone appendices* are designated with the name of the parent document followed by “Appendix” then a letter (A-Z).

*Guidelines* are named with a letter (A-Z) instead of a number designation, as shown in [Figure 3](#).

For a *derivative* or new *deliverable* applicable to a specific climate, a suffix consisting of an en-dash (-) followed by the climate code listed in ASHRAE 169 shall be shown between the document’s designation and date of publication, for example 9800-0B-2015.

For *derivative* or new *deliverable* applicable to a specific country, a suffix consisting of an en-dash (-) followed by the country code listed in ISO 3166 shall be shown between the document’s designation and date of publication, for example 9800-SA-2015.8

**3.2.2.3 Date**

The year of publication, separated from the *deliverable’s* number by a hyphen. All *deliverables* shall include the date in the title. If multiple revisions of a *deliverable* are published in the same year, then the date shall be followed by a hyphen and the revision number.

This element shall not include an effective or applicability date. See Section [3.2.2](#).

#### 3.2.2.4 Status

The status element, if used, designates *reaffirmations* or *withdrawals* of the *deliverable*. The status of the document (reaffirmed or withdrawn), appears together with the date of that action in parentheses, following the original publication date.

A *revision* is indicated by a change of the date element, replacing the previous publication year with the year of publication of the updated edition.

See [Figure 4](#) for an example of a title of a document that has been reaffirmed. See [Figure 5](#) for an example of a title of a document that has been withdrawn.

#### 3.2.2.5 Units

Specification of the measurement units used in the document are shown in parentheses following the date (and status, as applicable), either (SI) for an *SI unit deliverable*, (I-P) for an *I-P unit deliverable*, or (SI/I-P) for a *deliverable* using joint measurement units.

A *deliverable* that does not use any units of measurement but that is applicable to both shall include “(SI/I-P)” in the title.

#### 3.2.2.6 Language

If the *deliverable* is published in multiple languages, each version shall be identified with letters in parentheses designating the language of the *deliverable* using ISO 639. Any *deliverable* not so identified is in English. In any case where the English and any translated version do not agree, the English version shall prevail.

#### 3.2.2.7 Title

A descriptive title for the *deliverable*.

#### 3.2.2.8 Errata or Addenda

Any *errata* or *addenda* to the *deliverable* shall be identified with a number, for example (Erratum 1) or (Addendum 2).

### 3.3 Measurements

*Deliverables* shall be published as one of the following:

- A single document using both *SI units* and *I-P units* with all rating, testing, and certification measurements presented in both *SI units* and *I-P units*.
- As a pair of documents with one using *SI units* and the other using *I-P units*.
- As a single document using either *SI units* or *I-P units*.

Conversion of *SI units* to *I-P units* or from *I-P units* to *SI units* shall be done in accordance with the *AHRI Standards Style Guide*.

*Deliverables* intended as *NSC* shall use *SI units* or both *SI units* and *I-P units*.

## Section 4. Standards Activity Structure

### 4.1 Summary

The AHRI standards activity is conducted by the following groups:

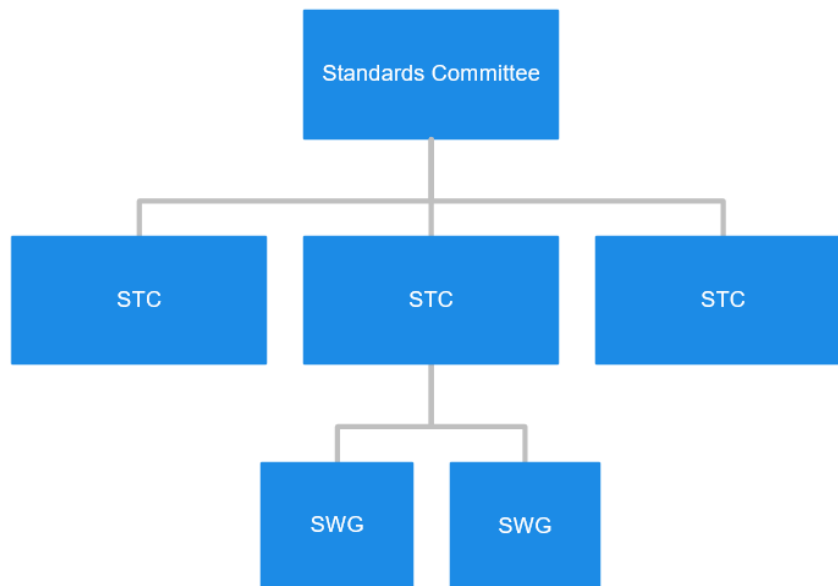
- *Standards Committee (StdC)*
- *Standards Technical Committees (STC)*

- *Standards Work Groups (SWG)*
- *Consensus Bodies (CB)*

The *StdC*, *STCs*, and *SWGs* may form subsidiary ad hoc groups with a short-term assignment within the scope of the parent group, making decisions by *approval ballot*, and reporting back to the parent group the attendance, discussions, and recommendation of the ad hoc group.

The *StdC*, *STCs*, *SWGs*, and *CBs* shall keep their roster and documents, and conduct balloting on the electronic community platform provided by AHRI.

[Figure 7](#) shows the AHRI standards structure.



**Figure 7 AHRI Standards Structure**

## 4.2 Standards Committee (StdC)

The *StdC* is a standing committee of the AHRI Board of Directors, as defined by the AHRI Bylaws, and provides guidance to the Board on matters pertaining to domestic and international *standards* and technical activities as developed by the AHRI standards activity.

### 4.2.1 Scope and Responsibilities

Overall responsibilities of the *StdC* and approval of *StdC* membership are as defined in the AHRI Bylaws.

The *StdC* may, by *approval ballot*, stop activities, close *STCs*, remove *STC* or *SWG* leadership, or remove participants from any *STC*, *SWG*, or *CB*.

The *StdC* may form advisory groups whose responsibilities are other than for the development of AHRI *deliverables*.

### 4.2.2 Membership

Membership in the *StdC* is as defined by the AHRI Bylaws.



**4.2.3 Leadership**

The selection and duties of the *StdC* Chair are in accordance with the AHRI Bylaws.

The *StdC* Vice Chair is selected by the *StdC* Chair and approved by the members of the *StdC*. The duties of the Vice Chair shall be to assist the *StdC* Chair.

**4.3 Standards Technical Committee (STC)**

**4.3.1 Scope and Responsibilities**

*STCs* are committees formed by and reporting to the *StdC*. The *StdC* shall define the scope of topics that the *STC* is responsible for and assign *deliverables* to the *STC*.

An *STC* is responsible for developing, approving, and maintaining one or more *deliverables* within the scope as assigned by the *StdC* and in accordance with the process in [Section 6](#) and [Appendix F](#).

The *StdC* shall form the *STC* by *approval ballot* of the *STC's* charter defining the scope of the *STC*.

The *StdC* may, by *approval ballot*, dissolve an *STC*.

**4.3.2 STC Types**

**4.3.2.1 AHRI-only STC**

Membership in an *AHRI-only STC* shall be limited to only AHRI member companies that qualify.

To qualify for membership in an *AHRI-only STC*, the AHRI member company shall manufacture, or incorporate into their products, those products or components within the scope of the *STC's* charter.

The default *STC* type for new *STCs* shall be an *AHRI-only STC*.

*AHRI-only STCs* can develop AHRI-only deliverables and ANSI standards. *AHRI-only STCs* shall not develop NSC standards.

At the first, or any subsequent, meeting of the *STC*, *STC* members by *approval ballot* may change the *STC* type to an *open STC*.

Note: See [Table 1](#) and Section [4.3.4.1](#).

**4.3.2.2 Open STC**

Membership in an *open STC* shall be accessible to any AHRI member company, may be accessible to a non-AHRI member company, and shall not be accessible to a company eligible to be an AHRI member that is not an AHRI member.

AHRI member companies shall constitute 51% or more of voting membership in the *open STC*. Exemptions to this requirement may be granted by the *StdC* with an approval ballot.

*Open STCs* can develop AHRI-only deliverables and ANSI and NSC standards.

Note: See [Table 1](#) and Section [4.3.4.2](#).

**Table 1 STC Types (Informative)**

| <b>Element</b>                        | <b>AHRI-only STC</b>  | <b>Open STC</b>  |
|---------------------------------------|---|--|
| Membership                            | AHRI member companies that manufacture, or incorporate into their products, those products or components within the scope of the <i>STC's charter</i> . | AHRI member companies.<br><br>Companies interested in AHRI standards that are not eligible to join AHRI. |
| Roster                                | 100% AHRI member companies  | 51% or more AHRI member companies, unless StdC has approved an exemption                                 |
| Voting rights                         | All members are eligible to vote, with one vote per company   | All members are eligible to vote, with one vote per company.   |
| <i>Deliverables</i> level of approval | <i>Deliverables</i> with AHRI-only level of approval or ANS level of approval.  | <i>Deliverables</i> with AHRI-only level approval, or ANS level of approval, or NSC level of approval    |

**4.3.3 STC Membership**

Membership in an *STC* is by company or organization, including subsidiaries. A company or organization can have any number of employees as representatives in the *STC*. Each *STC*-member company, including subsidiaries, has a single vote in the *STC*, and *quorum* is determined based on the number of *STC*-member companies represented in a *meeting* or participating in a ballot.

If a company has more than one employee or representative participating in the *STC*, the company shall designate the person that serves as the *primary voter* and *alternate voter(s)* so that the company has only one vote on any ballot.

Each *STC* should seek to have enough members to accomplish their assigned work. An *STC* shall have a minimum of three members. An *STC* may have two members with permission from the *StdC* with an approval ballot. In this case quorum is both members and all decisions shall be made unanimously by both members. AHRI may publicize a call for participation for specific *STCs* that are lacking members.

*STC*-member companies who are not represented at two out of every three *meetings* without notifying the *STC* Chair or AHRI staff, or who do not participate in two out of every three *approval ballots*, may be removed from membership by the *STC* Chair. Government agencies and other SDOs who, by their own policy, do not vote are exempt from this rule upon notification to the *STC* Chair.

**4.3.4 Joining an STC**

**4.3.4.1 Joining AHRI-only STCs**

Initial membership in a newly formed *STC* is determined at the first meeting. AHRI member companies that manufacture, or incorporate into their products, those products, or components within the scope of the *STC's charter* may join an *AHRI-only STC* at any time.

**4.3.4.2 Joining Open STCs**

AHRI member companies that manufacture, or incorporate into their products, those products or components within the scope of the *STC's charter* may join an *open STC* at any time.

AHRI member companies that do not manufacture, or incorporate into their products, those products or components within the scope of the *STC's charter* may join an *open STC* upon approval by the *STC* Chair.

Companies not eligible to be AHRI members may join an *open STC* upon approval by the *STC* Chair.

Note: See Section [4.3.2.2](#).

