

AMERICAN WIND ENERGY ASSOCIATION

Standard Development Procedures

AWEA Wind Standards Committee

Revision Approved
6/2/2015



1. **General Purpose** - These procedures contain requirements and guidance for use by the American Wind Energy Association (AWEA) Wind Standards Committee (WSC) and its committees to organize staff and administer their activities associated with the development and maintenance of AWEA Standards. These procedures are intended to comply with the guidelines listed in the document: "*ANSI Essential Requirements: Due process requirements for American National Standards*". AWEA is the ANSI-Accredited Standards Developer (ASD) for consensus wind energy standards in the United States.
2. **Organization and General Responsibilities**
 - 2.1. **Wind Standards Committee (WSC)** – The consensus body responsible for the development and maintenance of proposed American National Standards (ANS), recommended practices (RPs), or technical reports (TRs), per ANSI Essential Requirements. The WSC, consisting of sufficiently diverse members, delegates and contributing members to ensure reasonable balance;
 - 2.1.1. **Responsibility** – The WSC shall:
 - 2.1.1.1. Develop standards, RPs, or TRs within its charter.
 - 2.1.1.2. Maintain standards, RPs, and TRs within its charter.
 - 2.1.1.3. A request for extension for a standard maintained under continuous maintenance may be submitted to ANSI within five years after its latest approval date, but the standard shall then be maintained under periodic maintenance.
 - 2.1.1.4. Achieve and document consensus for the action proposed on a standard.
 - 2.1.1.5. Ensure that duplication of standards is minimized.
 - 2.1.1.6. Make good faith efforts to resolve potential conflicts between existing American National Standards and candidate American National Standards.
 - 2.1.1.7. Provide for interpretations of standards, RPs, and TRs within its charter, as applicable.
 - 2.1.1.8. Report status of standards, RPs, and TRs within its charter at least annually to the SDB.
 - 2.1.1.9. Approve membership of the subordinate groups reporting to it.
 - 2.1.1.10. Report membership of subordinate groups to the SDB.
 - 2.2. **Secretariat** – AWEA staff shall serve as the Secretariat for the Wind Standards Committee (WSC). The Secretariat is subordinate to the SDB Chairperson, acting as liaison to AWEA, with the following additional responsibilities:
 - 2.2.1. Apply for accreditation as an American National Standards Developer to ANSI and maintain accreditation in accordance with ANSI requirements.
 - 2.2.2. Maintain a current and accurate WSC and subordinate groups' rosters and shall distribute it to the members at least annually and otherwise on request. The roster shall include the following:
 - 2.2.2.1. Title of the Committee and its designation;
 - 2.2.2.2. Scope of the Committee;
 - 2.2.2.3. Secretariat - name of organization, name of secretary and address(es);
 - 2.2.2.4. Officers - Chairman and Vice-chairman;
 - 2.2.2.5. Members - name of organization or agency, its representative and alternate(s) (as applicable), addresses and business affiliations; or name,
 - 2.2.2.6. Address and business affiliation of individual member(s). The organization or agency shall also provide an information contact
 - 2.2.2.7. Key contact at the headquarters address;
 - 2.2.2.8. Classification of each member;
 - 2.2.2.9. Tally of classifications - total of voting members and subtotals for each interest category;
 - 2.2.2.10. For each subordinate group - title, chairman, and names and addresses of all members.
 - 2.2.3. Maintain a list of standards, RPs, and TRs for which the WSC is responsible.

