

## ULSE Inc. ANSI Accredited Procedures – Approved by ANSI on June 10, 2025

### Summary of Revisions

Year	Clause	Topic	Revision Summary
2024	1.5, 8.5	Definitions	Clarification of definitions for editorial and substantive changes
	2.1.3.1, 2.1.3.3, 2.1.3.4, 2.1.3.7, 3.1.2	Miscellaneous	Update of ULSE responsible staff
	2.2.2.2	Interest categories	Clarification to reflect present practice regarding modified interest categories.
	2.2.3	Multiple representation	Update to address representation from other countries when developing standards for use in more than one country.
	2.2.5	Balance of Interests	Clarification of wording to make it clear that the requirement for balance is no more than 50% but that we strive for 33%. This was in response to an SCC audit recommendation.
	2.3.2.1, 2.3.2.2, 2.3.2.3, 2.3.3.1, 2.3.3.2, 2.3.3.3	TC Meetings	Generalizing and updating meeting requirements as TC meetings will be managed in platforms other than CSDS.
	3.1.3, 2.1.3.6	Continuous Maintenance	Revised to reflect 2024 ER changes but not incorporating option to extend to 10 years because this is being further reviewed by ANSI
	3.2.3	Notification of Standards Development Activity	Editorial changes and clarification
	3.3.4.1	Proposals Presented at Meetings	Clarification of present practice
	3.3.7, 3.4.2, 3.4.7.1, 3.4.7.3, 3.4.7.6	Comments	Clarification of present practice and addressing comments received from TC members added after initial ballot.

	Section 5	Appeals	Rewrite of the appeal section to reorganize and clarify present practice. Removing Special Circumstances Appeals which are technical in nature. ULSE will only hear administrative appeals.
	Section 7	Formal Interpretations	ULSE's updated policy will be to not provide formal interpretations. Instead, individuals are encouraged to submit a proposal when a standard requirement is not clear.
	8.6	Availability of TC Materials to the Public	Revised to remove time constraints.
	All	Editorial	Renumbered upon publication of approved Procedures

## **ULSE Inc. ANSI Accredited Procedures – Approved by ANSI on June 10, 2025**

1	General Provisions .....	4
2	Establishment and Operation of Technical Committees (TCs).....	6
2.1	Establishing and Dissolving TCs.....	6
2.2	Membership of TCs .....	8
2.3	Powers and Duties of Technical Committees.....	12
3	Development and Revision of ANSI/UL Standards .....	16
3.1	Submission of Proposals .....	16
3.2	Initiation of a New Standards Activity .....	17
3.3	Proposal Stage .....	18
3.4	TC Consideration of Comments Received During the Ballot Stage.....	21
4	Handling of Provisional Requirements and Other Special Circumstances.....	23
5	Appeals .....	26
6	Development and Revision of Co-Published Standards.....	29
7	Formal Interpretations.....	29
8	Administrative Issues.....	29

## 1 General Provisions

**1.1 Scope** – These Procedures govern the development and maintenance of UL standards in accordance with the [ANSI Essential Requirements: Due process requirements for American National Standards](#). These Procedures address all aspects of standards development including Technical Committee (TC) formation and operation, review and balloting of proposals, TC meetings, appeals, and formal interpretations. These Procedures may be used to develop and maintain other documents, such as, but not limited to, test methods, specifications, and recommended practices.

**1.2 References to ULSE** – For the purposes of these Procedures, the term ULSE (UL Standards & Engagement) refers to ULSE Inc.

**1.3 Authority** – ULSE has issued these Procedures, which it can amend from time to time and waive or supplement, in whole or in part, at any time or times at its discretion, while maintaining compliance with the *ANSI Essential Requirements*.

**1.4 Conflicts with ANSI Recognized Installation Codes or the Code of Federal Regulations** – Authorities Having Jurisdiction (AHJs) have relied on UL Standards being compatible with nationally-recognized, consensus-based installation codes and the Code of Federal Regulations (CFR). This allows the AHJs to act with confidence in accepting products for installation within their jurisdiction. It is ULSE's policy that its standards are not in conflict with ANSI recognized national installation codes and the CFR. If a proposal that would bring the standard into compliance with the code or CFR is defeated, then the TC decision is appealable. If a proposal is submitted to ULSE and approved by the TC, causing the standard to be in conflict with the code or CFR, then the TC decision is appealable.

**1.5 Definitions** - The following terms, used in these Procedures, shall have the meaning indicated below:

**ANSI/UL Standard** – a document that has been developed and established with the consensus principles of the Technical Committee (TC) and that meets the approval requirements of these Procedures.

**Appeal** — any request submitted in writing to ULSE for the adoption, reversal, or modification of any procedural action or inaction taken by the TC or ULSE at any time in the document development process. Safety issues, code conflict issues and membership issues are also appealable as described in 5.3.

**CSDS (Collaborative Standards Development System)** - ULSE's paperless, web-based standards development system solely used to submit proposals, comment, and vote on proposals at any time of the day. CSDS is the only means in which to participate in ULSE's standards development (submitting proposals, voting, and commenting). The system can be found at <http://csds.ul.com>.

**Comment** — a position (for or against), opinion, observation, explanation, criticism, or recommendation concerning a proposal, expressed in writing in accordance with 3.3. It can also mean a technical justification of a negative vote or an explanation of an abstention or affirmative vote.

**Co-Published Standard** - A standard that is co-published with other Standards Development Organizations (SDOs).

**Editorial Changes** – those changes that do not directly and materially affect the use of the standard and therefore do not require balloting.

**Meeting Report** – a summary of discussions and actions taken at a TC meeting.

**Member** — a person, regardless of voting status, who serves on a TC.

**Project Initiation Notification System (PINS)** – a form submitted to ANSI, which is published in *ANSI Standards Action*, notifying the general public that ULSE intends to open a project to obtain ANSI approval on a new standard. If a Standard is not under Continuous Maintenance, then a PINS is required for each revision.

**Proposal** — a suggested revision to an ANSI/UL Standard or a new UL Standard submitted in accordance with 3.1.

**Proposal Document** – a proposal or proposed standard under consideration of the TC.

**Provisional ANSI/UL Standard** – a UL Standard published for a limited period of time by ULSE when all three of the following conditions are met: (1) when implementation of the Provisional ANS may result in an improvement to the safeguarding of life; (2) an alternative method is not in current use or is unavailable to the public; and (3) there is a well-established need for prompt issuance of a document to address an emergency situation or other special circumstance. (See 4.1 for more details)

**Public Review Participant** – a person who participates in a CSDS Work Area as a result of a notice in *ANSI Standards Action* or a stakeholder or follower of ULSE standards activity.

**Reaffirmation** – continuation of an existing ANSI/UL Standard without any substantive change.

**Substantive Changes** – a substantive change in an American National Standard is one that directly and materially affects the use of the standard and therefore requires balloting. Examples of substantive changes include:

- a) Modification of "shall" to "should" or "should" to "shall;"
- b) Addition, deletion or revision of requirements, regardless of the number of changes;
- c) Addition or deletion of mandatory compliance with referenced standards;
- d) Revision of date of referenced code or standard; or

- e) Modification that changes the intent, scope, or meaning of the standard or has an impact (either positive or negative) on those affected by the standard.

**Task Group** — an ad hoc group appointed by the TC chair to address a specific topic or issue within a standard.

**Technical Committee (TC)** – a group of individuals representing a variety of interest categories formed to provide input on new or revised UL standards. The TC is responsible for providing proposals and reviewing and balloting proposals. The group may also meet to discuss UL standards-related issues. It serves as the consensus body for ANSI/UL Standards.

