

Policy for the Development and Coordination of American National Standards

Policy Level: 3

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Accountable:
President and CEO

Responsible: Brand Management, Standards Program

Position Responsible for
Executing/Maintaining: Standards Compliance Specialist

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1. Purpose

The purpose of this policy is to ensure the PMI American National Standard and PMI Standards are developed in accordance with American National Standards Institute (ANSI) *Essential Requirements: Due Process Requirements for American National Standards*.

2. Policy Statement

The Policy for the Development and Coordination of American National Standards is reviewed annually and updated when required.

These Policies govern the development of the PMI voluntary consensus American National Standards. These Policies meet the requirements of due process and incorporate all procedural requirements as defined in the American National Standards Institute (ANSI) *Essential Requirements: Due Process Requirements for American National Standards*.¹

Where this PMI Standard Development Procedure document is silent on an issue, the ANSI *Essential Requirements: Due Process Requirements for American National Standards* document referenced above shall serve as the governing document.

2.1 Consensus

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

2.2 Responsibilities

2.2.1 Consensus Body

The Consensus Body shall be responsible for:

- voting on approval of proposed American National Standards;
- voting on approval of reaffirmation of American National Standards
- other matters requiring Consensus Body action as provided in these procedures

2.2.2 Standards Program Staff

Under the direction of the Standards Manager, the members of the PMI Standards Program Staff shall be collectively responsible for:

¹ American National Standards Institute, 25 West 43rd Street, New York, NY 10036 (<http://www.ansi.org>)

- overseeing compliance with these procedures and applicable PMI policies and procedures;
- administration of Consensus Body activities including maintaining a roster of the Consensus Body membership,
- submitting documentation to ANSI, when required; and
- publishing or arranging with ANSI for publication of its standards, revisions and addenda.

2.2.3 Standards Manager

The PMI Standards Manager shall be responsible for

- Ensuring adherence of the PMI standards program to applicable policies
- Selecting and maintaining Consensus Body membership
- Participating in appeals process as defined in 2.6;
- Performing other function as required by these policies.

2.2.4 Core Committee

Core Committees shall be formed to develop or revise Standards. Core Committees shall be responsible for providing recommendations of the proposed draft Standard to the Consensus Body.

Core Committee membership applications shall be open to directly and materially affected individuals.

2.3 Consensus Body

2.3.1 Membership

2.3.1.1 Application

Any directly and materially affected person may apply for consensus body membership by completing an electronic using the PMI online volunteer application system or submitting the application to the Standards Manager.

Membership on the consensus body shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.

An applicant shall define their direct and material interest in PMI standards or in the activities of the PMI Standards Program, their qualifications and willingness to participate actively, and should indicate the Interest Category that best characterizes and

reflects the principal professional activities of the applicant. If the applicant inaccurately represents their interests, the interest category may be revised on the invitation.

2.3.1.2 Selection/recommendation

The Consensus Body membership shall reflect a balance of interests. Membership in the Consensus Body shall not be dominated by any single Interest Category, individual or organization. Members from diverse Interest Categories shall be sought with the objective of balance (see 2.3.1.4).

In reviewing applications, the Standards Manager shall consider the following:

- need to achieve balance and active participation by each Interest Category; and
- size of consensus body

Applicants not accepted may have their application maintained on file for later consideration when openings occur.

2.3.1.3 Membership

Members of the Consensus Body shall be appointed by the Standards Manager.

Membership term shall be for five years. When a member completes a term or resigns, applications on file in the applicable interest category shall be considered by the Standards Manager for filling the available position. If insufficient applications are available from which to select a new member, the standards staff may engage in proactive recruitment activities.

2.3.1.4 Interest categories

Membership shall be defined by the interest categories below.

| <i>Interest Category</i> | |
|---------------------------|-------------------|
| Consultant | Academic/Training |
| Organization/Professional | General Interests |

2.3.1.4.1 Academic/Training: A member who is employed by or is a representative of an organization that engages in developing new knowledge at a research level and/or delivering project management education and/or training to individuals.

