
I

Coordinating Council Procedures Recommended Practices (RP) Development Process



Institute of Transportation Engineers
1099 14th Street, NW
Suite 300 West
Washington, DC 20005-3438
PH: +1 (202) 289-0222
FAX: +1 (202) 289-7722
www.ite.org

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FIGURE 1: FLOWCHART OF RECOMMENDED PRACTICE DEVELOPMENT PROCESS



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I. Objectives of the Recommended Practices Development Process

The purpose of this manual is to document the procedures to be followed by the Institute of Transportation Engineers (ITE) in preparing ITE Recommended Practices (RP). An RP is a form of Institute Standard. Committees developing an Informational Report as defined below should refer to the *ITE Coordinating Council Procedures: Preparation of Informational Reports*.

The Institute of Transportation Engineers has implemented organizational and participatory structures and processes to promote interaction among interested parties for Institute standards and recommended practices. The procedures are designed to ensure compliance with required standards-making processes and provide the necessary documentation to address any inquiries or noted problems.

The procedure for RP development is generally outlined in Figure 1. Once a decision is made to develop an ITE RP, a committee is assigned the preparation task. The draft material is subjected to a review process before the proposed RP is published. A list of persons interested in the RP is maintained; and these persons are kept up to date on the development of the RP. Additionally, notices are published by ITE notifying interested parties of the status of specific RP's. All comments and input received on proposed RP's are addressed prior to final adoption. An appeals process is provided to resolve any final disagreements on a specific RP or to address the RP development procedures.

The Standards Adoption Process procedure has been approved and is periodically updated by the ITE International Board of Direction as part of the ITE International Board of Direction Procedures. Recent updates to these procedures were approved by the ITE Board in March 1989, May 1997, January 1998, August 1998; and subsequently revised in March 2006. Each step in the development of an ITE RP shall be accomplished in accordance with the version of these procedures that is in effect at that time.

A. Purpose of ITE Standards and Recommended Practices

Standards and recommended practices are used by consumers, manufacturers, and suppliers to define their mutual obligations. They are essential for the orderly and efficient conduct of domestic and international commerce and for the protection of the economic, social, environmental, and safety interests of all parties. Standards and recommended practices can favorably or unfavorably affect costs, availability and performance of products and systems. This document is intended to provide procedures whereby the Institute of Transportation Engineers can address this broad purpose of recommended practices while providing a rational and fair basis for the recommended practices so developed.

An important aspect of the development work of the Institute is that all of its standards and recommended practices are advisory only. The Institute has no regulatory authority and no enforcement arm concerning their use. All standards and recommended practices are used and/or applied on substantially public facilities and only have status when officially sanctioned by the governing agency. Their use by public agencies is usually in the interest of safeguarding the welfare and safety of the private users of the product or facilities themselves.

B. Objectives of the Process

The intended objective of these procedures for the development of Institute standards is to ensure procedural fairness to all interested parties. Need for standards and recommended practices will be identified through a coordinated effort. Reasonable safeguards are provided to guard against any potential harmful effects on consumer/user costs, innovation, competition, interstate commerce and international trade. Realistic appeals procedures are provided for parties who feel they have been or will be disadvantaged by the development process. An organizational structure is available through which concerned organizations, groups, and individuals can cooperatively develop voluntary standards and recommended practices. The procedures also help ensure that all interests are fairly and adequately represented.

C. Types of Reports

ITE Councils and committees generate the following types of reports:

1. Informational Report

A publication of the Institute containing information and data on actions or options for use relevant to particular transportation engineering procedures or equipment applications. Content of the report is based on the experiences of practicing transportation professionals and on research. Such reports are prepared for information purposes only and do not include Institute recommendations on the course of action or the preferred application of the data contained therein.

2. Institute Standards

ITE Standards are adopted and promulgated by the Institute for the guidance and voluntary use by its members or others who may so desire. Once adopted, an ITE Standard shall remain in effect until action is taken to revise, replace, transfer to another standards organization or withdraw the standard.

ITE Standards may take the following forms:

- a. Recommended Practice: A publication of the Institute which includes Institute recommendations for rules, conditions, methods, or requirements concerning procedures, performance, design, operations, systems, services, practices, or courses of actions for application to transportation engineering activities and functions. They are adopted and promulgated for guidance and voluntary use. Recommended practices include appropriate information and data to support the recommendations contained therein. Recommended practices do not include canons of ethics or other rules of professional conduct.
- b. Equipment Standard: ITE equipment standards describe design, material, processing, safety aspects, or performance characteristics of equipment used for controlling, directing, or informing users of transportation facilities. They may include what is important about the equipment, testing procedures, and how to

evaluate the test results in light of the equipment's intended use. The particular utility of an equipment standard is that it provides this complex information in a form useful to persons who may not be experts in the subject area. An equipment standard allows users and manufacturers to objectively determine if a given product satisfies or complies with the standard.

