

THE INSTITUTE FOR TRIPLE HELIX INNOVATION STANDARDS CREATION OPERATING PROCEDURES

*For use in the development of nomenclature, standards, and specifications for equipment, instruments, materials, software, technology, and training used in the development and operation of social networks.

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FOREWORD

The Institute for Triple Helix Innovation (hereafter, “the Institute”) is a federally funded non-profit organization. The stated mission of the Institute is to *enable the nation to realize its collaborative potential for economic growth, efficiency, and innovation.*

Background

The Institute for Triple Helix Innovation was established by congressional mandate in October of 2006 as a federally funded project that aimed to build a research institute to investigate the role of the triple helix (academia, industry, and government) collaborations in innovation processes. The Institute has subsequently incorporated as a 501(c)(3) organization with a tri-partite business portfolio: Research Services; Collaboration Services; and Innovation Services. The Institute’s research has made clear that cross-cutting collaborations are at the core of trilateral innovation, and that “social networks” are the structural mechanism for facilitating collaborations.

A comprehensive search of the literature and national and international standards, conclusively determined that no standards have been established for social networks. Hence, the Institute for Triple Helix Innovation initiated a systematic undertaking that would yield a platform for developing a standard for social networks.

Institute for Triple Helix Innovation Vision Statement

The vision of the Institute is to facilitate innovation toward a sustainable future by enabling local, regional, national and international cross-cutting collaborations. By employing evidence-based efficiencies and social enterprise qualities inherent in triple helix models, the accumulated knowledge in the public-private domain will accelerate the transmission of new technologies from idea to market and will create efficient translation of empirical data into usable products and processes. High-quality social networks provide both the mechanism for facilitating cross-sector, cross-disciplinary collaborations and for the means for research, innovation and entrepreneurship.

Institute for Triple Helix Innovation Mission Statement

The Institute’s mission is to produce and perform Research, Collaboration, and Innovation Services to enable the ubiquitous application of triple helix models and strategies for identifying solutions to problems.

Institute for Triple Helix Innovation Activities

The Institute engages in research and development, collaborative development, knowledge management, consultative, and training activities. It develops trilateral best practices and standards for “Communities of Practice (CoP)” and other simple and complex social networks through empirical investigations, platform development, quantification of emergent tools and strategies, and summit assemblages. The application of triple helix innovation efforts is achieved through the Institute’s Internet Hub, by facilitating activities and processes that “connect the dots” between basic science, societal needs, and profit using diverse approaches and creating prototype triple helix operations through its “Test bed Initiatives.”

The History of Standards for Social Networks

Simply put, there is no history of standards for social networks.

1.0 PROGRAM SCOPE

1.1 Standards Program Scope

The definitions, equipment, instruments, literature, materials, nomenclature, processes, software, specifications, structures, training, and accessories that are integral to the formation and proper operation of the possible range of real and virtual social networks.

1.2 Applicability

The procedures apply to activities related to the development of consensus for approval, revision, reaffirmation, and withdrawal of standards for social networks.

1.3 American National Standards

After approval by the standards committee, these standards are usually submitted to the American National Standards Institute (ANSI) for consideration as American National Standards. When a standard is designated an “American National Standard,” it means that all of ANSI’s requirements for consensus, due process, public review, and ANSI review have been met.

2.0 PROGRAM ORGANIZATION

The Institute for Triple Helix Innovation has assigned certain administrative duties and responsibilities for standards development to its core staff, the Board of Directors (BoD) and the Strategic Advisory Group (SAG). These are sufficient for the majority of essential administrative duties. When administrative control or policy decisions are required that are not specifically designated, such decisions should be referred to the Executive Director, Institute for Triple Helix Innovation and the Institute’s standards administrator.

2.1 Standards Development Responsibilities

The Institute for Triple Helix Innovation’s Board of Directors and its CEO/Executive Director have overall responsibility for establishing the administrative and financial policies of the organization as they relate to standards development.

2.2 Standards Management

The Institute for Triple Helix Innovation Board of Directors, Strategic Advisory Group, and core staff assist in developing standards and administrative policy and in facilitating the implementation of that policy.

2.3 Standards Committee

The Institute for Triple Helix Innovation standards committee (i.e., a consensus body with support from the Institute’s standards administrator) is comprised of volunteer technical experts who serve as representatives of academia, industries, government, for profit and nonprofit organizations, and individuals. The standards committee approves all candidate American National Standards. Standards committees shall operate under the procedures and scope outlined in Section 1.0 of this document and *The Institute for Triple Helix Innovation Standards Committee Operating Procedures* (see Appendix A).

The Institute for Triple Helix Innovation Board of Directors approves the development of a standards committee and its specific scope. Recommendations would generally be initiated from

the Institute’s staff and Strategic Advisory Committee. The consensus body is comprised of materially affected industries, institutions, organizations, and individuals of the scope concerned.

3.0 CONSENSUS AND DUE PROCESS: POLICIES FOR THE DEVELOPMENT OF STANDARDS

The Institute for Triple Helix Innovation’s consensus standards committee operates under the principles of consensus and due process. The actual standards development is performed in working groups and subcommittees of the consensus standards committee. Procedures for the development of standards are found in *The Institute for Triple Helix Innovation Standards Development Manual*.

3.1 Consensus

“Consensus” means substantial agreement has been reached by directly and materially affected interest categories. 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.

3.2 Due Process Requirements

The Institute for Triple Helix Innovation’s consensus standards committee develops a standard by consensus, in accordance with procedures that are designed to ensure due process. Due process means that any person (academic institution, business enterprise, government agency, organization, or individual, etc.) with a direct and material interest has a right to participate by:

- A. Expressing a position and its basis;
- B. Having that position considered, and
- C. Appealing if adversely affected.

