



American
Gear Manufacturers
Association®

AGMA 999-D24

AGMA Information Sheet

Operating Instructions for AGMA Technical Division

AGMA 999-D24

**American Gear
Manufacturers
Association** ***Operating Instructions for AGMA Technical Division***
AGMA 999-D24

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Approved August 15, 2024

ABSTRACT

The AGMA Technical Division developed this Information Sheet to assist Project Working Groups in the efficient administration of their respective projects.

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Foreword

[The foreword, footnotes and annexes, if any, in this document are provided for informational purposes only and are not to be construed as a part of AGMA 999-D24, *Operating Instructions for AGMA Technical Division*.]

The first edition of this document was dated October 2014. A revision was created dated February 2015. The February 2015 revision updated the document to conform to the *AGMA Policy and Practice Guide*, which was approved by the Board of Directors in July of 2014. Changes found in the February 2015 revision include: Definition and description and differences between face-to-face and virtual meetings. Guidelines for selecting meeting locations for face-to-face meetings, including a list of approved locations. Clarification has been added to the definitions of Active and Observer members.

A revision was created dated May 2017. Changes found in the May 2017 revision include: Clarification has been added to the roles and responsibilities of all committee members. Emphasis on the importance of responding to committee comments and General Ballots has been added. Addition of the AGMA Antitrust Meeting Policy. Introduction of a term limit for chairpersons.

The AGMA 999-A20 edition is the first edition to be designated an Information Sheet. In addition to all the formatting changes required in updating to an Information Sheet, changes in this revision include: Global replacement of word chairman with chairperson. Reorganized clauses. Addition of Committee Project Proposal Form as an annex. Addition of information on motions and votes.

AGMA 999-B21 replaces AGMA 999-A20. Main changes in this revision include. Changed document title from *Operating Instructions for AGMA Committee Chairpersons and Vice Chairpersons* to *Operating Instructions for AGMA Technical Division*. Added information on committee governance. Committee project types listed. Document development clause expanded and figures for document stages added. Comment review and resolution made into its own clause and expanded, notably Table 1 added to show allowable comment actions. Annex A, standards checklist replaced with document proofing checklist. Annex B updated to current personnel.

AGMA 999-C23 replaces AGMA 999-B21. It is a general update to mark the creation of working groups in place of technical committees. The first draft of AGMA 999-C23 was made in November 2022. It was approved by the Technical Division Executive Committee (TDEC) in June 2023.

AGMA 999-D24 replaces AGMA 999-C23. The major change was to restore the committee structure while maintaining Project Working Groups for document creation and editing. A code of conduct was added to satisfy ANSI and ISO requirements as well as define AGMA's policy. The entire document was reviewed by the TDEC. Annexes showing meeting agenda and minutes templates and the project proposal form were removed because these documents are available online to members.

The first draft of AGMA 999-D24 was made in February 2024. It was approved by the Technical Division Executive Committee on July 29, 2024 and by the Board of Directors on August 15, 2024.

Suggestions for improvement of this Information Sheet will be welcome. They may be submitted to tech@agma.org.

PERSONNEL of the AGMA Technical Division Executive Committee

Chairperson: Jason DaubertFLSmidth Cement USA Inc.

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Jodi BelloGE Vernova

Lance BrownCGI

Michael D'Arduini.....The Gleason Works

Michael HeScot Forge

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Dale Weires.....Boeing

American Gear Manufacturers Association –

Operating Instructions for AGMA Technical Division

1 Scope

The AGMA Technical Division developed this document to assist Project Working Groups in the efficient administration of their respective projects.

2 Normative references

2.1 AGMA Policy and Practice Guide

Guidelines on the overall operation of the AGMA Technical Division and all the Technical Committees are covered in Sections 5, 7, and 8 of the *AGMA Policy and Practice Guide*. The *AGMA Policy and Practice Guide* document is the controlling document, and information there supersedes information in this document.

2.2 Style manual

AGMA 900, *Style Manual for the Preparation of Standards and Information Sheets*, is the style manual to be used for the preparation of AGMA technical publications. It contains valuable information concerning what elements should be included in each publication, as well as format, proofreading, symbols, and nomenclature. Also included are a checklist for editors, a sample cover page, a copyright page with abstract, a foreword page, and a table of contents. It is strongly recommended that individuals interested in acting as editors on a project should familiarize themselves with this document.

2.3 Antitrust meeting policy

Trade associations, due to their very nature, are particularly sensitive to antitrust violations. This is because, in bringing competitors together into an association, one element of a possible antitrust violation may already be present, a combination of competitors. To minimize the possibility of antitrust issues at association gatherings, AGMA has published a set of guidelines that should be followed at all meetings, as well as all association sponsored conventions, trade shows, training seminars, conferences, and task force and working group sessions. See Annex A.

2.4 AGMA Technical Division Code of Conduct

AGMA is committed to providing a safe and welcoming experience for all members, authorized observers, public commenters and other participants ("Participants"), regardless of race, ethnicity, disability, religion, political affiliation, gender, gender identity or expression, sexual orientation, or any other distinguishing characteristic protected by applicable law. We do not tolerate discrimination, intolerance, harassment, aggression, or ill will of any kind at any event, either in-person or online. AGMA reserves the right, in its sole discretion, to modify this Code of Conduct, as necessary.

2.4.1 General principles

1. To promote and support the work of the AGMA Technical Division, ANSI-Accredited U.S. TAG to ISO TC 60 as well as the purposes and objectives of the voluntary consensus standards system.
2. To maintain a process that is open, honest, and fair to all Participants.

3. To promote the development of consensus through the broad participation of a variety of interests and through a fair airing and discussion of all points of view.
4. To adhere, both in letter and in spirit, to all duly established rules, regulations, and policies governing the work of AGMA.