Performance equipment standard states equipment output or relates to its application without regard to product design, materials, dimensions, or other manufacturer considerations. Generally, any type or combination of input factors is acceptable if the final product meets ultimate performance or safety requirements.

Performance equipment standards permit producer flexibility and consumer choice although performance requirements may, at times, be difficult to define. An example of performance requirement is a light indication where the performance would be visibility distance rather than the voltage, light bulb, reflector, and lens designed to provide that performance.

Frequently referred to as a construction or design standard, or specification, prescriptive equipment standards indicate precise materials, design, processing, dimensions, or other "input" factors in production. They are presumed to yield desired equipment performance when in fact they may have been developed around known and available products or technology. Where it is practical, it is desirable to develop performance equipment standards.

- c. Software/Protocol Standard: These standards define software or communications protocols used in transportation facilities, systems, communications or equipment. They are usually applicable to advanced technologies, including intelligent transportation systems. These standards may include message sets, object definitions, data dictionaries and other components of application software, operating systems, and communications protocols.
- d. Proposed Standards and Proposed Recommended Practices: These are published for the purpose of receiving comment on any or all portions of the proposed standard. A proposed standard does not replace an existing Institute standard or become a new Institute standard until it has been formally adopted by the Institute.
- e. Interim Standard. ITE standards may be adopted as final or interim standards. An interim standard is a standard which will be reconsidered in less than five years pending completion of planned or ongoing research or testing, but for which there are compelling reasons to adopt with an interim designation at this time.

II. Steps in the Recommended Practice Development Process

In the process depicted in Figure 1, a committee is designated as the working group to develop the RP. Approval by ballot of the committee, an RP Review Panel and the ITE International Board of Direction are required at various steps before the development of the proposed RP can proceed to the next step.

An Alternate Canvass Process is also authorized. Under this process, a Canvass List is developed and maintained. All parties registered on the canvass list are given the opportunity to comment and vote on the proposed RP. These Canvass List ballots replace the committee ballots in steps 4 and 9 of these procedures. The working group designated to develop and revise the RP may take the form of a small group of volunteers, an individual, a hired consultant, ITE Headquarters staff, or any combination thereof. Details on how the Alternate Canvass Process fits into each step Figure 1 are also included below.

Step 1. Decision is Made and Effort is Announced

A. Decision to Develop Recommended Practice

The need for development of a new RP can be initiated by communication to ITE Headquarters, SCORP Chair, or to the appropriate ITE Council chair. The requestor shall complete Parts 1 and 2 of the ITE Council Project Proposal Form (Attachment A) to document the scope, purpose, other known RP's, data, work pertaining to the request, and any other supporting information to answer the questions that follow. Clear focus on a thorough explanation of the reasons and need for an RP in the request will assist in the decision for action and shorten the time schedule to initiate action on the request. The appropriate ITE Council Executive Committee(s) shall make a decision on requests for a new RP or revised RP. In making its decision, the Council Executive Committee will consider the following questions:

- Is there a need for this Institute RP that is not being filled by another organization?
- Is this proposed RP of direct concern to the practice of transportation engineering and members of the Institute?
- Is the proposed RP necessary for the protection of life, safety, or transportation performance?
- Will the proposed RP unnecessarily interfere with or contribute to the marketing of a product?
- What is the technical justification for developing this proposed RP?

The Council Executive Committee shall forward its answers to these questions and decision to ITE Headquarters through the Coordinating Council Secretary. If the Council Executive Committee determines that ITE should develop or revise an RP, it shall also provide the following to ITE Headquarters through the Coordinating Council Secretary:

- A scope of work, spelling out what the committee will do to accomplish the proposed standards task and the resources that will be needed

- A preliminary list of potential committee members, describing their backgrounds and reasons for service on the committee, or a recommendation to assign the project to an existing ITE committee or joint committee with other organizations.

The proposal to develop an RP will be forwarded to the Coordinating Council Chair and Vice Chair and submitted to the Standing Committee on Recommended Practices (SCORP) for review and comment. Comments prepared by SCORP on the proposal will be returned to the requestor for resolution. Once all comments on the proposal are addressed, SCORP shall vote to affirm/decline recommending that the proposal proceed. All such recommendations shall be reviewed and acted upon by a committee consisting of the ITE Coordinating Council Chair, designated member of the current International ITE Executive Committee, the appropriate ITE Council Chair, and the ITE Executive Director. ITE Headquarters will inform the requester of the decision.

B. Announcement

ITE Headquarters will issue the notice of intent to initiate actions that are expected to lead to the development, revision, or withdrawal of an ITE RP. The notice will contain at least a statement of the subject matter, type of action proposed, and the rules for participation. The notice will be published in the ITE Journal, on the ITE internet website, and transmitted to other appropriate parties and publications. The notice may also be published in the newsletters of appropriate ITE Councils.