- 2.2.4. Provide a WSC secretary to perform administrative work, including secretarial services; meeting notices and arrangements; preparation and distribution of meeting agendas, minutes, ballots and draft standards, RPs and TRs; and maintenance of adequate records (See section 4.3 – Recordkeeping).
- 2.2.5. Submit candidate standards approved by the WSC, with supporting documentation, for ANSI review and approval as standards, RPs or TRs.
- 2.2.6. Publish or arrange with ANSI for publication of its standards, RPs, or TRs, revisions and addenda.
- 2.2.7. Perform other administrative functions as required by these procedures.
- 2.3. **Standard Development Board (SDB)** - The SDB shall consist of its members and the Secretariat. The membership shall be sufficiently diverse.
 - 2.3.1. **Responsibilities** - The SDB shall:
 - 2.3.1.1. Take the appropriate action to attest that these procedures have been followed and that the requirements set forth in these procedures have been met, including but not limited to:
 - 2.3.1.1.1. Overseeing the development of proposed standards, RPs, and TRs by the Wind Standards Committee (WSC).
 - 2.3.1.1.2. Overseeing the approval process for proposed standards, RPs and TRs.
 - 2.3.1.1.3. Maintaining the standards, RPs, and TRs developed by the WSC.
 - 2.3.1.1.4. Reviewing each standard within its scope at least every five years and determine the appropriate recommendation for (a) reaffirmation, (b) revision, or (c) withdrawal.
 - 2.3.1.1.5. Coordinating and responding to requests for interpretations of the standard(s), RPs and TRs developed by the WSCs.
 - 2.3.1.2. Adopt procedures and revisions thereof as necessary for the proper administration of the SDB.
 - 2.3.1.3. Oversee the assignment of subordinate groups for the development of proposed standards actions.
 - 2.3.1.4. Other matters requiring SDB action as provided in these procedures.
 - 2.3.2. **SDB Membership and Requirements**
 - 2.3.2.1. Members will represent each membership category of the WSC.
 - 2.3.2.2. The WSC recommends, with a majority vote approval, members to the SDB for appointment for a term not exceeding three (3) years.
 - 2.3.2.3. Members are eligible for reappointment, not to exceed three (3) consecutive terms.
 - 2.3.2.4. Selection shall include consideration of the business interest of the employer, if any, who supports the member's SDB participation, as well as the type of experience or expertise the individual, brings to the SDB.
 - 2.3.2.5. The SDB shall be comprised of no fewer than twelve (12) and no more than twenty (20) individuals. This size limitation will be revisited no less than every two years and could be adjusted based on level of interest, expertise and need to maintain balance. SDB members do not have alternates for SDB business.
- 2.4. **AWEA Board of Directors** – The AWEA Board of Directors function shall be of an advisory and oversight nature to the Wind Standards Committee (WSC) and Standard Development Board (SDB)
 - 2.4.1. **Responsibilities** – The AWEA Board of Directors shall:
 - 2.4.1.1. Ensure the Wind Standard Committee's compliance with these standard development procedures.
 - 2.4.1.2. Confirm the appointment of the Standard Development Board (SDB) Chairperson.
 - 2.4.1.3. Confirm the standard development procedures adopted by the SDB.
 - 2.4.1.4. Provide guidance and serve as advisors as needed.

3. WSC Membership

- 3.1. Membership of the WSC shall consist of organizations (preferably national in scope), companies, government agencies, individuals, users, etc., having an interest in wind energy standards development.
- 3.2. The addition of members shall be subject to approval by majority vote of the WSC after the membership application has been processed in accordance with these procedures. Termination of members will be handled similarly.
- 3.3. Individuals are not permitted to represent more than one organization or entity on the consensus body.
- 3.4. Representation of an absent member of a WSC may be by an alternate.
- 3.5. **Alternate** - An alternate is a person who attends meetings or intends to vote in place of the member on standards actions.
 - 3.5.1. WSC members shall propose their alternate in the event they are unable to participate on standard action or meetings.
 - 3.5.2. An alternate shall be from the same interest classification as the member represented or shall have an interest classification that maintains the required balance. An alternate has all the privileges of a member during the period of his/her service in this capacity. Such service by an alternate automatically terminates written request of the WSC member to the Secretariat or when the member is no longer on the WSC.
- 3.6. **Categories** - In order to establish balanced representation for developing evidence of consensus on standards, WSC members shall be classified in accordance with the business interests of their primary source of support for WSC participation. Alternates shall not be counted in determining the balance of the WSC. The classification system and the classifications assigned to members shall be proposed by the WSC, shall be subject to approval by the SDB, and shall be included in the supplement to the procedures. Categories shall be updated from time to time to ensure proper representation of the broader wind energy market in the standards development process as the breadth of standards development work changes.
 - 3.6.1. No single category shall have a majority on the WSC dealing with product standards except with the recorded approval of the other classifications and the approval of the SDB.
 - 3.6.2. If a member's classification changes because of a change in employment or another reason, action shall be taken by the WSC to:
 - 3.6.2.1. reaffirm the member to complete the present term, or
 - 3.6.2.2. reappoint the member for a full term, or
 - 3.6.2.3. Terminate the membership.
 - 3.6.3. The effects of the member's changed classification on the balance of interest for the WSC shall be considered.
- 3.7. **Balance** - The membership shall be sufficiently diverse to ensure reasonable balance, without dominance by a single interest category as required by the ANSI document, "*ANSI Essential Requirements: Due Process for American National Standards.*" The goal of the membership requirements is to have no single interest category constituting more than one-third of the membership on the consensus body.
 - 3.7.1. The WSC will strive to maintain a balance of interests of its consensus bodies (i.e. no single category represents more than one-third of the consensus body). If there is an interest category constituting more than one-third on the consensus body, the WSC, through the Secretariat, will conduct outreach to underrepresented categories.
- 3.8. **Application** - A request for membership shall be addressed to the Secretariat, shall indicate the applicant's interest in the WSC's work and qualifications and willingness to participate actively, and, if the applicant is an organization, company or government agency, shall identify (a) a representative, (b) an alternate(s), if desired, and (c) contact information.
 - 3.8.1. In recommending appropriate action to the WSC on applications for membership, the Secretariat shall consider the:
 - 3.8.1.1. Need for active participation by each interest category,