2.4.2 Participant obligations

1. Comply with legal obligations. Respect all applicable laws and regulations and avoid collusive or anticompetitive behavior.
2. Participants shall act honestly, in good faith, and with the highest professional standards.
3. Participants shall refrain from any threatening, discriminatory, harassing, or illegal conduct as defined by applicable laws, rules, or regulations.
4. Although it is recognized that legitimate differences of opinion can exist on individual issues, Participants should act in a dignified and courteous manner, so as to avoid injuring others, their property, reputation, or employment by false, malicious or improper action and to avoid acting in a disrespectful or unprofessional manner towards other Participants or staff.
5. Participants who have a conflict of interest with respect to a specific issue or issues planned or discussed shall disclose those interests.
6. In order that the points of view and information Participants advance can be accurately evaluated by others, Participants should always endeavor to make known their business, commercial, organizational, or other affiliations that might affect their interests or points of view, avoiding real or perceived conflicts of interest whenever possible.
7. In all discussion, debate, and deliberation, Participants should confine their comments to the merits of the issues under review. Although Participants may forcefully advocate their views or positions, they should refrain from debate and discussion that is disrespectful or unprofessional in tone or that is unduly personalized or damaging to the overall process of achieving consensus.
8. Participants shall protect the integrity of discussions and debates and will not disclose information which is confidential in its very nature. Participants shall ensure that any confidential documents or data shared or in their possession are properly safeguarded. They comply with AGMA's dedicated data protection policies. Participants shall not violate the intellectual property rights of another Participant or any third parties.
9. No Participant should ever attempt to withhold or prohibit information or points of view from being disseminated, particularly on the grounds that the Participant disagrees with the information or points of view. Disagreements should be addressed and resolved through fair presentation and discussion of all information and points of view not through withholding information or preventing points of view from being expressed.
10. Participants should treat all people with respect and fairness and shall not, directly or through intermediaries, offer or appear to offer or promise any personal or improper financial or other advantage or preferential treatment to any person or group, nor shall they accept any such advantage in return for any preferential treatment.
11. Participants should refrain from disseminating false or misleading information.
12. Participants should comply with AGMA, ANSI and ISO policies if applicable.
13. Participants should safeguard AGMA's reputation and integrity by ensuring that any public statements relating to AGMA or the work of the committee or working group, which are not official statements of AGMA or the ANSI Accredited U.S. TAG, are properly portrayed as the opinion of the individual making them.

2.4.3 Unacceptable behavior

An environment free of harassment and/or sexual harassment is not only the law; it is fundamental to the culture of AGMA. Unacceptable behavior includes, but is not limited to: intimidating, harassing, abusive, discriminatory, derogatory, or demeaning conduct; inappropriate physical contact (e.g., unwelcome sexual advances, groping, sexual assault); excessive consumption of alcohol; physical, written, verbal, or other abuse, as determined by the event organizer and its representatives, in their sole discretion; failing to obey any rules or regulations of the venue and AGMA; and violating applicable federal, state, or local law, rule or regulation.

2.4.4 Consequences of inappropriate behavior

Any reported incident will be immediately investigated promptly and thoroughly. Each investigation will proceed as the circumstances warrant, and an investigation may involve an interview with the Participant making the complaint, interview with the subject of the complaint, and interviews with persons identified as witnesses or otherwise having knowledge of the incident or conduct. To the extent practicable, the investigation will be treated as confidential. AGMA reserves the right to immediately respond to imminent or actual threats of danger, violence, or disturbance that undermines the safety of AGMA, AGMA staff, or Participants, including but not limited to immediate suspension or expulsion from an AGMA event without refund.

When the investigation is completed, AGMA, in its discretion, will inform affected parties of the outcome of the investigation. Any appropriate measures may be taken pending a full investigation and final resolution of a complaint. Consequences may include warnings, removal from the meeting or event with or without warning or refund, and exclusion from any future AGMA meeting or Technical Committee proceedings.

2.4.5 Reporting unacceptable behavior

In the event of an emergency, please contact local authorities immediately.

If you believe you were harassed, notice that someone else is being treated poorly, or have additional concerns, please contact AGMA staff at tech@agma.org or see the onsite contact to discuss the situation. Complaints should at minimum, include the identity of the subject of the complaint, a brief description of the inappropriate behavior or applicable Code of Conduct violation, the date the incident occurred, and any other evidence the Participant filing the complaint believes may assist AGMA in investigating the matter.

We expect all Participants to follow this Code of Conduct at all event venues, any external venue affiliated with the event, and all related social events. AGMA may elect to revise this policy without notice.

3 Terms and definitions

3.1 ANSI

The American National Standards Institute, ANSI, is a private non-profit organization that oversees the development of voluntary consensus standards for products, services, processes, systems, and personnel in the United States. It audits the processes of U.S. standards developing organizations, designates American National Standards, grants standards developing organizations exclusive permission to write American National Standards in specific topic areas, and facilitates U.S. involvement in the International Standards Organization, ISO. To maintain ANSI accreditation AGMA's policies and practices must be in line with the requirements published by ANSI in *ANSI Essential Requirements* [1].

3.2 ISO

The International Organization for Standardization, ISO, is an independent, non-governmental international organization composed of representatives from the national standards developing organizations, SDOs, of member countries. Standards development is carried out by Subject Matter Experts, SMEs, from member SDOs grouped in over 800 different technical committees and sub committees. American National Standards Institute, ANSI, is the national SDO representing the U.S. in ISO. ISO Technical Committee 60, TC 60, has the scope to develop standards for the global gearing industry. ANSI has delegated the representation of the U.S. gearing industry on ISO TC 60 to AGMA.

Currently AGMA holds the secretariat position on ISO TC 60 with AGMA VP of Technical Division as its manager. AGMA's policies and practices must be in line with the requirements published by ISO in *ISO/IEC Directives Part 1* [2].

3.3 AGMA

The American Gear Manufacturers Association, AGMA, is a voluntary association of companies, consultants, and academicians (hereafter referred to as stakeholders) with direct interest in the design, manufacture, and application of gears, couplings and related power transmission components and equipment.

3.4 TDEC

The AGMA Board of Directors has delegated management of AGMA Standards development to the Technical Division Executive Committee, TDEC. The TDEC is composed of AGMA members who have previously served on one or more technical committees. The TDEC reviews and approves project proposals and later manages their development by the project working groups, previously called technical committees. The TDEC also helps maintain the current catalog of AGMA documents, Standards, and Information Sheets, and facilitates representation of the U.S. gearing industry within ISO TC 60.

3.5 Publications, types

AGMA publications are classified as either Standards or Information Sheets. Information Sheets contain material that is still being tested and has yet to be fully examined by the industry, whereas standards contain proven material examined and verified by industry experts.

3.5.1 Information sheets

Unless explicitly approved by the TDEC, all new projects will be developed and designated as an AGMA Information Sheet. Information Sheets have the designation AGMA ###-AYY. Where the three “#” digits are unique to the Information Sheet, the “A to Z” character identifies the revision level, “A” being the first revision, and the “YY” characters designate the last two digits of the publication year. Upon completion of the last stage in the development, the review and resolution of comment stage, the project working group votes to submit the new Information Sheet to the TDEC for final approval for publication.