The notice will ask those interested in participating to respond to ITE Headquarters. A notice and response period of at least 60 days will be provided. Respondents should indicate whether they are interested in serving on the committee and/or being placed on the registrants list to directly receive future status updates and calls for comments. ITE Headquarters may also submit the appropriate information to the American National Standards Institute (ANSI).

C. Registrants List

The registrants list is a list of those individuals who have requested to receive future status updates and calls for comments on a specific ITE RP directly. The registrants list for each ITE RP will be maintained at ITE Headquarters. At least once each year ITE Headquarters shall provide registrants with an update of the status of the RP, ask for updates to the registrant's contact information and whether or not they still wish to be included on this list. At least once each year ITE Headquarters will also publish a notice in the ITE Journal and on the ITE website soliciting others interested in being added to the registrants list. The notice may also be published in the newsletters of appropriate ITE Councils. ITE Headquarters shall provide copies of all notices and calls for comments relative to the RP to those on the registrants list. Any party submitting comments on the RP during its development will be added to the registrants list.

Alternate Canvass Process

If the Council Executive Committee plans to recommend that the Alternate Canvass Process be used, the same actions described above shall be followed. The Canvass List shall take the place of the registrants list. In soliciting those who may be interested in being included on the Canvass List, the notice shall explain that those on the Canvass List will be expected to complete and return ballots as part of the process, and that failure to return a ballot may result in removal from the Canvass List.

Step 2. Committee is Formed

A. Committee Designation

ITE Headquarters will forward responses received from the announcement notice to the appropriate Council Executive Committee(s). The Council Executive Committee shall consider the responses received and forward to ITE Headquarters its recommended designation of the project committee, its chair, and its membership. The final designation of the project committee and the appointment of its members and chair shall be made jointly by the ITE Coordinating Council Chair, SCORP Chair, one designated member of the current International ITE Executive Committee, the appropriate ITE Council chair, and the ITE Executive Director. The three possible committee designations are:

- An existing ITE committee, with membership supplemented if necessary to achieve appropriate balance;
- A new ITE committee; and
- An existing or new joint ITE committee with other organizations (see Step 2.D of these procedures).

Upon the designation of the committee, ITE Headquarters will assign a name and number to the committee corresponding to the numbering protocol established for ITE reports.

B. Membership

Committee membership can be composed of any individuals who have an active interest and knowledge in the proposed RP. Appointment of committee members and the committee chair shall be recommended by the appropriate Council Executive Committee and approved jointly by the ITE Coordinating Council Chair, SCORP Chair, one designated member of the current International ITE Executive Committee, the appropriate ITE Council chair, and the ITE Executive Director. Committee membership shall be composed of individuals from government, industry, consumer, or other groups that have experience in a particular proposed RP area and an active interest in the proposed RP. It is desirable that the committee membership be distributed geographically to include regional and international consideration with balance from users, consumers, manufacturers, governmental, environmental, and conservation groups if at all possible relative to technical expertise. The normal size of the committee is five to fifteen members.

The registrants list shall be developed, added to, and retained as a source of present and future committee members. It is not necessary that a committee be composed of only those

that volunteer. Individuals with special knowledge or interest in the subject area should be actively solicited to serve on the committee.

The committee shall be governed by a chair. Organization of subcommittees, task forces, ad hoc committees, etc., shall be the choice of the committee and chair.

Committees may consist of both members and non-members of the Institute. Committee chairs and vice chairs must be members of ITE "international." All individuals serving on a committee should be considered voting members of the committee.

The chair and each committee member shall be advised of the specific requirements for an RP committee and provided with a copy of the appropriate procedures by ITE Headquarters. They shall be asked to verify by signature that they understand the procedures and agree to adhere to them as condition of appointment.

The Council Executive Committee will monitor the work of each committee as to the timely development of the RP and as to the quality of work. If it is found that the committee's work is not progressing satisfactorily, the Council chair will discuss continued participation with the committee chair. If it is concluded that a change is needed, the Council Executive Committee shall take forward its recommendation to ITE Headquarters for action.

A committee member can resign by notification in writing to the committee chair. Additionally, the committee chair can recommend termination of a member who continuously fails to respond to committee activities. Recommendations by the committee chair for terminations and re-appointments shall be approved jointly by the ITE Coordinating Council Chair, SCORP Chair, a designated member of the International ITE Executive Committee, the appropriate ITE Council chair and the ITE Executive Director. A member no longer on the approved committee list shall be omitted from any individual credit listing in printed RP's, articles, membership roster, or other committee information.

C. Committee Scope and Objectives

At the time of a committee's formation, the committee chair and the Council Executive Committee will prepare the detailed scope and objectives for the committee, including a schedule of deliverables. The committee objectives should outline the specific activities needed to develop the RP, proposed course of action, resources needed, and forecasted time schedule. These should be developed so that a timely and concise report of use to the profession can be generated.

Subsequent revisions to committee scope and objectives may be made by the committee and shall be approved by the Council Executive Committee prior to implementation.