- 3.8.1.2. Balance of membership categories,
 - 3.8.1.3. Extent of interest expressed by the applicant and the applicant's willingness to participate actively, and
 - 3.8.1.4. Individuals are not permitted to represent more than one organization on the consensus body
 - 3.8.1.5. Upon successful completion of the application, the SDB shall present each applicant. The WSC must approve each applicant with a majority vote.
- 3.9. **Participation Requirements for Members** - Continuing membership on a WSC shall be based on active participation in WSC activities. All WSC members shall be required to complete the following three participation requirements for continued WSC membership:
- 3.9.1.1. Accept appointment to at least one WSC Subordinate group;
 - 3.9.1.2. Respond to at least 75% of letter ballots; and
 - 3.9.1.3. Attend annual meetings; missing two (2) consecutive meetings may result in termination of membership.
- 3.9.2. The Secretariat shall review the membership list annually with respect to these requirements.
- 3.9.3. Members are expected to fulfill attendance, voting, correspondence, and other obligations. Where a member is found in habitual default of these obligations, the Secretariat shall direct the matter to the SDB for appropriate action, which may include termination of membership.
- 3.9.4. Any termination of membership recommendation shall be presented and require a 2/3 vote by the WSC.
- 3.10. **WSC Member Responsibilities**
- 3.10.1. The duty of each member is to give thorough consideration to each subject brought before their WSC for action, to vote on approval or disapproval of each proposal, to contribute his/her expertise in the preparation of standards, to advise on personnel for membership on the WSC and subordinate groups, and to assist generally in carrying out the functions of the WSC.
 - 3.10.2. Such duties may be carried out by attendance at meetings when possible (attendance at meetings is encouraged but not required), by correspondence, and by telephone, teleconference, or other electronic means.
 - 3.10.3. Members failing to carry out their duties shall be subject to having their membership terminated.
 - 3.10.4. Members whose appointments have been terminated may appeal this action.
 - 3.10.5. Members are not eligible to vote on personnel, administrative actions, or editorial actions.
- 3.11. **Observers, Public, others –**
- 3.11.1. Members of the public may express their views on items being discussed but shall not have voting privileges. See additional requirements in the Meetings section of these procedures.
- 3.12. **Subordinate Groups** - The scope and duties delegated to the subordinate groups shall be approved at the time it is formed, and subsequent changes in scope or duties shall also require approval. Approval shall be by the WSC requiring the formation of the subgroup, and the SDB.
- 3.12.1. **Creation of Subordinate Groups**
- 3.12.1.1. When the Secretariat, SDB or an WSC determines a need to create one or more standing subordinate groups (subcommittees, technical subcommittees) to expedite standards development work, their formation (and later disbandment) requires approval by a majority vote of the associated WSC and the SDB.
- 3.12.2. **Responsibilities**
- 3.12.2.1. The subordinate group is responsible for the definitive content of one or more standard(s), RPs, or TRs and for responding to views and objections thereon. Such subordinate groups shall meet the requirements established within these procedures for the WSC.

- 3.12.2.2. The WSC may approve membership of the subordinate groups reporting to it (i.e., appointments, reappointments and terminations), or the SDB Chair may appoint the membership. Resignations from subordinate groups are reported to the WSC and SDB.
- 3.12.3. **Subordinate Group Officers -**
 - 3.12.3.1. Subordinate groups shall have a Chair. Subordinate groups may also have Vice Chairs. The Chair and Vice Chair shall serve no more than two consecutive three-year terms in each office. This limit can be exceeded for special circumstances if approved by at least 2/3 of the organizing body – SDB or WSC as appropriate. An example of a special circumstance is that there is no other qualified candidate who is willing to serve.
 - 3.12.3.2. The subordinate group chair shall:
 - 3.12.3.2.1. Maintain all documentation during the development of a standard document, including but not limited to:
 - 3.12.3.2.1.1. Roster of the subordinate group
 - 3.12.3.2.1.2. Record of votes, comments, and resolutions; and
 - 3.12.3.2.1.3. Meeting agendas and minutes.
 - 3.12.3.2.2. Ensure the WSC and SDB receives copies of all documentation.
 - 3.12.3.2.3. Notify the WSC and SDB of meetings of the subordinate group and facilitate all subordinate group meetings.
- 3.12.4. **Subordinate Group members**
 - 3.12.4.1. Members of subordinate groups shall be approved by the WSC or SDB as appropriate. The scope, duties and membership of all subordinate groups shall be generally the same as the requirements for the WSC, and additional requirements approved on establishment of the subgroup and reviewed by the WSC or SDB annually. The members of a subordinate group need not be members of the WSC.