3.5.2 Standards

Standards are matured Information Sheets that have been reviewed, examined, and accepted by the industry. To be designated as an AGMA Standard, the document will need to comply with applicable ANSI requirements which includes an additional review and commenting period (General Ballot). Once all comments from this stage are reviewed and addressed, the final draft will be submitted to the TDEC for approval to publish. The submission will be recorded as a resolution in the project group's meeting minutes.

AGMA Standards are published with the designation ANSI/AGMA #####-AYY. Note that Standards start with an “ANSI” designation and have four digits instead of the three that Information Sheets have. In the designation, the four digits “#####,” 1000 to 9999, followed by a letter, “A to Z,” identifying the revision level, “A” being the first revision. The “YY” characters designate the last two digits of the publication year.

3.6 Committees

Technical committee membership is reserved for representatives of AGMA member companies in good standing. When an active project requires it, committee chairpersons may request waivers from the TDEC for a non-member to be invited to the committee as a member until the completion of the project; see 3.12.2.1. Individuals interested in becoming a member of one of the technical committees should submit a membership request to tech@agma.org or through their employer's AGMA Technical Representative. The committee is responsible for:

- ISO TAG responses;
- managing project working groups;
- document reaffirmations, see Clause 5;
- responding to requests for interpretation.

Each committee has the following member types:

- TDEC liaison;
- chairperson;
- vice-chairperson;
- committee members:
 - active members;
 - non-AGMA members under waiver.

3.7 Working groups

A project working group (WG) will be formed under the supervision of the subject Technical Committee and will designate one of its active members as the “project leader” and one member the “editor” and begin work on developing the “Working Draft” of the proposed document.

3.8 TDEC liaison

Each technical committee is assigned a TDEC liaison. The TDEC liaison acts as liaison between the committee and the TDEC. They help the chairperson recruit committee members, evaluate new projects, and prepare proposals for the TDEC. They also submit progress reports to the TDEC, including any committee issues requiring assistance from the TDEC.

3.9 Chairperson

A chairperson and vice chairperson will be elected by the committee members from the roster of active members of the committee. The results of the election will be submitted to the TDEC for final approval. The Chairperson has the following responsibilities:

- act in a purely neutral capacity, divesting themselves from taking a position on matters before the committee;
- vote **only to break a tie** when the committee deadlocks on a motion, voting in his/her role as the chairperson and not as a representative of their company – otherwise the chairperson has no voting rights;
- counts as an active member in determining if a quorum is present;
- ensure that the policy and strategic decisions of the TDEC are implemented in the committee;
- ensure at meetings that all points of view are given adequate time and consideration;
- ensure that all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting;
- communicate with TDEC liaison any issues they wish to call to the attention of the TDEC;
- develop responses to Requests for Interpretation directed at the committee’s standards and information sheets;
- recruit new committee members;
- develop priorities and time schedules for committee work;
- evaluate new projects;
- collaborate with AGMA staff liaison on periodical review of the committee roster and re-assignment of members’ status per their attendance and participation records as stated in 3.11;
- ensure that all committee members have a copy of this information sheet – all new members will receive a copy from AGMA upon membership to the committee;
- coordinate activities with other committees developing technical information common to both committees;
- coordinate ISO TAG responsibilities within their committee.

3.10 Chairperson term

A Chairperson's term ends after 48 months (4 years) after the first appointment. A Chairperson may be reappointed with consent by the committee members obtained through anonymous voting, typically through emails to the AGMA Liaison, or if there are no other volunteers. The appointment, or reappointment, of a Chairperson is approved by the TDEC.

3.11 Active member status

Since companies, and not individuals, are members of AGMA, all employees of a company that is an active member are considered active members. If multiple employees from the same company are in attendance at the same meeting, the group only counts as one member when determining a vote or quorum. Only active members will be considered in determining a quorum and have a vote on committee activities. Only individuals of active member companies that participated in the development of an AGMA publication will be acknowledged on the list of active committee members for that publication.

An active member is determined by the following criteria:

- attends 75% of scheduled meetings per calendar year;
 - active members who miss 50% of scheduled meetings in a calendar year will be contacted and potentially removed from the roster.
- responds to all Review and Comment and General Ballots conducted by the committee. Abstention is considered an acceptable response, whereas a failure to reply is not acceptable;
- progressively demonstrates a willingness to accept and perform committee tasks;

An active member has the following responsibilities:

- participates actively in the work of the committee through attendance at, and contributions to, meetings;
- votes on all formally submitted questions;
- responds to all Review and Comment and General Ballots. An active member who fails to respond to a General Ballot conducted by the respective committee will be re-designated as an observer member;
- serves as meeting secretary when called upon by the chairperson or vice chairperson.

3.12 Projects and project working groups

Following TDEC approval of a new project, project working groups will be formed to work on the approved project.

3.12.1 Projects, type

In general, an AGMA working group could be working on one of two main project types: a) developing a new document, and b) revising an existing document. A third type of project would be acting as the U.S. national body on ISO TC 60, see Clause 7 for more information. This type of project will normally be managed by the subject committee.

3.12.1.1 Projects, initiation

Initiation (start) of a new project depends on the type of project, i.e., developing a new document or revising an existing document.

- a) development of a new document may be initiated by the industry at large or by AGMA members, with the primary goal of addressing or meeting an industry need or adding complementary editions to an existing AGMA document;
- b) revision of an existing document may be initiated to correct discovered errors, add clarifications to address questions received from industry users, or to implement a general update to match current industry practices.

3.12.2 Project working group

A new project is initiated as described in 3.12.1.1. Upon initial approval by the TDEC, the project will be announced to the industry. Interested subject matter experts will be invited to meet and discuss the project. The first order of business will be to develop preliminary scope, timeline and completion of a formal project proposal form. The form will be reviewed by the TDEC for final approval of the project. Official formation of the project working group commences once the project has received final approval from the TDEC.

3.12.2.1 Project working groups, members

Members of the project working group consist of subject matter experts, from the parent subject committee and from stakeholder member entities, with expressed written interest to participate and make contributions as needed. Subject matter experts are individuals named by AGMA member entities as their technical representative plus other interested individuals from the industry at-large. During the course of the project new members may request to be added to the working group via written request submitted to AGMA Technical Division (emailed to tech@agma.org). Existing members may be removed from the working group due to lack of attendance or contribution.

The final publication version of the document will acknowledge the participation and contributions of the members by listing their respective company. To be listed on the document will require active participation during the project development, as determined by the project leader and AGMA staff liaison. Active participation during the development of the project is defined in 3.11. The project working group shall be dissolved at the completion of the project.