Due process allows for equity and fair play. These procedures constitute the minimum acceptable due process requirements for the development of consensus.

3.2.1 Openness

On the Institute for Triple Helix innovation’s standards committee (i.e., its consensus body), participation shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of any action to create, revise, reaffirm, or withdraw a standard, and the establishment of a new standards committee shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information.

3.2.2 Written procedures

The policies and procedures contained in these procedures govern the methods used for consensus development and are available to any interested party.

3.2.3 Consideration of views and objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the items listed in ANSI's Project Initiation Notification System (PINS). An effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made, and each objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefor. In addition, each objector shall be informed that an appeals process exists within procedures used by the Institute for Triple Helix Innovation's standards committee.

When this process is completed as described herein, the Institute for Triple Helix Innovation standards committee may consider any comments received subsequent to the closing of the public review and comment period or shall consider them in the same manner as a new proposal. Timely comments that are not related to the proposal under consideration shall be documented and considered in the same manner as a new proposal. The submitter of the comments shall be so notified.

Unresolved objections and any substantive change made in a proposed standard shall be reported to the consensus standards committee in order to afford all members an opportunity to respond, reaffirm, or change their vote.

3.2.3.1 Substantive change

A substantive change in a proposed standard is one that directly and materially affects the use of the standard. Examples of substantive changes are below:

- A. "Shall" to "should" or "should" to "shall";
- B. Addition, deletion or revision of requirements, regardless of the number of changes; and
- C. Addition of mandatory compliance with referenced standards.

3.2.4 Appeals

An appeal mechanism is available for the impartial handling of procedural complaints and objections to substantive actions or inactions. The appeal mechanism is described in *The Institute for Triple Helix Innovation Standards Committee Operating Procedures* (see Appendix A).

3.3 Balance

The standards development process should have a balance of interests and shall not be dominated by any single interest category.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation to the exclusion of fair and equitable consideration of other viewpoints. The requirement implicit in the phrase "shall not be dominated by any single interest category" normally will be satisfied by the criteria for balance; that is no single interest category constitutes more than one-third of the membership of a committee or sub-committee.

Unless it is claimed in writing (including electronic communications) by a directly and materially affected party that a single interest category, individual or organization dominated the standards development process, no test for dominance is required.

3.3.1 Interest categories

The interest categories appropriate to the development of consensus in any given standards activity is a function of the nature of the standards being developed. In defining the interest categories appropriate to a standards activity, consideration shall be given to at least the following interest categories:

- A. Developers;
- B. Producers;
- C. Users;
- D. Evaluators;
- E. Trainers; and
- F. General interest.

Appropriate, representative user views shall be actively sought and fully considered in standards activities. Whenever possible, user participants shall be those with the requisite technical knowledge and subject matter expertise, but other users may also participate. User participation should come from both individuals and representatives of organized groups.

3.4 Notification of Standards Development

Institute for Triple Helix Innovation standards are submitted to ANSI for consideration as American National Standards. Notification of standards activity shall be announced in suitable media as appropriate (i.e., on the Institute's Internet Web page that is dedicated to standards development), to demonstrate provision of opportunity for participation by all directly and materially affected persons. At the initiation of a project to develop or revise a candidate American National Standard, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard. In addition, proposals to revise, reaffirm, or withdraw approval of existing American National Standards shall be transmitted to ANSI for listing in PINS in order to provide an opportunity for public comment. The comment period shall be a minimum of forty-five days if the document is available in an electronic format and the source (e.g., URL or an Email address) from which it can be obtained is announced in PINS, unless the full text of the revision(s) can be made available through PINS, in which case the comment period may be a minimum of thirty days. The comment period shall be a minimum of sixty days if neither of the aforementioned options is applicable. The same comment periods shall apply wherever listing for comment in PINS is required by these procedures. Such listing may be requested at any stage in the development of the proposal, at the option of the Institute for Triple Helix Innovation, and may be concurrent with final balloting.

3.5 Consideration of Standards Proposals

Prompt consideration shall be given to proposals made for developing new standards, or revising or withdrawing existing American National Standards. Requests should be submitted to the Executive Director, Institute for Triple Helix Innovation, c/o Standards Administrator, 651 Ilalo Street, Honolulu, HI 96813; or by e-mail message to snstandards@triplehelixinstitute.org. The Board of Directors and the Executive Director for the Institute for Triple Helix Innovation, prior to submission to the Institute's standards committee, shall review all submissions for developing new standards.

3.6 International Standards

The standards committee should take International Organisation for Standardization (ISO) standards into consideration and should, if appropriate, base their standards on or consider the adoption of an ISO standard as an American National Standard.

Only an identical or modified version of the ISO document shall be considered for adoption as an American National Standard. If the standards committee chooses to adopt an ISO standard, it shall follow its accredited procedures for developing American National Standards as well as the ANSI ISO/IEC Standards Sales and Exploitation Rights Policy.

The standards committee has the option of following expedited procedures. The expedited procedures may be used only for the identical adoption of ISO standards for which the U.S. Technical Advisory Group (TAG) voted or will vote in the affirmative. The standards committee may propose the identical adoption of an ISO standard via a “yes” or “no” vote concurrent with the U.S. TAG vote, endorsing the ISO standard for adoption as an American National Standard at or around the same time that the U.S. TAG is approving the standard as an ISO standard or any time after an ISO standard has been approved as such.