#### **4.3.5 Leadership**

The Chair of the *STC* shall be a representative of an AHRI member company and is approved by the *STC* with an *approval ballot*. The duty of the *STC* Chair shall be to approve membership in open *STCs*, plan and conduct *STC meetings*, and facilitate *STC* discussions, all assisted by AHRI staff.

Each *STC* should have a Vice-chair, selected by the *STC* with an *approval ballot*. The *STC* Vice-chair shall assist the *STC* Chair in their responsibilities. The *STC* Chair or Vice-chair, or both, may be removed by the *STC* Chair for any reason.

In the absence of an *STC* Chair and Vice-chair at a scheduled *meeting*, a representative of a member of the *STC* may serve as Chair for the single meeting with the consent of the *STC* members present.

#### **4.3.6 Standards Technical Committee Meetings and Decisions**

*STC meetings* and decision making are conducted in accordance with [Section 5](#).

### **4.4 Standards Work Group**

The *STC* can, by *approval ballot*, create one or more *SWG*s to work on the development or revision of specific *deliverables*, unit versions of the same *deliverables*, or portion of *deliverables* within the *STC*'s scope. Work approved by the *SWG* shall be submitted to the responsible *STC* for approval.

The *SWG* is formed through *STC* approval, with an *approval ballot*, of the *SWG*'s scope and Chair.

#### **4.4.1 Scope and Responsibilities**

*SWG*s are temporary and are formed by and report to the *STC*. The work of the *SWG* shall be within the scope of the *STC*. An activity to develop or to revise a *deliverable*, or portion thereof, can be assigned by the *STC* to an *SWG*.

#### **4.4.2 Membership**

Requirements for membership in an *SWG* are the same as for the *STC*. See Section [4.3.2](#) and Section [4.3.3](#). AHRI member companies shall constitute 51% or more of voting membership in an *SWG* under an *open STC*. Exemptions to this requirement may be granted by the *STC* Chair.

*SWG*-member companies who are not represented at two out of every three *meetings* without notifying the *SWG* Chair or AHRI staff, or who do not participate in two out of every three *approval ballots*, may be removed from membership by the *SWG* Chair. Government agencies and other SDOs who, by their own policy, do not vote are exempt from this rule upon notification to the *STC* Chair.

#### **4.4.3 Joining an SWG**

Initial membership in a newly formed *SWG* shall be approved by the *STC* by *approval ballot*. Each company joining the *SWG* shall have at least one named representative on the *SWG* roster.

AHRI member companies on the *STC* may join the *SWG* at any time.

Non-AHRI member companies on the *STC* may join the *SWG* by approval of the *STC* Chair.

AHRI and non-AHRI member companies not on the *STC* may join the *SWG* by approval of the *STC* Chair.

#### 4.4.4 Leadership

The Chair of the *SWG* is selected by the *STC*. The Chair shall plan and conduct *SWG meetings* and facilitate *SWG* discussions, assisted by AHRI staff. The *SWG* can have a Vice-chair approved by the *STC*. The duties of the *SWG* Vice-chair shall be to assist the *SWG* Chair.

In the absence of an *SWG* Chair and Vice-chair at a scheduled meeting, a representative of a member of the *SWG* may serve as Chair for the single meeting with the consent of the *SWG* members present.

The *SWG* Chair or Vice-chair, or both, may be removed by the *STC* Chair for any reason.

#### 4.4.5 Meetings and Decisions

*SWG meetings* and decision making are conducted in accordance with [Section 5](#).

#### 4.4.6 Closing the SWG

The *SWG* shall be closed by the *STC* by *approval ballot*.

### 4.5 Consensus Body

#### 4.5.1 Scope and Responsibilities

*CBs* are standing committees with responsibility for the final review and balloting to approve an AHRI *standard* or *stand-alone appendix* as an *ANS*.

#### 4.5.2 Membership

Each *CB* shall have a membership of between eight and twenty people. Membership in the *CB* shall be open to all interested parties and is not conditional on membership in any organization. The opportunity to join a *CB* shall be advertised on the AHRI website and through other media, and a targeted, proactive outreach should be conducted to get participation from specific *interest categories*. Outreach efforts shall be documented as evidence of attempts to obtain *balance*. A waiting list of candidates should be maintained when the *CB* has enough members to meet *balance* requirements.

Applications for *CB* membership shall be managed by AHRI staff and approved by the *Standards Manager*. When there is a membership opening, AHRI staff shall propose members for the *Standards Manager* to approve. Selection of members shall be based on the criteria of industry expertise and knowledge of and interest in AHRI *standards*.

The membership of the *CB* should show a *balance* of interests. A single *interest category* (see [Section 4.5.5](#)) should not constitute a majority of the *CB* membership. If *balance* is not able to be maintained, then targeted outreach should be made to achieve *balance*; evidence of outreach shall be recorded.

Applicants for *CB* membership shall identify their affiliation, funding or sponsorship, or other interests being represented, and shall identify the *interest category* best describing the interests that the person represents. The names, affiliations, and *interest category* of the *CB* members shall be provided to any interested party upon written request.

Membership in a *CB* shall be for a period of three years and may be renewed after reapplication.

A member may be dismissed from the *CB*, upon decision of the *Standards Manager*, after not voting on two out of three consecutive ballots, unless notice of recusal is provided to AHRI staff.

#### 4.5.3 Leadership and Meetings

A *CB* does not have leadership, nor does the *CB* hold *meetings*. *CB* membership and balloting activities are administered by AHRI staff.

**4.5.4 Balloting**

The process for *CB* balloting is outlined in Section [6.6](#).

**4.5.5 Interest Categories**

The following *interest categories* are used to classify members of a *CB* for *ANSI* and for *STCs* developing a candidate NSC. Each member shall self-declare the category that best describes their interest in AHRI *deliverables* and the interests and viewpoints represented.

**4.5.5.1 Component Manufacturer**

Those who are or are employed by or represent a company that is predominantly involved in the design and manufacture of components and subassemblies that go into the manufacture of HVACR equipment, or a person representing those interests.

**4.5.5.2 Product Manufacturer**

Those who are or are employed by or represent a company that is predominantly involved in the design and manufacture of finished HVACR products and equipment, which may or may not include components and subassemblies coming from other manufacturers, or a person representing those interests.

**4.5.5.3 Regulatory Agency**

Those who represent or are employed by any local, state, provincial, or federal regulatory agency, or a person representing those interests.

**4.5.5.4 Testing Laboratory**

Those who are predominantly involved in the testing or certification, or both, of products, or a person representing those interests.

**4.5.5.5 Consumer/User**

Those who use or are interested in the use of or represent the views and concerns of those who use products described by the *deliverable*, including designers, installers, and technicians for systems or products described in the *deliverable*.

**4.5.5.6 General Interest**

Those who have interest in the subject of the *deliverable* but are not included in any of the other *interest categories*.

**Section 5. Meetings and Decisions**

**5.1 Meetings**

This section applies to the *StdC*, *STCs*, and *SWGs*.

Web conference *meetings* should be scheduled by the Chair at least two weeks in advance; in-person *meetings* should be scheduled at least eight weeks in advance. The *meeting* agenda and any documents to be discussed during the *meeting* should be circulated to committee members at least one week in advance of the *meeting*.

After quorum is confirmed, the *meeting* shall begin with AHRI staff reading the AHRI antitrust statement.

A *meeting* shall have a *quorum* of voting members. If a *quorum* is not present then the *meeting* should be ended and rescheduled. If a *meeting* starts with a *quorum* but then loses that *quorum* the *meeting* should end. Decisions shall not be made, or ballots conducted without a *quorum* present. For *STCs* with a membership of less than five voting members, the *meeting quorum* requirement for meeting quorum shall be established by the *STC*.

Guests may attend a *meeting* with approval from the Chair. Guests shall be approved by the Chair before each meeting that the guest attends.

All *meetings* shall have an AHRI staff member present and shall be conducted in accordance with AHRI antitrust guidelines.

Decisions in a *meeting* shall be made using a simple parliamentary procedure of motion, second, discussion, and vote in accordance with Robert's Rule of Order.

AHRI staff shall keep *meeting* minutes consisting of, at minimum, a record of members and others in attendance, topics discussed, and decisions made. *Meeting* minutes should be prepared and circulated within a week of the *meeting* and presented for approval at the following *meeting* or by letter ballot.

For *STC* and *SWG* meetings, when an *alternate voter* is not present, a voting member may assign a proxy to another voting member. All proxy assignments shall be submitted in writing to the Chair before the *STC* or *SWG* Chair calls the *meeting* to order. Proxies count toward *quorum*.

Decisions, actions, or inactions of committee leadership may be appealed by committee members to the *StdC*. See Section [7.1](#).

## 5.2 Approval Ballots

This section applies to the *StdC*, *STCs*, and *SWGs*.

Approval decisions shall be made by the committee by either *electronic ballot* with *quorum* and open for a period of minimum fourteen days, or in a committee *meeting* with *quorum*. All views and objections shall be taken into account and an effort shall be made toward their resolution.

An *approval ballot* shall include a clearly stated ballot question and voting options. *Electronic ballots* shall include the open and close dates of the ballot and the attached document or a link to the document being balloted. Any extension to the balloting period shall be announced to and be applicable to all voting members. A minority report or negative comments may be attached to the ballot upon written request of any voting member.

Voters shall respond with one of the following:

- 1) Approval, with optional comments
- 2) Negative with reasons; the reason(s) for a negative vote and proposed specific wording or actions that can resolve the objection shall be provided
- 3) Abstain, with optional comments

A voter may change their position prior to the close of the ballot period by either submitting a revised position electronically or by sending an email to the responsible AHRI staff; a voter's position shall not be changed without written instruction to do so. AHRI staff shall send a written confirmation to the voter stating that the change has been made.

For approvals by the *STC* to advance a *deliverable* to the *StdC*, or for approval by the *StdC* to publish an AHRI *deliverable*, a negative vote that does not include comments relevant to the substantive or technical aspects of the draft or the procedural aspects of the draft's development and approval shall be counted as an abstention for purposes of determining *quorum*.

A vote not submitted shall be counted as "not voting" and not as an abstention. Unreturned or blank ballots shall be counted as "not voting".

Approval shall have a majority of the voting members of the committee cast a vote (counting abstentions), and at least two-thirds of those voting approve (not counting abstentions). For *SWGs* or *STCs* with a membership of less than five voting members, at least three voting members shall vote for the ballot to meet *quorum*.

Substantive comments attached to an affirmative ballot shall be distributed to the committee to be addressed at their discretion. The text or content of comments attached to affirmative votes shall not impact the ballot outcome.

#### **5.2.1 Recirculation**

If the *approval ballot* decision is affirmative but there are substantive comments attached to any negative ballot, the Chair can ask the voter who submitted the negative comment for further clarification of the issue(s). The negative comment(s), and clarification(s) (if asked for and provided) shall be circulated to the voting members of the committee. The voter submitting a negative comment can withdraw that comment if the issue has been resolved to their satisfaction with an email to AHRI Staff or the committee Chair.

