

2022

AHRI Policy & Procedures for the Development of Standards

Approved by the AHRI Standards Committee, April 2022



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2022 Edition

This *AHRI Policy and Procedures for the Development of Standards* document is owned and maintained by the AHRI Standards Committee, a standing committee of the AHRI Board of Directors, and defines the policies and procedures related to development and approval of AHRI standards and guidelines. This document was published by the Standards Committee April 2022.

Copies of this document shall be made freely available to interested parties.

Figures and examples in this document, unless otherwise noted, should be considered as informative.

Summary of Changes

The 2022 edition of the *AHRI Policy and Procedures for the Development of Standards* contains the following update(s) to the previous edition:

Section 2

- Changed the form's name from "Project Charter" to "Project Initiation Form."
- Clarified the difference between "withdrawal from publication" and "withdraw level of approval."

Section 3

- Removed statement that AHRI standards are either "Application Standards: or" Product Standards."
- Removed statement that application standard numbers end in 0 or 1 and that product standard numbers end in 5 or 6.

Section 4

- Added requirement for annual submission of Conflict of Interest form.
- Added requirement that SWGs are responsible for a single project.
- Clarified that the StdC, STCs, and SWGs may form subsidiary ad hoc groups.
- Added requirement to use Connect Community for roster, ballots, and documents.
- Added requirements for SSC membership:
 - Members are individuals
 - Members may be removed for not participating in 2 out of 3 ballots
- Clarified requirements for STC membership
 - STC membership is by company, with individual representatives
 - Non-voting member qualification
 - Non-member companies may not constitute more than 50% of the voting membership
- Clarified SWG membership
 - The SWG member company must be an STC member, with a minimum single company representative on the roster
 - Moved Canadian-specific membership balance requirements to Appendix F
- Clarified requirements for CB membership, and selection by the StdC

Section 5

- Clarified process for handling negative ballots and recirculation of ballots

Section 6

- Requirement for technical review of the standard before decision to revise, reaffirm, or withdraw
- Projects for a proposed reaffirmation and a proposed withdrawal from publication no longer require a project initiation form
- Clarification of the process for reaffirmation and withdrawal

Section 8

- Moved process for reaffirmation and withdrawal to Section 6.
- Expanded description of process steps to withdraw level of approval
- Added requirement that requests for interpretation shall be phrased so that the answer is either “yes” or “no.”

Appendix F

- Created a process for country-specific standards, including proposed National Standards of Canada

Committee Personnel
AHRI Standards Committee

Participant	Role
Patrick Marks Johnson Controls	Chair
Henry Ernst Daikin Applied	Vice Chair
Bryan Ahee Bradford White	Primary
Diane Jakobs Rheem	Primary
Darcy Lee Trane	Primary
Bruce Perkins Lennox	Primary
Karl Peterman Swegon	Primary
Justin Prosser Danfoss	Primary
Rajan Rajendran Emerson	Primary
Dominique Taudin Carrier	Primary
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Karl Best Senior Manager, Standards	AHRI Staff Liaison

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AHRI POLICY & PROCEDURES FOR THE DEVELOPMENT OF STANDARDS

Section 1. Authority and Intent

1.1 Incorporation

The Air-Conditioning, Heating, and Refrigeration Institute (AHRI) is a legal entity, duly incorporated under the law of the Commonwealth of Virginia, United States, and can be held legally responsible for its standards development activities.

1.2 Bylaws

The AHRI Bylaws authorizes the development and approval of AHRI standards under a policy approved by the Standards Committee, a standing committee of the AHRI Board of Directors. All AHRI standards activities, including those of the Standards Committee, Standards Subcommittees, Standards Technical Committees, Standards Work Groups, and Consensus Bodies are subject to the current provisions of AHRI's governance documents including the Articles of Incorporation, Bylaws, and standards-related actions of AHRI's Board of Directors. The procedures outlined in this policy and procedure document are subject to authority and restrictions outlined in the AHRI governance documents listed above. Any conflict between the policy and procedures stated in this document and AHRI's governance documents shall be resolved in favor of AHRI's governance documents.

1.3 Accreditation

AHRI has been accredited by the American National Standards Institute (ANSI) to develop American National Standards (ANS). This accreditation is through compliance of this *AHRI Policy and Procedures for the Development of Standards* document with the *ANSI Essential Requirements*.

AHRI has also been accredited by Standards Council Canada (SCC) to develop National Standards of Canada (NSC). This accreditation is through compliance of this *AHRI Policy and Procedures for the Development of Standards* document with the *SCC Requirements & Guidance*.

AHRI shall notify these respective organizations upon revision of this document.