At the inception of each committee's work, or with the appointment of a new committee chair, the Council Executive Committee designates a "term of the project", prior to which the assigned project should reach Step 7 of these procedures. This term shall normally be six months to two years, and should be established to be consistent with the scope of the committee's assignment and/or the urgency of generating the information. If the committee determines that there is a need for additional time, suitable recommendations shall be made to the Council chair who has the option to grant one or more six month extensions.

D. Joint Committees With Other Organizations

The Council Executive Committee may recommend designation of an existing or new joint committee with other organizations to develop one or more RP's for eventual consideration for adoption by ITE. Any such recommendation shall be accompanied by a work plan that details the joint procedures that will be followed, how the joint procedures will be coordinated between ITE and the other organizations, and how the joint procedures will meet the objectives of this ITE Recommended Practices Development Process contained in Section I.B. The proposed joint committee designation and joint procedures shall be subject to the joint approval of the ITE Coordinating Council Chair, one designated member of the current International ITE Executive Committee, the appropriate ITE Council Chair, and the ITE Executive Director.

Alternate Canvass Process

A recommendation by the Council Executive Committee to use the Alternate Canvass Process shall be approved jointly by the ITE Coordinating Council Chair, one designated member of the current International ITE Executive Committee SCORP Chair, and the ITE Executive Director. The Council Executive Committee shall also recommend the designation of the working group to develop and revise the standard. This working group may take the form of a small group of volunteers, an individual, a hired consultant, ITE Headquarters staff, or any combination thereof.

The ITE Coordinating Council Chair, SCORP Chair, one designated member of the current International ITE Executive Committee, and the ITE Executive Director shall review and approve the designation of the working group and the Canvass List to assure appropriate balance.

Step 3. Committee Develops Draft Proposed Recommended Practice

The committee chair and its members are responsible for the development and writing of the draft proposed RP or draft proposed revisions to an existing RP. Business shall be conducted through correspondence and meetings.

A. Correspondence

Correspondence can be through mail, fax, and/or electronically (email, listserv, internet website, etc.). ITE Headquarters for the committee shall be copied on all committee correspondence. The committee chair shall forward requests for a committee listserv or website to ITE Headquarters. Committee Chairs and members shall submit all communications regarding an ITE RP directed to those outside the committee to ITE Headquarters for review before circulation. In addition, Committee Chairs, committee members, and others involved in the ITE RP process shall not circulate commentary with respect to the RP or the applicability of the RP to any particular product internal to the committee or external nor on ITE stationery or in any way that would suggest that such a comment is an official action of ITE.

B. Meetings

Committee meetings may be called by the committee chair or by petition of at least half of the members of the committee. Meetings will be open to all members and to others having a direct or material interest. Notice of meetings shall be provided by ITE Headquarters to all committee members and others on the registrants list at least four weeks in advance of the meeting. The notice shall include the purpose of the meeting, an attendance response form, and who to contact for more information. An agenda shall be provided in advance of the meeting to those known to be planning to attend.

A majority of the members of the committee shall constitute a quorum for conducting business at the meeting. If a quorum is not present, actions may be taken subject to confirmation by letter ballot. Minutes and action items shall be developed and provided to all committee members and others attending the meeting within 30 days after the meeting.

C. Recommended Practice Development Report

The committee shall develop and maintain an RP Development Report (RPDR) in both printed and electronic format. The RPDR will serve as the basis for reviews and ballots by various parties as specified in these procedures and shall therefore be updated by the committee at each step in the ITE RP development process. The RPDR shall contain the following elements:

- Latest version of the draft proposed RP, clearly showing revisions made or proposed to the previously approved version, if any.
 - If appropriate, preface the report with the following statement: “This recommended practice was developed with funding assistance from the USDOT. The recommended practice has been developed for the U. S. but may have applicability elsewhere.”
 - If appropriate, include Appendix consisting of appropriate data, information, summaries or material of interest in reviewing the RP.
 - Declaration confirming that any other known national and international RP’s have been examined with regard to harmonization and duplication of content, and that no significant conflicts with another known RP have been identified. Identify the non-US standards that were examined and the source country, and a brief description of the specific process and the findings.
 - An abstract of the RP not to exceed 500 words. The abstract shall summarize the contents of the RP and differences from any previous versions, and shall be appropriate for use in a notice soliciting comments on the draft or proposed RP.
- Committee objectives
- List of committee members, observing and liaison, to include name, title, employer, country and any company or organization with whom they are affiliated.
- Summary status sheet, consisting of Figure 1 of these procedures with an indication of where the RP is currently in the ITE RP development process.
- Status report, including for each step in these procedures: dates, balloting results and other information explaining the actions taken to carry out each step.

- Table listing each written comment received to date from committee members, registrants and others. For each comment, the table shall include the actions taken or proposed to be taken, in response to that comment, and the reason(s) for the action.

Alternate Canvass Process

The designated working group shall prepare the draft proposed RP and the Recommended Practice Development Report, as described in step 3.C. above. Correspondence shall in accordance with Step 3.A. above.