For *recirculation* ballots conducted electronically, the ballot shall be open for a minimum of seven days.

For ballots conducted during a *meeting*, a *recirculation* ballot can be conducted either by electronic ballot or at a following *meeting* of the *STC* or by letter ballot.

The original submitted position shall be applied to any voter who does not cast a vote in the *recirculation* ballot.

Non-substantive comments do not require *recirculation*.

#### **5.2.2 Negative Ballot**

If the ballot decision for advancement of a *deliverable* at the *SWG* level is negative the *SWG* shall address any comments received, revise the draft as applicable, and vote again. The *SWG* may, by *approval ballot*, propose to the *STC* that the activity be cancelled.

If the ballot decision for advancement of a *deliverable* at the *STC* level is negative, the *STC* shall address any comments received, revise the draft, and conduct a *recirculation approval ballot*. The *STC* may, by *approval ballot*, propose to the *StdC* that the activity be cancelled.

If the negative ballot for advancement of a *deliverable* is at the *StdC* level the ballot results and comments may be sent back to the *STC* for further modification of the draft. *Substantive changes* shall be sent to public review if that *deliverable* is intended as *ANS* or *NSC*. After reapproval, the *STC* shall *recirculate* the *deliverable* to the *StdC*.

#### **5.2.3 Substantive Changes**

Any *substantive changes* made to a *deliverable* after approval shall be balloted again at that same level, as defined in [Section 6](#) and [Appendix F](#).

### **Section 6. Development and Approval**

This section applies to both the development of new and revised *deliverables*.

#### **6.1 Initiation of Activity**

##### **6.1.1 Decision to Start**

A new standards activity may be started to develop a new *deliverable*, or to revise, reaffirm, or withdraw from publication an existing *deliverable*.

AHRI staff shall track the status of existing *deliverables* with regard to date of publication and inform the *STC* in time so that the *deliverable* is revised, reaffirmed, or withdrawn from publication within five years of previous publication.

The *STC* or *SWG* should conduct a technical review of an existing *deliverable*, or for a topic not yet addressed by an existing AHRI *deliverable*. A proposal can be made to the *STC* whether to develop a new *deliverable* or whether the existing *deliverable* should be revised, reaffirmed, or withdrawn from publication or from organizational approval. Based on this proposal, the *STC* shall develop and approve a *PIF* for the activity. Proposals can be accepted from any source for the decision.

#### **6.1.1.1 New Deliverables**

The decision to start an activity for development of a new *deliverable* may be based on inputs or proposals from any source, including industry or market input, regulatory or certification body needs, or public review comments. The project may start from an existing draft or outline.

A development project is started upon approval of the *PIF* by the *STC*.

#### **6.1.1.2 Revision of Existing Deliverables**

The *STC* shall develop a *PIF* for the new revision that includes the scope of the *revision*. After review of the *PIF* by AHRI staff for completeness and correctness, the *STC* shall approve the *PIF*. The *STC* can assign the project to an *SWG* under the *STC*.

A *revision* project is started upon approval of the *PIF* by the *STC*.

#### **6.1.1.3 Reaffirmation of Deliverables**

A *deliverable* can be reaffirmed if the technical content of the *deliverable* remains correct, applicable; and continues to meet the needs of industry, regulatory bodies, and testers without *substantive changes*. *Reaffirmation* does not require a *PIF*.

Reaffirmed *deliverables* shall not include *substantive changes*. Reaffirmed *deliverables* can include *editorial changes* and these changes shall be clearly identified in the front matter of the document. The designation of the *deliverable* shall reflect the document's reaffirmed status and date. See Section [3.2.2.4](#).

*Reaffirmation* of a *deliverable* shall complete all the following steps:

- 1) The *STC* shall conduct an approval ballot to send the *deliverable* to public review, if applicable, including specification of the document's intended designation.
- 2) A public review shall be conducted, if applicable, with the public invited to comment on the proposed *reaffirmation* including whether the *deliverable* should instead be revised or withdrawn. The *STC* shall address any comments received. Based on comments received the *STC* can proceed with *reaffirmation* or decide to start a *revision* activity or to withdraw the *deliverable*.
- 3) The *STC* shall conduct an approval ballot to reaffirm the *deliverable*.
- 4) The *StdC* shall conduct an approval ballot to reaffirm the *deliverable*.

*Reaffirmation* of standards or stand-alone appendices proposed as *ANS* shall be approved by the *CB*.

#### **6.1.1.4 Withdrawal of Deliverables**

A *deliverable* may be withdrawn if the technical content of the *deliverable* is not correct; applicable; does not meet the needs of industry, regulatory bodies, or testers, or has been replaced by another *deliverable*. A *deliverable* may be withdrawn in advance of a *revision* of the *deliverable* if continued



publication of the original document can cause market confusion or damage. The *withdrawal* decision shall take into account whether the *deliverable* is referenced in regulation, and the applicable regulatory or legislative body shall be notified. *Withdrawal* does not require a *PIF*.

The withdrawn *deliverable* should continue to be published on the AHRI web page for reference purposes. Whenever the document continues to be made publicly accessible, the document's status shall be indicated in the designation.

A *deliverable* can have one or more approvals withdrawn while continuing to be published. See Section [8.1](#).

The following steps shall be completed for withdrawal of *deliverables* that are less than ten years old:

- 1) Approval by the *STC* to send the *deliverable* to public review, if applicable, including specification of the document's intended designation.
- 2) A public review shall be conducted, if applicable, with the public invited to comment on the proposed *withdrawal*. The *STC* shall then address any comments received. Based on comments received the *STC* may proceed with *withdrawal* or may instead decide to start a *revision* activity or reaffirm the *deliverable*.
- 3) The *STC* shall conduct an approval ballot to withdraw the *deliverable*.
- 4) The *StdC* shall conduct an approval ballot to withdraw the *deliverable*.

AHRI staff may, after approval from the *StdC*, withdraw from publication any *deliverable* older than ten years. If the *StdC* disapproves this proposed action, then the *deliverable* shall be submitted to the *STC* for action with a *StdC proposal* for *revision* or *reaffirmation*.

### **6.1.2 Without an Active STC**

If a *deliverable* is unassigned to an *STC* or an active *STC* with ownership of the standard does not exist, the *StdC* can act in the place of the *STC* to approve sending the *deliverable* to public review, to address public review comments, and to give final approval for *reaffirmation* or *withdrawal*.

### **6.1.3 PIF**

The approved *PIF* template shall be completed when proposing either the development of a new *deliverable* or the *revision* of an existing *deliverable*. The *PIF* shall include at a minimum the following information:

- 1) Designation and title of the *deliverable* to be developed or revised
- 2) Purpose of the activity, including whether to start a new *deliverable* or to revise an existing *deliverable*
- 3) The scope of the activity, including the type of the *deliverable* and business/market need
- 4) The units to be used in the document
- 5) If the *standard* is a *derivative*, the designation and title of the original *standard* and how this new *standard* shall differ
- 6) The intended level of approval, whether AHRI-only, *ANSI*, or *SCC*, or both, including justification for *ANS* or *NSC*, or both

- 7) A list of existing *standards* published by other organizations, including national or international *standards*, that address the same or comparable topics. If the proposed *standard* is comparable to an existing *standard* the *PIF* shall provide a justification for the new *standard*, and an explanation for how the new *standard* shall align or harmonize with other existing *standards*. AHRI shall make efforts to coordinate standardization activities and harmonize related *standards* to prevent conflict and market confusion.

The *PIF* shall be approved by the *STC* by *approval ballot*.

Any modification of the approved *PIF*, such as a scope change or title change, shall have approval from the *STC* by *approval ballot*.

#### 6.1.4 Public Notice

Notice of the new *standards* activity shall be publicized on the AHRI web site and other communication methods to provide the opportunity for all interested parties to participate.

#### 6.1.5 ANSI Filings

If the new or revised *standard* is intended for approval as an *ANS*, AHRI staff shall submit notification for a new activity to *ANSI* using required filings for announcement in *ANSI's Standards Action*. If during the thirty-day *ANSI* comment period AHRI receives a written request for additional information or for the opportunity to discuss the proposal from a directly and materially interested outside party or current *CB* member, AHRI staff shall respond in writing within thirty days of the comment deadline.

Any public comments relating to conflict or duplication, or both, shall be handled in accordance with Section 2.5.1.2 and Section 2.5.1.3 of the *ANSI ER*. Comments from *ANSI* review periods shall be submitted to the *STC* for resolution. The commenter shall be informed of their right to appeal in writing.

If comments received within thirty days from the publication date of an announcement in *ANSI's Standards Action* assert that a proposed *standard* duplicates or conflicts with an existing *ANS* or a candidate *ANS* that has been announced previously (or concurrently) in *ANSI's Standards Action*, AHRI shall proceed as outlined in Section 2.5.1 of the *ANSI ER*.

### 6.2 Working Draft Stage

The assigned *STC*, or the subsidiary *SWG*, shall develop or revise the *deliverable* as specified in the *PIF*. *Meetings* shall be conducted, and decisions shall be made in accordance with [Section 5](#).

If development is done by an *SWG*, the *SWG* shall then propose the working draft to the *STC* for approval as a whole or for inclusion into an existing *deliverable* by *approval ballot*.

At the completion of the working draft stage by the *SWG* or *STC*, the *STC* may advance the draft to public review as follows.

- For a *guideline*, a public review is optional. After completion of the work, the *STC* can approve, by *approval ballot*, advancing the *guideline* to a public review or to the *StdC*. See Section [6.3.1](#).
- For *standards* or *stand-alone appendices* that are intended for AHRI-only approval, public review is optional. After completion of the *STC's* work, and if the *SWG* developed a portion of the work after approval by the *SWG*, the *STC* can approve, by *approval ballot*, advancing the *standard* or *stand-alone appendix* to a public review or to the *StdC*. See Section [6.3.1](#).
- For a *standard* or *stand-alone appendix* intended for *ANSI* or *SCC* approval, public review shall be conducted. After completion of the *STC's* work, and if the *SWG* developed a portion of the work after approval by the *SWG*, the *STC* shall approve advancing the *standard* or *stand-alone appendix* to the public review stage by *approval ballot*. See Section [6.3.1](#).

*Reaffirmation* or *withdrawal* of an existing *deliverable* does not require a working draft stage.

## 6.3 Public Review

### 6.3.1 Announcement of Public Review

A draft of the proposed *deliverable* shall be circulated for public review after approval by the *STC*. The review shall be announced on the AHRI website, and the *STC* or AHRI staff, or both, may conduct outreach to specific interested groups or individuals. Members of the *StdC* and *CB* should be invited to participate.

A draft of the proposed *deliverable* shall be posted on the AHRI website with instructions including the open and close dates for the review, the information required when submitting comments (see Section 6.3.2), an email address for questions, and a form used for submission of comments. The review of a *deliverable* shall be open for a minimum of forty-five days if intended as *ANS* or *NSC*.

