

Review of the Standards Development Processes of Three ANSI-accredited Standards Developers against NERC's Current and Proposed Standards Development Processes and ANSI's Essential Requirements

The Three-year Performance Assessment included several action items related to the Reliability Standards Development Procedure, including the following two tasks related to review of the standards process against ANSI's accreditation requirements:

- Review the Reliability Standards development process to identify, eliminate, and/or modify steps that are not explicitly required by ANSI to maintain accreditation.
- Explore how other ANSI standard develop organizations implement their standard development processes to identify possible improvements to NERC's process, including the supermajority voting structure.

The above research was conducted in late 2009 and is summarized in the table on the following pages. The table provides a comparison of key steps in NERC's Reliability Standards Development Procedure Version 7 against ANSI's essential requirements for accreditation as a standard developer; against similar steps in the standards development processes of three other ANSI-accredited standards developers; and against the proposed Standard Processes Manual.

The light blue rows in the table identify either a process step currently required by NERC's latest board-approved standards process, or a step required by ANSI for accreditation as a standards developer.

The first three columns of the table identify whether the identified process step is included in the standards development process of the following ANSI-accredited organizations:

- Association of Public-Safety Communications Officials International (APCO)
- American Institute of Steel Construction (AISC)
- American Dental Association (ADA)

The third column identifies the step in the last board-approved version of the Reliability Standards Development Procedure (RSDP Version 7) and identifies the page or pages containing the details of the step.

The fourth column identifies the step in the proposed Standard Processes Manual (SPM) and identifies the page or pages containing the details of the step.

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ANSI Accreditation Requirements & Comparison of Standards Development Processes				
APCO	AISC	ADA	NERC’s Process (RSDP V7)	NERC’s Proposed Standard Processes Manual (SPM)
ANSI Essential Elements Related to Consensus Body: Must be balanced				
Self-nominations with selections from APCO 3 segments	Committee is consensus body 3 segments	Each committee is a consensus body 3 segments for most committees Interested applicants submit nomination to ADA. ADA screens applications and recommends action to Standards Committee. Membership subject to approval by majority vote of committee	Self-nominations with all valid nominees accepted 10 segments (Pages 17, 42 of RSDP)	Self-nominations with all valid nominees accepted 10 segments (Analyze for future revisions as some segments aren’t actively participating in balloting) (Pages 3, 16-18 of SPM)
ANSI Essential Elements Related to SAR Drafting Team Appointments: Not addressed by ANSI				
Not addressed	Not addressed	Not addressed	Self-nomination process with SC appointment if needed (Page 17 of RSDP)	Not addressed
ANSI Essential Elements Related to Standard Drafting Team Appointments: Not addressed by ANSI				
Appointed, if needed by APCO	Committee or its Task Committee	Standards Committee, or its subgroup or work group	Self-nomination process with SC appointment (Pages 17-19 of RSDP)	Self-nomination process with SC appointment (Pages 9, 14 of SPM)
ANSI Essential Elements Related to SAR Posting (Proposals): Must be publicly announced				