When the standards committee is proposing an identical national adoption of an ISO standard, other options apply, including:

- A. With respect to international approval, the standards committee shall provide all public review comments to the U.S. TAG for consideration, but it is not required to inform the commenters of how the TAG disposed of those comments. With respect to the national adoption, all comments received shall be provided to the standards committee for consideration in determining its position, however, the committee is not required to provide detailed responses to the comments. The committee shall inform public reviewers regarding whether or not identical adoption was approved for submission to ANSI, and that an appeals process exists.
- B. When using these expedited procedures, the standards committee may utilize the minimum ballot period established by these procedures, or a period not less than two weeks. The committee shall clearly indicate that the ballot associated with the national adoption of an ISO standard only takes into consideration the identical adoption of the standard as an American National Standard. Thus, there is no opportunity for comment resolution. Members of the standards committee shall submit either a “yes” or “no” ballot.

Any comments received shall be provided to the members of the standards committee in order to provide them with the opportunity to respond, reaffirm, or change their vote within the time limits established by these procedures; however, there shall be no attempt at resolution of the comments unless identical adoption under ANSI expedited procedures is abandoned and the committee decides instead to consider adoption, with or without national deviations, under normal procedures.

3.7 Commercial Terms and Conditions

Provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions shall not be included in an Institute for Triple Helix Innovation Standard. It is not acceptable to include proper names or trademarks of specific companies or organizations, acceptable manufacturer lists, service provider lists, or similar material in the text of a standard or in an annex (or the equivalent). Where a sole source exists for essential equipment, software, materials, services, etc. necessary to determine compliance

with the standard, it is permissible to supply the name and address of the source in a footnote or informative annex as long as the words “or the equivalent” are added to the reference. In connection with standards that relate to the determination of whether products or services conform to one or more standards, the process or criteria for determining conformity can be standardized as long as the description of the process or criteria is limited to technical and engineering concerns and does not include what would otherwise be a commercial term or proper name.

3.8 Patent Policy - Inclusion of Patents in Institute for Triple Helix Innovation Standards

There is no objection in principle to drafting a proposed Institute for Triple Helix Innovation standard in terms that include the use of a patented item, if it is considered that technical reasons justify this approach.

If the Institute for Triple Helix Innovation receives a notice that a proposed standard may require the use of a patented invention, the following procedures shall be followed:

A. Statement from patent holder

Prior to approval of such a proposed standard, the Institute for Triple Helix Innovation shall receive from the identified party or patent holder either: Assurance in the form of a general disclaimer to the effect that such party does not hold and does not currently intend holding any invention the use of which would be required for compliance with the proposed standard or assurance that:

1. A license will be made available without compensation to the applicants desiring to utilize the license for the purpose of implementing the standard; or
2. A license will be made available to applicants under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

B. Record of statement

A record of the patent holder’s statement shall be placed and retained in the files of both the Institute for Triple Helix Innovation and ANSI.

C. Notice

When the Institute for Triple Helix Innovation receives from a patent holder the assurance set forth above, the standard shall include a note as follows:

NOTE – The user’s attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights. By publication of this standard, no position is taken with respect to the validity of this claim or of any patent rights in connection therewith. The patent holder has, however, filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from the Institute for Triple Helix Innovation.

D. Responsibility for identifying patents

The Institute for Triple Helix Innovation shall not be responsible for identifying all patents for which a license may be required by an Institute for Triple Helix Innovation standard or for conducting inquiries into the legal validity or scope of those patents that are brought to its attention.

3.9 Records

Records shall be prepared and maintained to provide evidence of compliance with these procedures. A record concerning new, revised, or reaffirmed American National Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal. See the Institute for Triple Helix Innovation's Standards File Retention Policy (see Appendix D)..

3.10 Requests for Interpretation of Standards

The Institute for Triple Helix Innovation Standards Interpretation Policy outlines how requests for interpretation of standards are administered (see Appendix B).

3.11 Maintenance of Institute for Triple Helix Innovation Standards

All of the Institute for Triple Helix Innovation's standards require review four years from the date of approval. The responsible standards committee shall recommend reaffirmation, revision, or withdrawal of the standard. The action shall be completed by the end of the fifth year from the initial approval.

3.11.1 Reaffirmation

Standards recommended for reaffirmation shall be without any substantive change to the main text of the standard. All non-substantive changes in the main text of the standard shall be explained, or noted, in a foreword. The Institute for Triple Helix Innovation's standards undergoing an update of references necessary to implement the standards shall be processed as a revision unless the updated reference is only a reaffirmation of the referenced standard. Any substantive changes in such references require processing as a revision.

3.11.2 Criteria for withdrawal

After approval, an Institute for Triple Helix Innovation standard may be withdrawn at the request of any materially interested party after approval. If the Institute and its related standards committee do not concur with a proposed withdrawal of its standard, then the Institute's standards administrator shall inform the proponent(s) and include reasons.

4.0 ACCREDITATION

The Institute for Triple Helix Innovation's Executive Director, with approval from the Institute's Board of Directors, shall be responsible for applying for any accreditation from ANSI and maintaining accreditation in accordance with these requirements, and overseeing the Institute's compliance with these procedures.

5.0 DEVELOPMENT OF INSTITUTE FOR TRIPLE HELIX INNOVATION STANDARDS

Procedures for the development of Institute for Triple Helix Innovation's standards are found in *The Institute for Triple Helix Innovation Standards Development Reference Manual*.

5.1 Institute for Triple Helix Innovation's Metric Policy

The metric policy is found in Appendix C.