For *deliverables* that are intended for AHRI-only approval, optional public reviews shall be open for a minimum of thirty days. The public review may be shortened to fifteen days if needed to meet the deadlines for regulatory rulemaking, including building and energy codes.

If the *standard* or *stand-alone appendix* is intended for *ANS* status, AHRI staff shall notify *ANSI* of the review using required filings for listing in the *ANSI Standards Action*. Comments resulting from the reviews circulated by *ANSI* shall be combined with other public comments from the AHRI public review.

### 6.3.2 Adjudication of Comments

Comments to the proposed *deliverable* shall include the location in the draft of the text being commented upon either by section number or by line number, a description of the problem or issue, a proposed solution, and the name and affiliation of the commenter. The *STC* may follow up with the commenter to clarify if these elements are not included.

AHRI staff shall confirm receipt of comments to each commenter. All comments received before the comment period deadline shall be reviewed by the *STC*.

AHRI staff shall compile a list of comments and distribute this list to all *STC* members for adjudication. The *STC* shall adjudicate all comments and decide one of the following actions to apply to each comment:

- 1) Accept: Accept the comment as is and make changes to the draft as proposed by the commenter
- 2) Accept with modification: Accept the spirit of the comment but make changes to the draft differently than what was proposed by the commenter
- 3) Reject: Reject the comment and provide a reason for the rejection
- 4) Defer: Postpone making a decision on the comment to the next *revision*

After adjudication is complete, the *STC* shall ratify the list of comment decisions by *approval ballot*. The list of comments, the decision on each comment, and the approval to ratify these decisions shall be recorded.

AHRI staff shall compile the *STC*'s decisions on the comments and return the decisions related to each commenter's comments to the individual commenters, along with a written notification of right to appeal.

Comments received after the comment period deadline are not required to be addressed in the current *revision* and may be deferred for the next *revision* of the *deliverable*.

### 6.3.3 Revision of Circulated Draft

The *STC* shall develop a revised draft implementing changes in accordance with the decisions made on the comments submitted under public review. After adjudication, the *STC* shall advance the revised draft with a list of the comments and decisions on each comment to the *StdC* by *approval ballot*.

If *substantive changes* are made after a public review for a proposed *ANS* or *NSC*, the *STC* shall conduct an additional public review. In this event the *STC* can choose either to circulate a draft for another public review of the entire document or a limited public review for those portions that have changed. For limited public reviews, the entire document shall be distributed for context, and those portions open for review shall be clearly identified.

## 6.4 Standards Committee Approval

The *STC* shall provide a summary of the development of the *deliverable*, to the *StdC*, including the following:

- the *PIF*
- the *SWG* roster
- the *STC* roster
- the results of the public review
- a summary of *approval ballot* results including any negative comments and *recirculation* ballots.

After approval by the *STC*, final approval for publication of the draft as an AHRI-only *deliverable* shall be given by the *StdC* by *approval ballot*. Criteria such as adherence to the *PIF* and scope shall be reviewed by the *StdC*.

If the *StdC* ballot has a negative result the draft shall be returned to the *STC*, together with comments, for their *revision* of the document. If *substantive changes* are made the draft returns to the Working Draft Stage.

## 6.5 AHRI-only Deliverable

After approval by the *StdC*, AHRI staff shall prepare the *deliverable* for publication as an AHRI-only *deliverable*.

## 6.6 Consensus Body Balloting

Decisions to approve an AHRI *standard* as an *ANS* shall be made by the *CB* associated with the product sector for the *standard*.

### 6.6.1 Initial Ballot

An *electronic ballot* shall be circulated to all members of a *CB* for a minimum of fourteen days. The following information shall be provided with the ballot:

- 1) a clearly stated ballot question
- 2) voting options, including a requirement that negative votes shall be accompanied by comments related to the proposal, and that votes unaccompanied by such comments shall be recorded as “negative without comments” without further notice to the voter
- 3) the open and close dates of the ballot
- 4) a copy of the document or a link to the document being balloted
- 5) any unresolved objections and attempts at resolution resulting from any step in the AHRI standards process prior to the *CB* ballot including public review

- 6) the *CB* roster including names, affiliation, and *interest category* of each member
- 7) the contact information of the AHRI staff person to contact for any questions.

Upon written request, AHRI staff shall provide a *CB* member the *PIF* and a summary of voting results for previous approval stages for the *standard* and the quantity of comments received, accepted, and rejected from the public review.

Extension of a balloting period shall be announced and be applicable to all *CB* members.

Voters shall respond with one of the following:

- Approval, with optional comments
- Negative with reasons; the reason(s) for a negative vote and proposed specific wording or actions that can resolve the objection shall be provided
- Abstain, with optional comments

Negative votes shall include comments related to the following:

- technical aspects of the proposed *standard*; the reasons for a negative vote shall be given and should include specific wording or actions that can resolve the objection
- procedural aspects of the *standard's* development and approval (does not require a proposed resolution)
- potential conflict or duplication of the proposed *standard* with an existing *ANS* or *NSC* (does not require a proposed resolution)

A negative vote without any comments relevant to technical aspects, procedural aspects, or potential conflict shall be counted as an abstention for purposes of determining majority participation in the ballot. A vote not submitted shall be counted as not voting and not an abstention.

A voter may change their position prior to the close of the ballot period by either submitting a new ballot electronically or by sending an email to the responsible AHRI staff. A voter's position shall not be changed without written instruction to do so.

A majority (more than half) of the *CB* shall cast a vote (counting abstentions), and at least two-thirds of those voting approve (not counting abstentions) for an AHRI *standard* to be published as an *ANS*.

AHRI staff shall keep records of the ballot including at minimum, the following evidence:

- a copy of the document being voted upon
- the roster of eligible voters and the *interest category* of each
- a summary result that includes the list of voters and the ballot totals, any comments received, and any written requests to change votes.

Substantive comments attached to an affirmative ballot shall be distributed to the *STC* to be addressed at their discretion. The text or content of comments attached to affirmative votes shall not count towards the ballot outcome. Comments attached to negative ballots shall be handled in accordance with Section [6.6.2](#).

## 6.6.2 Recirculation

In the event of any negative votes with comments, efforts shall be made to address and resolve those comments.

### 6.6.2.1 Comments from Negative Ballots

Comments from negative ballots related to the proposed *standard* shall be sent to the *STC* that developed the *standard* for the *STC* to respond. Negative votes without comment are counted as abstentions and shall not be sent to the *STC*.

The *STC* may choose to reject one or more of the comment(s), however, the *STC* shall provide an explanatory response for each rejected comment. Responses from the *STC* can include one of the following examples:

- an explanation why the proposed change is not technically correct or accurate;
- the *STC* has previously reviewed and rejected the proposal
- the *STC*'s decision that adjudication of the comment be deferred to the next revision of the *standard*.

The *STC* shall approve the response to comments from negative ballots by *approval ballot*.

#### **6.6.2.2 STC Response**

The response from the *STC* shall be sent to the voter who submitted the negative comment(s). The voter shall have a maximum of seven days to withdraw the comment(s) and change their position to the affirmative based on the response. Negative votes shall not be changed or withdrawn without written instructions from the voter to do so. An unresolved negative voter with unresolved comments shall be notified of their right to appeal in writing.

#### **6.6.2.3 Voter Position Not Changed**

If the negative voter does not change their position, then the unresolved negative comment(s) and the attempts at resolution shall be recirculated to the *CB* membership for all voters to either reaffirm their initial position or to change their vote.

AHRI staff shall launch a *recirculation* ballot. The *recirculation* ballot shall seek approval of the *standard* based on the unresolved objections with attempts at resolution. This *recirculation* ballot shall be conducted in the same manner as other *CB* ballots, except that the position of a *CB* member on the initial ballot who does not subsequently vote on the *recirculation* ballot shall be carried over.

#### **6.6.2.4 Recirculation Ballot Results**

The results of the *recirculation* ballot constitute the final decision of the *CB*. If the *recirculation* ballot is approved, AHRI staff shall submit the *standard* to *ANSI* using required forms to receive an *ANS* designation.

If the *recirculation* ballot fails, the *standard* retains the AHRI designation. *CB* comments shall be returned to the *STC* to address any issues raised during the *CB* balloting and to make a decision whether to revise the *standard*.

#### **6.6.3 Substantive Changes**

All *substantive changes* made to the draft *standard* shall be recirculated to the *CB* to allow all members the opportunity to respond, reaffirm or change their vote.

#### **6.7 Publication as an ANS**

After approval of the *standard* by the *CB*, AHRI staff shall submit the required notification to *ANSI* and shall prepare the *standard* for publication as an *ANS*.

## Section 7. Other Processes

### 7.1 Appeals

Any participant in the AHRI standard process or stakeholder potentially affected by AHRI *deliverables* may appeal any action taken or not taken with regard to the AHRI standards activity. The burden of proof to show an adverse effect shall be on the appellant.

Appeals shall only be made with regard to procedural non-compliance including whether a technical issue was afforded due process. Technical issues related to the content of AHRI *deliverables* are resolved through the review, commenting, and approval process.

All communications between AHRI and the appellant, and responses and decisions with regard to the appeal shall be documented. The appellant shall not be required to pay a fee for the appeal.

#### 7.1.1 Appeal Submission

Appeals shall be made in writing by email to [AHRI\\_Standards@ahrinet.org](mailto:AHRI_Standards@ahrinet.org) within thirty days of the action or inaction being appealed, for example, the date of a decision in a *meeting*, or within one review cycle for an inaction. Receipt of the appeal shall be acknowledged by AHRI within ten days.

#### 7.1.2 Initial Response

An initial response shall be provided by the *STC* responsible for the *deliverable* within forty-five days of receipt of the appeal. This response shall be communicated to the appellant by the AHRI staff person selected to represent the position of the *STC*.

The appellant shall be given fourteen days after that initial response to either withdraw their appeal or to request an appeal hearing. If the appellant does not respond within that time the appeal is designated as withdrawn.

#### 7.1.3 Appeals Hearing

##### 7.1.3.1 Roles and Recusals

For purposes of this appeals process, the “AHRI representative of the *STC*” is a member of AHRI staff selected to represent the position of the *STC*.

Members of the *StdC* shall serve as the Appeals Board, with the *StdC* Chair acting as Chair of the Appeals Board. Members of the *StdC* who participated in the development or approval, or both, of the *deliverable*, who cannot be unbiased, or is directly or materially affected by any action resulting from the appeal shall be recused from the appeals process. If the *StdC* Chair is recused, then the *StdC* Vice Chair shall act as the Appeals Board Chair. If both the *StdC* Chair and Vice Chair are recused, then the members of the Appeals Board shall select a Chair.