4. GENERAL OPERATING PROCEDURES

4.1. Meetings -

- 4.1.1. Hold meetings or teleconference/electronic meetings as determined by the WSC or the Chairperson on behalf of the WSC. Teleconference meetings are encouraged to minimize travel and reduce the time it takes to complete actions.
- 4.1.2. WSC meetings shall be held, as decided upon by the WSC, SDB & Secretariat, or by petition of five or more members, to conduct business such as making assignments, receiving reports of work, considering draft standards, resolving differences among subordinate groups and considering views and objections from any source. Meetings of WSC or other subordinate groups may be held as decided upon by the members and chairman of the associated WSC or subordinate group & Secretariat.
- 4.1.3. Provide for meetings open to the public. Members of the public may express their views on items being discussed but shall not have voting privileges. However, a portion of a meeting may be in executive session, when considering subjects such as personnel, accreditation, certification, registration, litigation and other administrative matters. These portions of the meetings are considered private and are not open to the public.
- 4.1.4. At meetings, a quorum shall consist of at least 50% of the WSC membership eligible to vote. In the absence of a quorum, the minutes of the meeting and any voted action shall be subject to approval by a recorded vote of the membership. An alternate representing an absent member shall be deemed a member. If a quorum is not present, actions taken at a meeting are not official until approved by letter ballot or at a subsequent meeting, where quorum requirements have been met.
- 4.1.5. Taping of meetings and teleconferences is prohibited by any member, guests, or attendees. Only the Secretariat, who is a member of AWEA's staff, may be permitted to tape a meeting under certain guidelines.
- 4.1.6. The Secretariat shall provide a minimum of 45-day notice for annual meetings.

- 4.1.7. The Secretariat shall provide a minimum of 45-day notice for SDB meetings requiring travel.
- 4.1.8. The Secretariat shall provide 30 day notice of regularly scheduled teleconference/electronic meetings, which shall be given to the WSC and in other media designed to reach materially affected parties of the standards development process.
- 4.1.9. The notice shall describe the purpose of the meeting and shall identify a readily available source for further information. An agenda shall be available and shall be distributed in advance of the meeting to members and to others expressing interest.
- 4.2. **Parliamentary Procedures** - On questions of parliamentary procedure not covered in these procedures, Robert's Rules of Order (latest edition) may be used to expedite due process.
- 4.3. **Recordkeeping**
 - 4.3.1. The Secretariat shall maintain all recordkeeping of the SDB and WSC, which includes, but not limited to:
 - 4.3.1.1. Agendas and minutes of meetings;
 - 4.3.1.2. Official correspondences of the WSC and SDB;
 - 4.3.1.3. Membership rosters;
 - 4.3.1.4. WSC's and subordinate groups will ensure Secretariat is provided copies of all standards document actions, including but not limited to:
 - 4.3.1.4.1. Draft revisions of standards sent for comment;
 - 4.3.1.4.2. Documentation of comments received on standards documents and resolution of all issues raised during the standard development process.
 - 4.3.1.4.3. Voting results;
 - 4.3.2. Records shall be maintained by the Secretariat in accordance with AWEA policy and methodology for a minimum of ten (10) years.
 - 4.3.3. Records concerning withdrawals of standard documents shall be retained for at least ten (10) years from the date of withdrawal or for duration consistent with the audit schedule.
- 4.4. **Voting**
 - 4.4.1. Votes for standards actions shall be recorded by the Secretariat.
 - 4.4.2. All WSC members eligible to vote shall have an opportunity to vote. When recorded votes are taken at meetings, the WSC participants who are absent shall be given the opportunity to vote.
 - 4.4.3. Each member of the WSC shall vote one of the following positions:
 - 4.4.3.1. Affirmative;
 - 4.4.3.2. Affirmative, with comment;
 - 4.4.3.3. Negative, with comment;
 - 4.4.3.4. Abstain.
 - 4.4.4. WSC members casting disapproved or abstain votes or not voting responses shall provide written explanation. Disapproved votes should include an alternative action that will resolve their disapproved vote
 - 4.4.5. No representative shall have more than one vote. Proxy voting is not permitted.
 - 4.4.6. Authorization of Recorded Votes.
 - 4.4.6.1. A recorded vote may be authorized by any of the following:
 - 4.4.6.1.1. Subordinate group responsible for the standards action,
 - 4.4.6.1.2. An WSC, or
 - 4.4.6.1.3. SDB,
 - 4.4.6.1.4. A majority vote of those WSC participants present in a WSC meeting and eligible to vote
 - 4.4.6.1.5. Petition of five WSC participants.
- 4.5. **Voting Obligations**
 - 4.5.1.1. WSC participants eligible to vote or their designated alternate shall be obligated to vote on each committee action and are encouraged to vote as early as possible. Consistent failure to vote, or abstention from voting, shall be just cause for termination.