NOTE: Non-AGMA member

Should it become necessary to invite a subject matter expert, or SME, from a non-AGMA member company to participate on an active project, a request may be submitted to the TDEC to waive the membership requirement so that the non-AGMA member may join the working group for a limited time. The request shall clearly state the reason for the request, i.e., the expertise that the non-AGMA SME will bring to the project that the project working group currently lacks. The waiver shall be terminated upon the completion of the project.

3.13 Projects, execution

Upon formation of a project working group as its first task, the working group will choose a project leader and a document editor.

3.13.1 Project leader

A project leader will be elected at the start of a new project by the working group members. The results of the election will be submitted to the TDEC for final approval. The project leader will work closely with AGMA staff to move the project through to its various stages including:

- preparation of meeting agendas;
- call meetings to order and move the meeting through the agenda items;
- act in a purely neutral capacity, divesting themselves from taking a position on matters before the working group;
- ensure at meetings that all points of view are given adequate time and consideration;
- ensure that all decisions are clearly formulated and made available in writing by the secretary for confirmation during the meeting;
- communicate with AGMA staff and the TDEC liaison any issues they wish to call to the attention of the TDEC;
- develop priorities and time schedules for the project;
- only when deadlocked on a motion, the project leader may vote to break the tie otherwise they have no voting rights;
- counts for quorum.

3.14 Project leader term

A Project leader's term ends at the conclusion of the project, or 48 months (4 years) after the first appointment, whichever comes first. A Project leader may be reappointed with per consent by the committee members obtained through anonymous voting, typically through emails to AGMA Liaison, or if there are no other volunteers. The appointment, or reappointment, of a Project Leader is approved by the TDEC.

3.14.1 Document editor

To ensure transparency during project development, the TDEC requires that the working group appoint an editor at the start of a project who will work closely with the staff, ensuring that all approved changes and additions are implemented accurately. The editor together with the staff will maintain an accurate record of all changes, additions, and corrections through the development of the working draft by using the Track Changes feature in Microsoft Word and file copies of each major update or meeting edit. The editor should be present at a significant amount of any virtual meetings and perform the in-meeting edits to the document.

3.15 Meeting types

Meetings are either face-to-face or virtual. A face-to-face meeting can be held at AGMA offices, a member's facility, or at one of the approved locations as defined in 3.17. A virtual meeting is held through an internet meeting provider.

3.16 Determining quorum

A simple majority of the committee or project working group, or five, whichever is fewer, constitutes a quorum. For purposes of establishing a quorum, only one representative of each company, proprietorship, partnership, corporation, or other functional interest areas is counted. The goal is diversification, equitable voting, and a lack of dominance.

Meetings without a quorum should be canceled and rescheduled. Under unusual circumstances, a meeting may be held without a quorum, but any action taken during the meeting shall be ratified at the next meeting. If a project group consistently falls below five (5) member companies in attendance, the project will be reviewed by the TDEC for cancellation or solicitation for new members.

3.17 Meeting location

The following metropolitan locations have been approved by the TDEC for face-to-face meetings:

- Alexandria, VA (AGMA Virginia office);
- Chicago, IL (close to O'Hare airport);
- Orlando, FL;
- Denver, CO;
- Atlanta, GA;
- Hartford, CT;
- Indianapolis, IN.

Meetings may be held at locations other than those listed above if invited / hosted by a member at their respective facilities. Requests to hold a meeting at a location not on the approved list, or not at a member's facility, will be reviewed on a case-by-case basis by AGMA staff. AGMA will pay for catering when meetings are held at a member facility.

3.18 Meeting agenda

The project leader will prepare, and forward to the AGMA staff liaison, the draft of the meeting agenda using the template from the AGMA portal. To provide adequate notice to potential participants, the meeting agenda should be distributed at least thirty (30) days prior to the scheduled meeting date for face-to-face meetings, and at least fourteen (14) days prior for virtual meetings.

3.19 Meeting minutes

All members of the working group are required to help with the recording of the meeting minutes when called upon by the project leader or the AGMA staff. To maintain one's active status in the working group, members shall ensure they are ready to assist when called upon. The recording shall be done using the latest edition of the AGMA Minutes template available on the AGMA portal. The meeting minutes shall follow the meeting agenda; clearly recording the final actions, or decisions on each agenda item. When needed, to help with future follow ups, the minutes may also include a brief discussion summary for each agenda item. Care should be taken to avoid verbosity. When motions are made and voting takes place, the minutes shall clearly record: 1) the content of the motion; 2) who made the motion; 3) who seconded the motion; 4) the outcome, including – if not unanimous – the number voted in favor, the number opposed, and the number abstained.

The meeting secretary submits the minutes to AGMA staff who will add the attendance, check to ensure nothing was missed, and send the minutes to the committee chair or project leader for final review and approval for distribution. In general, the meeting minutes shall be distributed no more than (7) days after the meeting. The minutes from the final meeting, the meeting in which the TDEC was requested for approval to publish, shall be approved via email.

3.20 Motions and votes

At times when consensus on a substantive discussion cannot be reached, the project leader shall opt to move the discussion forward by requesting one of the working group members to make a motion, seconded by another member and calling for a vote. Motions not seconded shall be considered rejected. The voting shall be "voice" vote choosing "yea," "nay," or "abstain." Unless the results are unanimous, the meeting minutes will reflect the final number of yeas, nays, and abstentions. For a motion to pass, it shall need a simple majority of votes not counting the abstentions.

The committee chair or project leader shall only vote when there is a tie.

NOTE: During comment review and resolutions, members who are attending the meeting ONLY because they submitted comments are not eligible to make a motion.

4 Project stages

4.1 General

Regardless of its type, new or revision, a Working Group Project will have a 4-year (48 months) maximum term. See Figure 1 for a process map of the following stages that document projects go through:

- Working draft stage;
- Review and comment stage;
- General ballot stage;
- Publication stage.