## **2 Establishment and Operation of Technical Committees (TCs)**

### **2.1 Establishing and Dissolving TCs**

**2.1.1 General** – ULSE is responsible for establishing and dissolving TCs.

**2.1.2 Membership** – ULSE is responsible for determining the size and membership of each TC in accordance with 2.2. Membership for a new TC shall be enlisted through a request to submit applications from ULSE and through a call for members in *ANSI's Standards Action*.

**2.1.3 Structure** – Each TC shall have a TC chair, a project manager, and may have assigned task groups to handle specific assignments.

**2.1.3.1 Appointment of TC Members and Their Tenure** - The TC chair and project manager shall be appointed by the responsible ULSE Program Lead. The TC members after applying for membership shall be appointed by the TC chair if selected. Those TC members who consistently neglect to return ballots, consistently abstain on ballots, or otherwise exhibit lack of interest, knowledge, or responsibility may be removed for the stated causes at any time. If a TC member does not return two consecutive ballots, a warning may be sent to the TC member stating that failure to return the next ballot may result in removal from the TC.

**2.1.3.2 Change of Status** - When the status of a member changes, including changing employment, organization represented, or funding source, the individual's continued membership is contingent on submitting a new application for membership to the TC project manager. The change in status of the applicant, including any change in classification, shall be considered by the TC chair when reviewing the request for membership and does not guarantee acceptance.

**2.1.3.3 Appointment of Chair** - The TC chair shall be appointed by the ULSE Program Lead responsible for the standard being covered by the TC. In most cases, the TC chair is a ULSE staff person, in which case the TC chair would be a non-voting member. However, a TC chair not employed by ULSE may be appointed by the ULSE Program Lead in which case the TC chair may be a voting member unless there is already a

voting member from their organization on the TC. The responsibilities of the TC chair are as follows:

- a) Provide leadership to the TC and ensure that the process is conducted in an efficient, effective, and timely manner;
- b) Schedule meetings as needed;
- c) Preside over meetings and ensure that due process is followed, order is maintained, and all members have the opportunity to participate;
- d) Coordinate selection of Task Group members and establish the specific assignment to be addressed by such Task Group;
- e) Review TC applications and determine whether applications can be accepted. TC chairs also make decisions regarding changes in interest category and the possible termination of existing members;
- f) Maintain knowledge and expertise on these Procedures; and
- g) Review ballot packages when there is no need for a meeting.

**2.1.3.4 Appointment of Project Manager** – The project manager is appointed by the ULSE Program Lead responsible for the standard being covered by the TC. In most cases, the project manager is a ULSE Staff person, in which case the project manager would be a non-voting member. However, a member of the TC not employed by ULSE may be appointed by the ULSE Program Lead to serve as project manager, in which case the project manager may be a voting member unless there is already a voting member from their organization on the TC. The responsibilities of the project manager are as follows:

- a) Support TC chair by performing specific tasks related to TC chair responsibilities;
- b) Assist the TC with workflow, act as a central starting point for all incoming questions and need for assistance with any Standards related activity;
- c) Prepare proposal documents in accordance with ULSE guidelines;
- d) Issue proposal documents (in ULSE CSDS) to TC members for voting and commenting;
- e) Coordinate TC Applications and maintain TC membership roster;
- f) Communicate with the TC chair on changes in TC membership, availability of meeting dates and places, and the like;
- g) Maintain voting records and other relevant document or records;
- h) Develop agendas for and reports of TC meetings;
- i) Prepare all required ANSI forms;

j) Coordinate meeting details; and

k) Maintain knowledge of these Procedures and serve in an advisory capacity and assist the TC in achieving compliance with these Procedures.

**2.1.3.5 Task Groups** – The TC chairs may at their discretion create Task Groups to address a specific topic or issue. The Task Group shall be appointed and discharged by the TC chair. Persons serving on a Task Group need not be members of the TC. Such a group need not be balanced by interest. The TC chair of the Task Group shall be selected by the TC chair and shall be responsible for determining when general consensus is achieved within the Task Group. The Task Group shall forward recommendations to the TC for action.

**2.1.3.6 Continuing Jurisdiction** - Each ANSI/UL Standard issued by ULSE shall be under the continuing jurisdiction of an appropriate TC. It shall be the responsibility of each TC to review periodically the Documents for which it is responsible to ensure that they are kept current and to consider suggested revisions.

**2.1.3.7 Duration of a TC** - Each TC shall continue until discharged by the ULSE Program Lead or consolidated with another TC or reorganized into new TCs.

## **2.2 Membership of TCs**

**2.2.1 Endorsement Not Constituted** - Membership on a TC shall not in and of itself constitute an endorsement of ULSE, or of any Document developed by the TC on which the member serves.

**2.2.2 Types of Membership** - Membership shall be limited to Voting and Nonvoting types.

**2.2.2.1 Voting Members** – Voting members of the TC shall be classified in accordance with the business or other interests of their employers or the sponsor they represent in connection with the standards development activity and shall consist of the following interest categories for standards establishing product requirements or requirements for the installation and/or servicing of products or systems:

a) **Producer** – For standards establishing product requirements, a representative of a company that is engaged in the manufacture of products covered by the standard. For standards establishing requirements for the installation and/or servicing of products or systems, a representative of a company that is engaged in the installation and/or system servicing. A consultant, agent, or trade association, that represents a producer interest, is considered a producer.

b) **Testing and Standards Organizations** - organizations that test and/or certify products, services, or systems covered by the standard, or that develop standards/codes related to the products, services, or systems covered by the standard. This includes individuals representing a National Standards Body outside of the United States (e.g., JISC, DIN, BSI). This person is designated by the National Standards Body and approved by the TC chair. A National Standards Body can only have one International Delegate per TC. An



International Delegate will be granted non-voting status if the International Delegate's base Company or Organization is already represented on the TC.

c) Supply Chain – component producers for a TC responsible for standards covering end products, or end-product producers for a TC responsible for standards covering components; and installers, distributors, and retailers.

d) AHJ/Regulator - those involved in the regulation or enforcement of the requirements of codes and standards at the regional (e.g., state or province) and/or local level. The authority having jurisdiction may be a regional or local department or individual such as a fire chief; fire marshal; chief of a fire prevention bureau, state department of insurance official, labor department, or health department; building official; electrical inspector; or others having statutory authority.

e) Government – Representatives from national government agencies. For U.S. representatives these may include CPSC, FDA, EPA, DOT, DOE, DOD, and NIST. Also, representatives of regional (e.g., state or province) or local government bodies that do not fall under the category of AHJ/Regulator.

f) Consumer - consumer organizations, consumer departments at universities, home economic departments at universities, professional consumers, and individuals who use the product or service as part of their livelihood and are not eligible for TC membership under another interest category. An individual member of the general public purchasing or using consumer product goods, property or services, for private purposes, covered by the consumer standard(s) under the TC.

g) General Interest – consultants (see 2.2.2.4), members of academia, scientists, special experts, representatives of non-governmental organizations, and other individuals that are not covered by the other participation categories.

h) Commercial / Industrial Users – organizations that use the product, system, or service covered by the applicable standards under the TC in a commercial or industrial setting. Examples include a restaurant owner/operator serving on a TC for commercial cooking equipment, or a gas station owner/operator serving on a TC for flammable liquid storage tanks. Representative of organizations that produce products, systems, or services covered by the standard, whose organization also use the product, systems, or services, are not eligible for TC membership under this category.