The appellant may petition the recusal of any *StdC* member who the appellant believes has a conflict of interest or cannot act in an impartial manner. A petition for recusal shall be forwarded by AHRI staff to the *StdC* member identified by the appellant as having a potential conflict for that member’s response. If a member disagrees with a petition for their recusal, then the Appeals Board Chair shall make a final determination as to whether a conflict of interest exists.

If *StdC* member recusals result in the Appeals Board having fewer than five members able to hear the appeal, then the Appeals Board Chair may recruit other qualified individuals, experienced with and knowledgeable about the appeals process, to join the Appeals Board.

**7.1.3.2 Hearing Scheduling and Documentation**

If a petition for a hearing is submitted by the appellant, the hearing shall be held as a web conference on a date and at a time agreed upon by the appellant and members of the Appeals Board. If the appellant does not confirm attendance at the scheduled hearing within ten days of the appointment's circulation, the appeal shall be deemed withdrawn. A hearing shall be scheduled at least three weeks in advance.

Documentation in support of their position shall be submitted to AHRI by the appellant at least eighteen days in advance of the hearing. Two weeks in advance of the hearing AHRI *shall* distribute the appellant's documentation and the documentation describing and supporting the initial response and position of the *STC* to participants in the hearing. Documentation shall be limited to ten pages for each of the appellant and the AHRI representative of the *STC*.

The appellant can be assisted at the hearing by up to two people of their choosing; the names and affiliations of these people shall be provided in writing to AHRI by the appellant at least seven days in advance of the hearing.

**7.1.3.3 Conduct of the Hearing**

At the hearing the appellant shall present their position, then the AHRI representative of the *STC* shall present on behalf of the *STC* the initial response made by the *STC*. Each presentation may be a maximum of fifteen minutes. The appellant and the AHRI representative of the *STC* may then each rebut for a maximum of ten minutes. The Appeals Board may decide to give additional equal time for both sides as necessary. The Appeals Board may ask for additional documentation from either side.

The Appeals Board shall, in executive session, decide whether to accept or reject the appeal, and what actions, if any, should be taken to satisfy the appellant. The Appeals Board shall make their decision by *approval ballot* at the end of the hearing while in executive session.

**7.1.3.4 Communication of Decision**

The Appeals Board shall issue a written decision within fourteen days of the conclusion of the hearing, providing the appellant with a summary of the issues, summary of communications, relevant procedural points, and the basis for the decision. The decision of the Appeals Board shall be the final decision of AHRI regarding the appeal.

**7.1.4 Appeal to ANSI for Current or Proposed ANS**

For a published or proposed *ANS*, the appellant may appeal to *ANSI*, as outlined in Section 2.8.2 of the *ANSI ER*.

**7.2 Suits or Claims**

AHRI shall promptly notify *ANSI* regarding any suit or claim made against AHRI arising from a *standard* approved as an *ANS* and provide updates to *ANSI* of the status of such claims.

AHRI shall promptly notify *SCC* regarding any suit or claim made against AHRI arising from a *standard* approved as an *NSC* and provide updates to *SCC* of the status of such claims.



## Section 8. Maintenance

### 8.1 Withdrawal of Designation

AHRI staff may withdraw the *ANS*, *NSC*, or other designation of a *standard* while still retaining the *standard's* AHRI-only approval status. AHRI staff can take this action without *STC* or *StdC* approval.

AHRI staff may withdraw the *ANS* designation of a current *ANS* if the *ANS* has not been revised or reaffirmed within ten years of the *ANS's* approval date.

AHRI staff may withdraw the *NSC* designation of an *NSC* if the *NSC* has not been revised or reaffirmed within five years of the *NSC's* approval date.

AHRI staff may withdraw the designation of a current *ANS*, *NSC*, or other level of approval if AHRI determines that there is not any interest or need in having approval from *ANSI*, *SCC*, or other body for the *standard*.

AHRI staff may withdraw a filing for an *ANS* or *NSC* project at any time.

In all cases, the required filings shall be made to *ANSI*, *SCC*, or other organizations as applicable, to provide notification of the *withdrawal*.

For guidance on *withdrawal* procedures see Section [6.1.1.4](#).

### 8.2 Interpretations

Requests for interpretation of an AHRI *deliverable* may be submitted by any party to AHRI staff by email. AHRI staff should acknowledge receipt of the request by email within ten days. Interpretation requests shall be written in such a way that can be answered with a “yes” or “no”.

A proposed interpretation shall be developed and approved by the *STC* by *approval ballot* and returned to the person who requested the interpretation by email.

The interpretation shall then be published on the AHRI website and retained by the *STC* for inclusion in the next *revision* of the *deliverable*.

### 8.3 Addenda and Errata

#### 8.3.1 Addenda

An *addendum* may be made to correct technical errors in a *deliverable*. An *addendum* is for the purpose of error correction and not to revise the *deliverable*.

Any party may bring errors to the attention of the *STC*; the *STC* shall decide whether the issue is indeed an error and how to address the error, whether through issuing an *addendum* or including the change in a future revision. *Addenda* shall go through the same approval process as the original *deliverable*; however a public review of the proposed *addenda* is not required. During review and ballot, only the proposed changes shall be reviewed for comment and approval, though the entire document should be made accessible to provide context.

Upon final approval, the publication of the *deliverable* shall clearly be identified as including an *addendum*, and the changes shall be clearly marked in the body of the document.

#### 8.3.2 Errata

*Errata* may be developed to correct non-substantive production or editorial errors that do not affect the technical content or meaning of the *deliverable*.

*Errata* are addressed by publication of a corrected document prepared by AHRI staff. Corrections do not require approval but shall be clearly identified in the revised document and the responsible *STC* shall be notified. Publication of an *errata* to correct errors does not affect the publication date of the original *deliverable*.

#### 8.4 Discontinuance/Cancellation of an Activity

An activity to develop or revise a *deliverable*, once started, may be cancelled by *approval ballot* decision of the *StdC*, or by the *Standards Manager*.

AHRI staff shall notify *ANSI*, *SCC*, or other applicable bodies of this action as applicable.

#### 8.5 Continuous and Stabilized Maintenance

AHRI *standards* may be maintained under *continuous maintenance*, rather than under *periodic maintenance*, when the entire *standard* or portions thereof need to be revised more often, or under *stabilized maintenance* when the entire *standard* is not anticipated to change over time. In the case when the AHRI *standard* has *ANSI* or *SCC* approval, or both, the required filings to *ANSI* or *SCC*, or both shall be made to place the *standard* in either *continuous maintenance* or *stabilized maintenance*.

##### 8.5.1 Continuous Maintenance

An AHRI *standard*, *ANS*, or *NSC* that needs to be updated, in whole or in part, more often than every five years can be placed under *continuous maintenance* through applicable filings to *ANSI* or *SCC*, or both. The same stages of development and approval as for a *periodic maintenance* revision shall be followed, but only specific, identified portion(s) of the *standards* shall be reviewed and undergo approval during the *revision* activity.

While specific portions may be revised more often, the entire *standard* shall be reviewed and approved at least once every five years.

The entire *standard* shall be open to comment during all stages, but any comments received outside of those identified *revision* portions shall be deferred until the applicable portion of the *standard* is proposed for *revision*. Comments shall be acknowledged, and the commenter shall be notified of this deferral.

A filing to *ANSI* or *SCC* is not required for the *revision* of a *standard* under *continuous maintenance*.

##### 8.5.2 Stabilized Maintenance

An AHRI *standard*, *ANS* or *NSC* *standard* that does not change or does not need to be revised after five years can be placed under *stabilized maintenance* through applicable filings to *ANSI* or *SCC* or both.

A *standard* that is maintained under the *stabilized maintenance* process shall satisfy all of the following criteria:

- 1) the *standard* addresses mature technology or practices, and as a result is not anticipated to require *revision*
- 2) the *standard* is not a safety- or health-related document
- 3) the *standard* has been reaffirmed at least once
- 4) at least ten years have passed since the approval or last *revision* of the *standard*
- 5) the *standard* shall be for use in connection with existing implementations or for reference purposes.

An AHRI *standard*, with or without *ANS* or *NSC* approval, or both, that is maintained under the *stabilized maintenance* option, is subject to review on a ten-year cycle rather than the five-year cycle required by *periodic maintenance*. If the *STC* determines 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 by AHRI staff to *ANSI* or *SCC*, or both, through the submittal of required filings.

If a written proposal 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 from publication, then that proposal shall be reviewed in the same manner as a new proposal but not less than sixty days from receipt. The proposal should include a rationale to begin a *revision* and shall not be dismissed if the proposal does not include a specific *revision*. AHRI staff shall confirm receipt of the proposal, in writing, to the submitter not less than sixty days of receipt. This confirmation shall indicate the AHRI decision relative to the maintenance status of the standard.

Any *standard* or *stand-alone appendix* maintained under the *stabilized maintenance* option shall include a clear statement of the intent to review proposals for change and information on how to submit such proposals.

## **8.6 National Adoption**

As a *standards* developing organization (SDO) accredited by *ANSI* and *SCC*, AHRI has the authority to adopt an international *standard* that addresses a topic within the scope of AHRI as an *ANS* or *NSC*, or both.

The proposal to adopt an international *standard* as an *ANS* or *NSC* may come from any source. The decision to act upon the proposal and start an approval review activity shall be made by the *StdC* by *approval ballot*. After approval, the *StdC* shall assign the activity to an *STC*. The international *standard* shall go through the same stages as the AHRI *revision* and approval process with approval by the *STC*, *StdC*, and *CB* (see [Section 6](#) and [Appendix F](#)). The international *standard* can be adopted as-is or with modification.

National adoptions shall be in compliance with either the following requirements for *ANSI* and *SCC*:

- *ANSI Procedures for the National Adoption of ISO or IEC Standards as American National Standards*
- *SCC Requirements & Guidance – National Adoptions of International/Regional Standards and Other Deliverables*

## **8.7 Joint Development with or Adoption of Standards from Other Organizations**

AHRI may work together with a partner standard developing organization (SDO) to develop a joint *deliverable*. AHRI and the partner organization shall create a memorandum of understanding (MoU) to define the ownership and responsibility for maintenance of the *standard* as well as the process used to develop and approve the joint *deliverable*. *STC* members can work as members of the partner organization's development committee as defined by the MoU. The MoU shall designate the partner SDO that has primary responsibility for national body filings and for conducting public reviews, and how each SDO approves the *deliverable*.

The development and approval of the *deliverable* shall be assigned to an *STC* in the same manner as other AHRI *deliverables* as described in [Section 6](#). A public review conducted by the partner organization can fulfill the public review requirement of the AHRI process.

*Standards* that have been developed and approved by another SDO may be adopted by AHRI, and published with the addition of the AHRI name, after going through the same approval process as any other existing *standard* as described in [Section 6](#).

*Standards* that have been developed and approved by another SDO may be approved as an *ANS* or *NSC* as described in [Section 6](#).