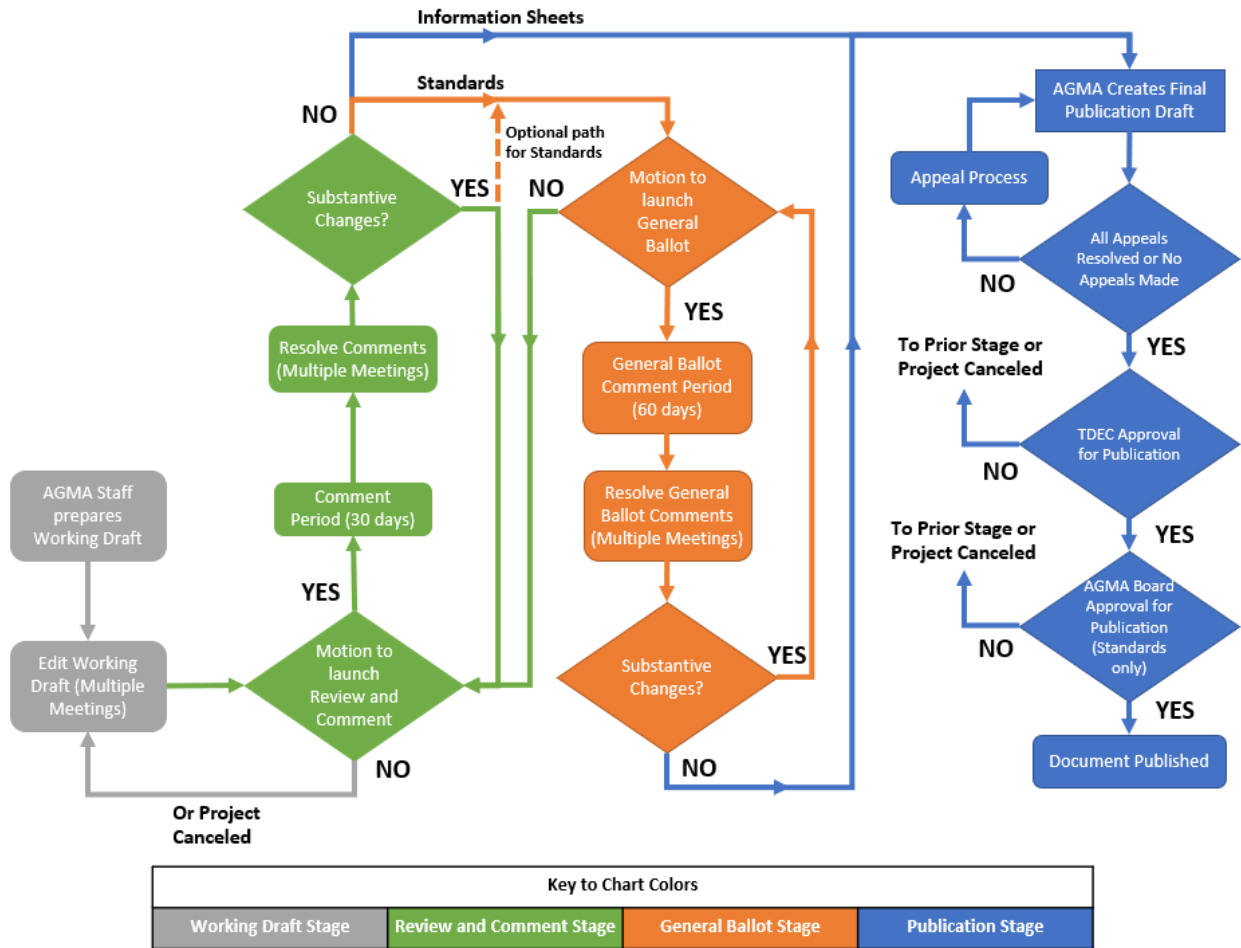


Figure 1 – Document Stages

4.1.1 Working draft stage

A new project always starts with AGMA staff preparing the Working Draft, WD, copy of the document which the working group will use to develop the final deliverable. After each meeting where the working draft is edited by the document editor, a PDF copy of the latest version is shared with working group members on the AGMA portal. Substantial edits are allowed during the working draft stage. The stage ends when the working group motions to send the document out for the Review and Comment, RC, stage. AGMA staff will prepare the WD draft as the RC draft and launch the review.

4.1.2 Review and comment stage

The RC draft is reviewed for a period not less than thirty (30) days by working group members, and any other AGMA members in the pool of experts who would like to participate during the RC stage. See Clause 6 for details on comment resolution. For Information Sheets, once all comments are resolved and no substantive changes made, the working group shall request approval from the TDEC to publish the document.

4.1.3 General ballot stage (standards only)

Per ANSI requirements, documents to be designated as standards shall be submitted for “public review and commenting” known in AGMA as General Ballot, GB. Upon completion of RC, the working group will request approval from the TDEC to submit the RC draft for General Ballot. After approval by the TDEC to launch the General Ballot, and filing of appropriate paperwork with ANSI, the RC draft will be prepared, by AGMA staff, as the GB draft. The default GB period is (60) days. The ballot is sent to committee and

working group members, any AGMA member that replies “yes” to an “invitation to participate” email, and any member of the general public that contacts AGMA to participate. See Clause 6 for details on comment review and resolution.

NOTE 1: To maintain the project schedule, it is imperative that anyone who submits comments during GB attends subsequent comment resolution meetings and be ready to provide clarification on their comments and views as needed. Commenters who fail to attend meetings when their comments were discussed and resolved shall be responsible for reviewing the meeting minutes for the working group’s resolutions of their comments. All resolutions shall be considered FINAL at the conclusion of the meeting following the meeting in which the comment resolutions were recorded.

NOTE 2: During GB, substantive comments to correct a technical error will be discussed and solved by the working group followed by another general ballot. Comments regarding content that has previously been resolved by the committee will be rejected. New substantive comments, as decided by the working group, shall be archived for the next edition.

Once all comments are resolved, the working group shall request approval from the TDEC to publish the document.

4.1.4 Publication stage

The publication stage begins after the working group motions to request approval from the TDEC to publish the document. AGMA staff will submit final forms and other required paperwork to ANSI, notify commenters of the final action, and prepare the publication draft. The final publication draft shall be reviewed by at least two working group members who will confirm, in writing, that the draft includes all changes approved / requested by the working group and is free of errors and typos. The working group is disbanded once the document is published.

5 Maintenance of existing publications

5.1 Reaffirmation

All AGMA Information Sheets and Standards have a five (5)-year life span, after which they are required to be either reaffirmed, revised, or withdrawn.

5.1.1 Reaffirmation project

Per ANSI rules, AGMA standards must be reaffirmed every 5 years to confirm the document is still technically accurate and relevant to the industry. AGMA staff will inform the committee chairperson of documents due for reaffirmation within their committee. The committee responsible for the document has three options when reaffirmations are due: motion to start the reaffirmation process, motion to directly start revising the document, or motion to start the withdrawal process for the document.

If the document is an information sheet, the committee may elect to collect comments on the document, or directly motion to reaffirm it. If the document is a standard, it must go through a General Ballot commenting period of not less than 60 days after the committee motions to start the reaffirmation process, and the TDEC approves the launch of the General Ballot. See Clause 6 for details on the commenting process, and review of comments process.

