The ANSI Process
Part 1: Draft to Final

Michael Arny
President, Leonardo Academy
Presentation Overview

- What is ANSI?
- Role of the Standards Development Organization
- Options in Developing an ANSI Standard
- Standards Development Process
American National Standards Institute (ANSI)

- Charitable nonprofit organization
- Founded in 1918
- The sole U.S. representative and dues-paying member of the International Organization for Standardization (ISO)
- Mission: To enhance both the global competitiveness of U.S. business and the U.S. quality of life by promoting and facilitating voluntary consensus standards and conformity assessment systems and safeguarding their integrity
The ANSI Standard Setting Process

- ANSI itself does not develop American National Standards.
- ANSI provides all interested U.S. parties with a neutral venue to come together and work towards common agreements.
- The process to create these voluntary standards is guided by ANSI’s cardinal principles of **consensus**, **due process** and **openness** and depends heavily upon data gathering and compromises among a diverse range of stakeholders.
Standards Development Organizations (SDOs)

To facilitate the development of American National Standards, ANSI accredits organizations to serve as Standard Development Organizations (SDOs), based on demonstrated procedures that meet the ANSI “Essential Requirements” for standards developers.
Leonardo Academy’s Accreditation as an SDO

• The Leonardo Academy is accredited as a national standards development organization (SDO) by ANSI. As such, LEO develops its own sustainability standards and provides ANSI process support to other organizations developing ANSI standards.

• Our accreditation by ANSI signifies that the procedures we will use in connection with the development of Sustainable Agriculture Standard meet ANSI’s “Essential Requirements” for openness, balance, consensus and due process.
Leonardo Academy’s Objectives as an SDO

Our objectives:

- To bring involved stakeholders to the table
- To create a level playing field between stakeholders
- To encourage stakeholders to work toward consensus regarding the specific requirements of the standard in terms of definitions and environmental and societal outcomes
Two Options for Developing an American National Standard

1. Project Initiation Notification System (PINS) — starting a standard from scratch

2. Draft Standard for Trial Use (DSFTU) — starting from a draft that will stimulate the discussion

Goal is to reach consensus on the standard in a timely manner.
The Draft Standard For Trial Use

- This route is chosen in order to provide a starting place for discussions on complex topics.
- The draft standard approach provides a vehicle for field-testing concepts to help inform committee discussions.
- The draft standard serves as a placeholder document ONLY — its provisions are entirely subject to change, depending on the decisions of the Standards Committee.
Draft Standard Framework

Encompasses the following areas:

- Sustainable Crop Production
- Resource Conservation & Energy Efficiency
- Ecosystem Protection
- Integrated Waste Management
- Fair Labor Practices
- Community Benefits
- Product Quality
- Product Safety
Draft Standard Guiding Principles

- Auditable requirements
- Integrate measurable performance metrics
- Leave plenty of room to encourage innovation
- Remain practical to implement
- Provide roadmap for incremental improvement
- Create structure to recognize exceptional effort
Draft Standard Current Scope

- Addresses both Producers and Handlers
- Addresses food, fiber, floriculture and fuel crops
- Does not address livestock, dairy, or wild crops
Draft Standard Structure

1. Normative references and definitions
2. Core Standard (cross-sectoral)
   - Prerequisites
   - Environmental, Social/Economic and Product Integrity Requirements
3. Sector-Specific Annexes
4. Two-tiered approach to provide incentive for improvement
   - Tier 1: Minimum sustainability performance
   - Tier 2: Best practices
Final Standard

- American National Standards are voluntary in nature.
- American National Standards are non-proprietary. Anyone can participate. No one entity or group can “own” the process or the standard.
- As a national ANSI Standard, the final Sustainable Agriculture Standard may contribute to the development of a harmonized ISO/international standard.
Intended Uses of the Standard

• Guide internal benchmarking and improvement
• Support supply chain management / scorecards
• Support public claims
• Establish a reference benchmark for future initiatives and harmonization
Preference for Voluntary Standards

Federal government typically defers to voluntary consensus standards where applicable and appropriate, in order to:

– Eliminate the cost to the taxpayer of developing its own standards and enforcing them,
– Provide incentives to establish standards that serve national needs,
– Encourage long-term growth for U.S. enterprises and promote efficiency and economic competition through harmonization of standards, and
– Encourage reliance on the private sector to supply government needs for goods and services.

*OMB Circular A-119, Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities (Revised February 10, 1998).*
Standards Development Process

Organization
  – Standards Committee
  – Secretariat

Appeals
Public Review
Adoption
Standard Committee: Overview

Standards Committee
– Participation
– Interest Categories
– Applications
– Balance
– Size and Organization
– Subcommittees
– Membership Topics
Standards Committee: Membership

- Membership is open to all interested parties
- Membership shall be sufficiently diverse to ensure balance without dominance
- There is no fee for membership
Standards Committee: Stakeholder Interest Categories

All members will be classified in one of four categories:

- Producers (e.g., Farmers, Distributors)
- Users (e.g., Retailers, Manufacturers)
- Environmentalists (e.g., Environmental NGOs)
- General Interest (e.g., Government, Academia, Labor NGOs)

Need to ensure a balance among these Interest Categories on the Committee.
Standards Committee: Processing Applications

Leonardo Academy will process all applications to join the Standards Committee.