If the TC chair believes there is a discrepancy between an applicant's self-declared interest category and ULSE's defined interest categories, the TC chair makes the decision of classification based on the TC application and provided resume and notifies the applicant of the change of status. Decisions are appealable within 30 calendar days of notification of the classification.

Note that not all interest categories need to be represented.

**2.2.2.2** For standards other than those establishing product requirements or requirements for the installation and/or servicing of products or systems, it may be

necessary to define interest categories different than those listed in 2.2.2.1. In such cases the definitions of interest categories specific to the standard will be made available to all members and applicants and the interest categories will comply with the definitions of balance.

**2.2.2.3 Nonvoting Members** - A person meeting the requirements of 2.2.4.2 may be appointed as a nonvoting member if the TC chair determines that such an appointment serves a useful purpose. Nonvoting members may serve in an advisory, corresponding, or liaison capacity.

**2.2.2.4 Consultants** - A consultant retained by a company or organization, whereby the arrangement includes representing it on a TC, shall be considered the same classification and voting interest as the organization by which the member is retained. If a consultant is solely retained by one company or organization to do work in the area covered by this TC, that company or organization cannot be on the TC also. A consultant must declare to ULSE when they are representing the interests of another company. This information may be added to the members roster information (see 2.2.4.2). A member who consults for multiple organizations of exclusively the same classification shall be classified in accordance with their principal business activity. A member who consults for a variety of interests shall be classified as a General Interest participant.

On occasion, however, independent consultants in this category may be retained by a client to advocate on behalf of the client with regard to a specific issue or issues before the TC. As to these specific issues, the independent consultant shall not be regarded as a General Interest participant because to do so may result in a balance of interests that was not intended. Therefore, the consultant shall abstain from voting on any proposal, comment or other matter relating to those issues for which they are being retained.

**2.2.3 Multiple Representation** - Normally there can be only one official voting member from a company/organization on a TC. This also applies to consultants for a company. However, there are instances where two or more representatives with the same parent organization may serve as voting members of the same TC. Examples follow:

- a) One division of a company produces an end product, while another division produces a component used in the end-product covered by the scope of the standard(s) under the jurisdiction of the TC. In this case, one is a Producer and the other is Supply Chain.
- b) Smaller companies with the same parent company if the individual company brand names and organizational structures remain in place and companies' brands compete against each other in the marketplace.
- c) Different divisions within a company that make different products that compete in the marketplace.
- d) Different divisions located in different countries and representing the perspective/interests of the country in which they are located.

Any organization requesting multiple representation shall provide a written request to the TC project manager stating the compelling reason why such representation is needed. The TC chair shall review the justification and render a decision. The TC chair may deny membership if there is reason to believe the applicant does not meet the intent of the requirements for membership.

**2.2.4 Qualifications for Membership** - Qualification for membership is based on all the information available to ULSE Staff, including the information provided in the candidate's Application as specified in 2.2.4.2. Membership is on an individual basis rather than company based. Request for a company replacement of a member shall be considered by the TC chair when reviewing the request for membership and does not guarantee acceptance.

**2.2.4.1 Application Process** - Information to be included in a candidate's application for membership and how ULSE is to review and act on this information is specified in 2.2.4.2 and 2.2.4.3.

**2.2.4.2 Applications for Membership** - Each candidate for membership shall submit an application to the TC project manager providing the following information:

- a) Evidence of knowledge and competence in the work of the TC,
- b) Assurance of ability to participate actively, including responding to correspondence, reviewing proposals, commenting on proposals (as appropriate), and voting on proposals,
- c) Relationship of applicant to the Scope of the TC,
- d) What organization, company, representation, etc., the applicant would represent,
- e) Whether the applicant would have an instructed vote and, if so, by and on behalf of whom; and whether the organization, in instructing its representative, can meet the time constraints imposed by these Procedures,
- f) What person or organization would fund participation. This information is mandatory for consultants,
- g) Agreement to notify the TC project manager of a change in employment, organization represented, or funding source. This will require a new application to be completed,
- h) What organizations or companies that are members on the TC does the consultant represent, and
- i) What types of customers an applicant that is a consultant has in their job history.

The TC project manager shall review applications with the TC chair for approval (2.1.3.1)

**2.2.4.3 Action on Applications for Membership** - The TC chair may appoint a member, hold the application pending further information, or reject an application. Appointment shall be based on:

- a) Qualifications of the applicant under the provisions of 2.2.4,
- b) Limiting the size of each TC to a manageable working group depending on the nature of the standard, and
- c) Maintaining a balance of interests within the membership. If any individual or organization has applied for and has been denied membership, the individual or organization may appeal to the TC chair, then if still not satisfied, they may file an appeal with ULSE's Appeals Panel for purposes of reconsideration.

### **2.2.5 Balance of Interests -**

The balance of a TC shall be such that no single interest category constitutes more than 50% of the membership of the TC and additional efforts shall be undertaken to reduce the balance to no more than 33% in any one interest category whenever possible. If a TC member resigns after a TC is formed and that resignation causes one interest category to have more than 50% of the membership, then immediate action shall be taken to recruit needed interest categories to bring the TC within the balance range. If an interest category is over the one-third of the total membership target, ULSE reserves the right to deny additional membership to that membership category.

If the targeted maximum of 33% cannot be achieved despite reasonable attempts to recruit a more balanced membership, then the efforts shall be documented by the project manager and the TC can proceed to function as the consensus body, while efforts to recruit new members continue, so long as the 50% maximum is maintained. No new project activity shall be conducted if the balance in any one interest category is more than 50% of the TC membership.

## **2.3 Powers and Duties of Technical Committees**

### **2.3.1 General Responsibilities**

**2.3.1.1 Scope of Work** - The work of each TC shall be:

- a) In accordance with the Scope as approved by ULSE,
- b) In accordance with any guidelines subsequently issued by ULSE,
- c) Consonant with the mission of ULSE, and
- d) In accordance with the Code of Ethics for ULSE TC members.

**2.3.1.2 Activity Within Scope** - Consonant with the publishing Guidelines of ULSE, each TC shall:

- a) Prepare and/or process proposed Standards,
- b) Prepare and/or process Proposals and Comments to amend or reaffirm existing Standards, and
- c) Prepare and/or process proposed Provisional ANSI/UL requirements (for UL Standards for Safety).

**2.3.2 Meetings** – Though it is not necessary for TCs to meet for business to be conducted, TC chairs may call meetings at such times as may be necessary and convenient for the transaction of business. Before issuing a call for such a meeting, the TC chair may consult with others as necessary to be apprised of other meetings or other scheduled events that may affect attendance at the proposed meeting. Special meetings called for the purpose of handling items of an emergency nature shall not be subject to the above scheduling constraints. In addition, TC members may request a meeting for the purposes of comment resolution or other standards related issues.

**2.3.2.1 Meeting Notices** – Notice of each meeting shall be posted publicly on a ULSE platform in advance of the meeting date.

**2.3.2.2 Distribution of Agenda to TC Members** – The project manager should provide the agenda in advance of the meeting date.

**2.3.2.3 Types of Meetings** – Meetings may be in-person, virtual, or hybrid. Any cost burden for in-person attendance and participation are the responsibility of the TC member or guest unless special arrangements are made with ULSE.

**2.3.3 Transaction of Business** – The transaction of business at TC meetings shall be governed in order of precedence, first by these Procedures and second by any applicable ULSE guidelines.

**2.3.3.1 Conduct of Meeting** – Official voting is conducted by electronic ballot through CSDS. At the TC chair's discretion, certain "unofficial" voting may be conducted at meetings to resolve differences in competing proposals, provide direction, or for comment resolution to be followed up by an official ballot to all TC members.