A standard is reaffirmed if:

- a majority of the consensus body (those receiving ballots) cast a vote (counting abstentions);
- at least 75% of ballots cast approve the standard, (not counting abstentions);
- all comments submitted were editorial and will be filed until the next revision (the committee found no technical errors or required substantive changes in the comments);
- no appeals were made or all appeals have been resolved;
- the proper paperwork has been filed with ANSI;
- the TDEC and AGMA board approve the reaffirmation.

5.2 Withdrawal of an existing document

The process to withdraw a document begins with a motion from the committee to start the withdrawal. If the document is an information sheet it will be withdrawn after approval from the TDEC. If the document is a standard, it must go through a General Ballot commenting period of not less than 60 days after the committee motions to withdraw and the TDEC approves the launch of the General Ballot. See Clause 6 for details on the commenting process, and review of comments process.

A standard is withdrawn if:

- a majority of the consensus body (those receiving ballots) cast a vote (counting abstentions);
- at least 75% of ballots cast approve the withdrawal, (not counting abstentions);
- after reviewing comments the committee confirms the withdrawal (no comments convinced the committee to stop the withdrawal);
- no appeals were made or all appeals have been resolved;
- the proper paperwork has been filed with ANSI;
- the TDEC and AGMA board approve the withdrawal.

5.3 ISO adoption project

ISO international standards may be adopted as American National Standards in accordance with *Policy & Practice Guide* Sections 7–8. ISO technical specifications, publicly available specifications, and technical reports may be adopted as AGMA information sheets. The technical committee will determine if the ISO document is to be proposed as a new document, a replacement for an existing AGMA document, or in addition to (parallel to) an existing AGMA document. ISO documents are identically adopted by AGMA, only minor stylistic changes may be made to the document.

If the document will be adopted as an AGMA information sheet, the committee may elect to collect comments on the document, or directly motion to adopt it. Information sheets are adopted after approval from the TDEC. If the document will be adopted as a standard, it must go through a General Ballot commenting period of not less than 60 days after the committee motions to start the adoption process, and the TDEC approves the launch of the General Ballot. See Clause 6 for details on the commenting process, and review of comments process.

An ISO document is adopted as an AGMA standard if:

- a majority of the consensus body (those receiving ballots) cast a vote (counting abstentions);
- at least 75% of ballots cast approve the adoption, (not counting abstentions);
- after reviewing comments, the committee confirms no edits are needed (the document will be identically adopted);
- no appeals were made or all appeals have been resolved;
- the proper paperwork has been filed with ANSI;
- the TDEC and AGMA board approve the adoption.

5.4 Request for interpretation

To fulfill ANSI accreditation requirements AGMA has a formal request for Interpretation (RFI) process. Questions received by AGMA go through different levels of escalation depending on their nature. Simple comments are answered by AGMA staff, others may be answered by AGMA staff asking the committee chair responsible for the document, or other members that worked on the document to reply. The formal response will be shared with the commenter.

Comments that uncover a technical error are addressed with a revision to the document.

6 Comment review and resolution

6.1 General

Those taking part in Review and Comment or General Ballot will receive, via email, a copy of the subject document to review along with a blank comment table to record and submit their comments. The email will also include the due date to submit comments and, if voting is needed, a place where the vote may be recorded. Comments must clearly state the issue and suggested action to resolve the issue. Comments without suggested actions may be rejected by the working group without review. At the close of the commenting period, AGMA staff and the project leader will review all comments received and propose an action for each. Tabulated comments along with the proposed actions will be distributed to the working group. Meetings will be scheduled to review and resolve comments labeled “to be discussed” by the project leader.

Regardless of the type of commenting period it is important to determine if the comment is editorial or substantive. A substantive change is one which directly and materially affects the use of the document.; Examples of substantive comments include: changes to the scope, introducing new content, extensive rewriting and reorganizing, changes (other than corrections) to mathematical equations, graphs, or tabulated values. Examples of editorial comments include grammar mistakes, changes to align with AGMA style, and adding additional information for clarity. For new and revision of existing documents, substantive changes require an additional round of commenting.

NOTE: During GB, substantive comments to correct a technical error will be discussed and solved by the working group followed by another general ballot. Comments regarding content that has previously been resolved by the committee will be rejected. New substantive comments, as decided by the working group, shall be archived for the next edition.

The consensus for the action to address each comment may be determined through an informal verbal agreement among the working group members present, or via a formal motion to take a specific action based on the comment. See 3.20 for information on motions. It is strongly recommended to cease discussion of a comment after a working group action is determined. Comments may be tabled until the next meeting if the commenter or their firm is not represented during the review and discussion of the said comments.

NOTE: It is a courtesy, not a requirement, for the working group to wait for the commenter to attend a comment resolution meeting. Commenter absence should not hold up resolution of the comment if the working group is inclined to accept the comment. The working group should not let the absence of the commenter indefinitely delay the resolution process. Commenters who fail to attend meetings when their comments were discussed and resolved shall be required to review the meeting minutes for the working group’s resolutions of their comments. All resolutions shall be considered FINAL at the conclusion of the meeting following the meeting in which the comment resolutions were recorded.

6.2 Comments on new or revision AGMA documents

The comment resolution process is similar regardless of the commenting period (Review and Comment stage or General Ballot stage). Before the working group holds a meeting to resolve the comments the project leader is requested to review the comments and recommend actions. See Table 1 for list of actions when resolving comments on new or revision documents. Comments labeled accepted or HQ to fix by the project leader need no further discussion by the working group.

Table 1 – Allowable comment actions for new or revision documents

Allowable Comment Action	Explanation
Accepted	The suggested action will be implemented.
Accepted with Modification	The working group agreed that there was an issue but decided on an action different from the one suggested by the commenter.
Rejected	As a result of working group discussion, the proposed change is not implemented. A reason is noted in the comment table.
Rejected – Deferred to Next Edition	Due to its scope, the amount of change required, or the inclusion of new technical concepts not present in the current edition, the comment will be deferred for consideration until the next edition.
Withdrawn	The commenter removes the comment from consideration.
HQ to fix	The proposed change is of a stylistic nature, such as indentation of text, reference style, font size, table, or figure appearance, etc. AGMA staff will research the issue and edit if needed to align with the style guide.