## APPENDIX A. AHRI PATENT POLICY – NORMATIVE

### A.1 Inclusion of Patents in AHRI, ANS, NSC, or other Standards

AHRI does not object in principle to drafting an AHRI, ANS, NSC, or other standard in terms that include the use of an essential patent claim such as, one whose use would be required for compliance with that standard if technical reasons justify this approach.

Participants in the AHRI standards process are encouraged to bring to the attention of AHRI patents with claims believed to be essential.

If AHRI receives a notice that a proposed, revised, or approved AHRI, ANS, NSC, or other standard may require the use of such a patent claim not covered by an existing assurance, the procedures in this appendix shall be followed.

### A.2 Statement from Patent Holder

AHRI shall receive assurance from the patent holder, or a party authorized to make assurances on the patent holder's behalf, in writing, either:

- 1) in the form of a general disclaimer to the effect that such party does not hold and does not currently intend holding any essential patent claim(s); or
- 2) that a license to such essential patent claim(s) shall be provided to applicants desiring to utilize the license for the purpose of implementing the *standard* either:
  - a) under reasonable terms and conditions that are demonstrably free of any unfair discrimination; or
  - b) without compensation and under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

Such assurance shall indicate that the patent holder (or third party authorized to make assurances on the patent holder's behalf) shall include in any documents transferring ownership of patents subject to the assurance, provisions that validate that the commitments in the assurance are binding on the transferee, and that the transferee shall include applicable provisions in the event of future transfers with the goal of binding each successor-in-interest.

The assurance shall include language binding on successors-in-interest regardless of whether future provisions are included in the relevant transfer documents.

### A.3 Record of Statement

A record of the patent holder's statement shall be retained in the files of AHRI and shall be published on the AHRI website.

### A.4 Notice

When AHRI receives from a patent holder the assurance set forth in [A.2 2\)b](#)) above, the *standard* shall include the following statement in the document's front matter::

NOTE: The user's attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights.

By publication of this *standard*, no position is taken with respect to the validity of any such claim(s) or of any patent rights in connection therewith. If a patent holder has filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license, then details may be obtained from the SDO.

### A.5 Responsibility for Identifying Patents

Neither AHRI nor ANS is responsible for identifying patents that may require a license by an AHRI, ANS, NSC, or other standard or for conducting inquiries into the legal validity or scope of those patents that are brought to their attention.

## APPENDIX B. AHRI RECORDS RETENTION POLICY – NORMATIVE

Records for any *deliverable* placed under *periodic maintenance* shall be retained for at least one complete *revision* cycle, or until the *deliverable* is revised. Records related to *deliverables* withdrawn from publication shall be retained for at least five years from the date of *withdrawal*.

Records for any *deliverable* placed under *continuous maintenance* shall be retained for a minimum of five years or until approval of the subsequent *revision* or *reaffirmation* of the *deliverable*.

Records for any *deliverable* placed under *stabilized maintenance* shall be retained until the *deliverable* is *reaffirmed*, *revised*, or subsequently reviewed in connection with the *stabilized maintenance* of the *deliverable*.

## APPENDIX C. ANS COMMERCIAL TERMS AND CONDITIONS – NORMATIVE

Except as otherwise permitted, an *ANS* shall not include terms or conditions that are primarily contractual or commercial in nature, as opposed to technical, engineering, or scientific in nature. Thus, for example, an *ANS* shall not include contractual requirements (Section [C.1](#)); endorse or require the use of proprietary products or services (Section [C.2](#)); or endorse or require the use of a particular conformity-assessment body, testing facility, or training organization (Section [C.3](#)).

### C.1 Contractual Requirements

Except as provided in Section [C.2](#) and Section [C.3](#), an *ANS* shall not include contractual requirements such as those relating to particular products or services, guarantees, warranties, reworks, indemnities, buybacks, price-related terms and other conditions of sale or use.

### C.2 Endorsements of Proprietary Products or Services

An *ANS* shall not endorse or require the purchase or use of proprietary products or service providers as a condition of implementing the *standard*. Proprietary in this context means products or services that are the property of an owner and cannot be obtained or recreated without the consent of the owner. For example, an *ANS* shall not endorse or require the purchase or use of brand-name tools or components, licenses, manufacturer lists, service provider lists or copyrighted materials.<sup>1</sup>

However, for informational purposes, where known sources exist for products or services necessary to comply with the *ANS*, sources may be identified, such as including a source's name and address, in a footnote, an appendix, or reference to a website; this identification is not obligatory. The referenced products or services shall be as accessible from the referenced sources as is feasible, the words “or a similar product or service” shall be added to the reference, and the reference shall expressly state that identification of products or services is not an endorsement of those products or services or their suppliers.

### C.3 Conformity Assessment, Testing and Training

In connection with an *ANS* that relate to the determination of whether products or services conform to one or more *standards*, the process, or criteria for determining conformity may be standardized as long as the description of the process or criteria is limited to technical, engineering or scientific concerns and does not include contractual or commercial terms.

Health, safety or environmental protection reasons may be used to include a generic requirement for a third-party, such as independent, conformity assessment, testing or training. An *ANS* shall not dictate the use or non-use of a particular conformity-assessment body, testing facility or training organization.

However, for informational purposes, where known sources exist for products or services necessary to determine compliance with the *ANS*, sources may be identified, such as including a source's name and address, in a footnote, an appendix, or reference to a website; this identification is not obligatory. The referenced products or services shall be as accessible from the referenced sources, the words “or the similar product or service” shall be added to the reference, and the reference shall expressly state that identification of sources is not an endorsement of those sources.

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<sup>1</sup> The term “copyrighted materials” is not intended to include: (a) manufacturers’ instructions/safety manuals; or (b) third-party standards, when such documents are incorporated by reference into the text of an *ANS* for non-commercial technical, or safety-related purposes, as long as such references do not otherwise violate other provisions of the Commercial Terms and Conditions Policy (e.g., they cannot also include warranties, guarantees and like commercial clauses).

## **APPENDIX D. AHRI ANTITRUST AND CONFLICT OF INTEREST POLICIES – NORMATIVE**

AHRI-only deliverables, *ANS*, and *NSC* shall be developed in accordance with applicable antitrust and competition laws, and *meetings* amongst competitors to develop these *deliverables* are to be conducted in accordance with these laws.

AHRI staff shall be present at AHRI *meetings* and hold such *meetings* in accordance with the AHRI antitrust and conflict of interest policies.

These policies are available upon request from AHRI staff.

## APPENDIX E. REFERENCES – NORMATIVE

This appendix lists all documents essential to the development and implementation of this policy and procedures document. All references in this appendix are part of the document.

- E.1** AHRI Bylaws, latest edition, 2311 Wilson Blvd., Suite 400, Arlington, VA 22201, USA.
- E.2** AHRI *Standards Style Guide*, Air-Conditioning, Heating, and Refrigeration Institute, 2023, 2311 Wilson Blvd., Suite 400, Arlington, VA 22201, USA.
- E.3** ANSI *Essential Requirements*, latest edition, 25 West 43<sup>rd</sup> Street, 4<sup>th</sup> Floor, New York, NY 10036, USA.
- E.4** ASHRAE Standard 169-2021, *Climatic Data for Building Design Standards*, 2021, ASHRAE, 180 Technology Parkway NW, Peachtree Corners, GA 30092, USA.
- E.5** SCC *Requirements & Guidance – Accreditation of Standards Development Organizations*, latest edition, 55 Metcalfe Street, Suite 600, Ottawa, ON K1P 6L5, Canada.
- E.6** SCC *Requirements & Guidance – National Adoptions of International/Regional Standards and Other Deliverables*, latest edition, 55 Metcalfe Street, Suite 600, Ottawa, ON K1P 6L5, Canada.
- E.7** ISO 639:2023, *Code for individual languages and language groups*, 2023, International Organization for Standardization, address.
- E.8** ISO 3166-1:2020, *Codes for the representation of names of countries and their subdivisions — Part 1: Country code*, 2020, International Organization for Standardization, Chemin de Blandonnet 8, CP 401, Vernier, Geneva, 1214 Switzerland.



## APPENDIX F. REGION AND COUNTRY-SPECIFIC DELIVERABLES – NORMATIVE

### F.1 Creating Region- and Country-specific Deliverables

AHRI can develop region- or country-specific *derivative* versions of AHRI existing *deliverables*, or region- or country-specific *deliverables* not based on existing *deliverables*, to address the technical, regulatory, or market needs and requirements of that country or region. The *deliverables* shall be developed by a region- or country-specific *STC* (*RSTC*). The *RSTC* shall be formed and operate as defined in [Section 4](#), [Section 5](#) and [Section 6](#). The *RSTC* may have membership requirements as applicable for the specific region; these requirements shall be included in the *charter* of the *RSTC*.

If starting from a published *deliverable*, the *RSTC* shall conduct a technical review of the *deliverable* to determine the applicability of the *deliverable* and whether the *deliverable* meets the needs of the country or region as-is, or what *revisions* are required to meet those needs. *Revisions* of the *deliverable* shall be made as described in [Section 6](#).

The order of priority for development of region- or country-specific *standards* shall be as follows:

- 1) Use of an existing AHRI *deliverable* without modification
- 2) Development of an *appendix* to be added to an existing AHRI *standard*, in cooperation with the *STC* responsible for that *standard*; the *RSTC* shall justify in the *PIF* why use of the existing AHRI *standard* without modification does not address local requirements. The *PIF* shall be approved by both the *RSTC* and the *STC* responsible for the existing AHRI *deliverable*.
- 3) *Revision* of the existing AHRI *deliverable* to create a new version, named as specified in [Section 3.2.2.2](#); the *RSTC* shall justify in the *PIF* why the development of an *appendix* to an existing AHRI *standard* does not address local requirements. The *PIF* shall be approved by both the *RSTC* and the *STC* responsible for the existing AHRI *deliverable*.
- 4) Development of an all-new *deliverable*, named as specified in [Section 3.2.2.2](#); the *RSTC* shall justify in the *PIF* why the *revision* of an existing AHRI *deliverable* does not address local requirements. If a new *deliverable* proposed for development is determined to be potentially competitive with an existing AHRI *deliverable*, the *PIF* shall be approved by both the *RSTC* and *StdC*.

The *PIF* for the activity shall specify and justify the option above.

A public review, if applicable, focused on the residents of and people representing the interests of the country or region shall be conducted as defined in [Section 6.3](#).

Final approval of the *deliverable* by the *RSTC* and then the *StdC*, shall be made as described in [Section 6.3.3](#) and [Section 6.4](#).

### F.2 Additional Canadian Requirements

For approval of an AHRI *standard* or *stand-alone appendix* as a *NSC*, a Canadian *STC* shall be formed with responsibility for maintenance and development of the *standard* or *stand-alone appendix*.

#### F.2.1 STC Membership

*STC* members shall identify their *interest category*.