**2.3.3.2 Attendance** – TC meetings for standards related issues are open to those materially affected by the proposals being discussed including TC members, guests, and stakeholders. Permission for non-members to attend a TC meeting must be requested in advance of the meeting. The TC chair reviews the attendance requests. Task Group meetings are not required to be open.

**2.3.3.3 Participation** – The following guidelines apply to participation at TC meetings:

- a) Guests are normally permitted to participate in the discussion at TC meetings, although participation may be limited by the TC chair to members when the need arises, such as the number of guests is too large to effectively manage or a physical location cannot accommodate the number of guest requests. When a guest addresses the TC, equal opportunity shall be afforded those with opposing views. The TC chair may designate the time allotted for any such addresses.

- b) If a member cannot attend, a designated representative from the same organization (i.e., a substitute) may be sent to express the views of the absent member. The representative shall not be privileged to vote or make motions. Identification of a substitute to attend a meeting in place of a TC member is to be made in advance of the meeting. The designated representative shall be identified to the TC chair in advance of the start of the meeting.
- c) If attendance by a member is not possible, written commentary may be submitted in advance of the meeting.
- d) Videos, slides, and similar visual aids may be allowed during meetings of TCs and Task Groups. The review of samples of nonhazardous products and materials may be allowed.
- e) Physical demonstrations, experiments, or simulations may be allowed during meetings of TCs or Task Groups at the TC chair's discretion.
- f) ULSE may provide funding to TC members who are consumers, Authorities Having Jurisdiction, academia, or representatives of government agencies to attend a meeting if requested to do so.

**2.3.3.4 Meeting Report** – A report of each meeting shall be issued without undue delay by the project manager, or a duly appointed individual acting at the direction of the TC chair or project manager. No other report shall be authorized. The report shall, at a minimum, include the time and place of meetings, names and affiliations of all persons attending, and the actions taken. TC and Task Group meetings shall not be recorded verbatim by any means unless authorized in advance by the TC chair and announced before the start of the meeting. If the request is approved, ULSE will make the recording and the requester will be asked to compensate ULSE for the associated costs. The original recording will remain the property of ULSE.

**2.3.4 Voting Procedures and Privileges** – Each voting member shall have one vote in the affairs of the TC on which the member serves.

**2.3.4.1 Voting by Proxy** – Voting by proxy shall not be permitted.

#### **2.3.4.2 Voting at Meetings and Ballots**

a) **Voting at Meetings** – As described in 2.3.3.1, certain actions decided during TC meetings, at the discretion of the TC chair, shall be supported by at least a simple majority of the voting members at the meeting. In calculating the vote, those who abstain shall be omitted from the calculations. Voting in meetings is to establish a sense of agreement, but only the results of ballots shall be used to determine consensus.

b) **Ballots** – Consensus votes of members shall be secured by electronic ballot in CSDS.

**2.3.4.3 How Members May Vote on Ballots** – Voting options on a ballot to the proposals under consideration are Affirmative, Negative, or Abstain. Only voting TC

members can submit an official ballot. Non-voting members may submit comments on the proposal.

a) **Affirmative Votes with Comments** – If comments accompany an affirmative vote, the vote is considered affirmative regardless of the content of the comments. The affirmative with comments will be recirculated if there is any substantive change. If the voter intends to submit a "conditional" affirmative, meaning that the vote is affirmative only if the accompanying comment is accepted, then the vote should be submitted as a negative vote.

b) **Negative Votes** – In order to receive consideration, all negative votes shall be accompanied by an explanation which should clearly explain the member's technical reasons for objecting to the proposal. Where possible, recommendations for a solution to the problem raised should be included in the explanation of the vote.

c) **Negative Votes Non-germane** – Negative votes with comments not related to the proposal under consideration and negative votes with comments on certification issues will be recorded as a "negative non-germane" and are not required to be responded to, recirculated to the TC, or notified of the right to appeal. This type of negative vote shall be counted as a returned vote but shall not be factored into the approval calculation.

d) **Abstain Votes** – An abstain vote shall be accompanied by an explanation for abstention. There shall be no right to appeal given for abstained votes and any associated comments shall not be responded to or recirculated to the TC. Abstentions shall be counted as a returned vote but shall not be counted in the approval calculation. Consistent abstention voting shall cause the TC chair to review the membership status of the member and may be cause for removal per 2.1.3.1.

**2.3.4.4 Eligibility to Vote on Ballots** - A member eligible to vote is the member of record as of the date of the ballot. Members added after the start of a ballot period will not have voting privileges during this ballot cycle or related recirculations but will have the ability to comment.

**2.3.4.5 Member Resignation During Balloting Period** - If, during the balloting period, ULSE is notified in writing that a TC member is resigning from the TC and the member has not voted on the balloted item, the TC member shall be removed from the consensus body and will not be included in the numerical calculation of consensus. This also applies if resignation occurs during a ballot extension that was granted equally to all unreturned voters. If a member votes negative and then resigns from the TC before comment resolution and recirculation is completed without reaffirming or changing their vote, the vote will be considered as a negative non-germane. An affirmative vote will stand as recorded. Member resignation during a ballot period that causes an imbalance in the TC will not stop the consensus process from proceeding.

**2.3.4.6 Consensus** – Consensus, calculated in accordance with 2.3.4.3, 2.3.4.4 and 2.3.4.5, is considered achieved if there is approval by at least two-thirds of those members voting who have submitted a vote, excluding abstentions and negative non-germane votes (see 3.3.6) and a majority of the TC have returned a ballot.

- a) If it is determined that consensus was achieved on a proposal, then the proposal continues through the standards development process.
- b) If it is determined that consensus is not achieved on the initial ballot of a proposal and there is not greater than 50% approval from those members voting, excluding abstentions then the proposal is considered as failing and no further action shall be taken by the TC or ULSE. However, if the initial ballot does not achieve consensus but there is a return of the majority of the ballots and approval of greater than 50% of those members voting, excluding abstentions and non-germane votes, then comment resolution and recirculation shall continue, with concurrence from the proposal submitter. If under the latter circumstances the proposal submitter agrees to withdraw the proposal, no further action shall be taken by the TC or ULSE.
- c) The results of the ballot shall be reported to the TC in the form of number of yes, no, non-germane, and abstention votes at the conclusion of the consensus process. This information shall also be available during the process (see 3.4.7).

### **3 Development and Revision of ANSI/UL Standards**

#### **3.1 Submission of Proposals**

**3.1.1 General** – Most standards covered under this accreditation are maintained using continuous maintenance. This means that any part of the standard is open for comment or proposals at any time and by anyone, within the constraints of any established revision cycle. Notice that the standard is open for comment shall be printed on the title page of the standard and shall be listed on the ANSI and ULSE websites. Any properly submitted proposals shall be considered and acted upon as described in 3.3.1.

**3.1.2 Revision Cycles** – After consulting with the TC and other stakeholders, the TC chair has the option to place an ANSI/UL Standard on a revision cycle. If an ANSI/UL Standard is placed on a revision cycle, the standard shall not be revised outside of that cycle unless there is an emergency issue, or other circumstance approved by the ULSE Program Lead responsible for the standard.

The revision cycle schedule shall include final dates for all critical events in a processing cycle. The cycle and schedule shall be distributed to the TC and shall be posted on the ULSE website.