2.3.1.4.2 Consultant: A member who represents his/her own interest and who is knowledgeable in project management disciplines and earns income by providing project management products/processes/services for use externally for a customer organization.

2.3.1.4.3 General Interest: An individual or a representative of an organization who does not fit in any of the other categories

2.3.1.4.4 Organization/Professional: A member who is employed by or is a representative of an organization that develops, produces, and utilizes project management products/processes/services for use internally to an organization. Government and organizational producers are included in this interest category.

2.3.1.5 Membership Review

2.3.1.5.1 Voting records shall be reviewed on a continual basis by the standards staff responsible for the CB. A member shall be removed for the following if he/she has:

- completed a five-year term;
- voted on less than three of the last four ballots,
- abstained on three of the last four ballots,
- who fails to vote on two consecutive ballots,
- who abstains on three of the last four ballots,
- has a conflict of interest (see 2.3.1.5.4), or
- whose change in employment affects the members interest category or organizational balance within the membership of the Consensus Body.

Interest category changes shall be documented by PMI after written request from the member.

2.3.1.5.2 At the end of a membership term, the member may reapply for membership for another term. If not selected, he/she shall be removed from the CB roster.

2.3.1.5.3 A CB member may resign at any time.

2.3.1.5.4 Any conflict of interest by any member of the CB shall be brought to the attention of the Standards Manager, who shall discuss and attempt to resolve the issue with the CB member. If the issue cannot be resolved the Standards Manager may remove the member from the CB roster.

2.3.1.6 Membership Roster

The SCS shall maintain a current CB membership roster containing pertinent member contact information, affiliations, and Interest Categories. The membership roster shall be visible to CB members via the on-line collaboration tool. A list of CB member names, affiliations and Interest Categories are available to the general public upon request.

2.3.2 Operations

2.3.2.1 General

All Consensus Body decisions shall be conducted via electronic ballot.

All Consensus Body members on the roster at the time a ballot opens are eligible to vote on that ballot.

2.3.2.2 Ballot Period

Members shall have a minimum of fourteen calendar days from the ballot opening and closing date. Members should be given 30 calendar days to review and approve standards from the ballot opening and closing date.

2.3.2.3 Ballot options

Each member shall vote one of the following positions:

- Affirmative; with optional comment
- Negative, with required comments giving the reasons for a negative vote, and specific wording changes to the document or other actions that would resolve the objection. A negative ballot not accompanied by a written explanation shall be recorded as such and no further action shall be required;
- Abstain, with required comment for why the member cannot vote either affirmatively or negatively.

2.3.2.4 Ballot approval - Evidence of consensus

Ballots shall be received from a majority of the Consensus Body (counting abstentions) and at least two-thirds of those voting shall submit an affirmative ballot (not counting abstentions) prior to a proposed standard, revision, or reaffirmation being adopted.

2.3.3 Disposition of views and objections – Consensus Body

2.3.3.1 The SCS shall forward the ballot tally and comments to the PMI Standards Manager.

2.3.3.2 Prompt consideration shall be given to the expressed views and objections of all directly and materially affected individuals. An effort to resolve all expressed objections shall be made, and each objector shall be advised in writing of the disposition of the objection and the reasons thereof.

2.3.3.3 Only comments related to the proposal shall be considered. The submitter shall be notified that unrelated comments and comment received subsequent to closing of the public review and comment period shall be treated as a new proposal.

2.3.3.5 Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote. If requirements of 2.3.2.4 are attained at the completion of the review, all objections shall be considered adjudicated.

2.3.3.6 Each objector shall be informed in writing that an appeals process exists within these procedures.

2.4 Public Review - Notification of Standards Development

2.4.1 Project Initiation

At the initiation of a project to develop, revise or reaffirm an American National Standard (ANS), notification shall be transmitted to ANSI using the PINS form for listing in ANSI *Standards Action*.