- 4.5.1.2. An alternate's vote shall be counted in the tally only if the corresponding WSC participant's vote is not submitted. In the event both the member and alternate vote, the member's vote takes precedence and the alternate's comment shall be considered in the same manner as a public comment.
 - 4.5.1.3. Members may change their vote at any time up until the closure of the vote.
 - 4.5.1.4. Votes received by the Secretariat after the recorded vote has been closed shall not be counted.
 - 4.5.1.5. At the close of the vote, the Secretariat shall submit a complete voting tally including the text of all disapprovals and comments to the SDB and the subordinate group.
 - 4.5.1.6. Proposed standards, RPs, and TRs shall be approved with at least two thirds affirmative vote of the WSC membership, excluding any "Not Voting" and "Disapproved without Comment" responses that receive no disapprovals of the standards committee membership.
- 4.5.2. Voting period**
- 4.5.2.1. The voting period for letter ballots shall end 30-days from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chairperson's option, when warranted. A follow-up letter requesting immediate return of the ballot shall be sent, as appropriate, to members and alternate members whose votes have not been received within ten (10) working days before the ballot closes.
 - 4.5.2.2. For standard, RP or TR-related actions taken at meetings, all members of the WSC shall be given the opportunity to vote, even if they cannot attend the meeting.
- 4.5.3. Actions requiring approval by majority**
- 4.5.3.1. The following actions require approval by a majority of the membership of the SDB whether at a meeting or by letter ballot:
 - 4.5.3.1.1. Confirmation of SDB members, and WSC or subordinate group officers;
 - 4.5.3.1.2. Formation of an WSC or subordinate group, including its scope;
 - 4.5.3.1.3. Disbandment of subordinate groups;
 - 4.5.3.1.4. Addition of new WSC members and designation of their interest categories;
 - 4.5.3.2. Other actions requiring the SDB approval may be approved by a majority of the members present at a meeting, including:
 - 4.5.3.2.1. Approval of minutes;
 - 4.5.3.2.2. Authorization of a letter ballot.
- 4.5.4. Actions requiring approval by 2/3 vote**
- 4.5.4.1. The following actions require a letter ballot or an equivalent formal recorded vote with approval by at least a majority of the WSC membership and at least two-thirds of those voting, excluding abstentions and unreturned ballots:
 - 4.5.4.1.1. Adoption of Committee procedures, categories of interests or revisions thereof;
 - 4.5.4.1.2. Approval of a standard, RP, or TR;
 - 4.5.4.1.3. Reaffirmation of an existing standard, RP, or TR;
 - 4.5.4.1.4. Approval of revision or addendum to part or all of a standard, RP, or TR;
 - 4.5.4.1.5. Approval of change of WSC scope;
 - 4.5.4.1.6. Approval of withdrawal of an existing standard, RP or TR;
 - 4.5.4.1.7. Approval of termination of the SDB and abdication of AWEA's standards writing body responsibilities.
- 4.6. Communication**
- 4.6.1. Correspondence of SDB officers should preferably be on "AWEA Wind Standard Committee" letterhead.
 - 4.6.2. If correspondence between subordinate groups or between working groups of different subordinate groups involves issues or decisions (i.e., non-routine matters) affecting other

subordinate groups, copies shall be sent to all affected subordinate group chairpersons and to the SDB.

4.6.3. Inquiries relating to the WSC should be directed to the SDB Chairperson, with copy to the Secretariat.

4.6.4. Written inquiries requesting interpretation of the WSC's approved ANS shall be responded to in accordance with these procedures. Revisions to the standard(s) resulting from requests for interpretation shall be processed in the same manner.

5. STANDARDS ACTION PROCESS

5.1. New proposed standard document

5.1.1. Standard development proposals shall be recommended to the SDB from SDB and WSC members or public interest. All proposals shall include:

5.1.1.1. a statement of purpose and scope,

5.1.1.2. a recommendation as to whether the proposed document should be an American National Standard (ANS), recommended practice (RP) or technical report (TR)

5.1.2. The WSC shall approve of such proposals with a 2/3 vote.

5.1.2.1. The Secretariat shall notify the standard development proposal author of the SDB's vote.

5.1.2.2. In the event the proposal was rejected, the notification will include justification of decision.

5.1.3. The WSC should consult any relevant international or regional guides that may impact the proposed standard document.

5.1.4. The WSC, through the Secretariat, shall notify relevant ANSI-Accredited U.S. TAG if a standard is intended to be submitted for consideration as an ISO, IEC or ISO/IEC JTC-1 standard.

5.1.5. At the acceptance of a proposal to develop a new standard, the SDB, through the Secretariat, shall notify ANSI using the Project Initiation Notification System (PINS) form, or its equivalent.