- Delegate applicants to relevant Interest Category
- Accept/reject application
  - Rejected applicants have the right to appeal
  - Process of appeal will be included with the rejection letter
Standards Committee: Application Considerations

- Need for additional members
- Need for active participation by members of each interest group
- Balance of interest groups
- Extent of interest expressed and willingness to participate
- Qualifications (e.g., standards writing experience, technical expertise)
- Ability to contribute to the work of the Standards Committee
Application to Participate: Standards Committee and Subcommittees

If you are interested in being a Standard Committee member or participating on a subcommittee, please apply.

An application is in your binder. Standards Committee applications are due by Friday, May 23, 2008.

– State your interest and willingness to participate
– Identify the stakeholder interest category you represent
– State your qualifications
  • Personal qualifications
  • Description of your company
  • Role as it applies to Standard
  • Actions organization has taken to increase sustainability
  • Any other affiliations that might affect interest category classification
Standards Committee: Balance

No single interest category shall constitute a majority of the voting membership.

- Imbalance may exist at times due to membership resignations.
- No ballots would be issued during periods of imbalance.
Standards Committee: Size and Organization

- Committee size: up to 40 individuals across all stakeholder Interest Groups
- Only one voting member from each company/organization
- LEO will appoint Chair, Vice-Chair, Secretary and Vice-Secretary
  - Subject to approval by Standards Committee
  - Secretary and Vice-Secretary do not need to be members of the Committee
- Committee members need to notify LEO if changes in relationship with organizations changes your interest category(ies), as you will need to re-apply.
Standards Committee: Subcommittees

- Standards Committee will identify subcommittees to work on selected topics.
- Standards Committee members may chair subcommittees to facilitate communications.
- Subcommittees are open to all stakeholders, including participants who are not members of the Standards Committee.
Standards Committee: Membership Topics

LEO will:

• Establish the membership roster and review it annually
• Document the classification of each member and the balance of the committee
• Terminate membership where applicable.
Standards Committee: Membership Topics

Automatic Termination:
- Failure to return two successive ballots
- Failure to participate in at least 33 percent of the conference calls and meetings

Termination subject to Committee:
- Frequently failing to meet obligations
More on participation later today

• Responsibilities of Standards Committee and Subcommittee members
• Meeting information
Overview

Organization
  – Standard Committee
  – Secretariat
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Leonardo Academy: Secretariat

Leonardo Academy’s responsibilities:

- Organize the Standard Committee
- Oversee compliance with procedures
- Maintain rosters of Committee, Subcommittees, Task Groups, Advisory Groups, and Resource Groups (may not have all of these)
- Arrange Committee meetings, prepare and distribute agendas and ballots, distribute minutes from subcommittee meetings
- Publish approved Standards and revisions
Overview

Standard Committee
Secretariat
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Appeals: Overview

Complaint
Response
Appeals Panel and Hearing
Conduct of the Hearing
Decision
Further Appeal
Appeals: Complaints

Persons who have been or may be affected by any Committee action or inaction shall have the right to appeal such action or inaction.

- File a written complaint with LEO within 30 days
  - Nature of objection
  - Procedure or section of Standard at issue
  - Action or inaction at issue
  - Specific remedial action that would satisfy concern
- No fee to file an appeal
Appeals: Response

LEO will respond in writing within 30 days.

• LEO will specifically address each allegation in the complaint to the extent possible
• LEO will attempt to resolve the complaint
Appeals: Panel and Hearing

If LEO is unable to resolve the issue:

– LEO will appoint an appeals panel.

– A hearing will be held via conference call on a date agreeable to all participants, with at least 15 working days notice.

– Panel will consist of 3 members not involved in the dispute and who would not be affected by any decision made in the dispute.

– At least two panel members will be acceptable to appellant and at least two acceptable to LEO.
Appeals: Conduct of Hearing

Appellant has responsibility of demonstrating:

- Improper action or inaction relative to procedures
- Adverse effects of improper action or inaction
- Efficacy of requested remedial action

LEO is responsible for showing compliance with procedures.

Appeals Panel is responsible to determine if standards were followed.
Appeals: Decision

Appeals Panel to render decision in writing within 30 days of the hearing
- Based upon evidence
- Stating its findings of fact and conclusions
- Providing reasons and evidence

LEO will notify the appellant and the Committee of the decision.

Decision is binding and final.
Appeal: Further Appeal

Further appeal may be made directly to ANSI

- Note: appeals to ANSI can only address process follows, not content of standard be developed.
- If LEO is notified that a further appeal to ANSI is intended, all relevant materials, including the decision made by the Appeals Panel, shall be submitted to ANSI by LEO.
Public Review: Overview

- Notification of Standard Development
- Public Review of Standard
- Processing Comments
Public Review: Notification of Draft Standard for Trial Use

- Notification was made to ANSI in April of 2007.
Once the Standard Committee has conducted its work, including review of the draft standard, modifications to the standard, and approval process for final standard language, LEO will announce the standard for Public Comment with notification to ANSI using a BSR-8 Standards Action Public Review Request Form.
Public Review: Processing Comments

• All comments will be addressed.
• All negative comments will be referred to the Subcommittee Chair responsible for the part of the Standard in question.
• Resolving:
  – Subcommittee will review draft proposed resolution and present it to the Committee for vote
  – Response to the comment is voted on by the Committee, and commenter is informed of response in writing and informed of the appeals process
Overview

Organization
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Adoption

• Submitted and published as an ANSI-certified Standard
• Work begins on:
  – Promoting the Standard
  – Consideration of developing third-party accreditation for providers of verification of conformity with the Standard
    • Qualifications and training of field staff
Contacts for Additional Information

Leonardo Academy
Email: Development-SCS-1@leonardoacademy.org
Tel: 608.280.0255
Web: www.leonardoacademy.org