Written comments received within 30 days of the PINS announcements shall be addressed according to clause 2.5 of ANSI's *Essential Requirements: Due Process Requirements for American National Standards*.

2.4.2 Discontinuance of a standards project or proposal

PMI may decide to abandon the processing of a proposed new or revised ANS or portion thereof, after submission of the PINS, at its own discretion and without a vote of the consensus body. PMI shall notify ANSI immediately of such actions for announcement in ANSI *Standards Action*.

2.4.3 Withdrawal of an American National Standard

PMI may decide to withdraw an ANS at its own discretion and without a vote of the consensus body. PMI shall notify ANSI immediately of such actions and the standard shall be withdrawn as an ANS for announcement in ANSI *Standards Action*.

2.4.4 ANSI Board of Standards Review (BSR) Notifications

2.4.4.1 Board of Standards Review (BSR-8)

Proposals for new ANS and proposals to revise, reaffirm, or withdraw approval of an existing ANS shall be submitted to ANSI using the BSR-8 form for listing in ANSI *Standards Action* in order to provide an opportunity for public comment and specifying a source for additional information.

Submission of the BSR-8 form may be concurrent with Consensus Body balloting.

All comments from public review shall be sent to the Standards Manager, who will resolve them according to 2.5. If substantive changes are made to the proposed standard, a new BSR 8 to ANSI for an additional public review and comment period shall be submitted.

2.4.4.2 Board of Standards Review (BSR-9)

The BSR-9 shall be filed with ANSI upon completion of PMI's procedural requirements for the ANSI Board's of Standards Review consideration of a proposed new, revised or reaffirmed PMI standard as an ANS

2.5 Disposition of views and objections Public Comment

2.5.1 Prompt consideration shall be given to the expressed views and objections of all directly and materially affected individuals. An effort to resolve all expressed objections shall be made, and each objector shall be advised in writing of the disposition of the objection and the reasons thereof.

2.5.2 Only comments related to the proposal and comments received during the public review and comment period shall be considered. The submitter shall be notified that unrelated comments and comment received subsequent to closing of the public review and comment period shall be treated as a new proposal.

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

2.5.4 Each objector shall be informed in writing that an appeals process exists within these procedures see 2.6.

2.6 Appeals

2.6.1 Persons who have directly and materially affected interests and who have been or may be adversely affected related to the PMI standards activity shall have a right to

appeal any procedural actions or inactions of any participant in the PMI Standards activity.

NOTE - In the event that the appeal is related to an action or inaction of the PMI Standards Manager, the role of the Standards Manager in the following appeals process will be filled by another member of PMI management.

2.6.2 The appellant shall file a written complaint with PMI within thirty calendar days after the date of notification of action or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the clause(s) of these procedures or the standard(s) that are at issue, action(s) or inaction(s) 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.

2.6.3 Within thirty days after receipt of the complaint, the PMI Standards Manager shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

2.6.4 If the appellant is unsatisfied with the response, he or she may request a hearing to address the issues. The PMI Standards Manager shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving the appellant at least ten working days' notice in advance of the meeting.

2.6.5 The appeals panel shall consist of five individuals nominated by the Standards Manager and who have not been directly involved in the matter in dispute, and will not be materially or directly affected by any decision made or to be made in the dispute. At least three members of the panel shall be acceptable to the appellant. If PMI and the appellant cannot agree on the composition of the appeals panel within 14 calendar days, the panel shall be appointed by Standards Manager's Supervisor. Appeals panel members shall select a Chair and Secretariat from their membership.

2.6.6 The appellant has the burden of demonstrating improper actions or inactions, adverse effects, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that participants in the PMI standards activity took all actions in compliance with these procedures and/or 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. *Standard Code of Parliamentary Procedure* (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

2.6.7 The appeals panel shall render its decision in writing within thirty 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 in formulating the decision:

2.6.7.1 finding for the appellant, remanding the action to the PMI Standards Manager with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;

2.6.7.2 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; or

2.6.7.3 finding that new evidence has been introduced, and remanding the entire action to the PMI Standards Manager for appropriate reconsideration.