Step 4. Committee Ballots Draft Proposed Recommended Practice

A. Voting

The committee chair shall provide each member of the committee with a copy of the RP Development Report and a committee ballot.

Each committee member shall have one vote, and shall vote one of the following positions:

- 1) Affirmative,
- 2) Affirmative, with comment,
- 3) Negative, with reasons, and
- 4) Abstain, with reasons.

A committee member may vote by proxy at committee meetings if written authorization is provided by the absent committee member. The committee chair shall work with ITE Headquarters to determine the length of the voting period. Extensions may be granted. Letter ballots may be authorized by the committee chair, ITE Headquarters, a majority vote of those present at a committee meeting, or petition of a majority of the committee members.

Committee actions require the following affirmative votes to approve:

- Recommend withdrawal of an existing RP (majority of the committee membership)
- Recommend publication of the draft proposed RP to solicit comments (2/3 of those voting (excluding abstentions) and a majority of the committee membership)
- Recommend approval of new RP or reaffirmation of an existing one (2/3 of those voting (excluding abstentions) and a majority of the committee membership)
- Recommend approval of revision or addendum to part or all of an RP (2/3 of those voting (excluding abstentions) and a majority of the committee membership)
- Recommend change in committee scope (2/3 of those voting (excluding abstentions) and a majority of the committee membership)
- Recommend termination of the committee (2/3 of those voting (excluding abstentions) and a majority of the committee membership)

B. Submission to ITE Headquarters

Any action receiving the above affirmative vote shall be forwarded by the committee chair to ITE Headquarters along with the updated RP Development Report in printed and electronic form. In addition to the items to be included in the RP Development Report listed in Step 3

of these procedures, the committee's submission to ITE Headquarters shall comply with the requirements for formatting of an RP report specified by ITE Headquarters.

Alternate Canvass Process

The working group shall provide the Recommended Practices Development Report to ITE Headquarters, which shall forward it along with a ballot to the Canvass List. The number of Canvass List affirmative votes to approve shall be the same as those listed in Step 4.A. above. ITE Headquarters shall contact those who have not returned a ballot at least one week prior to the close of ballots. Those contacted shall be reminded that they may be removed from the Canvass List if they do not respond. Those on the Canvass List not returning a ballot by the close of ballots may be removed from the Canvass List, with the approval of the ITE Coordinating Council Chair, SCORP Chair, one designated member of the current International ITE Executive Committee, and the ITE Executive Director.

Step 5. Recommended Practice Review Panel Ballots Draft Proposed Recommended Practice

ITE Headquarters shall provide each member of the designated RP Review Panel with a copy of the RP Development Report and an RP Review Panel ballot. Each ballot shall address and require a vote on each criterion of approval, and shall request comments and explanation of reasons for a negative vote. A voting period of 15 to 30 days shall be provided.

A. Recommended Practice Review Panel

The appropriate Council Executive Committee(s) shall appoint an RP Review Panel to review and ballot on the RP Development Report submitted by the committee. The RP Review Panel shall be one of the following:

- The members of the Council Executive Committee(s), supplemented by additional members if necessary to meet the balance requirements contained in these procedures.
- A standing RP Review Panel, charged by the Council Executive Committee to review and ballot on all proposed recommended practices falling under the jurisdiction of the Council.
- A RP Review Panel appointed by the Council Executive Committee to review and ballot a specific proposed RP.

Regardless of which option is chosen, RP Review Panel membership shall be distributed geographically to include regional and international consideration with balance from users, consumers, manufacturers, governmental, environmental, and conservation groups if at all possible relative to technical expertise. The RP Review Panel should include at least one member of the appropriate Council Executive Committee(s). RP Review Panel members shall not have been directly involved in the development of the draft or proposed RP in question, and shall have no conflict of interest in the RP. The normal size of the RP Review Panel is five to ten members.

B. Voting

The RP Review Panel shall review the RP Development Report and judge it against the following criteria for approval:

- The RP appears to be technically adequate.
- The process used to date in the development of the RP has met the objectives listed in I.B. of these ITE procedures.
- The development of the RP followed the steps outlined in these ITE procedures.

Each RP Review Panel member shall have one vote, and shall vote one of the following positions:

- 1) Affirmative,
- 2) Affirmative, with comment,
- 3) Negative, with reasons, and
- 4) Abstain, with reasons.

ITE Headquarters shall determine the length of the voting periods. Extensions may be granted. Actions require the following affirmative votes by the RP Review Panel:

- Withdrawal of an existing RP (majority of the members eligible to vote).
- Publication of the draft proposed RP to solicit comments (2/3 of those voting (excluding abstentions) and a majority of the members eligible to vote).
- Approval of new RP or reaffirmation of an existing one (2/3 of those voting (excluding abstentions) and a majority of the members eligible to vote).
- Approval of revision or addendum to part or all of a RP (2/3 of those voting (excluding abstentions) and a majority of the members eligible to vote).

