

Procedures for Standards Development

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Foreword

The American Petroleum Institute (API) *Procedures for Standards Development* (Procedures) provide specific guidance for API standards activities including; project justification and initiation of new standards; approval balloting; requirements for balance, consensus and due process; procedures for revision, reaffirmation and withdrawal; criteria for processing requests for interpretations; intellectual property and patent policy guidance; and API's appeals process.

These Procedures govern the development of all standards published exclusively by API and jointly with other standards developing organizations. All API standards development activities shall be conducted in accordance with these Procedures.

These Procedures also provides guidance that allows for the submittal of candidate API standards for approval as American National Standards including the national adoption of International Organization for Standardization (ISO) standards as American National Standards.

These Procedures have been approved by the ANSI Executive Standards Council (ExSC) effective July 31, 2019.

For additional information on API's standards program contact the Standards Director, American Petroleum Institute, 200 Massachusetts Avenue, NW, Suite 1100, Washington, DC 20001.

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API Procedures for Standards Development

1 Scope

1.1 API Standards Committees

The procedures established in this document govern the development of standards published by the American Petroleum Institute (API). All API standards development activities shall be conducted in accordance with these Procedures.

API committees responsible for standards development may also maintain written procedures addressing individual committee organization, scope, membership and conduct. These Procedures shall not be amended by individual committee procedures or procedures developed for joint committee activities (see 1.2).

Questions regarding intellectual property issues such as copyrights, trademarks or patents shall be directed to the API Office of General Counsel.

1.2 Joint Committees

API committees working jointly with other standards developing organizations shall maintain written procedures addressing joint committee structure, scope, membership and operations.

2 Standardization Authority

The authority to develop standards has been authorized by the API Board of Directors and rests with the API segment and standards policy committees. This authority may be delegated to subordinate committees with responsibility for standards development.

3 Definitions

For the purposes of these procedures, the following definitions apply.

3.1

consensus body

The group that approves the content of a standard by ballot and by its approval, demonstrates evidence of consensus.

3.2

standards action

A substantive action taken or decision reached by an API committee or API staff relating to a standard or the manner in which such action was taken or decision was reached.

Note: Standards actions may include approval of new standards, revision, reaffirmation or withdrawal of existing standards and the decision to nationally adopt an international standard.

3.3

standards policy committee

A committee with overall responsibility for standards program management in a particular subject area.

Note 1: A standards policy committee may be established by the API Board of Directors, an API General or Segment Committee or an authorized subordinate level committee.

Note 2: Membership on standards policy committees is limited to representatives of API member companies.

3.4

standards committee

A committee with the overall responsibility for developing, maintaining and approving API standards for a particular category or categories of equipment, materials, or practices in accordance with these Procedures.

Note 1: A standards committee may be responsible for an entire standards program or industry sector.

Note 2: Responsibility for standards programs may be assigned to intermediate committees with authority to form, guide, and coordinate standards committees as needed.

3.5

subgroup

A group formed by a standards committee for the purposes of developing consensus through the balloting procedures described in Section 5.6 *Balloting*. It may also provide oversight to additional subordinate groups responsible for (1) the definitive content of one or more standards, and (2) responding to views and objections therein.

3.6

editorial changes

non-substantive changes

Changes intended to correct errors or inconsistencies in a manuscript. Editorial changes have no effect on the way the standard is used or applied.

3.7

substantive changes

Changes that directly and materially affect the use of the standard.

Example: A non-exclusive list of examples are as follows:

- changing “shall” to “should” or “should” to “shall”;
- the addition, deletion or revision of requirements, regardless of the number of changes;
- the addition of mandatory compliance with referenced standards.

3.8

shall

Denotes a minimum requirement in order to conform to the standard.

3.9

should

Denotes a recommendation or that which is advised but not required in order to conform to the standard.

Note: In some cases, third parties or authorities having jurisdiction may choose to incorporate API standards by reference, and may mandate compliance with all requirements and recommendations. All uses of the words “should and “shall”, therefore, must be based on sufficient information of the standard’s current and potential future use.

3.10

may

Denotes a course of action permissible within the limits of a standard.

3.11

can

Denotes a statement of possibility or capability.

3.12

periodic maintenance

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.

3.13

continuous maintenance

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.

3.14

stabilized maintenance

Maintenance of an eligible (5.9.4) standard on a 10-year review cycle by a standards policy committee.

4 Designation of API Standards

4.1 General

All API standards shall be identified by an alphanumeric designation. API standards may include the following terms (4.3 through 4.6) in the title and/or the alphanumeric designation to provide additional clarity. All API standards carrying these designations are compliant with these Procedures.

4.2 Definition of Standard

Standard is a broad term covering all API documents that have been developed in accordance with these Procedures. All API standards shall include the following statement in their foreword:

This document was produced under API standardization procedures that ensure appropriate notification and participation in the developmental process and is designated as an API standard. Questions concerning the interpretation of the content of this publication or comments and questions concerning the procedures under which this publication was developed should be directed in writing to the Standards Director, American Petroleum Institute, 200 Massachusetts Avenue, NW, Suite 1100, Washington, DC 20001.