1.4 Intent of standards

The procedures in this document are intended to comply with internationally accepted standards principles and practices as outlined in the *ANSI Essential Requirements* and *SCC Requirements & Guidance*, and are not designed or intended to introduce barriers to trade or to discriminate among products based on place of origin, AHRI standards are not developed as a means to fix prices, exclude competition, or otherwise inhibit commerce beyond what is necessary to meet requirements of relevant technical regulations, or other legitimate sectoral or local requirements for compatibility, environmental protection, health and safety. AHRI standards are not meant to mislead consumers and other users of a product, process or service addressed by the standard.

Section 2. Definitions

2.1 Expression of Provisions

Terms that provide clear distinctions between requirements, recommendations, permissions, options, and capabilities.

2.1.1 “Can” or “cannot”

Express an option or capability.

2.1.2 “May”

Signifies a permission expressed by the document.

2.1.3 “Must”

Indication of unavoidable situations and does not mean that an external constraint referred to is a requirement of the document.

2.1.4 “Shall” or “shall not”

Indication of mandatory requirements to strictly conform to the standard and where deviation is not permitted.

2.1.5 “Should” or “should not”

Indication of recommendations rather than requirements. In the negative form, a recommendation is the expression of potential choices or courses of action that is not preferred but not prohibited.

2.2 Policy-specific definitions**2.2.1 Addenda**

Technical or substantive changes made to a single item or small portion of the document in order to correct errors in the publication of the standard or guideline. See Section [8.3.1](#).

2.2.2 Alternate Voter

The member who is designated by the company by whom they are employed or who they represent, as an alternate to the primary voter from that company. Only if the primary voter does not participate in the ballot does the alternate cast a ballot. See also [Primary Voter](#).

2.2.3 ANS

An American National Standard, a standard developed and approved under the ANSI-accredited AHRI standards process and meeting the requirements of the ANSI Essential Requirements. These standards include the ANSI designation in their title.

2.2.4 ANSI

The American National Standards Institute, the national standards body for the United States.

2.2.5 Approval ballot

A formal ballot carried out by a Standards Subcommittee, Standards Technical Committee, or Standards Work Group in a meeting or by electronic ballot to approve or advance work to the next phase as described in Section [5.3](#). See also [Simple decision](#).

2.2.6 Balance

A requirement that the Consensus Body have not more than half its members with a single interest category.

2.2.7 BSR-8

The form submitted to the ANSI Board of Standards Review (BSR) to announce the public review of a candidate ANS.

2.2.8 BSR-9

The form submitted to the ANSI Board of Standards Review (BSR) to apply for consideration of the standard as an ANS.

2.2.9 Canadian Interest

Specification of how a standard or potential standard meets the needs of the Canadian market or industry and how Canadian interests will be represented, using SCC’s Canadian Interest Form. The completion of this form is required for all standards intended for approval as NSC.

2.2.10 Charter

See [Standards Technical Committee Charter](#), or [Standards Work Group Charter](#).

2.2.11 Consensus

Consensus means substantial agreement has been reached by directly and materially affected parties. 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

2.2.12 Consensus Body (CB)

The group responsible for final approval of an ANS, as described in Section [4.6](#).

2.2.13 Continuous maintenance

A mode of maintenance where an ANS is registered with ANSI under that option and the standard is open continuously for review and comment. This mode allows for portions of a standard to undergo review and revision, while the entire document must be reviewed every five years. See Section [8.5.1](#).

2.2.14 Days

All days in this document are calendar days.

2.2.15 Derivative standard

A standard based upon another published standard, generally using the same method of test, but applicable to a specific climate or country.

2.2.16 Editorial change

A non-substantive change to correct spelling or grammar, or an explanatory change to aid in comprehension or understanding, that does not change the technical meaning of the document. See also [Substantive or technical change](#).

2.2.17 Electronic ballot

A ballot carried out via email or web form, etc. rather than in a meeting. See also [Approval ballot](#).

2.2.18 Errata

Non-substantive or editorial errors which do not affect the substantive or technical content or meaning of the standard or guideline. See Section [8.3.2](#).

2.2.19 Guideline

An AHRI publication as described in Section [3.2.2](#).

2.2.20 Interest Category

A description of a person's interest in AHRI standards. See Section [4.6.4](#).

2.2.21 I-P units

Inch-pound or imperial units of measurement (as opposed to SI units).

2.2.22 Meeting

A scheduled meeting of the Standards Committee, Standards Subcommittee, Standards Technical Committee, or Standards Work Group with adequate prior notice, prior document distribution, and a quorum of members present, as described in Section [5.1](#).

2.2.23 NOI

A Notice of Intent submitted to SCC to inform them of the start of a new activity intended to produce an NSC, the public review of the draft, or final publication of the standard.