**3.1.3 Maintenance of ANSI Approval** – Standards shall be scheduled for revision or reaffirmation such that best efforts are made to avoid more than five years elapsing between one revision or reaffirmation and the next revision or reaffirmation. An ANSI BSR 108 form shall be submitted for either revision or reaffirmation of each standard prior to the expiration date of that five-year period for the standard in question. The BSR 108 shall state as the project intent (a) revision if any proposed revision has been submitted in CSDS in accordance with 3.1.4 more than two business days before the end of the five-year period; or (b) reaffirmation if no revisions have been proposed in accordance with 3.1.4 by two business days before the end of the five-year period. ULSE shall thereafter determine revision or reaffirmation pursuant to the procedures set forth in the remainder of this Section 3. If the standard is then not revised or reaffirmed within the 10-year period, ANSI approval is administratively withdrawn by ANSI.

**3.1.4 Format of Submitted Proposal** – Each proposal shall be submitted in electronic format using the Proposal Request function as found on the ULSE CSDS website and shall include the following:

- a) Identification of the submitter and his or her affiliation (i.e., TC, organization, company), where appropriate,
- b) Identification of the Standard and paragraph of the Standard to which the Proposal is directed,
- c) Proposed text of the Proposal, including the wording to be added, revised (and how revised), or deleted, and
- d) Statement of the problem and substantiation for Proposal (rationale).

If a submitted proposed addition or revision is not fully developed (i.e., specific text not included, rationale/justification missing, or other problem areas), the TC chair may direct the project manager to return the proposal to the originator for further development. ULSE retains the right to edit the proposal as necessary to comply with its format and style guidelines.

**3.1.5 Time for Submission of Proposals** – A proposal received after an established cut-off date will be held until the next cycle and the submitter will be so notified.

## **3.2 Initiation of a New Standards Activity**

**3.2.1 Initiation** – Any person, organization, or existing TC can request ULSE to develop a new standard of proper concern to ULSE. Submittals shall include a statement of the matter, substantiation of the need to address the matter, a precise description of the topic(s) to be addressed, and clarification that the matter is not already addressed by an existing UL, or another ANSI Standard. ULSE reserves the right to not develop a new standard if, in the exercise of its judgment, the publication of the proposed new standard would pose an overriding safety or legal risk for ULSE, or if there is not sufficient justification of the need for such a standard. If the decision is made to not process a request for a new standard, ULSE will respond to the request with a letter that explains the reason for not processing the proposal. Such a decision is not appealable to ULSE.

**3.2.2 Project Initiation Notification System (PINS)** – A PINS shall be posted in *ANSI Standards Action* for first-time approval of a standard. Standards that are listed by ANSI as being maintained under continuous maintenance do not need to have a PINS submitted when the standard is being revised. If written comments are received within 30 calendar days of the PINS announcement that claim that the standard duplicates or conflicts with an existing or candidate ANSI standard that a PINS had previously been issued for, then those comments shall be handled in accordance with *ANSI's Essential Requirements*.

**3.2.3 Notification of Standards Development Activity** – Announcement of a new standards development activity and/or consensus body formation shall be posted on ULSE's website (presently ULSE.org) and shall include information on how to become involved in the activity and/or consensus body. Other means of notification such as sharing on social media channels, including in newsletters, and issuing press releases, shall also be considered but ULSE has sole discretion to determine whether to utilize such other means.

### 3.3 Proposal Stage

**3.3.1 Handling of Proposals** – All proposals submitted in accordance with 3.1 shall be reviewed by the TC chair and processed in accordance with the following options (1) send the proposal out for preliminary review, (2) send the proposal out for ballot, (3) assign to a task group or submitter for further development, (4) send the proposal back to the submitter, or (5) hold for discussion at a meeting. The TC chair also may add his/her comments to the proposal being sent out for preliminary review or ballot.

**3.3.2 Document for Preliminary Review** – If the TC chair decides to send the proposals for preliminary review prior to formal balloting to determine the level of support for a proposal or to sort out competing proposals then the results will be evaluated by the TC chair to determine the next step in accordance with 3.3.1.

**3.3.2.1 Preliminary Review Comment Period** – Proposals sent out for preliminary review will have a notice with the comment period specified, generally a minimum of two weeks following the publication or posting of the document. Comments must be submitted via ULSE CSDS by the comment deadline. Comments are collected and forwarded to the TC chair to determine the appropriate course of action (usually forwarded to the proposal submitter for consideration). The preliminary review comments will not receive responses. Where the preliminary review comments are forwarded to the proposal submitter for consideration, if the proposal submitter does not provide the TC chair with confirmation of their final proposal (whether adjusted in response to preliminary review comments or maintained without changes) within the timeframe given by the TC chair, then the proposal is considered withdrawn.

**3.3.3 Public Review** – All proposals that are for balloting (including substantive changes resulting from a TC ballot or public review) shall be subjected to a public review before approval. The public review shall be announced in *ANSI's Standards Action* and announced to ULSE stakeholders for the involved Standard. All comments received as a result of public review are handled in the same manner as comments attached to ballots. They will be addressed, circulated if a continuing objection and given the right to appeal. Extension requests from public review participants will not normally be granted, except under special circumstances as approved by the TC chair.

**3.3.3.1 Timing** – The public review is usually conducted concurrently with the TC ballot, but it may be conducted before or after the TC ballot. If the TC is balloted before public review and the proposal does not achieve consensus, then public review need not be conducted. The amount of time given for public review shall be in accordance with *ANSI's Essential Requirements*. Comments received after the closing date shall be handled as a new proposal and shall be considered at the next standards activity.

**3.3.4 TC Consideration of Proposals Prior to Official Balloting** – In cases where the TC chair determines that proposals need to be discussed prior to the official balloting, the TC chair may call a TC Meeting or handle in accordance with 3.3.2. The following approach shall be used for voting on the disposition of proposals at the TC meeting when the TC chair deems voting is necessary. This approach shall also be used when there are competing proposals on the same topic.

The project manager shall provide the agenda which would include the proposals, and the TC shall be notified that the agenda is available. During the meeting, the proposals will be discussed, and a preliminary disposition of the proposal will be determined. This will allow decisions to be made such as eliminating competing proposals and sorting out proposals that have no support from those that should be balloted. The vote at the meeting should be for the following:

- a) Accept the proposal as presented,
- b) Accept the proposal with changes, or
- c) Reject the proposal.

Acceptance of the recommended TC action requires an affirmative vote of a majority of those TC members in attendance.

To follow up with the official ballot of the recommended TC action, a proposal review work area in CSDS is to be generated. This proposal review work area is to be comprised of the proposals and the recommendation of the TC from the meeting as to whether to accept, accept with changes, or reject a proposal, with the justification for each action, as well as a ballot. In this situation, the TC is not voting on the merit of each proposal (that was already done at the meeting) but they are casting their ballot as to whether or not they agree with the proposed action.

All submitters of proposals to be considered at the TC meeting will be invited to the meeting. In addition, they will be copied on the proposal review work area.

**3.3.4.1 Proposals Presented at Meetings** – Any new proposals submitted at a meeting can be included if time permits or handled at the next revision project.

**3.3.5 Balloting on Proposals** – Consensus on the recommended TC action shall be reached by ballot of the TC.

**3.3.5.1 Ballot Period** – The minimum ballot period for a consensus vote is 14 calendar days. The ballot period may close earlier if all ballots have been returned. Normally a follow-up to non-respondents is issued prior to the ballot closing date. The ballot period may be longer for complicated proposals or review of a full standard.

**3.3.5.2 Ballot Period Extension** – At the TC chair's discretion at end of the ballot period if sufficient votes are not returned to achieve consensus, the ballot period can be extended to allow for additional ballots to be returned.

In addition, TC members may request one ballot period extension before the close of the ballot period. Normally, the TC chair should work to limit the extension periods to no more than half the original ballot period to maintain a timely standards development process.