2.7 National adoption of ISO or IEC standards as American National Standard

If PMI wishes to adopt an ISO or IEC standard as an American National Standard, it shall comply with the requirements set forth in the *Procedures for the National Adoption of ISO or IEC Standards as American National Standards*, the current edition of ANSI's *Essential Requirements: Due process requirements for American National Standards*, and these policies (procedures).

2.8 Patents

PMI shall comply with the current version of the *ANSI Essential Requirements: Due process requirements for American National Standards*, Inclusion of Patents in American National Standards.

2.9 Antitrust Policy

ANS Standards shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop ANS Standards are to be conducted in accordance with these laws.

2.10 Commercial terms and conditions

PMI shall comply with the current version of the *ANSI Essential Requirements: Due process requirements for American National Standards*, Commercial terms and conditions.

2.11 Interpretations

PMI does not provide interpretations of its standards. Any inquiries related to interpretation of any part of a PMI standard will be deferred to a later revision of the standard.

2.12 Evidence of Compliance – Record keeping

Records related to the development of a standard shall be retained for one complete standards cycle, i.e. until the standard is revised, reaffirmed or withdrawn, or until the records are subject to an ANSI audit, whichever is longer. Records concerning withdrawals of ANS shall be retained for at least five years from the date of withdrawal or until the next ANSI audit, whichever is longer.

2.13 Metric Policy

The International System of Units (SI) shall be used as the preferred units of measures in PMI standards.

3. Policy Distribution

Internal: Any staff responsible for facilitating the development or revision of PMI Standards

External Stakeholders: Standard Program Volunteers

4. Related Documents

Related procedures, forms, and other support documents enforce, maintain, and verify policy compliance. These procedures and forms support this policy:

| Document Name | Document Type <small>(Procedure, Form, Template, Manual, User Guide, Guidelines, Governing Document, etc.)</small> |
|--|---|
| Development of PMI Standards | Procedure |
| <i>ANSI Essential Requirements: Due Process Requirements for American National Standards</i> | Policy |
| | |

5. Revision History

Changes to this policy are made as necessary under the direction of the preparers and approvers. The change log describes new topics and other changes.

| Action (Creation, Revision, Review) | Action Date | Changes Made (Detail any changes that may have been made) |
|--|---------------|--|
| Creation | February 2016 | |
| Approval | May 2016 | Approve by President & CEO |
| Revision | February 2017 | Updated department to Brand Management |

6. Glossary

This policy uses the following specific terms, acronyms, and abbreviations:

| Term | Definition |
|------------------------|--|
| ISO | International Organization for Standardization |
| IEC | International Electrotechnical Commission |
| PINS | Project Initiation Notification System |
| BSR | Board of Standards Review |
| PMI | Project Management Institute |
| Withdrawal | The term withdrawal refers to the removal of the ANS status and as such, the withdrawal process applies only to those PMI standards with ANS status. Note: Withdrawal is different from discontinuation. Discontinuation refers to the removal of a standard from the marketplace. |
| Continuous Maintenance | Continuous maintenance is defined as the maintenance of a standard by consideration of recommended changes to any part of it according to a documented schedule for consideration and action by the consensus body. |
| Periodic Maintenance | Periodic maintenance is defined as the maintenance of a standard by review of the entire document and action to revise or reaffirm it on a schedule not to exceed five years from the date of its approval as an American National Standard. |

| Term | Definition |
|------------------------|--|
| Stabilized Maintenance | <p>A standard that is maintained under the stabilized maintenance option shall satisfy the following eligibility criteria:</p> <ul style="list-style-type: none"> a) the standard addresses mature technology or practices, and as a result, is not likely to require revision; and b) the standard is other than safety or health related; and c) the standard currently holds the status of American National Standard and has been reaffirmed at least once; and d) at least ten years have passed since the approval or last revision of the standard as an ANS; and e) the standard is required for use in connection with existing implementations or for reference purposes. |