Alternate Canvass Process

Step 5 is the same as above for the Alternate Canvass Process.

Step 6. Draft Proposed Recommended Practice Approved or Returned for Further Work

If the RP Review Panel ballot does not achieve the affirmative votes listed above, ITE Headquarters will return the ballots along with comments received to the committee for further work. The committee will repeat Steps 3 and 4 above to address and resolve the outstanding issues, and submit a revised RP Development Report to ITE Headquarters, which will reballet the RP Review Panel.

Alternate Canvass Process

Step 5 for the Alternate Canvass Process is the same as described above, except that the RP Review Panel ballots are returned to the working group.

Step 7. Proposed Recommended Practice Published to Solicit Comments

Following approval by the RP Review Panel, ITE Headquarters will arrange for publication of the proposed RP and the notice to solicit comments. The notice will contain at least a summary of the proposed RP, type of action proposed, how to obtain or purchase a full copy of the proposed RP, and how to submit comments. The notice will be distributed to the registrants list, published on the ITE internet website, and transmitted to other appropriate parties and publications. The notice may also be published in the ITE Journal and newsletters of appropriate Councils. A comment period of at least 60 days and no longer than one year shall be provided. A review period of less than 6 months is preferred.

Written comments shall be collected by ITE Headquarters and provided to the committee chair. ITE Headquarters shall acknowledge all comments received and assure that all those providing comments are included on the registrants list.

Alternate Canvass Process

Step 7 is not necessary under the Alternate Canvass Process. The intent of this step will have already been accomplished through the development, maintenance, and balloting of the Canvass List.

Step 8. Comments on Proposed Recommended Practice Considered by Committee

Copies of written comments received shall be provided to each member of the committee by the committee chair. The committee shall address each written comment. The resolution of each comment should be founded on a sound basis. The comments table in the RP Development Report shall be updated listing each written comment received, the actions taken or proposed to be taken in response to that comment, and the reason(s) for the action. The table should also indicate whether the change is editorial, comment, or substantive.

The committee shall make appropriate changes to the proposed RP and update the RP Development Report (see step 3.C.). At this time, the committee shall determine whether to recommend adoption as a final RP or as an *interim* RP. If recommended for adoption as an *interim* RP, information shall be included in the introduction to the RP as to why the RP is interim, and what research or testing is expected to be undertaken on which to base development of a final RP. In addition, the Standards Development Report shall contain an explanation as to why an interim RP should be adopted at this time.

Alternate Canvass Process

This step is identical under the Alternate Canvass Process, except that comments shall be provided by ITE Headquarters to the working group, which shall accomplish the actions specified above for the committee.

Step 9. Committee Ballots Revised Proposed Recommended Practice

The committee chair will provide an update of the RP Development Report and a ballot to each member of the committee. The process for voting and for submission to ITE Headquarters is the same as described in Step 4.

Alternate Canvass Process

Any unresolved comments and any substantive change made in the proposed standard shall be forwarded to the Canvass List for review and re-ballot of the standard. The working group shall provide the updated Recommended Practices Development Report to ITE Headquarters, which shall forward it along with a ballot to the Canvass List. The number of Canvass List affirmative votes to approve shall be the same as those listed in Step 4A. ITE Headquarters shall contact those who have not returned a ballot at least one week prior to the close of ballots. Those contacted shall be reminded that they may be removed from the Canvass List if they do not respond. Those on the Canvass List not returning a ballot by the close of ballots may be removed from the Canvass List with the approval of the ITE Coordinating Council Chair, SCORP Chair, one designated member of the current International ITE Executive Committee, and the ITE Executive Director.

Step 10. Review Panel Ballots Revised Proposed Recommended Practice

Following approval by the committee, ITE Headquarters shall provide each member of the designated RP Review Panel with a copy of the RP Development Report and a ballot. The process for voting is the same as described in Step 5.

Alternate Canvass Process

Step 10 is the same for the Alternate Canvass Process.

Step 11. Revised Proposed Recommended Practice Approved or Returned for Further Work

If the RP Review Panel ballot achieves the affirmative votes listed above, SCORP will review the Recommended Practices Development Report. SCORP will forward their review to ITE Headquarters which will continue processing the RP in accordance with Step 12 below.

If the RP Review Panel ballot does not achieve the affirmative vote listed in Step 5.B., ITE Headquarters will return the ballots along with comments received to the committee for further work. The committee will repeat Steps 8 and 9 above to address and resolve the outstanding issues, and submit a revised RP Development Report to ITE Headquarters, which will reballet the RP Review Panel.

Alternate Canvass Process

This step is identical under the Alternate Canvass Process, with the exception that the working group takes the place of the committee.