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<p>Submitted to ANSI for listing in Standards Action</p> <p>Posted in AISC magazine with comments accepted for 45-60 days at same time as ballot</p> <p>Comments resolved informally or balloted by consensus body</p>	<p>Posted for 45 days with comments addressed</p> <p>Balloted by Committee to move forward</p>	<p>Submitted to ANSI for listing in Standards Action</p> <p>Balloted at same time with simple majority needed to move forward.</p>	<p>Posted by NERC for 30 days with comments addressed, SAR revised if needed, and reposted for comment (Pages 15, 17 of RSDP)</p>	<p>Posted by NERC for 30 days with comments formally addressed for new standard proposals– informal comments accepted for proposals for modifications to approved standards (Pages 12-13 of SPM)</p>
ANSI Essential Elements Related to Draft Standard: Not addressed by ANSI				
<p>Posted for comment at same time as ballot</p>	<p>Posted for comment at same time as ballot</p>	<p>Posted for comment at same time as ballot</p>	<p>Posted for 45 day comment period with all comments addressed, standard revised and reposted for additional comment periods as needed (Pages 15, 20 of RSDP)</p>	<p>Allow team to collect informal feedback on preliminary drafts (Page 15 of SPM)</p> <p>Post for formal comment at same time as ballot (Pages 16-17 of SPM)</p>
ANSI Essential Elements Related to Scope of Balloting for Steps in Standards Development: Not addressed by ANSI				
<p>Decision points:</p> <p>Proposals for standards (unclear if these are balloted)</p> <p>Changes to proposed standards</p> <p>Reaffirmation, revision, withdrawal of approved standard</p>	<p>Proposals for new or revised standard (no response to comments & no recirculation ballot)</p> <p>Interpretations (no response to comments & no recirculation ballot)</p> <p>New or revised standards</p>	<p>Proposals for new standards</p> <p>Membership in consensus body</p> <p>New or revised standards</p>	<p>SC Membership (ERO Rules of Procedure Appendix 3B)</p> <p>Final draft of new or revised standard (Page 12-13, 15 of RSDP)</p> <p>Interpretations (Page 30 of RSDP)</p> <p>Changes to RSDP (Pages 33-35 of RSDP)</p>	<p>SC Membership (ERO Rules of Procedure Appendix 3B)</p> <p>Final draft of standard, variance, definition (Pages 16-19, 22 of SPM)</p> <p>Interpretations (Pages 26-27 of SPM)</p> <p>Changes to SPM (Page 42 of SPM)</p>

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ANSI Essential Elements Related to Formation of Ballot Pool: Must be Balanced				
Obligation of all consensus body members	Obligation of all committee members	Obligation of all committee members	Voluntary from membership of registered ballot body (Pages 23, 42-44 of RSDP)	Voluntary from membership of registered ballot body (Page 3, 16 of SPM)
ANSI Essential Elements Related to Ballot Approval: Must have documented approval process – default criteria is 50% quorum (counting abstentions) and at least two-thirds of those voting approve (not counting abstentions)				
Proposals – unclear	Proposals – simple majority of committee membership	Proposals – simple majority	Proposals – authorized by Standards Committee – no stakeholder ballot (Pages 16-17 of RSDP)	Proposals – authorized by Standards Committee – no stakeholder ballot (Pages 12-13 of SPM)
Standards: <ul style="list-style-type: none"> 50% quorum, counting abstentions 2/3 approval from votes cast, excluding abstentions 	Interpretations, standards, confirmation of non-persuasive objections: <ul style="list-style-type: none"> 75% quorum 2/3 approval of membership 	Standards: <ul style="list-style-type: none"> 2/3 quorum excluding abstentions Simple majority of membership for approval 	Standards and interpretations: <ul style="list-style-type: none"> 75% quorum 2/3 weighted segment approval (Page 30 of RSDP)	Standards, definitions, variances and interpretations: <ul style="list-style-type: none"> 75% quorum 2/3 weighted segment approval (Pages 4, 17-18, 22, 26-27 of SPM)
Negative votes without comment or unrelated comments are excluded from determination of 2/3 approval	Negative votes without comment or unrelated comments are excluded from determination of 2/3 approval	Unclear if negative votes without comment or unrelated are included in determination of approval.	All negative votes are considered in determination of 2/3 approval (Page 24 of RSDP)	All negative votes are considered in determination of 2/3 approval (Page 18 of SPM)
ANSI Essential Elements Related to Types of Ballots: Must have detailed process for standards; yes/no/abstain sufficient for votes on items other than standards; default for standards is affirmative/negative with reasons/abstain				
Administrative Ballots	Administrative Ballots	Administrative Ballots	No provision for	No provision for administrative