6.0 DESIGNATION AND PUBLICATION OF STANDARDS

6.1 Standards Designation

Standards receiving final approval by the Institute for Triple Helix Innovation's standards committee, its Executive Director, and its Board of Directors shall be designated an Institute for Triple Helix Innovation Specification No. xxx for [title]. If the standard has been submitted for approval as an American National Standard, the final approved ANSI standard shall be designated ANSI/Institute for Triple Helix Innovation Specification No. xxx for [title]. On the cover of the standard shall be "An American National Standard" or an approval logo furnished by ANSI. Portions of a published document that were not approved through the full consensus process but contain information that may be necessary for conformance with the approved American National Standard shall be clearly identified with language noting that the portion of the document is not part of the American National Standard.

6.2 Publication

The Institute for Triple Helix Innovation shall publish all approved standards within 6 months of approval. A notification to interested parties of the availability of the final standard shall be announced in a suitable media, i.e. the Institute for Triple Helix Innovation's Internet Web site page on standards and the Institute's "News and Events" pages.

7.0 INSTITUTE FOR TRIPLE HELIX INNOVATION STANDARDS FILE RETENTION POLICY

The standards file retention policy is found in Appendix D.

**THE INSTITUTE FOR TRIPLE HELIX INNOVATION
STANDARDS COMMITTEE OPERATING PROCEDURES**

*For use in development of nomenclature, standards, and specifications for equipment, instruments, materials, software, technology, and training used in the development and operation of social networks.

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1.0 GENERAL

These procedures meet the requirements for due process and development of consensus for approval of American National Standards as given in Section 1.6 of *ANSI Essential Requirements: Due Process Requirements for American National Standards*.

2.0 ORGANIZATION OF THE COMMITTEE

The Institute for Triple Helix Innovation's standards secretariat (the Institute's Board of Directors and Executive Director) shall provide oversight for the standards committee (SC). The SC shall consist of its consensus body and the Institute for Triple Helix Innovation's standards administrator. The SC shall have a title, scope, and an interest classification system for its members. The membership shall be sufficiently diverse to ensure reasonable balance without dominance by a single interest category in accordance with Sections 1.2 and 1.3 of *ANSI Essential Requirements: Due Process Requirements for American National Standards*.

3.0 RESPONSIBILITIES

3.1 Consensus Body

The consensus body shall be responsible for:

- a) Proposing American National Standards within the scope of the SC and the *Institute for Triple Helix Innovation Standards Creation Operating Procedures*;
- b) Voting on approval of proposed American National Standards within the scope of the SC;
- c) Maintaining the standards developed by the SC in accordance with Clause 4.7 of *ANSI Essential Requirements: Due Process Requirements for American National Standards*;
- d) Adopting SC policy and procedures for interpretations of the standard(s) developed by the consensus body;
- e) Responding to requests for interpretations of the standard(s) developed by the consensus body;
- f) Adopting SC procedures and revisions thereof;
- g) Other matters requiring consensus body action as provided in these procedures

3.2 Standards Secretariat

The Institute for Triple Helix Innovation standards secretariat shall be responsible for:

- a) Providing oversight for the Institute's standards development program.
- b) Maintaining a roster of the consensus body and a list of standard(s) for which the consensus body is responsible;
- b) Facilitating the performance of administrative duties related to the SC, including secretarial services; preparation of meeting notices and the handling of meeting arrangements; preparation and distribution of meeting agendas, minutes, ballots, and draft standard(s); and maintenance of adequate records;
- c) When applicable, submitting candidate standard(s) approved by the consensus body, with supporting documentation, for ANSI review and approval as American National Standards;
- d) Performing other administrative functions as required by these procedures.

4.0 APPOINTMENT OF OFFICERS

4.1 Nomination Committee

The original nomination committee for the Institute of Triple Helix Innovation's SC on Social Networks will be constituted of the Institute's standards secretariat. The initial nomination committee shall nominate the initial chairperson, vice chairperson, and secretary of the consensus body. All subsequent Institute for Triple Helix Innovation consensus body nomination committees will be appointed by the chairperson of the consensus body and approved by a majority vote of the consensus body for a period of one year.

The membership of a nomination committee shall include a chairperson, vice chairperson, secretary, and no less than three other members of the consensus body. The chairperson, vice chairperson, and secretary of the consensus body cannot occupy the positions of chairperson, vice chairperson, or secretary of the nomination committee. The members of the nominating committee shall be approved at the first consensus body meeting in any given calendar year. Each member of the nomination committee will have one vote. The nomination committee shall approve by a majority vote nominations to send forward to the consensus body. The nomination committee is responsible for:

- a) Recommending to the consensus body candidates for the positions of consensus body chairperson, vice chairperson, and secretary;
- b) Recommending to the consensus body candidates for the positions of chairperson, vice chairperson, and secretary of subcommittees;

4.2 Chairperson, Vice Chairperson, and Secretary of the Consensus Body

The initial chairperson, vice chairperson and secretary of the consensus body shall be appointed as required in Section 4.1 of this Appendix. All subsequent chairpersons, vice chairpersons, and secretaries of the consensus body shall be nominated by the consensus body nomination committee and approved by a majority vote of the consensus body membership. The chairperson, vice chairperson, and secretary of the consensus body will serve two-year appointments renewable for one additional term for a maximum of a four-year term. The vice-chairperson shall carry out the chairperson's duties if the chairperson is temporarily unable to do so.

4.3 Subcommittee Chairperson, Vice Chairperson, and Secretary

If the consensus body divides into subcommittees, the chairperson, vice-chairperson, and secretary of subcommittees shall be recommended by the consensus body nomination committee and requires approval by a majority vote of the consensus body. Subcommittee chairpersons, vice chairpersons, and secretaries serve two-year appointments that may be renewed. To facilitate continuity amongst the various work projects, there is no term limit for subcommittee officers.