2.2.24 NSC

A National Standard Canada, a standard developed and approved under the SCC-accredited AHRI standards process and meeting the requirements of the SCC *Requirements & Guidance*. These standards include the CAN designation in their title.

2.2.25 Periodic maintenance

The default maintenance schedule for standards where the standard must be revisited and reviewed such that any reaffirmation, withdrawal, or publication of revision take place within five years of the previous approval. See also [Continuous maintenance](#) and [Stabilized maintenance](#).

2.2.26 PINS

The form submitted to the ANSI Project Initiation Notification System to inform ANSI of the start of a new activity intended to result in an ANS.

2.2.27 Primary Voter

The member who is designated by the company by whom they are employed or who they represent, as the primary voter from that company; only one person from a company may vote. If the primary voter does not participate in the ballot, then the Alternate Voter may cast a ballot. See Section [4.4.2.1](#). See also [Alternate Voter](#).

2.2.28 Project Initiation Form

The document authorizing the start of an activity to develop or revise a standard or guideline, and defining the scope, deliverable, business need, and project schedule as described in Section [6.2.1.3](#).

2.2.29 Quorum

The attendance of 50% or more of voting members in a meeting.

2.2.30 Reaffirmation

Reapproval of a standard as-is without substantive changes. as described in Section [6.2.1.3](#).

2.2.31 Recirculation

The process of sending comments associated with a negative ballot, and the attempts at resolution to those comments, to eligible voters, giving them the opportunity to change their vote based upon those comments, as described in Sections [5.3.4](#) and [6.7.2](#).

2.2.32 Revision

Changing and republishing a standard or guidelines with substantive changes.

2.2.33 SCC

Standards Council Canada, the national standards body for Canada.

2.2.34 SI units

Units of measurement defined by the International System of Units, commonly known as the metric system (as opposed to I-P units).

2.2.35 Simple decision

A decision made in a meeting by ballot or consensus by a Standards Subcommittee, Standards Technical Committee, or Standards Work Group, as described in Section [5.2](#). (See also [Approval ballot](#).)

2.2.36 Stabilized maintenance

A maintenance schedule that allows a standard to be revisited less often than every five years if no changes are likely to be made, as described in Section [8.5.2](#).

2.2.37 Standard

An AHRI publication as described in Section [3.2.1](#).

2.2.38 Standards Committee (StdC)

The standing committee of the AHRI Board of Directors responsible for oversight of the AHRI standards activity, as described in Section [4.2](#).

2.2.39 Standards Subcommittee (SSC)

The group responsible for standards activities within a specific product grouping or topic, as described in Section [4.3](#).

2.2.40 Standards Technical Committee (STC)

The group responsible for development and initial approval of a standard or guidelines, as described in Section [4.4](#).

2.2.41 Standards Technical Committee Charter

The document approved by the SSC defining the scope of the STC.

2.2.42 Standards Work Group (SWG)

An optional subset of a Standards Technical Committee, as described in Section [4.5](#).

2.2.43 Standards Work Group Charter

The document approved by the STC defining the scope of the SWG.

2.2.44 Substantive or technical change

A change to a document that directly or materially affects the use or implementation of the document. Substantive changes include:

- 1) addition or deletion of shall/must statements, or change of should/may to shall/must or vice versa;
- 2) addition or deletion of requirements;
- 3) addition of mandatory compliance with referenced standards, or
- 4) changes that will make a previously conformant application no longer conformant, or vice versa.

See also [Editorial change](#).

2.2.45 Withdrawal from publication

Ceasing the publication of an AHRI standard.

2.2.46 Withdraw level of approval

Formal action to withdraw a level of approval of a standard, with or without ceasing publication as described in Section [8.1](#).

Section 3. Deliverables

3.1 Use of AHRI Standards

The use of AHRI standards is voluntary.

While AHRI cannot control how its standards are used by others, AHRI standards are not designed for nor intended by AHRI to be used for creating unnecessary obstacles to trade, either intra-national or international; discriminating among products on the basis of place of origin; fixing prices or inhibiting competition or commerce beyond what is necessary to meet requirements of relevant technical regulations; or misleading consumers or other users of products which are based on AHRI standards.

AHRI standards intended for conformity assessment shall include a clear statement to that effect in the introductory pages.

3.2 Types of Deliverables

AHRI develops, publishes, and maintains both standards and guidelines. The process for development of standards and guidelines is defined in [Section 6](#) and in [Appendix E](#).

3.2.1 Standards

AHRI standards are designed for use in conformance testing and certification and use language such as “shall” or “must” to state requirements for testing purposes.