Note: There is no hierarchical structure of documents designated as API standards and as defined in 4.3, 4.4, 4.5 and 4.6, just different types of documents based on the intended purpose.

4.3 Specifications

Documents that are written in such a way as to facilitate communications between purchasers, manufacturers, and/or service suppliers. Specifications may include datasheets which may be used in industrial transactions.

4.4 Recommended Practices

Documents that communicate recognized industry practices. Recommended practices (RPs) may include both mandatory and non-mandatory requirements.

4.5 Standards

Documents that combine elements of both specifications and recommended practices.

4.6 Codes

Documents that may be adopted by regulatory agencies or authorities having jurisdiction. This may include "inspection-based" material.

4.7 Other Document Designations

4.7.1 Draft Standards

A document that has been developed under these Procedures and is distributed for additional comment. Most draft standards are not published; however, with the approval of the appropriate committee, draft standards may

be published for a specified period of time to obtain more widespread circulation to interested parties. A draft standard may be published as long as it is identified as such on its cover and includes an express disclaimer approved by the API Office of General Counsel. Draft standards shall not be processed as Draft American National Standards for trial use, as they are no longer recognized by ANSI.

4.7.2 Bulletins and Technical Reports

4.7.2.1 Description

Documents that convey technical information on a specific subject or topic and are generally issued on a one time-basis are not standards and are not addressed by these Procedures. Bulletins and technical reports may be approved for publication by API standards committees using the procedures for consensus as defined by these Procedures.

4.7.2.2 Registration of Technical Reports with ANSI

An API Technical Report may be registered with ANSI for publication and shall include the official designation as a "Technical Report prepared by the American Petroleum Institute and registered with ANSI". Registration requires compliance with ANSI's *Procedures for the Registration of Technical Reports with ANSI* and submission for registration to ANSI using the *Formal Submittal for Registration as a Technical Report* form PSA-01. (For additional information on the procedures for ANSI Technical Reports see <http://www.ansi.org>.)

4.7.3 Other Designations

Any other designations such as, but not limited to, guide, publication or guidance document shall not be used in the title of API Standards.

The term "Chapter" may be used to designate a subdivision or group of standards or documents within a particular suite.

5 Procedures

5.1 General

The following procedural requirements apply to the development of consensus for approval, revision, reaffirmation, and withdrawal of API standards.

5.2 Due Process

5.2.1 Openness

Participation in API standards activities is open to all parties (persons and organizations) that have a direct and material interest in the subject of a standard. Consideration shall be given to the written views and objections of all participants and the right to appeal shall be made available to adversely affected parties (see 5.8).

5.2.2 Balance

5.2.2.1 Overview

API seeks broad input to its standardization activities including the participation of all parties representing interest categories appropriate to the nature of the standard, and allows for open attendance at standards meetings (see 5.10.1). API strives for balanced representation (for example, targeting one-third representation for the traditional model of the three interest categories of operator-user, manufacturer-service supplier, and general interest) in an effort to avoid a majority of any one interest category. The criteria for balance are that a) no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards.

5.2.2.2 Interest Categories

In defining the interest categories appropriate to API standards activities, consideration shall be given to at least the following.

- a) Operator-User—the entity that is using the product specified in the standard or performing the operations or practices described in the standard.
- b) Manufacturer-Service Supplier—the entity that is fabricating a product specified in the standard or used in performing the operations or practices described in the standard or the entity that is providing a service in compliance with the standard.
- c) General Interest—an entity that is neither of the above but has a direct and material interest in the product, operation, or practice described in the standard. Typically this category includes consultants.

Other interest categories such as the following may be established within a standards committee in order to insure adequate levels of representation.

- d) Government—Federal, state, or other regional regulatory body.
- e) Academia—College or university-affiliated expert.
- f) Association—Professional society or non-governmental authority.
- g) Non-Governmental Organization (NGO)—Labor, consumer interest.

5.2.2.3 Designation of Interest Categories

Rosters shall be established for all consensus bodies with the interest categories of each voting member stated. Members may have voting or non-voting status (see 5.5). Observers are non-voting members and may be listed on the roster as mailing list members. Those representatives identified on the mailing list of a consensus body roster are nonetheless considered members of the API group, and as such, any comments submitted by such members during a standards action ballot (5.6.3) are not considered public review comments.

5.2.2.4 Outreach

The size of a consensus body meeting the requirements of 5.2.2.1 shall be appropriate to the standard being discussed, and should typically consist of at least ten members. In the event that there are insufficient consensus body members identified, or the requisite interest categories are not adequately represented to achieve balance, API staff shall make efforts to contact organizations or individuals deemed appropriate for consensus body membership, or shall conduct outreach to under-represented interest categories, and document those efforts.

5.2.3 Consensus

API develops industry standards on the basis of consensus. Consensus is established when substantial agreement has been reached by directly and materially affected interests. Substantial agreement means 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. For purposes of these Procedures, consensus shall be defined as a majority of those eligible to vote shall have voted *and* approval by at least two-thirds of those voting, excluding abstentions.

5.3 Notification of Standards Activities

5.3.1 General

The standards activities listed below shall be announced in a suitable manner in order to provide an opportunity for participation by all direct and materially affected parties. Such announcements may be in the form of notices or