The Canadian *STC* shall have a *balanced* representation of *interest categories* among voting members, such that a single *interest category* shall not comprise more than half of the voting membership. See [Section 4.5.5](#) regarding *interest categories*. The *STC* shall have applicable representation of *Canadian interests*. If this *balance* or Canadian representation, or both cannot be achieved, outreach efforts shall be made to achieve *balance* and Canadian representation and these efforts shall be documented.

**F.2.2 Project Initiation**

The *PIF*, in addition to other requirements of Section [6.1.1](#), shall include the completion of the *Canadian Interest* Form, identification of the International Classification for Standards (ICS) code, and a description of how *Canadian interests* are represented in the development of the *standard* or *stand-alone appendix*. The units of measurement shall include *SI units* as described in Section [3.3](#).

AHRI staff shall notify *SCC* of the start of an activity through required filings. Any public comments resulting from this filing within thirty days of publication on the electronic *SCC Central Notification System* shall be promptly acknowledged in writing and submitted to the *STC* for resolution. Actions can include an explanation, *revision*, or cancellation of the activity. The *STC's* decision shall be communicated to the commenter, who shall be informed of their right to appeal.

**F.2.3 Reading of Legal Statements**

Each *meeting* shall begin with the reading of the AHRI Legal-approved statement regarding antitrust and conflict of interest.

**F.2.4 Public Review**

The public review period for the *standard* or *stand-alone appendix* intended for *NSC* designation is sixty days. AHRI staff shall notify *SCC* using the required filings of the start of the public review. Any reviewer can submit a written request that a French translation be provided.

**F.2.5 Final Approval**

The *StdC* is the final level of approval for the *NSC*.

**F.2.6 Publication**

After approval of the *standard* or *stand-alone appendix* by the *StdC*, AHRI staff shall notify *SCC* of the publication of the document by filing an *NOI*. Both English and French versions shall be published, and the *standard* or *stand-alone appendix* shall include a statement in the introductory pages indicating that the *standard* or *stand-alone appendix* was developed in accordance with the *SCC R&G*.

**F.2.7 Appeals**

Appeals shall be conducted as described in Section [7.1](#). For a published *NSC* or a candidate *NSC* under development, the appellant may appeal to *SCC* at any time, as outlined in the *SCC R&G*.

**F.2.8 Work Program**

AHRI shall publish a work program listing current Canadian *standards* activities and the status of each including publications, using the International Harmonized Stage Codes.

When AHRI has one or more *standards* under development intended for approval as an *NSC*. AHRI shall submit to *SCC* a current work program every six months.

## APPENDIX G. PROCESS STAGES AND FLOWCHARTS – INFORMATIVE

### G.1 Stages

The stages for development and approval of AHRI *deliverables* are shown in [Table 2](#).

**Table 2 Summary of Stages**

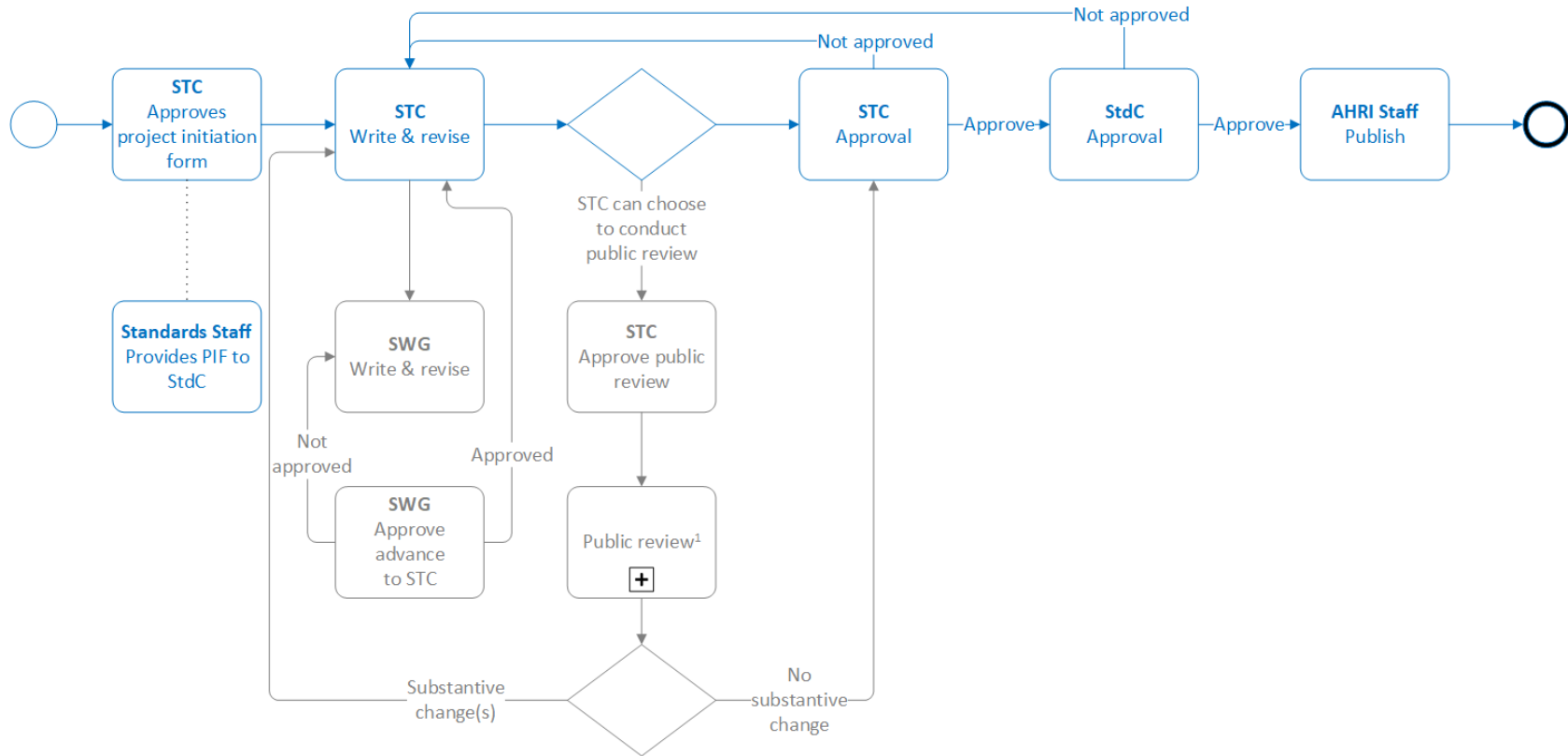
| Stage Name                      | Section                                       | International Harmonized Stage Code | Approval Required to Advance to Next Stage   | Applicability  |                    |     |     |
|---------------------------------|---|-------------------------------------|--|----------------|--------------------|-----|-----|
|                                 |   |                                     |  | AHRI Guideline | AHRI-only Standard | ANS | NSC |
| Idea                            | <a href="#">6.1</a>                           | 00 Preliminary                      | Development of <i>PIF</i>  | X              | X                  | X   | X   |
| Initiation ( <i>PIF</i> )       | <a href="#">6.1</a>                           | 10 Proposal                         | <i>STC</i> approval of <i>PIF</i> by <i>approval ballot</i>                                    | X              | X                  | X   | X   |
| Working draft                   | <a href="#">6.2</a>                           | 20 Preparatory                      | <i>STC</i> approval to advance to format review by approval ballot                             | X              | X                  | X   | X   |
| Approval to go to public review | <a href="#">6.2</a>                           | 30 Committee                        | <i>STC</i> approval to advance to public review by <i>approval ballot</i>                      | X              | X                  | X   | X   |
| Public review                   | <a href="#">6.3</a>                           | 40 Enquiry                          | <i>STC</i> approval to advance to <i>StdC</i> by <i>approval ballot</i>                        | n/a            | X                  | X   | X   |
| <i>StdC</i> approval            | <a href="#">6.4</a>                           | 50 Approval                         | <i>StdC</i> approval to publish as an AHRI standard by <i>approval ballot</i>                  | X              | X                  | X   | X   |
| AHRI publication                | <a href="#">6.5</a>                           | 60 Publication                      | —  | X              | X                  | X   | X   |
| <i>CB</i> approval              | <a href="#">6.6</a>                           | 50 Approval                         | <i>CB</i> ballot to approve an AHRI <i>standard</i> as an <i>ANS</i> by <i>approval ballot</i> | n/a            | n/a                | X   | X   |
| <i>ANSI</i> publication         | <a href="#">6.7</a>                           | 60 Publication                      | —  | n/a            | n/a                | X   | n/a |
| <i>SCC</i> publication          | <a href="#">F.2.6</a>                         | 60 Publication                      | —  | n/a            | n/a                | n/a | X   |
| <i>Periodic review</i>          | <a href="#">6.1.1</a>                         | 90 Review                           | <i>STC</i> decision to revise, <i>withdraw</i> , or reaffirm; go back to Stage 10              | X              | X                  | X   | X   |
| <i>Withdrawal</i>               | <a href="#">6.1.1.4</a> ; <a href="#">8.1</a> | 95 Withdrawal                       | —  | X              | X                  | X   | X   |

**G.2 Flowcharts**

The flowcharts in [Figure 8](#) through [Figure 13](#) summarize the process for developing AHRI *deliverables*, from project initiation through review, approval, and publication. The normative description of the process is found in [Section 5](#) and [Appendix E](#).