4.4 Chairpersons for Work, Task, or Other Groups

In the event that subcommittees are further divided into work, task, or other groups, the chairperson of such a group must be selected by a subcommittee chairperson and approved by majority vote of voting members of the related subcommittee. A duly approved chairperson of a work, task, or other group must be recommended by the related subcommittee chairperson to the chairperson of the consensus body. The chairperson of the consensus body will then appoint the work, task, or other group chairperson after receiving a majority vote approval of the consensus body for this appointment.

4.5 Secretary for a Work, Task, or Other Groups

A duly appointed chairperson of work, task, or other groups may appoint a secretary from a work, task, or other group's membership to facilitate efforts within the group.

5.0 MEMBERSHIP

Members of the consensus body shall consist of academic, business enterprise, government, nonprofit professional organizations and individuals (preferably national in scope, and not to exclude international representation) having a direct and material interest in the activities of the SC. The immediate past chairperson shall be an ex officio member of the consensus body. The selection and addition of members, along with their interest category, shall be subject to approval by a majority vote of the consensus body after an application has been processed. The termination of members shall be subject to approval by majority vote of the consensus body after a review of the membership.

5.1 Application

A request for membership on the consensus body shall be addressed to the Executive Director, Institute for Triple Helix Innovation, c/o Standards Administrator, 651 Ilalo Street, Honolulu, Hawaii 96813; snstandards@triplehelixinstitute.org, and shall indicate the applicant's direct and material interest in the Institute's SC's work, qualifications and willingness to participate actively. Applicants should review *The Institute for Triple Helix Innovation's Standards Development Reference Manual* to determine the SC's duties and responsibilities. In addition, if the applicant is an academic, business enterprise, government, or nonprofit organizations, it shall identify a representative (and an alternate, if desired). It shall be permissible for an individual to represent more than one consensus body member.

5.1.1 Recommendation

In recommending appropriate action to the consensus body on applications for membership, the Institute for Triple Helix Innovation's standards secretariat shall consider the:

- a) Need for active participation by each interest (see Section 3.3.1 of the Institute for *the Triple Helix Innovation's Standard Creation Operating Procedures* for a listing of suggested interest categories);
- b) Potential for dominance by a single interest category;
- c) Extent of interest expressed by the applicant and the applicant's willingness to participate actively; and
- d) The representative identified by the applicant academic, entrepreneurial, government, nonprofit professional organizations.

5.1.2 Diverse interests

If distinct divisions of an organization demonstrate independent interests and authority to make independent decisions in the area of the activity of the SC, each is permitted to apply for membership.

5.1.3 Combined interest

When appropriate, the Institute for Triple Helix Innovation's standards administrator may recommend that the applicant seek representation through an organization that is already a member and represents the same or similar interest.

5.1.4 Review of membership

The Institute for Triple Helix Innovation's standards administrator shall review the consensus body membership list annually with respect to the criteria of Section 5 of this Appendix. Members are expected to fulfill obligations of active participation. Where a member is found in habitual default of these obligations, the Standards Administrator shall direct the matter to the consensus body for appropriate action, which may include termination of membership.

5.2 Observers and Individual Experts

Individuals and organizations having an interest in the SC's work may request listing as observers. The consensus body may also select individual experts to assist it. Individual experts shall serve the same terms as members of the SC. Observers shall be advised of the SC's activities, may attend meetings, and may submit comments for consideration, but shall have no vote.

5.3 Interest Categories

All appropriate interests that are directly and materially affected by the standards activity of the SC shall have the opportunity for fair and equitable participation without dominance by any single interest (see Section 3.3.1 of *The Institute for Triple Helix Innovation Standard Creation Operating Procedures* for a listing of interest categories). Each member shall propose its own interest category as appropriate and in accordance with the consensus body's established categories. The interest categories shall be established or revised by a majority vote of the consensus body. The rationale for the selection or revision of categories shall be included in the consensus body ballot and submitted to ANSI as part of accreditation requirements.

5.4 Membership Roster

The Institute for Triple Helix Innovation's standards administrator shall maintain a current and accurate consensus body roster and shall distribute it to the members and their consensus body representatives at least annually, and otherwise on request. The roster shall include the following:

- a) Title of the SC and its designation;
- b) Scope of the SC;
- c) Standards Developer Organization's name, names and titles of standards secretariat members, name of Standards Administrator, and address(es);
- d) Consensus Body's Officers: chairperson, vice chair, and secretary.
- e) Members: Name of organizations, organizational representative and alternate (as applicable), addresses, member affiliations; or name, address, and professional affiliation of individual member(s);
- f) Classification of each member;
- g) Tally of classifications: Total of voting members and subtotals for each interest category; and
- h) For each committee/subgroup: Title, chairperson's name, and names and addresses of all members.

6.0 SUBGROUPS CREATED BY THE CONSENSUS BODY

When one or more subgroups (subcommittees, work, task, or other groups) are formed to expedite the work of the consensus body, their formation (and later disbandment) requires approval by a majority vote of the consensus body and appropriate public notice. The scope and

duties delegated to the subgroup shall be approved at the time it is formed, and subsequent changes in scope or duties shall also require approval by the consensus body. The charge to the subgroup shall clearly state whether:

- a) The subgroup is responsible for developing the definitive content of a standard(s) and for responding to views and objections thereto.
- b) Such subgroups shall maintain a membership roster that includes the following information:
- c)
 - 1) Title of the work, task, or other group (group) and its designation;
 - 2) Scope of the group;
 - 3) Chairperson, and Secretary (if applicable);
 - 4) Name of members and observers, addresses, and business affiliations, e-mail, telephone, facsimile;
 - 5) Classification of each member (voting or observer);
 - 6) Interest category (i.e., consumer, producer, general interest);
 - 7) Tally of classifications: Total of voting and observer members and subtotals for each interest category;
- d) The subgroup is responsible for assisting the consensus body (e.g. drafting all or a portion of a standard, drafting responses to comments, drafting positions on international standards, or other purely advisory functions).