**3.3.6 Subjects Appropriate for Comment** – Comments shall be confined to proposals under consideration for action. The TC chair has the discretion to determine if a comment is appropriate to the proposal.

- a) Any comments not related to the proposal being balloted are considered non-germane. The submitter will be notified of this action and asked to submit the comment as a new proposal via the proposal request form in CSDS. These ballots will not be circulated to the TC unless there are germane comments also accompanying the ballot, then only the germane portion of the comments will be circulated.
- b) Any comments on certification issues related to the proposals under consideration are considered non-germane and outside the scope of the ANSI accredited process. These comments will be addressed and responded to but will not be recirculated to the TC unless there are germane comments also accompanying the ballot, then only the germane portion of the comments will be circulated. The commenter will not be notified of the right to appeal. Examples of certification issues are issues that relate to conformity assessment services, such as comments on effective dates, file reviews, certification labeling, or ongoing conformity assessment services.
- c) If the comments that accompany a negative ballot are considered non-germane (as defined in items a and b), the ballot will be considered as a negative non-germane vote.

The ballot instructions shall reflect how these issues will be handled.

**3.3.7 Content of Comments** – Each comment shall include the following:

- a) Identification of the submitter and his or her affiliation (i.e., TC, organization, company),
- b) Identification of the Document and paragraph of the Document and the proposal to which the Comment is directed, and
- c) Statement of the position with respect to the proposal and the substantiation of that position.
- d) If applicable, the proposed revision corresponding to the comment received.

A Comment that does not include all the required information listed above may be considered incomplete and will not be considered by the TC.

### **3.4 TC Consideration of Comments Received During the Ballot Stage**

**3.4.1 Responses** – All timely comments, other than those accompanying abstentions, received on the proposals under consideration, whether accompanying a TC member's ballot or from a public review participant, shall receive a written response (including electronic communication) indicating what action will be taken on the commenter's concerns. If a comment is not accepted, a reason shall be given. The response will be posted in CSDS and is viewable to the TC and any public review participant.

**3.4.2 Drafting Responses** – At the TC chair's discretion, comment resolution shall be handled one of three ways: (1) recorded by the TC project manager as a result of discussion by the TC, (2) assigned to a task group, (3) assigned to the submitter of the proposal under consideration, or (4) assigned to other individuals(s). If the comment responses are not drafted within the timeframe given by the TC chair, then the proposal is considered withdrawn.

**3.4.3 Comment Resolution at Meetings** – Before holding a TC meeting for comment resolution, the ballot results and comments, including public and subscriber review, shall be made available. Proposal submitters and public review participants who have submitted a comment shall also be invited to attend the meeting. At the meeting, the comments are discussed, and an agreement reached on the disposition and any substantive changes. There are no quorum requirements for this type of meeting. The proposed resolution is handled like any other recirculation (see 3.4.7).

**3.4.4 Guidelines for Action on Comments** – The guidelines in 3.4.5 apply when determining action on each Comment. Action on each Comment shall be taken provided the Comment is relevant to the proposal and meets the provisions of 3.3.6.

**3.4.5 Actions on Comments** – One of the following actions as described below shall be taken on each Comment:

- a) Accepting the Comment,
- b) Rejecting the Comment,
- c) Accepting the Comment in principle but with changes in the proposed wording,
- d) Accepting the Comment in part,
- e) Accepting the Comment in principle and in part,
- f) Acknowledging the comment (when the commenter agrees with the proposal), or
- g) Answering the comment (when the comment poses a question but doesn't advocate a particular technical revision).

The action on Comments “accepted in principle,” “accepted in part,” “accept in principle in part,” “rejected,” or “answered” shall include a statement, preferably technical in nature, on the reason for the action. Such statement shall be sufficiently detailed to convey the rationale for the action.

**3.4.6 Substantive Changes** – As a result of balloting and public review, changes may be made to the proposals under consideration. If the changes are editorial, no further balloting or public review is needed. If the changes are substantive, then the changes shall be recirculated to the TC in accordance with 3.4.7 and shall be posted in *ANSI Standards Action* for public review.

**3.4.7 Recirculation of Negative Votes, Negative Comments from Public Review Participants, and/or Substantive Changes** – The following guidelines reference to how to recirculate negative votes, negative comments from Public Review Participants and substantive changes.

**3.4.7.1** Comments accompanying negative votes and negative comments from public review participants along with attempts at resolution, shall be reported to the TC for a minimum two-week period if there are no substantive changes made to the proposals as a result of those comments, allowing the TC to read the comments and responses and respond, reaffirm, or change their votes. This also applies to negative comments from TC members added after the start of the ballot period.

**3.4.7.2** Any substantive changes made to the proposal as a result of the comments described in 3.4.7.1 are recirculated to the TC and announced in *ANSI Standards Action* for a minimum four-week period to provide the members with the opportunity to respond, reaffirm, or change their vote and for public review comment.

**3.4.7.3** The following information will be available:

- a) Number of members eligible to vote
- b) Number voting in the affirmative
- c) Number voting in the negative
- d) Number of negative votes considered non-germane
- e) Number voting in abstention
- f) Number of members who have not returned ballots.

**3.4.7.4** If a vote is changed to negative as a result of the recirculation activities described in 3.4.7.2 and 3.4.7.3, then a reason for the negative vote shall be provided. If the reason provided is determined by the TC chair to be non-germane, then the vote will be counted and reflected as negative non-germane.

**3.4.7.5** If a voter does not respond to the recirculation activities described in 3.4.7.2 and 3.4.7.3 within the stated period, the original vote shall stand.

**3.4.7.6** If during the recirculation period (and public review period in the case of substantive changes to the proposal), additional comments are received, they should be handled as follows:

- a) If from TC members (other than those who were added after the close of the initial ballot), a response shall be issued to the comments, but no further recirculation is needed nor additional notification of right to appeal. This also applies to a subscriber or public review participant who had previously commented.
- b) If from public review participants who had not previously commented or from TC members added after the close of the initial ballot, the comment if it is germane to the substantive change shall be responded to and the comment shall be recirculated to the TC including the notification of right to appeal. If a TC member changes their vote to negative in this situation, no additional notification of right to appeal for the TC member is needed.

**3.4.7.7** At the end of the recirculation period(s), consensus as defined in 2.3.4.6 must be maintained for the Proposal Document to be approved. In addition, the TC must be notified whether the proposal has failed or has consensus and will be adopted and published in the standard.

**3.4.8 Segmenting Document for Consensus Balloting** – The decision to segment the Document (i.e., ballot or process the Document other than as a whole) shall be made by the TC chair.

**3.4.9 Notice of Right to Appeal** – All those participants with continuing objections, shall be notified in writing (includes electronic communication) of their right to appeal. The notification of the right to appeal will normally be included in the recirculation documentation (but may also be included in other correspondence) and will notify the unresolved objectors that they have the right to appeal on procedural issues, direct them to the website/URL where the appeals procedures are located, and provide a minimum response date of two weeks to file an appeal.

## **4 Handling of Provisional Requirements and Other Special Circumstances**

**4.1 Provisional Requirements for UL Standards** – When a situation arises that demands immediate attention, it may be necessary to take action before the full consensus process runs its course. This can be handled through the provisional standard procedure.