After the working group has concluded its review and resolution of all comments, one of two motions for the disposition of the draft is required: If the working group determines that its actions have NOT resulted in a SUBSTANTIVE change to the proposed document, the following motion is made, voted on, and recorded in the meeting minutes:

- *After review and resolution of all comments received and noting that no substantive changes were made to the draft, the working group requests approval from the TDEC to submit the draft for General Ballot [if this is the next stage] [or] Publication [if this is the next stage].*

If the working group determines that its action has resulted in SUBSTANTIVE changes to the proposed standard during General Ballot, the following motion is made, voted on, and recorded in the meeting minutes:

- *After review and resolution of all comments received and noting that substantive changes were made to the draft, the working group requests approval from the TDEC to launch a new General Ballot*

6.3 Processing of comments on reaffirmation of AGMA documents

Detailed discussions of the reaffirmation comments are not necessary. For each comment, the committee only needs to determine whether it is editorial or substantive. Before the committee holds a meeting to resolve the comments the committee chair is requested to review the comments and recommend actions. Comments that the committee chair determines to be editorial may be resolved together by the committee without further discussion. If all comments are editorial, they will be archived for review at the next revision or reaffirmation. The following motion is then made, voted on, and recorded in the meeting minutes:

- *After review and resolution of all comments received and noting that all comments are editorial, the committee requests that the TDEC approve the reaffirmation.*

If the committee determines a comment to be substantive the options to proceed are listed in Table 2.

Table 2 – Options if substantial comment from reaffirmation

Option	Explanation
Committee votes to reaffirm with an errata	After TDEC approval, AGMA will prepare the errata and attach it to the end of the published document.
Committee votes to start a revision project	The entire document may be revised. See Clause 4 for project stages.
Committee votes to start a limited scope revision project	Specific items or areas within the document are specified when requesting the revision project. Only those items or areas specified are valid to be changed or commented on. See Clause 4 for project stages.
Committee votes to withdraw the document	The document will go through the withdrawal process described in 5.2.

6.4 Comments on withdrawals

The purpose of collecting comments on the withdrawal of a document is to determine if there are factors the working group did not consider when approving the start of the withdrawal process. After reviewing the withdrawal comments the working group motions to either request the withdrawal to be finalized, or request stopping the withdrawal process.

6.5 Comments on ISO adoptions

ISO documents are adopted as identical adoptions, meaning no substantial changes are allowed in the version AGMA publishes. Comments are reviewed to determine if any comments are substantial enough to warrant not adopting the document. After reviewing the comments, the working group motions to either request the adoption to be finalized, or request stopping the adoption process. The working group may also decide to send the comments to ISO with a request that ISO revise the document.

7 ISO processes

7.1 ISO TC 60, U.S. participation

AGMA represents the interests of the U.S. gearing industry in ISO TC 60 through a Technical Advisory Group, TAG. As defined by ANSI, the primary responsibility of U.S. TAGs is to develop and transmit, via ANSI, U.S. consensus positions and comments on activities and ballots of ISO TCs (and, as appropriate, ISO subcommittees, SCs, and ISO policy committees, PCs). These include active participation in ongoing projects within relevant TCs by reviewing project related documents and submitting comments, as needed, as well as voting when those documents are submitted for final review and approval, or reaffirmation, or withdrawal. In addition, U.S. TAGs help in the search for, and nomination of, the U.S. delegates who will represent the U.S. at ISO committee meetings. U.S. TAGs also initiate the process for the U.S. adoption of an ISO document.

7.1.1 ISO TC 60, U.S. TAG 2a

U.S. Technical Advisory Group, TAG, 2a is a group of SMEs, from the AGMA committees and other SME's, with expressed interests in active participation in the development of international gearing and gearing related standards. The AGMA TAG 2a includes current technical representatives of AGMA member entities forming various AGMA working groups, committees, and other technical representatives. Members of the U.S. TAG to ISO TC 60 are expected to participate actively by fulfilling attendance, voting, correspondence, and other obligations.

7.1.2 U.S. TAG 2a, responsibilities

As part of their primary responsibility, the U.S. TAG 2a, will review, and comment on, materials distributed by ISO TC 60 during development of new ISO documents or during annual reaffirmation, or withdrawal of existing documents. Any comments submitted will be forwarded, via ANSI, to the relevant working group

under ISO TC 60 for review and resolution. Periodically, as the scheduling allows, the U.S. TAG will conduct a preliminary review of the comments submitted before the comments are forwarded to ANSI to be sent to ISO. And finally, when voting is conducted on an ISO ballot, the U.S. TAG will determine the final U.S. position based on the majority of the votes cast.

In-person representation of the U.S. TAG, on behalf of the U.S. gearing industry, at live ISO TC 60 meetings will be carried out by a U.S. Delegate, see 7.1.3 for details.

7.1.3 U.S. TAG 2a, U.S. delegate

To ensure active, hands-on, participation on active projects within ISO TC 60, the AGMA VP of Technical Division, with consultation with U.S. TAG 2a, recommends a current member of the U.S. TAG to the TDEC for approval as the U.S. delegate. Once approved by the TDEC, the nomination will be forwarded to ANSI for approval and submission to ISO to be registered as the U.S. delegate to ISO TC 60 on a particular active project.

A prospective U.S. delegate is:

- a SME individual representing a current AGMA member entity domiciled in the U.S. (including U.S. branch offices of foreign companies authorized to do business in one or more states as defined by the relevant state's corporation law within the U.S.);
- a U.S. citizen or permanent resident;
- is known as a SME in the related field;
- has functional understanding of AGMA Technical Division rules and guidelines;
- has a history of active participation in AGMA Technical Division activities;
- has the approval from their management to travel and attend ISO TC 60 meetings as needed.

NOTE: AGMA pays the traveling cost (airfare, hotel, and food) of the U.S. delegates when attending ISO TC 60 meetings. The delegate will make their own arrangements and upon returning will submit their travel expenses along with all applicable receipts to VP of Technical Division for reimbursement from AGMA.

7.1.4 Review, comment, and vote on active projects within TC 60

Review and commenting on ISO documents is similar to what was described for AGMA projects in previous clauses. When these activities differentiate from AGMA's own, explanatory information will be provided on a case-by-case basis.

7.1.5 Adoption of ISO documents

ISO international standards may be adopted as AGMA documents in accordance with applicable guidelines in *AGMA Policy and Practice Guide*. The adoption process starts with a proposal by the U.S. TAG 2a to the TDEC to approve the start of the adoption process. The proposal shall include (as a minimum):

- the justification for the adoption;
- whether the document is to be adopted as new or a replacement for, and subsequent withdrawal of, any existing AGMA documents;
- a new Foreword, to be added to the final adopted document, addressing the history, and any other information deemed helpful to the reader.

Once approved by the TDEC, and unless the proposed document is either a technical specification or a technical report, the adoption process will begin by filing the appropriate forms with ANSI followed by distribution of the subject document for General Ballot, see 4.1.3 for details on the General Ballot and Clause 6 for processing of comments.