6.1 Chairperson and Members of Subgroups

The consensus body shall review the scope, duties, and membership of all subgroups annually. The officers and members of a subgroup need not be members of the consensus body.

6.1.1 Work, task, and other group (Group) members

Group members are appointed by the working group chairperson upon approval by the respective subcommittee chairperson, vice chairperson, and secretary. Each member is considered as a voting member. The group must notify the SC's standards administrator of any changes in membership. An attempt to maintain a balance of interests must be made. Examples of interest groups are consumer, producer, and general interest categories. All requests for membership must be considered by the group. In the event that a group's membership is closed because of a predetermined maximum number in membership, the person requesting membership shall be appointed as an observer.

6.1.2 Work, task, and other group observers

Anyone interested in participating in the activities of any SC group will be, at a minimum, assigned observer membership. Observer members are invited to actively participate in all group activities and are encouraged to comment on all documents. Observer members shall have no vote, but their comments must be considered by the group. Group chairpersons are encouraged to appoint active observer members as voting members when an opening occurs.

6.2 Approval of Standards

Draft standards and any substantive change in the content of a standard proposed by a subgroup shall be referred to the consensus body for approval.

7.0 MEETINGS

Consensus body meetings shall be held, as decided upon by the consensus body, the chairperson, the secretary, or by petition of five or more members, to conduct business, such as making assignments, receiving reports of work, considering draft standards, resolving differences among subgroups, and considering views and objections from any source. Meetings of subgroups may be held as decided upon by the members or chairperson of the subgroup.

7.1 Open Meetings

Meetings of the consensus body and all subordinate bodies shall be open to all members and others having a direct and material interest. At least four weeks notice of regularly scheduled meetings of the consensus body shall be Institute for Triple Helix Innovation's standards administrator on the Institute's Internet Web site or in other media designed to reach directly and materially affected interests; or in both. The notice shall describe the purpose of the meeting and shall identify a readily available source for further information. An agenda shall be made available and shall be distributed in advance of the meeting to members and to others expressing interest. The Institute's standards secretariat may maintain a mailing list of other interests.

7.2 Quorum

A majority of the members of the consensus body shall constitute a quorum for conducting business at a meeting. If a quorum is not present, actions shall only be taken subject to subsequent confirmation by letter ballot or vote at a future meeting.

8.0 VOTING

8.1 Vote

Except in regard to votes on new work item proposals, membership, and officer-related issues, each member shall vote one of the following positions:

- a) Affirmative;
- b) Affirmative, with comment;
- c) Negative, with reasons (the reasons for a negative vote shall be given and if possible should include specific wording or actions that would resolve the objection);
- d) Abstain, with reasons.

For votes on new work item proposals, membership, and officer-related issues, the yes/no/abstain method of voting shall be followed. Votes with regard to these issues need not be accompanied by reasons and need not be resolved or circulated to the consensus body.

Evidence of consensus in accordance with these procedures shall be documented. Votes may be submitted electronically (i.e., by e-mail message), by letter, facsimile or recorded votes at a meeting. All members of the consensus body shall have the opportunity to vote. When recorded votes are taken at meetings, absent members shall be given the opportunity to vote before or after the meeting.

The consensus body shall record and consider all negative votes accompanied by any comments that are related to the proposal under consideration. The consensus body is not required to consider negative votes accompanied by comments not related to the proposal under consideration, or negative votes without comments, except for negative votes accompanied by comments concerning potential conflict of the draft standard with an existing American National Standard, or by comments of a procedural nature.

8.1.1 Vote of alternate

An alternate's vote is counted only if the principal representative fails to vote.

8.1.2 Single vote

Generally, no representative shall have more than one vote. However, if two or more organizations appoint the same individual to represent each of them, that individual may cast a separate vote for each organization represented. The organizations shall confirm in writing to the Institute for Triple Helix Innovation's standards secretariat that they are aware of and will accept the results. Additionally, representation of more than one organization by the same individual shall require approval by a majority of the consensus body, excluding the vote of that individual.

8.1.3 Voting period

The voting period for letter (e-mail message) ballots shall end six weeks from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the chairperson's discretion, when warranted.

A follow-up letter requesting immediate return of the ballots shall be sent, as appropriate, to members and alternate members whose votes have not been received ten working days prior to the ballot deadline.

8.2 Actions Requiring Approval by a Majority

The following actions require approval by a majority of the membership of the consensus body either at a meeting or by letter (e-mail message) ballot:

- a) Confirmation of officers;
- b) Formation of a subgroup, including its procedures, scope, and duties;
- c) Disbandment of subgroups;
- d) Addition of new consensus body members and designation of their interest categories;
- e) Approval of withdrawal of an existing standard.

8.3 Actions Requiring Approval by Two-Thirds of Those Voting

The following actions require a letter (e-mail message) ballot or an equivalent formal recorded vote with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions:

- a) Adoption of SC procedures, interest categories, or revisions thereof;
- b) Approval of a new standard or reaffirmation of an existing one;
- c) Approval of revision or addendum to part or all of a standard;
- d) Approval for submission to ANSI of change of SC scope.