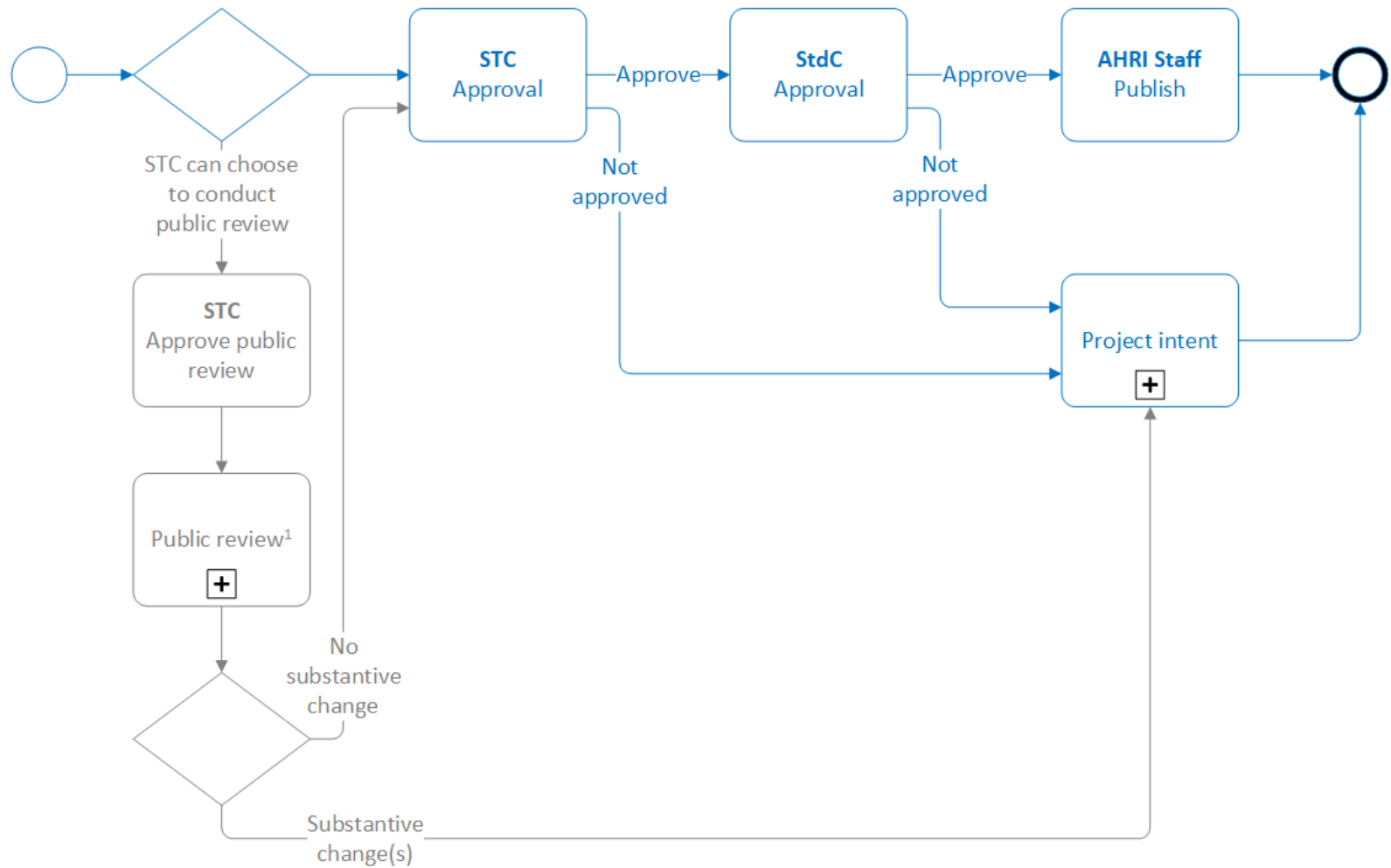
**G.2.1 AHRI-only**

See [Figure 8](#) and [Figure 9](#).



<sup>1</sup> Staff will notify StdC of public review

**Figure 8 Proposed New, or Revised, AHRI-only Deliverable**

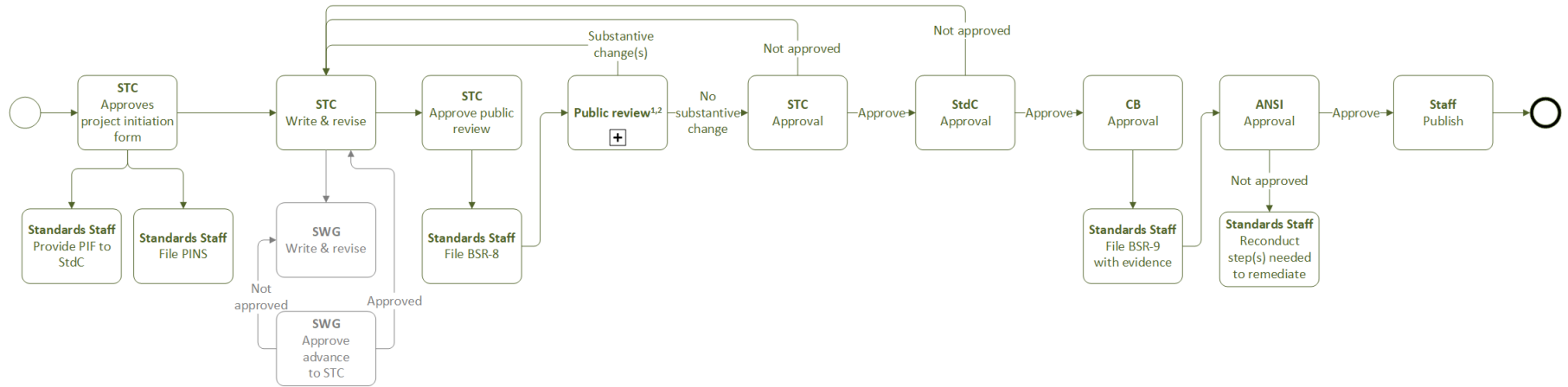


<sup>1</sup> Staff will notify StdC of public review

**Figure 9 Proposed Reaffirmation, or Withdrawal, of AHRI-only Deliverable**

**G.2.2 Proposed ANS**

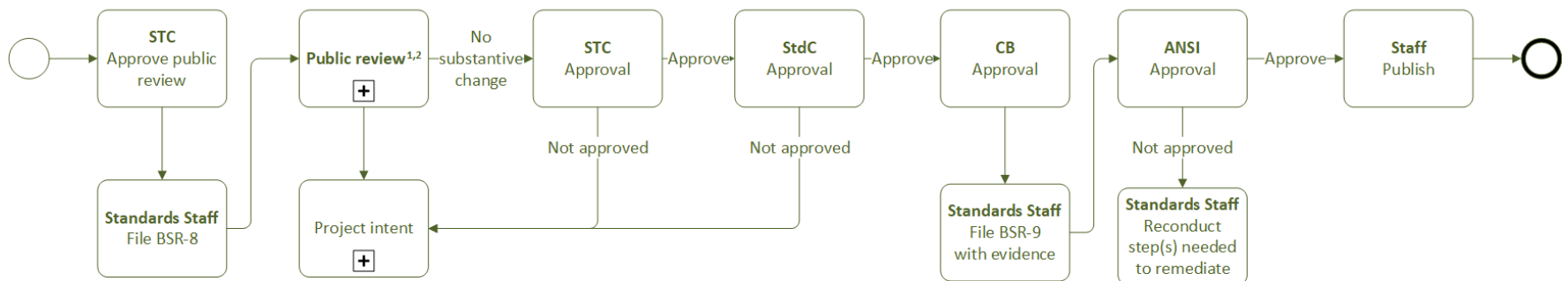
See [Figure 10](#) and [Figure 11](#).



<sup>1</sup> Staff will notify StdC of public review

<sup>2</sup> Staff will notify CB of public review

**Figure 10 Proposed New, or Revised, ANS**



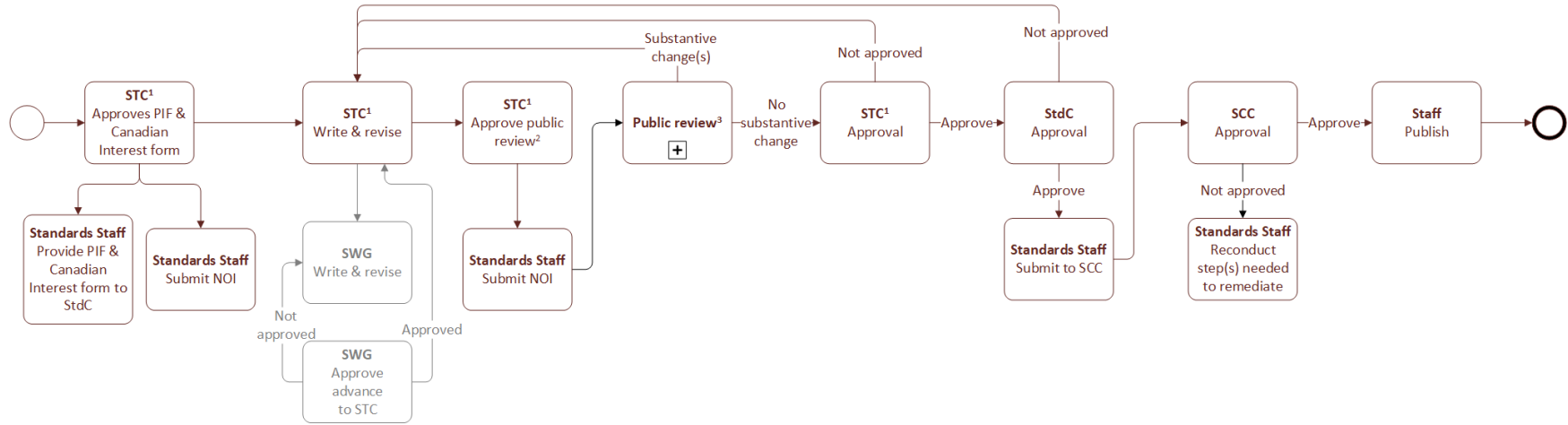
<sup>1</sup> Staff will notify StdC of public review

<sup>2</sup> Staff will notify CB of public review

**Figure 11 Proposed Reaffirmation, or Withdrawal, of ANS**

**G.3 Proposed NSC**

See [Figure 12](#) and [Figure 13](#).

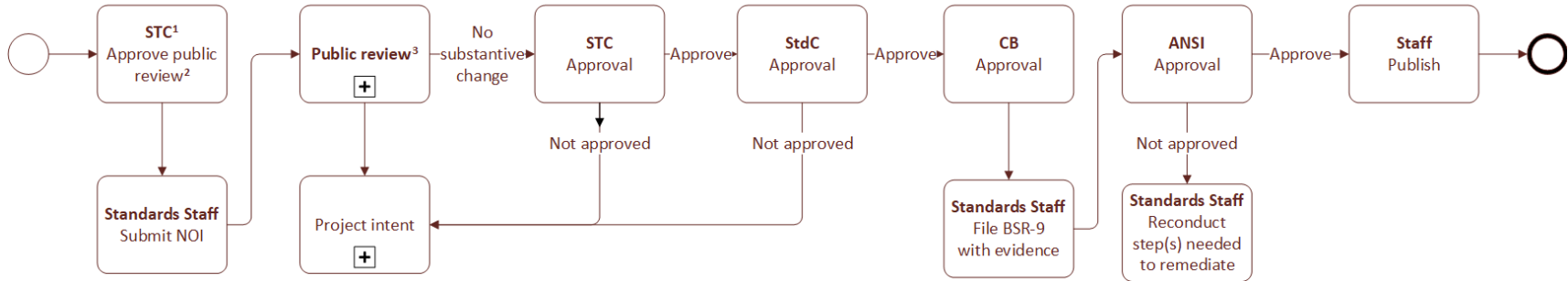


<sup>1</sup> STC roster will meet SCC requirements for Canadian interest representation and interest category balance

<sup>2</sup> Translate to French in advance of public review

<sup>3</sup> Staff will notify StdC of public review

**Figure 12 Proposed New, or Revised, NSC**



<sup>1</sup> STC roster will meet SCC requirements for Canadian interest representation and interest category balance

<sup>2</sup> Translate to French in advance of public review

<sup>3</sup> Staff will notify StdC of public review

**Figure 13 Proposed Reaffirmation, or Withdrawal, of NSC**