Step 12. Intent to Consider Final Adoption Announced

Following approval by the RP Review Panel, ITE Headquarters will arrange for publication of a notice of the Institute's intent to consider final adoption of the RP. The notice will contain at least a summary of the proposed RP, type of action proposed, the anticipated effective date of the RP, how to obtain or purchase a full copy of the RP, and how to file an appeal. The notice will be distributed to the registrants list, published on the ITE internet website, and transmitted to other appropriate parties and publications.

The notice may also be published in the ITE Journal and newsletters of appropriate Councils. An appeal period of at least 30 days shall be provided. ITE Headquarters shall also provide to any party that had submitted comments information on how the comment(s) was addressed and the corresponding reason(s).

If one or more appeals are received, ITE Headquarters shall initiate actions described in Step 13. If no appeals are received, ITE Headquarters shall proceed to Step 14.

Alternate Canvass Process

Step 12 is the same under the Alternate Canvass Process. The notice shall be sent to those on the Canvass List.

Step 13. Appeals

The ITE RP appeals process is adapted from the Procedures for the Development and Coordination of the American National Standards Institute (ANSI).

A. Filing an Appeal

Parties that have directly and materially affected interests and that have been or will be adversely affected by an ITE RP shall have the right to appeal substantive or procedural actions or inactions of the committee or ITE. The appellant shall file a written complaint with ITE Headquarters within the 30 day appeal period or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the step(s) of these procedures or the RP 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.

B. Response

ITE Headquarters will work with the committee chair to develop a response. Within 30 days after receipt of the complaint, ITE Headquarters shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent possible.

If changes are made to the standard as a result of comments and/or appeals, ITE Headquarters staff will determine if the change is substantial. If so, another public notice will be published for comment.

C. Hearing and Appeals Panel

If the complaint is not able to be resolved informally in a manner consistent with these procedures, ITE Headquarters shall schedule a hearing with an Appeals Panel on a date agreeable to all participants, giving at least ten working days notice. The Appeals Panel shall consist of three individuals appointed by the ITE International President who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute. At least two members of the Appeals Panel shall be acceptable to the appellant and at least two members shall be acceptable to the committee chair.

At the hearing, the appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. The committee chair or committee representative has the burden of demonstrating that the committee and ITE Headquarters took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may raise other pertinent arguments, and members of the Appeals Panel may address questions to individuals. Robert's Rules of Order (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

D. Decision

The Appeals Panel shall render its decision in writing within thirty days following the close of the hearing, stating findings of fact and conclusions, with reasons, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:

- Finding for the appellant, remanding the action to the committee or ITE Headquarters. The committee will reconsider the issues and facts as noted by the Appeals Panel and will take appropriate action. A written description of actions taken by the committee to address the comments from the Appeals Panel will be provided to the Appeals Panel for validation.
- Finding for the committee or ITE, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections
- Finding that new, substantive evidence has been introduced, and remanding the entire action to the committee or ITE Headquarters for appropriate consideration

E. Duplicative Complaints

If the party filing a complaint (or an individual or entity connected or related to the party) previously has filed a complaint concerning the same standard, ITE Headquarters may dismiss the complaint without taking any further action and without referring the complaint to the Appeals Panel, if ITE Headquarters determines that the complaint is duplicative of prior complaints. In determining whether to dismiss such a complaint, ITE Headquarters may consider whether the complaint was resolved, either informally or through a decision of the Appeals Panel, and whether the current complaint addresses issues and/or facts that were, or could have been, raised in the prior complaint. If both of these conditions are met, ITE

Headquarters may dismiss the complaint. If either of these conditions is not met, ITE Headquarters shall have the discretion as to whether to submit the complaint to the appeals process or to dismiss the complaint.

If a complaint encompasses issues raised in prior complaints concerning the same ITE Standard (whether or not the same party filed the prior complaint)) and the prior complaint and issue(s) was resolved through the appeals process, then the current complaint may be dismissed by ITE Headquarters without submitting the complaint further to the appeals process.

Alternate Canvass Process

Step 13 is the same under the Alternate Canvass Process, except that the working group takes the place of the committee.

Step 14. Adoption as an ITE Recommended Practice by the ITE Board

Following satisfactory completion of Steps 1 through 13, SCORP will review the Recommended Practices Development Report. SCORP will forward their review to ITE Headquarters which shall submit the RP Development Report and the proposed RP to the ITE International Board of Direction along with a ballot on whether to adopt as an ITE RP. The ITE Board shall base its decision on adoption on whether the process used in the development of the RP has met the objectives listed in I.B of these ITE procedures.

Each voting ITE Board member shall have one vote, and shall vote one of the following positions:

- 1) Affirmative,
- 2) Affirmative, with comment,
- 3) Negative, with reasons, and
- 4) Abstain, with reasons.