8.4 Authorization of Letter (E-mail Message) Ballots

A letter ballot shall be authorized by any of the following:

- a) Majority vote of those present at a consensus body meeting;
- b) The chairperson of the consensus body;
- c) Petition of five or more members of the consensus body; and
- d) The Institute for Triple Helix Innovation's standards secretariat.

8.5 Other Review

Proposals for new candidate American National Standards or reaffirmation, revision, or withdrawal of existing American National Standards shall be transmitted to ANSI for listing in PINS for comment.

The Institute for Triple Helix Innovation standards administrator shall determine whether listing of proposed standards actions shall be concurrent with the final consensus body letter (e-mail message) ballot and whether announcement in other suitable media is appropriate. The standards secretariat shall transmit a copy of the consensus body approved proposed new, revised, or reaffirmed standard to the administrator(s) of the appropriate U.S. Technical Advisory Group(s) at the same time.

Views and objections resulting from the above shall be dealt with in accordance with Section 8.6 of this Appendix. Any substantive change made to the proposed American National Standard shall be relisted in accordance with Section 8.6 of this Appendix.

8.6 Disposition of Views and Objections

When the balloting has been closed, the Institute for Triple Helix Innovation's standards administrator shall forward the ballot tally to the chairperson of the consensus body or, if appropriate, of the subgroup; the chairperson shall determine whether the expressed views and objections shall be considered by correspondence or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on the listing (if applicable) in PINS or on the Institute for Triple Helix Innovation's Internet Web site. An effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor. In addition, each objector shall be informed that an appeals process exists within procedures cited in *The Institute for Triple Helix Innovation's Standards Creation Operating Procedures*.

Substantive changes that are required to resolve objections, and unresolved objections, shall be reported to the consensus body members in order to afford all members an opportunity to respond to them or to reaffirm or change their votes within four weeks.

When the above process is completed, in accordance with procedures of *The Institute for Triple Helix Innovation's Standards Creation Operating Procedures*, the Institute may consider any comments received subsequent to the closing of the public review and comment period, or shall consider them in the same manner as a new proposal.

In cases of objections to any other issue not covered in Sections 8.2 or 8.3 of this Appendix, the Institute's standards secretariat shall defer the matter to the chairperson for resolution.

8.7 Report of Final Result

The final result of the voting shall be reported, by interest categories, to the consensus body.

9.0 SUBMITTAL OF STANDARD

If the standard is a candidate American National Standard, then upon completion of the procedures for voting, disposition of views and objections, and appeals, the proposed standard shall be submitted to ANSI by the Institute for Triple Helix Innovation's standards administrator.

The information supplied to ANSI by the standards administrator shall include all relevant material required by ANSI as outlined in Section 4.2.1.1 of the *ANSI Essential Requirements: Due Process Requirements for American National Standards*.

10.0 TERMINATION OF SC

A proposal to terminate a standards committee may be made by a directly and materially affected interest. The proposal shall be submitted in writing to the Institute for Triple Helix Innovation's standard secretariat and to ANSI and shall include at least the following:

- a) Reasons why the SC should be terminated;
- b) The name(s) of the organization(s) that will assume responsibility for maintenance of any existing American National Standard(s) that is(are) the responsibility of the consensus body.

If it appears, after review by ANSI and discussion among the proponent of the action and the Institute for Triple Helix Innovation's standards secretariat, that the desired objectives can best be reached by termination, the proposal and supporting documentation shall be submitted to the SC with a letter (E-mail message) ballot to terminate the SC and transfer responsibility, as appropriate, for the affected standards. The proposal for termination of the SC shall be announced for comment in PINS and on the Institute for Triple Helix Innovation's Internet Web site.

11.0 COMMUNICATIONS

Correspondence of SC officers should be on the "SC correspondence" letterhead.

11.1 Formal Internal Communication

If correspondence between subcommittees or between work, task, or other groups of different subcommittees involves issues or decisions (i.e., non-routine matters) affecting other subcommittees, copies shall be sent to all affected subcommittee chairpersons, the consensus body officers, and the Institute for Triple Helix Innovation's standards administrator.

11.2 External Communication

Inquiries relating to the SC should be directed to the Institute for Triple Helix Innovation's standards secretariat, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the Institute's standards secretariat.

11.3 Requests for Interpretation of Standards

Written inquiries requesting interpretation of the SC's approved American National Standards shall be responded to in accordance with the Standards Interpretation Policy of the Institute for Triple Helix Innovation (See Appendix B). Revisions to the standard resulting from requests for interpretations shall be processed in accordance with the procedures outlined in *The Institute for Triple Helix Innovation Standards Creation Operating Procedures* and this Appendix.

12.0 APPEALS

Persons who have directly and materially affected interests and who have been or may be adversely affected by a substantive or procedural action or inaction of the consensus body or the Institute for Triple Helix Innovation standards secretariat shall have the right to appeal. Procedural complaints include whether a technical issue was afforded due process.

12.1 Complaint

The appellant shall file a written complaint to the Institute for Triple Helix Innovation standards secretariat within thirty days after the date of notification of action or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the clause(s) of the *Institute for Triple Helix Innovation Standards Creation Operating Procedures* and related Appendices that is at issue, actions or inactions 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.

12.2 Response

Within thirty days after receipt of the complaint, the Institute for Triple Helix Innovation standards administrator shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

12.3 Hearing

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with the *Institute for Triple Helix Innovation Standards Creation Operating Procedures* and related Appendices, the Institutes standards administrator shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least ten working days notice.