5.1.6. If comments are received within 30 days from ANSI's announcement of the PINS and the comments assert that the proposed standard duplicates or conflicts with an existing American National Standard or a candidate American National Standard announced previously by ANSI, the Secretariat will notify the SDB and associated WSC as applicable. The SDB will initiate actions to resolve the issue in accordance with the active version of the *ANSI Essential Requirements*.

5.2. Duplication or Assertion of Conflict

5.2.1. Any affected party may assert in writing to the Secretariat, within the 30-day publication date of a PINS announcement that a proposed standards document duplicates or conflicts with the development of an ANS or a candidate ANS that has been announced previously in ANSI's *Standards Action*.

5.2.2. Resolution of the duplication or conflict shall follow the procedures contained in the most recent version of *ANSI Essential Requirements*.

5.3. Standard document development

5.3.1. Standards documents include standards, RPs and TRs.

5.3.2. The WSC shall:

5.3.2.1. Approve a subordinate group to manage the development of the approved standard action;

5.3.2.1.1. The responsibility shall normally be assigned to the WSC responsible for the topic of the standard, RP or TR.

5.3.2.1.2. The WSC shall take responsibility, or authorize a subgroup per these procedures.

5.3.2.1.3. In the case where there is no obvious WSC established, the SDB shall authorize and establish a subgroup per these procedures.

5.3.2.2. Affirm or modify the statement of purpose and scope;

5.3.2.3. Notify the subordinate group chairperson of the statement of purpose and scope and direct the chairperson to develop the standards document.

5.3.2.4. The WSC, through the Secretariat, shall notify directly any materially affected parties;

5.3.3. The WSC or subordinate group shall develop the standard document.

5.4. Review and Comment

5.4.1. At appropriate stages of the development process, the WSC or subordinate group should provide access to draft proposals for review and written comment to materially affected parties, such as: the WSC, SDB, other subordinate groups, AWEA board members, AWEA members and members of the public who have expressed interest.

5.4.2. The WSC or subordinate group shall determine whether written comments received are substantive. Written comments received that are not related to the proposal under consideration shall be considered non-substantive. Resolution of all written comments shall be documented and shared as required by this procedure.

5.4.3. Substantive written comments will be considered and incorporated as appropriate by WSC or sub group responsible for the standards action.

5.4.4. The applicable WSC or subordinate group shall develop written responses to all comments, prepare a summary of comments and responses, and make the summary available. If significant changes are made to the draft standard document, the document shall be resubmitted for review and written comment either concurrent with, or followed by, a recorded vote. If the review and written comment is conducted prior to a recorded vote and the document has no changes or only non-substantive changes as a result of the written comments, the document shall be submitted to the WSC for vote.

5.4.5. All standards actions shall be forwarded to the SDB for review and written comment 45 days prior to WSC vote.

5.5. Public Review and Notice

5.5.1. All proposed, revised, reaffirmed or withdrawn standards shall be announced on the AWEA Web site for public review. A notification shall be included in AWEA publications that, at a minimum, directs interested parties to the AWEA Web site for the public review announcements, and provides instructions on obtaining copies of public review proposals. If the proposal is intended to be submitted to ANSI for approval, it shall also be announced in ANSI's *Standards Action*.

5.5.2. Proposals for new ANS or reaffirmation, revision or withdrawal of existing ANS shall be transmitted to ANSI for listing in *Standards Action* for comment. Technical reports and Recommended Practices will be processed in accordance with these procedures.

5.5.3. The WSC or the SDB may supplement the public review by having a proposed standards action sent to group(s) or individual(s) known to have an interest in the scope and purpose of the proposed standards action.

5.5.4. The WSC or the SDB may supplement the public review with public hearings addressing the scope and provisions of standards.

5.5.5. The WSC or subordinate group shall attempt to resolve all negative written comments received through public review that is related to the proposal under consideration. Following consideration of each such comment, the commenter shall be advised in writing (including electronic communications) of the consideration of the comments, the action taken, or reasons why the comments could not be resolved and notification in writing (including electronic communications) of their right to appeal the standards committee's actions.

5.5.6. All unresolved public review objections that are related to the proposal under consideration, along with project team responses, shall be distributed to members of the WSC who will have the opportunity to reaffirm or change their vote on the proposal. [Refer to the ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards for alternative public review procedures for proposed identical national adoption of ISO or IEC standards.]

- 5.5.7. Prompt consideration shall be given to the timely written views and objections of all participants, including those commenting on either the PINS announcement or public comment listing in *ANSI Standards Action*.
- 5.5.8. All comments resulting from Public Review shall be provided to the SDB, along with the corresponding responses and final WSC voting tally.