AHRI standards may be approved as AHRI-only or may also be further approved as ANSI and/or NSC standards. All AHRI standards shall be revised, reaffirmed, or withdrawn from publication within five years of publication. Issuance of addenda or errata does not affect the publication date.

AHRI does not publish safety standards.

3.2.2 Guidelines

AHRI Guideline documents cover such topics as terminology, nomenclature, and instructional or explanatory information. Guidelines provide voluntary provisions only and are not mandatory.

Guidelines are published with AHRI-only approval and are not submitted for ANSI and/or NSC designation. Guidelines shall be reviewed every five years for continued correctness and applicability, and may be either revised, reaffirmed, or withdrawn.

3.2.3 Naming

Standards and guidelines are named as shown in [Figure 1](#).

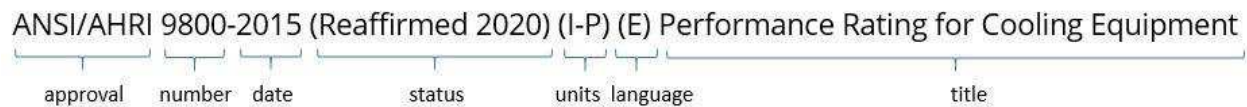


Figure 1: Example of the title of a standard (informative)

3.2.3.1 Organizational Approval

A prefix listing the approvals given the standard by organizations. Multiple approvals may be combined, separated by a slash (/).

- “AHRI” for a standard or guideline approved by AHRI.
- “ANSI” for a standard approved in accordance with ANSI requirements. Standards intended for this approval but have not yet been given final approval shall carry the BSR designation instead.
- “CAN” for a standard approved in accordance with SCC requirements.
- “ASHRAE”, “CSA” or other for a standard jointly developed and approved by AHRI and another organization

3.2.3.2 Number

The number of the standard. In instance where two or more standards have been consolidated into a single standard the compound number may be separated by a slash (/), or may use a single number.

Guidelines are named with a letter (A-Z) instead of a number.

For derivative standards applicable to a specific climate, a suffix consisting of a dash (-) followed by the ASHRAE 169 climate code, for example 9800-0B-2015.

For derivative standards applicable to a specific country, a suffix consisting of a dash (-) followed by the ISO 3166 country code, for example 9800-SA-2015.

3.2.3.3 Date

The year of publication, separated from the standard’s number by a hyphen.

If an effective date or applicability is related to the use of the standard or guideline it shall be noted on the inside title page separately from the name.

3.2.3.4 Status

For a revision or withdrawal from publication, the status of the document (Reaffirmed or Withdrawn), together with the date of that action, in parentheses, while retaining the original publication date.

A Revision is noted by a change of the Date element, discarding the previous publication date.

3.2.3.5 Units

Specification of the measurement units used in the document, in parentheses, either (SI) for an SI-unit standard, (I-P) for an I-P-unit standard, or (SI/I-P) for a standard using joint measurement units.

A standard not using any units of measure and applicable to both shall be considered as using joint units.

3.2.3.6 Language

If the standard is available in multiple languages each shall be identified with letters in parentheses designating the language of the standard using ISO 639-1. Any standard not so identified is assumed to be in English. In any case where the English and any translated version do not agree the English version shall prevail.

3.2.3.7 Errata or Addenda

Any errata or addenda to the document shall be identified with a number e.g. (Erratum 1) or (Addendum 2).

3.2.3.8 Title

A descriptive title.

3.3 Measurements

All AHRI standards and guidelines shall use SI units, and may optionally also use I-P units, following one of these options:

3.3.1 Single SI

Publish the standard or guideline as SI only, with all rating, testing, and certification measurements using SI units.

3.3.2 Dual

Publish separate documents for SI and I-P. All rating, testing, and certification measurements shall use SI units for the SI document and I-P units for the I-P document. The measurements in the separate SI and I-P unit documents are not necessarily equivalent. Other differences between the two documents shall be noted.

3.3.3 Joint

Publish a single document using both SI and I-P units with all rating, testing, and certification measurements presented in both SI and I-P units. Conversion of SI to I-P units shall be done as specified in the document *AHRI Standards Style Guide*.

The selection of one the above options shall be based upon market need and shall be specified in the Project Initiation Form. Numbering appropriate to the option shall be used in the document name.

Section 4. Standards Activity Structure**4.1 Summary**

The AHRI standards activity is conducted by the following groups.

All participants in the AHRI standards activity shall annually complete and submit to AHRI staff a Conflict of Interest form.

4.1.1 Standards Committee

The AHRI Bylaws establishes a Standards Committee (StdC), a standing committee of the AHRI Board of Directors with responsibility for maintenance of policy and procedures for the AHRI standards activity. (See Section [4.2.](#))