**4.1.1 Conditions** – The procedure for the issuance of Provisional American National Standard (ANS) or Provisional Amendment to an American National Standard may be utilized when all three of the following circumstances exist:

- a) When implementation of the Provisional ANS or Amendment may result in an improvement to the safeguarding of life, and there is a well-established need for the prompt dissemination of information that addresses an emergency situation or other special circumstances;
- b) When the use of ULSE Inc. ANSI Accredited Procedures would cause an undue delay in the issuance of a related standard; and

c) When ULSE supports the development of a Provisional ANS or Amendment with the intention of initiating, during the next revision cycle after the approval date, the processing of the standard or amendment in accordance with ULSE Inc. ANSI Accredited Procedures, including ANSI public review in *Standards Action* and consensus body ballot.

**4.1.1.1 Public notice and public review** – An announcement identifying the standard and describing the circumstances that warrant the issuance of a Provisional ANS or Amendment shall be provided to ANSI in a timely manner for publication in *ANSI's Standards Action*. The requirements for public review do not apply under these circumstances.

**4.1.1.2 Minimum TC ballot period** – The ballot period shall not be less than two weeks.

**4.1.1.3 Consensus** – Consensus exists if 2/3 of the TC members voting, minus abstentions, vote in favor of the Provisional ANS or Amendment.

**4.1.1.4 Comment resolution** – All comments received shall be circulated to the TC to afford all members an opportunity to respond, reaffirm, or change their vote. A minimum associated period of not less than one week is required. An attempt to resolve the comments received relative to the Provisional ANS or Amendment is not required.

**4.1.1.5 Final Action on a Provisional ANS** – If consensus is not achieved on the need for a provisional ANSI requirement an oversight panel shall review the voting record, the TC recommendation, and all documentation of the safety issues involved and make the decision on whether to:

- a) Issue the proposed Provisional ANS or Amendment as proposed,
- b) Reject the proposed Provisional ANS or Amendment in accordance with the TC vote, or
- c) Return the proposed Provisional ANS or Amendment to the TC for processing as a routine proposal.

The panel shall consist of members of the Appeals Panel. A majority vote is needed to override the TC vote and approve the issuance of a provisional ANSI requirement.

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

**4.1.1.7 Approval notification to ANSI** – Notice of the approval of a Provisional ANS or Amendment by ULSE shall be submitted to ANSI within 5 calendar days of the approval of the document. The notice shall include the designation and title of the document, the approval date, and a certification that ULSE has followed these Procedures. An informational announcement shall be published in *Standards Action*.



**4.1.1.8 Processing the Provisional ANS or Amendment as an American National Standard** – ULSE shall initiate the processing of the Provisional ANS or Amendment as an ANS within 45 calendar days of its approval date (regardless of whether or not the Standard is on a revision cycle). This processing shall be in accordance with the ULSE Inc. ANSI Accredited Procedures and shall include ANSI public review in *Standards Action* and consensus body ballot.

**4.1.1.9 Withdrawal** – A Provisional ANS or Amendment shall exist for no longer than two years from the date on which it is approved. If consensus is achieved and the standard or amendments are published as an ANS, the Provisional ANS or Amendments are superseded and shall be withdrawn. If consensus is not achieved, the Provisional ANS or Amendment shall be withdrawn at that time, but no later than two years from the date on which it is approved as a Provisional ANS or Amendment. A notice of the withdrawal shall be published in *ANSI's Standards Action*.

**4.1.1.10 Identification of document as a Provisional ANS** – The requirements promulgated in connection with these Procedures shall be referred to as a Provisional American National Standard or Provisional Amendment, respectively, and identified clearly as such on the cover or title page. In addition, a standard processed as a Provisional American National Standard shall be identified by a unique alphanumeric designation in accordance with the following guidelines:

ANSI/UL 123 (PS), where 123 reflects the standard number.

And an American National Standard with a provisional amendment (revision) shall be identified as follows:

ANSI/UL 123 (PA)

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

“This document or some of the information contained in this document has been processed in accordance with ULSE’s requirements for a Provisional American National Standard or Provisional Amendment to an ANS. The same or similar document or amendment (as applicable) will undergo the standards development process set forth in ULSE Inc. ANSI Accredited Procedures. This Provisional ANS or pertinent Provisional Amendment(s) shall be withdrawn on or before the two-year anniversary date of its approval as such.”

The ANSI approval logo and the words “an American National Standard” shall not be used to identify any part of a standard that has not received ANSI approval.

**4.2 Proposals with Legal or Safety Risks** – ULSE reserves the right to reject a proposal submitted for a standard if, in the exercise of ULSE’s judgment, the publication of the proposed requirements would pose an overriding safety hazard or a legal risk for ULSE. If the decision is made to reject a proposal, ULSE will respond to the request with a letter that explains the safety or legal reason for not processing the proposal. Such a decision is final (not appealable).

**4.3 Discontinuance of a Proposal** – For a proposal that is going through the consensus process and may have undergone balloting and public review, if ULSE determines that the proposal will present an overriding safety hazard or a legal risk, ULSE will cease processing the proposal and promptly notify the consensus body of the reasons for the action. If the proposal has already gone through public review, ULSE will notify ANSI and post a notice in *Standards Action* that it is abandoning the proposal and that the readers should contact ULSE for more information on the reasons. Any written request received within sixty days of the action will be provided with the reason for abandoning the proposal. The decision by ULSE to abandon a proposal is final but may be appealed to the ANSI Executive Standards Council based on procedural noncompliance.

## **5 Appeals**

### **5.1 General**

5.1.1 These procedures govern the impartial handling of administrative appeals received by parties who are directly and materially interested in and who have been or will be adversely affected by any procedural action or inaction by ULSE with regard to the development of a proposed American National Standard or the revision, reaffirmation, or withdrawal of an existing American National Standard.

5.1.2 Administrative appeals are the only type of appeals that are accepted.

5.1.3 If an appeal request is received during an open ballot, publication of affected material will be put on hold until the appeal is resolved.

5.1.4 If a hearing is held, appeals may only be sustained by approval of a majority of the Appeals Panel present at the hearing.

### **5.2 Appeal Types**

5.2.1 There are two types of administrative appeals:

- a) An administrative appeal on procedural issues. These are issues based on any assertion that ULSE's ANSI Accredited Procedures or ANSI essential requirements were not followed.
- b) An administrative appeal on membership issues. These are issues based on the acceptance or denial of an individual's TC membership application by the TC chair, or with regard to interest category classification by the TC chair.

### **5.3 Appeals Panel**

5.3.1 ULSE retains an impartial Appeals Panel, representing a variety of interests, to hear all appeals. Appeal Panel members shall be impartial and not directly and materially affected by the decision. The Appeals Panel will have both an Appeals Panel Chair and a Secretary. If a hearing is held on an appeal: (a) Attendance by a majority of the panel members is required; and (b) if the Appeals Panel Chair is unable to

participate in the hearing, another panel member must be appointed as temporary Appeals Panel Chair before the hearing is held. The appellant will be given the opportunity to claim a conflict of interest for any Appeals Panel member. The reason for the appellant's claim of conflict of interest and the involved Appeals Panel member's response will be reviewed by the Appeals Panel Chair for a decision on the merits of the claim.

5.3.2 ULSE staff shall not serve as a member of the Appeals Panel, but a ULSE staff member will serve as the Appeals Panel Secretary.

5.3.3 Appeal Panel members shall be appointed for a term of three years and shall be eligible for reappointment for two additional 3-year terms, for a total of three consecutive terms.

## **5.4 Filing an Appeal**

5.4.1 For an appeal other than membership issues per 5.2.1(b), participants are informed of their right to appeal during the recirculation process. This notification allows an objector (appellant) 14-45 calendar days to file an appeal, depending on the length of the recirculation. For an appeal related to membership issues, the appeal shall be submitted within 14 calendar days of notification of membership decision by ULSE. A fee of \$1000 will be charged for processing an appeal request if an appeals hearing is granted. This fee may be waived or reduced upon presentation of evidence by the appellant showing hardship.