Technical specification and technical reports are adopted upon TDEC approval of the U.S. TAG proposal. The adopted document will be designated as an AGMA Information Sheet (AGMA/ISO XXX-A##).

NOTE: All adoptions are to be identical adoptions with only minor editorial and stylistic changes as needed to comply with AGMA 900.

8 Technical accuracy of standards and information sheets

The working group is responsible for the technical accuracy of the Standards and Information Sheets it publishes. This includes the formulas, figures, tables, and all text within the document. The AGMA technical staff and the working group share the responsibility for the accuracy of draft documents prior to publication. The publication draft is reviewed by at least two working group members for formatting, typos, and to ensure that all changes were correctly implemented. No further rewording or clarification changes can be made at this point.

The working group is responsible for making up examples that will test each formula in the standard. A “long hand” or a computer-based (e.g., MathCAD) calculation is made for each formula. This documentation is sent to the AGMA staff before the standard can be sent out for General Ballot.

The foreword or text of AGMA standards for products which utilize application factors (service factors) shall contain a definition of application factors (service factors) and recommend proper use of application factors (service factors). Numerical application factor (service factor) values are to be included as annexes to the standard with language which defines their use and application.

9 Speaking on behalf of AGMA

At times, project leaders, or members of AGMA working groups are approached with questions about AGMA's position on various matters. However, the only official spokespeople of AGMA are the Chairperson of the organization, the Officers, and the President. If you are asked for an opinion regarding AGMA Standards, interpretation, or policy, be sure to preface any comment with a statement that you speak as an individual, not as a representative of AGMA. Please advise AGMA staff by telephone or e-mail so that an official response to the question can be provided.

Annex A (informative)

American Gear Manufacturers Association Antitrust Meeting Policy

The purpose of this Antitrust Policy is to alert members and staff to the kinds of activities most likely to raise antitrust concerns and to the precautions that must be taken to avoid antitrust problems.

The Antitrust Laws

The antitrust laws are intended to ensure free and open competition. These laws - the Sherman Act, Clayton Act, and Federal Trade Commission Act at the federal level and similar laws in many states — prohibit contracts, combinations, conspiracies, and other agreements in restraint of trade, as well as monopolization and attempted monopolization.

An "agreement" among trade association members in antitrust terms is a very broad concept: it may be oral or written, formal or informal, express or implied.

Meeting Guidelines

To minimize the possibility of antitrust problems at association gatherings, the following guidelines should be followed at all meetings of the Board of Directors and committees, as well as all association sponsored conventions, trade shows, training seminars, conferences, and task force and working group sessions.

Joint Conduct That Is Automatically Unlawful

Certain kinds of joint conduct are presumed to be unreasonable and therefore unlawful. These so-called "per se" unlawful practices are joint activities that the courts have long found clearly restrain competition and lacking redeeming procompetitive benefits. Examples include:

Setting Prices.

Agreements with the purpose or effect of setting or maintaining either prices or factors relating to prices, such as credit, discounts, profit levels, or volume of production.

Allocating Markets.

Agreements with the purpose or effect of allocating markets, such as an agreement not to provide service to a particular geographic area, industry, or group of customers in return for a reciprocal pledge from a competitor.

Tying.

Agreements with the purpose or effect of requiring a customer to buy an unwanted product or service in order to obtain the product or service desired ("tying" agreements). In addition, agreements with the purpose or effect of refusing to deal with competitors, customers, suppliers, or other third parties (often called "group boycotts") also have often been declared per se unlawful and should be avoided.

Trade Associations and Antitrust Agreements

Trade associations by their very nature must be particularly sensitive to avoiding antitrust violations. This is because, in bringing competitors together into an association, one element of a possible antitrust violation may already be present, a combination of competitors. Thus, all that may be needed to prove a violation is the action to restrain trade.

Trade association members and staff should refrain from any discussion that could provide the basis or an inference that the members agreed to take any action that might restrain trade.

Remember that an "agreement" among trade association members need not be in writing. A "gentleman's agreement" to "hold the line" on prices may be more than sufficient for a court to permit a jury to infer an unlawful conspiracy to fix prices. The "agreement" can also be inferred by the parallel actions of trade association members that happen to follow the discussion of the topic at an association gathering.

The basic principle to be followed in avoiding antitrust violations in connection with association activity is to see that no illegal agreements, express or implied, are reached or carried out through the association.

DO NOT

DO NOT discuss your prices or competitors' prices with a competitor (except when buying from or selling to that competitor) or anything which might affect prices such as costs, discounts, terms of sale, or profit margins.

DO NOT agree with competitors to uniform terms of sale, warranties, or contract provisions.

DO NOT agree with competitors to divide customers or territories.

DO NOT act jointly with one or more competitors to put another competitor at a disadvantage.

DO NOT try to prevent your supplier from selling to your competitor.

DO NOT discuss your future pricing, marketing, or policy plans with competitors.

DO NOT discuss your customers with your competitors.

DO NOT make any statements regarding prices or matters affecting prices at association meetings.

DO NOT make statements about your future plans regarding pricing, expansion, or other policies with competitive overtones. Do not participate in discussions where other members do.

DO NOT propose or agree to any standardization that will injure your competitor.

DO NOT attend or stay at any informal meeting where there is no agenda, no minutes are taken, and no association staff member is present.

DO NOT do anything before or after association meetings, or at social events, which would be improper at a formal association meeting.

DO

DO alert association staff and legal counsel to anything improper.

DO consult your own legal counsel or the association's legal counsel before raising any matter which you feel might be sensitive.

DO send copies to an association staff member of any communications or documents sent, received, or developed by you when acting for the association.

DO alert every employee in your company who deals with the association to these guidelines.

DO be conservative. If you feel an activity might be improper, do not do it.

Potentially Severe Penalties

It is essential for association members and staff to comply with all aspects of federal and state antitrust laws. Violation of these laws can result in severe penalties and significant litigation expenses for organizations and individuals. For Example:

- The government can seek to have imposed fines per violation of up to \$10,000,000 for a corporation and \$350,000 for individuals.
- Individuals who are involved in activity that violates the antitrust laws can also be sentenced to jail for up to three years, and possibly more if mail or wire fraud are involved.
- The government can also seek other relief for violations, including cease and desist orders and dissolution of an association.
- Private companies and individuals who are injured by an antitrust violation can sue the association, its member companies, and individuals for three times their damages, plus reasonable attorneys' fees and injunctive relief.

Even if a government or private suit is successfully defended, the cost and disruption of the litigation can be overwhelming. Taking antitrust precautions, therefore, is not only advisable, but imperative.

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