ITE Headquarters shall determine the length of the voting periods, consistent with ITE Board Procedures. Extensions may be granted. Actions require the following affirmative votes by the ITE Board:

- Withdrawal of an existing RP (majority of the members eligible to vote)
- Approval of new RP or reaffirmation of an existing one (2/3 of those voting (excluding abstentions) and a majority of the members eligible to vote)
- Approval of revision or addendum to part or all of a RP (2/3 of those voting (excluding abstentions) and a majority of the members eligible to vote)

If the RP does not achieve the affirmative vote required above, the ITE Executive Committee shall determine what steps to take to address the concern(s) of the ITE Board consistent with these procedures.

If the ITE Board votes to adopt the RP, ITE Headquarters shall take steps to have the approved RP published and made available to interested parties through purchase and/or other means. ITE Headquarters may also take steps to have the ITE standard considered for adoption as an American National Standard by ANSI, if appropriate.

Alternate Canvass Process

Step 14 is the same under the Alternate Canvass Process.

Step 15. Maintenance of ITE Recommended Practices

Following adoption of the ITE RP, the committee shall enter the “maintenance” mode, and shall be available to help carry out maintenance activities as described below.

A. Documentation and Record Keeping

The RP Development Report and the master copy of all the reports shall be filed at ITE Headquarters. Copies of committee correspondence shall be forwarded by the committee chair to ITE Headquarters. All RP records shall be retained for not less than five years following final action on the RP by the Institute.

B. Interpretation

A request for interpretation of existing approved ITE RP’s shall be forwarded to ITE Headquarters in writing. ITE Headquarters will work with the committee chair to develop the response to the request for interpretation. If deemed necessary, the members of the committee will be polled on the question, with approval by a majority of the committee members required to approve the interpretation. Interpretation should merely clarify the meaning of an Institute document, and should not state or imply that any particular practice does or does not comply with an Institute RP. Approved interpretations shall be published by ITE Headquarters, and shall be uniquely identified.

C. Periodic Reviews

The ITE Headquarters shall ensure that existing RP’s are periodically reviewed with a decision made relative to reaffirmation, revision, or withdrawal. ITE RPs may be revised as frequently as necessary, as noted above. ITE Headquarters and SCORP shall maintain a list of ITE RP’s along with the dates of the latest approval, revision or review. The Council Executive Committee shall request the review of each Institute RP within its scope at least once every five years if an RP has not been reviewed or revised within that period of time. This review may be conducted by the Council Executive Committee, or by a committee designated for this task. This review should be a section-by-section analysis noting items that are no longer applicable, new information that should be included and apparent problem areas. Based on the analysis, the Council Executive Committee will determine whether the RP should be reaffirmed, revised, or withdrawn. SCORP monitors the review process.

1. Reaffirmation

If it is recommended that an RP be reaffirmed, SCORP working with ITE Headquarters shall arrange for a notice to solicit comments, following the requirements beginning in Step 7 through Step 15 of Section II of this document. If the RP is reaffirmed with no substantive changes, ITE Headquarters will update references to and listings of the RP to indicate the date of the reaffirmation.

2. Revision

If it is determined that an RP should be revised, following the requirements beginning in Step 1 through Step 15 of Section II of this document. The updated RP shall indicate the initial adoption date and the revision date.

3. Withdrawal (Rescission) Without Replacement

If it is determined that an RP should be withdrawn in its entirety and not replaced by any ITE or other nationally recognized standard, guideline or recommended practice, following the requirements beginning in Step 1 through Step 15 of Section II of this document. ITE Headquarters will update references to and listings of the RP to indicate the date of the withdrawal.

4. Withdrawal (Rescission) With Replacement

If it is recommended that an RP be withdrawn and replaced with or has been superseded by another standard, RP or informational report, SCORP working with ITE Headquarters shall arrange for a notice to solicit comments, following the requirements beginning in Step 7 through Step 15 of Section II of this document. ITE Headquarters will update references to and listings of the RP to indicate the date of the withdrawal and replacement reference.

D. Complainant Request for Revision or Withdrawal

ITE Headquarters and SCORP should be made aware of situations or complaints pertaining to RP's that require the Institute to act on an RP. The Institute has a duty to act on any ITE RP if a complainant makes a substantive case that they are being harmed by the Institute RP or that the Institute RP is substantively defective. The following situations would indicate that the Institute has a duty to promptly review and take action on an existing Institute RP:

- 1) The Institute RP appears to endanger public health or safety.
- 2) The Institute RP appears to adversely affect public/private interests without technical justification and factual substantiation.

A complaint on an Institute RP shall be provided in writing to ITE Headquarters, which shall forward it to the committee chair for consideration and action. Proposed revisions to ITE RP's shall be processed in accordance with these procedures. It may be appropriate to consider withdrawal of an existing RP until appropriate revisions can be developed.

Withdrawals of ITE RP's shall also be processed in accordance with these procedures, and are subject to approval by a majority of committee members, the RP Review Panel, and the ITE Board. ITE Headquarters shall provide the response to the requester.

Alternate Canvass Process

Step 15 is the same under the Alternate Canvass Process, except that ITE Headquarters will work with and ballot the appropriate Council Executive Committee(s) rather than a project committee.