6. Appeals Process

6.1.1. Appeal Notice

6.1.2. Directly and materially affected interests who believe they have been or will be adversely affected by a standard within the WSC's jurisdiction, or by the lack thereof, shall have the right to appeal on procedural actions or inactions of the WSC.

6.1.3. The appellant shall file a written complaint with the Secretariat within 60 days after the date of notification of action or at any time with respect to inactions.

6.1.3.1. The complaint shall state the nature of the objection(s) including any adverse effects, the section(s) of these procedures or the standard that are at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted

6.1.4. Those individuals/organizations requesting an appeal will be required to include a fee in the amount of \$500 at the time of filing the actual appeals document/complaint.

6.1.4.1. This fee may be waived or reduced upon sufficient evidence of hardship. Processing of such a request should take place within thirty (30) calendar days of receipt. A request could delay the official response to the formal complaint by a period of time, not to exceed thirty days after the date the SDB completes the review of the waiver/reduction.

6.1.4.2. The process for reviewing a waiver or reduction for the appeals fee is as follows:

6.1.4.2.1. The request for a waiver or reduction is submitted in writing to the attention of the Secretariat.

6.1.4.2.2. The request provides the reasons, in detail, why a waiver or reduction is appropriate.

6.1.4.2.3. Supporting materials should be submitted with the request. Additional material may be requested by the WSC.

6.1.4.2.4. The request for a waiver or reduction is reviewed by the WSC.

6.1.4.2.5. The WSC will reach consensus and the Secretariat will notify the submitter of the decision

6.2. Response to Appeal

6.2.1. Within 45 days after receipt of the complaint, the Secretariat shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

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

6.3. Appeal to SDB

6.3.1. The Secretariat shall arrange the panel, which will consist of five (5) individuals who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute.

6.3.1.1. The Secretariat shall notify the appellant of the panelist, in order to allow the appellant an opportunity to object should they perceive the existence of a conflict of interest.

6.3.1.2. Any objection shall be submitted in writing to the Secretariat ten (10) working days of notice with specific objection. Any objection to panelist shall be addressed prior to the hearing.

- 6.3.2. The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. If that burden is met, then the respondent has the burden of demonstrating that the committee and the Secretariat took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals.
- 6.3.3. Robert's Rules of Order (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.
- 6.3.4. The logistical procedures for a hearing/panel are as follows:
- 6.3.4.1. Notes of the proceedings can be taken, but the hearing may not be recorded or transcribed. The official record consists of the formal complaint, official response, and copies of the testimony.
 - 6.3.4.2. Observers may attend the hearing so long as the Secretariat receives prior knowledge of their attendance, and there is adequate space for their attendance.
 - 6.3.4.3. The appellant and the respondent will provide twenty (20) copies of their testimony to the hearing. These copies will be distributed to the Panel and included in the formal record of the hearing.
 - 6.3.4.4. The formal complaint and official response will be given to the panelists prior to the hearing for their review. The appellant or respondent do not have to share their oral presentations prior to the hearing. However, presentations are to be based on the existing records. If new information is raised, the other party may object, and the Panel will decide whether or not to consider it.
 - 6.3.4.5. The appellant will speak first in regard to his/her appeal, and the Secretariat/respondent will speak after.
 - 6.3.4.6. Twenty (20) minutes is allocated to each side for their respective presentations. Any portion of presentation time may be saved for rebuttals.
 - 6.3.4.7. Following the presentation(s) there is a question-and-answer session directed by the Panel. There is not an established time period for this session and can be terminated upon consensus of the Panel.
- 6.3.5. Both the appellant and the Secretariat shall be responsible for their own costs, outside of the original appeals filing fee, and shall be responsible for providing sufficient copies of all documents to distribute to the appeals panel and other party.
- 6.3.6. The appeals panel shall render its decision in writing within forty-five (45) days, stating findings of fact and conclusions, with reasons thereof, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:
- 6.3.6.1. Finding for the appellant, remanding the action to the Committee or the Secretariat with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;
 - 6.3.6.2. Finding for the respondent, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections;
 - 6.3.6.3. Finding that new, substantive evidence has been introduced, and remanding the entire action to the Committee or the Secretariat for appropriate reconsideration.

6.4. Further Appeal

- 6.4.1. If the appellant gives notice that further appeal to ANSI is intended, the Secretariat shall submit the full record of the complaint, response, hearing and decision to ANSI.

7. Interpretations

- 7.1. Interpretations are formal written responses to written (e.g., letter, fax or e-mail) inquiries which are transmitted to the inquirer on AWEA Wind Standard Committee letterhead.
- 7.2. Informal responses to inquiries may be offered by AWEA staff and volunteers. Such individual responses should be accompanied by a statement making it clear that they are the opinion of

the individual, not interpretations. These responses may be either verbal or written. If written, the responses shall not be on AWEA Wind Standard Committee letterhead.