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(proposals for new projects): <ul style="list-style-type: none"> Affirmative Negative Abstain 	(proposals for new projects):: <ul style="list-style-type: none"> Affirmative Negative Abstain 	(proposals for new projects): <ul style="list-style-type: none"> Yes No Abstain 	administrative ballots.	ballots.
Standards: <ul style="list-style-type: none"> Affirmative Affirmative with comment Negative with reasons Abstain 	Standards: <ul style="list-style-type: none"> Affirmative Affirmative with comment Negative with reasons Abstain 	Standards: <ul style="list-style-type: none"> Affirmative Affirmative with comment Negative with reasons Abstain with reasons 	Standards: <ul style="list-style-type: none"> Affirmative Affirmative, with comment Negative with reasons Negative without reasons Abstain (Page 24 of RSDP)	Standards, Variances, Definitions, Interpretations: <ul style="list-style-type: none"> Affirmative Affirmative, with comment Negative with reasons Negative without reasons Abstain (Page 18 of SPM)
ANSI Essential Elements Related to Consideration of Ballot Comments: Detailed ANSI requirements – must address all relevant comments; not required to resolve unrelated comments or negative votes without comments; must make good faith effort to resolve related objections; objector determines if response resolves objection; comments suggesting expansion to be treated as new proposals				
Considered with public comments Focus is only on relevant negative comments with goal of resolving objections Balloter may withdraw negative ballot if issue is resolved and may change vote to affirmative or abstention	Considered with public comments Focus is only on relevant negative comments with goal of resolving “new” objections – comments submitted and responded to previously are not reconsidered Unrelated comments treated as new proposals	Considered with public comments Focus is only on relevant negative comments with goal of resolving objections or procedural issues Unrelated comments treated as new proposals	Drafting team responds formally to all written comments Focus is on addressing all comments with goal of resolving objections. (Pages 24 of RSDP)	Consider with formal public comments Focus only on relevant negative comments with goal of resolving “new” objections – comments submitted and responded to previously will not be reconsidered Comments proposing expanded scope treated as

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				new proposals Non-substantive changes allowed (Page 17 of SPM)
ANSI Essential Elements Related to Ballot follow-up: Required to report each unresolved objection and attempt at resolution, and any substantive change made to a standard to the consensus body in order to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote				
All unresolved negative votes with comments are reported to consensus body with an opportunity to respond, reaffirm, or change their vote. Unresolved negative votes unrelated to item being balloted must be affirmed by 2/3 majority of consensus body returning ballots (excluding abstentions)	Unresolved objections forwarded to committee for 21 day ballot.		Drafting team posts response to comments and conducts a 10-day recirculation ballot – all members of the ballot pool may participate and change prior votes (Pages 24-25 of RSDP)	Drafting team posts response to comments and conducts a 10-day recirculation ballot – all members of the ballot pool may participate and change prior votes (Page 19 of SPM)
If substantive changes are needed, revised provision is reballoted		Substantive changes needed to resolve objections and unresolved objections are reported to consensus body – all members may respond, reaffirm, or change their votes within four weeks.	If substantive changes are needed, the standard is posted for a new 30-day comment period, then responds to comments and posts for a 30-day pre-ballot review - then conducts a new 10-day initial ballot. (Page 24 of RSDP)	If substantive changes are needed, the standard is posted for a new 30-day formal comment period concurrent with a 10-day ballot. (Page 18 of SPM)

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ANSI Essential Elements Related to Interpretations: ANSI only requires that the entity have an interpretation policy – ANSI doesn’t require balloting				
SDC forms team and develops interpretation	Informal, non-binding may be offered by secretariat Committee chair appoints Task Committee or ad hoc group to develop Committee votes on interpretation	Only provided by ADA or its designee (ADA Council) – but drafted through the associated consensus committee No indication of a ballot	NERC forms team and drafts interpretation – ballot pool votes on interpretation, then adopted by BOT and filed for approval by regulatory authorities (Page 30 of RSDP)	NERC forms team and drafts interpretation – posted for brief informal comment ballot pool votes on interpretation, then adopted by BOT and filed for approval by regulatory authorities (Pages 26-27 of SPM)
ANSI Essential Elements Related to Changes to Standards Procedure: Not addressed				
Developed by APCO – SDC consulted – then filed with ANSI	Initiated by secretariat or written proposal to secretariat with explanation – submitted to Board of Directors (simple majority) – then filed with ANSI	Not addressed	Proposed by any interested party – posted for comment, comments addressed and then balloted – submitted to BOT for adoption – then filed with regulatory authorities and ANSI (Pages 33-35 of RSDP)	Proposed by any interested party – posted for comment, comments addressed and then balloted – submitted to BOT for adoption – then filed with regulatory authorities and ANSI (Page 42 of SPM)