12.4 Appeals Panel

The appeals panel shall consist of three individuals 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 shall be acceptable to the appellant and at least two shall be acceptable to the respondent.

12.5 Conduct of the Hearing

The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the consensus body and the Institute for Triple Helix Innovation standards secretariat took all actions in compliance with *The Institute for Triple Helix Innovation Standards Creation Operating Procedures* and related Appendices and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals. *Sturgis Standard Code of Parliamentary Procedure* (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

12.6 Decision

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

- a) Finding for the appellant, remanding the action to the consensus body or the Institute for Triple Helix Innovation standards secretariat with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;

- b) Finding for the respondent, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections; and
- c) Finding that new, substantive evidence has been introduced, and remanding the entire action to the consensus body or the Institute for Triple Helix Innovation standards secretariat for appropriate reconsideration.

12.7 Further Appeal

If the appellant gives notice that further appeal to ANSI is intended, a full record of the complaint, response, hearing, and decision shall be submitted by the Institute for Triple Helix Innovation standards secretariat to ANSI.

13.0 PARLIAMENTARY PROCEDURES

On questions of parliamentary procedure not covered in these procedures *Sturgis Standard Code of Parliamentary Procedure* (latest edition) may be used to expedite due process.

American Dental Association
STANDARDS INTERPRETATION POLICY

Requests for interpretation of standards shall be made in writing and addressed to the Executive Director, Institute for Triple Helix Innovation, c/o Standards Administrator, 651 Ilalo Street, Honolulu, Hawaii 96813 (snstandards@triplehelixinstitute.org). Under no circumstances is a committee or subgroup member authorized to interpret Institute for Triple Helix Social Network standards. Interpretation includes officially responding on behalf of the Institute for Triple Helix Innovation as to whether a specific, named product, service, or class of products or services meet the requirements of an Institute standard for social networks, or whether procedures and practices not addressed in an Institute social network are acceptable. Official interpretations of Institute standards for social networks shall be made in writing by the Institute for Triple Helix Innovation or its designee. No person shall have the authority to issue, an interpretation of an American National Standard in the name of the American National Standards Institute or the Institute for Triple Helix Innovation.

Standards Metric Policy

In order to maintain consistency between the various ANSI/Institute for Triple Helix Innovation Specifications, all Institute for Triple Helix Innovation Specifications include International System (SI) units as defined in NIST Special Publication 811, 1995 Edition, *Guide for the Use of the International Systems of Units*.

**Institute for Triple Helix Innovation
Standards Program File Retention Policy**

This serves as the policy for the Institute's standards administrator to handle in a uniform manner the retention and routine destruction of records associated with the Institute's standards program.

The records described in this policy are divided into permanent records, records kept for a designated cycle (i.e. revision of a standard), and temporary records (i.e. general correspondence).

Permanent records:

Records that provide documentation or history of the standards program shall be kept permanently. An example of permanent records is annual meeting minutes and agendas.

Temporary records:

Letters to be kept for 3 years:

- a) Letters explaining but not establishing standards policy.
- b) Letters to which reference might be made a year or two later.
- c) Membership collection letters, which has little value after the amount, has been paid.
- d) Meeting documents with the exception of minutes and agendas.

Records relative to new, revised or reaffirmed American National Standards to be kept for one complete standards cycle or until the standard is revised (designated cycle):

- a) Documentation of the development of a work item, initiation to final approval
- b) Ballots through next revision or reaffirmation cycle
- c) Membership letters for consensus body through next appointment
- d) Standards
- e) Training programs until next revision
- f) Procedures, etc. until next revision

Letters to be filed temporarily (30 days to 12 months):

- a) Letters of general inquiry and replies that complete a cycle of correspondence and have no value after possible reference from the correspondent within a reasonable period of time.
- b) Letters requesting specific action such as name or address change, complaints that have no further value after changes are made or action taken.
- c) Similar letters of various types that might be referred to shortly after they are received or written, but which soon cease to have value unless further immediate correspondence ensues.

Record**Retention Period****National Program**

SS/SC agendas	p [Archive]
SS/SC minutes	p [Archive]
SS/SC procedures	dc (2 cycles)
Membership records:	
Officers	dc (2 cycles)
Consensus body	dc (2 cycles)
Subgroups	3 years
Requests	12 months
Work program:	
New work item requests	dc
Subgroup agendas	dc
Subgroup minutes	dc
Subgroup ballots	dc
Interested parties review	dc
ANSI/Institute Specifications	dc (2 cycles)
General standards information:	
Subgroup manuals	dc, d
Training sessions	dc, d
Information requests	6 months

American National Standards Institute:

Member body council minutes	3 years
Board of directors	6 years, d
Dues payments	3 years

Liaison standards organizations:

Standards development	dc
Membership requests	dc
Dues payments	3 years
Reports and minutes	3 years, d

Record**Retention Period****International Program:**

U.S. TAG minutes	p
U.S. TAG agenda books	p
Membership records:	
Officers	dc (2 cycles)
Consensus body	dc (2 cycles)
Membership requests	12 months
ANSI dues payments	3 years
Sub-TAG memberships	dc
Sub-TAG dues payments	3 years
Work program standards and ballots:	
New work item proposals	dc (2 cycles)
Committee drafts	dc (2 cycles)
Draft International standards	dc (2 cycles)
Final draft international standards	dc (2 cycles)
ISO vote results	dc (2 cycles)
Final ISO standards	dc
Subcommittee minutes	6 years
ISO/TC106 Annual report	p
ISO/TC106 Annual meeting minutes	p
ISO/TC106 Annual meeting material	6 years

Key:

p = permanent
dc = designated cycle
d = discretionary

09/07/07