5.4.2 Objectors shall notify the TC project manager of their desire to file an appeal on or before midnight Central Time of the end of the recirculation ballot period. When notified that an objector (an appellant) wishes to appeal, the TC project manager will contact the appellant generally within five calendar days to acknowledge the request. The appellant must file an appeals package that both provides the basis for the appeal (clauses in the ULSE ANSI Accredited Procedures or ANSI essential requirements which the appellant believes were not followed) and provides supporting reasons for the appeal to be sustained. Upon receipt of the appeals package, the TC project manager will confirm whether it is complete. If the appeals package is not complete, the TC project manager shall advise the appellant to provide this documentation within three weeks of their notification or the appeal will not be sustained.

5.4.3 The TC chair will review the appeals package and assign an individual or group (the "respondent") to provide a rebuttal to the appeal on ULSE's behalf. The TC chair can be assigned to provide the rebuttal. The assignment may be modified by the TC chair at any time during the appeal. Within 14 calendar days of the assignment, the rebuttal should be submitted to the Appeals Panel Secretary with the appeals package.

5.4.4 Upon request the respondent may request up to a 14-calendar day extension, which shall be granted by the Appeals Panel Secretary. Further extensions of time may be granted by the Appeals Panel Chair only upon a showing of just cause and lack of prejudice to the appellant.

## **5.5 Handling an Appeal Request**

5.5.1 The Appeals Panel Secretary will forward the complete documentation (appeal request and rebuttal) to the Appeals Panel Chair. The appellant and the respondent will be copied on the correspondence from the Appeals Panel Secretary. The Appeals

Panel Chair should render a decision per 5.5.2 within 14 calendar days or may request an extension up to 14 calendar days that should be granted.

5.5.2 The Appeals Panel Chair has three options:

- a) The appeal may be dismissed without a hearing if the Appeals Panel Chair deems the appeal is an Inappropriate Appeal (see 5.5.3) or is otherwise not in accordance with 5.2.1.
- b) The complete documentation may be sent to the entire Appeals Panel to allow the panel to decide if a hearing is warranted or unwarranted for the reasons referenced in 5.5.2(a).
- c) An appeals hearing may be granted.

5.5.3 An Inappropriate Appeal is defined as a purported procedural issue appeal under 5.2.1(a) that is based on issues of a technical nature or material not under consideration by the ballot.

5.5.4 If an appeal is dismissed by the Appeals Panel Chair without a hearing pursuant to Section 5.5.2(a), the appellant may request that the determination be reviewed by the entire Appeals Panel. The appellant shall submit this request within 14 calendar days of the decision by the Appeals Panel Chair. In this case, a majority vote of the Appeals Panel members who return a ballot is required to overturn the decision of the Appeals Panel Chair, in which case the appeals hearing will be held.

5.5.5 If an appeal is dismissed by the Appeals Panel Chair without a hearing pursuant to Section 5.5.2(a), with the dismissal either affirmed or never reviewed by the entire Appeals Panel under Section 5.5.4, or if the Appeals Panel decides no hearing is warranted pursuant to Section 5.5.2(b), then the Appeals Panel Secretary will record the decision, the reasons for the decision, and any other related information. The record of the decision shall be reviewed by the Appeals Panel Chair, the VP of Standards Development of ULSE, and ULSE Legal Counsel before being sent to all involved parties.

## **5.6 Appeal Hearing**

5.6.1 A face-to-face hearing or hearing via teleconference shall be scheduled for a date within 90 calendar days of the decision to hold an appeal hearing. If the appellant, respondent, and Appeals Panel cannot determine an agreeable date within 90 calendar days, the appeal may be handled via correspondence.

5.6.2 The Appeals Panel Secretary shall serve as the Recording Secretary during the appeal hearing.

5.6.3 During the hearing, each side may have up to three speakers, and each side is allowed 30 minutes to present its argument (this includes rebuttal time). The Appeals Panel Secretary will keep track of the allotted time. Observers approved by the Appeals Panel Chair may be present during the hearing but are not permitted to speak.

5.6.4 The appellant shall present its case first, followed by the respondent. Each side is then allowed to respond until their total allotted time is exhausted. Following the presentations from each side, and any rebuttals, the Appeals Panel may ask questions of both parties. Each party shall limit its answer to the scope of the question.

## **5.7 Appeal Decision**

5.7.1 At the conclusion of the appeals hearing, both parties shall be informed that a written decision will be issued within 30 calendar days, and both parties are then dismissed. The Appeals Panel will enter into executive session to determine the outcome of the appeal. Decisions of the Appeals Panel to sustain or reject an appeal shall require a majority vote of the panel.

5.7.2 The Appeals Panel Secretary will record the decision of the Appeals Panel, which will include the decision to sustain or reject the appeal, the reasons for the decision, and any corrective actions required. The recorded decision of the Appeals Panel shall be reviewed by the Appeals Panel Chair, the VP of Standards Development of ULSE, and ULSE Legal Counsel before being sent to all involved parties.

5.7.3 The decision of the Appeals Panel is binding and there are no further levels of appeal within ULSE's ANSI Accredited Procedures.

## **6 Development and Revision of Co-Published Standards**

**6.1 Commitment to Co-Publication with Other Organizations** – ULSE is committed to harmonization of requirements and co-publication of certain standards with other SDOs when in the interest of the involved parties.

**6.2 Harmonization Committee** – For harmonization efforts, a harmonization committee or other coordinating body exists to make recommendations on the technical content of the requirements, including reviewing submitted proposals and comment resolution, to the involved SDOs. Those proposals or proposed comment dispositions are then balloted through the TC. Note that it may be necessary for an SDO to work with the Harmonization Committee to improve or revise the proposals or proposed comment dispositions before sharing them with the TC. ULSE has the right to forward a proposal not accepted by the Harmonization Committee to the TC for comment or ballot.

## **7 Formal Interpretations**

**7.1** While ULSE does not provide formal interpretations on the meaning or intent of a requirement in a published UL standard, TC members and other stakeholders are encouraged to submit proposals when a standard requirement is unclear and may contact the TC chair for additional guidance.

## **8 Administrative Issues**

**8.1 ANSI/UL Standards Patent Policy** – ULSE complies with the ANSI Patent Policy as set forth in the most current version of the *ANSI Essential Requirements*.

**8.2 Commercial Terms and Conditions** – ULSE complies with the ANSI policy on commercial terms and conditions.

**8.3 Record Retention** – Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning actions on ANSI/UL Standards, or a part(s) of an ANSI/UL Standard, maintained under the continuous maintenance option shall be retained for a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard. Records concerning action on ANSI/UL Standards maintained under the periodic maintenance option shall be retained for 10 years.

Records concerning withdrawals of all ANSI/UL Standards shall be retained for a minimum of five (5) years from the date of withdrawal.

**8.4 Withdrawal of Approval** – If ULSE decides to withdraw ANSI approval of a Standard or revision for whatever reason, it shall so inform the TC and active Task Groups for that standard and provide the reason. ULSE will also announce the withdrawal in *ANSI Standards Action*. The decision by ULSE to withdraw approval is not appealable to ULSE.

**8.5 Editorial Changes** – Editorial changes may be made at any time without a requirement for ballot.

**8.6 Availability of TC Materials to the Public** – Agendas and supporting materials, including comments and proposals and any other materials distributed to the members for consideration by the TC, shall be made available to interested members of the public upon reasonable request in writing.