7.3. Requirements for Interpretations

7.3.1. Interpretations shall be written in an "inquiry" and "reply" format.

7.3.2. The inquiry or the reply shall include the name and specific edition(s) of the standard(s) being interpreted.

7.3.3. Existing interpretations shall be revised when there is an identified need for a correction or clarification. There shall be a statement advising that WSC may reconsider its interpretation when additional information is made available.

7.3.4. Interpretations shall not revise existing requirements or establish new requirements.

7.3.5. Interpretations shall not include explanations describing why the standard is written the way it is, except they may include any rationale that was approved through the consensus process as a part of the standards action.

7.3.6. Interpretations shall not approve, certify, rate or endorse any item, construction, proprietary device or activity.

7.3.7. Approval of all interpretations shall be by the WSC.

7.3.8. Approved Interpretations shall be transmitted to the inquirer on AWEA Wind Standard Committee letterhead signed by the the Secretariat.

8. Publication of Standard Documents

8.1. Standard documents shall be published and made available as soon as possible, but no later than six (6) months after approval by the WSC. The WSC, through the Secretariat, shall publish the standard or shall grant the right of publication to ANSI.

9. Maintenance of standards documents

9.1.1. Standards, RPs, and TRs shall be maintained, and revised as necessary.

9.1.2. Each standard shall be reaffirmed, revised, or withdrawn within five years of its approval. Unless notification of a project initiation or request for public review announcement has already been submitted to ANSI for a standard that is maintained under periodic maintenance, the Secretariat shall submit to ANSI a request for an extension of time to reaffirm or revise a standard within thirty days following five years after the approval date of the standard.

9.1.3. ANSI approval of an American National Standard automatically expires on the tenth anniversary date of its approval.

10. Adoption of ISO and IEC standards

10.1. The WSC may consider national adoptions of ISO or IEC standards in the absence of a corresponding AWEA ANS or where the ISO or IEC standard is the relevant sector's preferred standard to meet safety and marketplace needs.

10.2. If an AWEA ANS, with the same scope does exist, it shall be withdrawn subsequent to the national adoption of the ISO or IEC standard, or revised to supplement the nationally adopted ISO or IEC standard.

10.3. Recommendations to proceed with approval of national adoptions of ISO or IEC standards shall be in accordance with the established voting requirements.

10.4. Refer to the ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards for requirements for proposed national adoptions of ISO and IEC standards. Only identical or modified versions of ISO or IEC standards may be considered for national adoption.

10.4.1. The expedited procedures contained in the ANSI requirements may be used only for the identical adoption of ISO or IEC standards for which the US TAG voted or will vote in the affirmative and for which no claims of conflict or duplication with an existing American National Standard have been made. For all other circumstances, the developer's accredited procedures shall apply.

11. Units of Measure

11.1. The units of measure shall be the International System of Units (SI).

12. Termination of the WSC and abdication of AWEA's standards writing body responsibilities

12.1. A proposal to terminate the WSC may be made by an WSC member, or directly and materially affected interest. The proposal shall be submitted in writing to the AWEA Board of Directors and to the Secretariat who will notify ANSI. The proposal shall include at least the following:

12.1.1. Reasons why the Committee should be terminated;

12.1.2. The name of the organization(s) that will assume responsibility for maintenance of any existing American National Standard(s) that are the responsibility of the Committee.

12.2. If it appears, after review by ANSI and discussion among the proponents of the action and the AWEA Board of Directors, the Secretariat, and ANSI's Executive Standards Council or its designee, that the desired objectives can best be reached by termination, the proposal and supporting documentation shall be submitted to the WSC with a letter ballot to terminate the SDB and transfer responsibility, as appropriate, for the affected standards.

12.3. Concurrently, the proposal shall be announced for comment in *ANSI, Standards Action*.

13. Commercial Terms and Conditions

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

Appendix A - Membership Categories

1. Owners/Operators/Developers – members representing an organization(s) or company or companies that will be responsible for the development, management of operations and/or ownership interest in a wind energy project or plant.
2. Producers – members representing manufacturers of components, supply chain manufacturers, or original equipment manufacturer (OEM). .
3. Technical – members with specific technical knowledge.
4. Consultants - members representing organizations or companies that provide consultants, engineers, architects, inspection and testing firms, each providing advice, information and services for the wind industry and organizations represent any of the above.
5. General Interest – all other organizations if these are not otherwise classified within another specific category. Individuals with a demonstrated interest or expertise in wind industry standards, and not classified in any of the other categories. These organizations will be requested to describe their type of organization, with other examples including: trucking or transportation companies.

Appendix B - AWEA Patent Policy

1. For any proposed or approved American National Standards, AWEA will comply with the requirements set forth in the most current version of the ANSI Patent Policy.