

Revisions as of September, 2009

**ASSOCIATION OF
EQUIPMENT MANUFACTURERS**

**STATISTICS
POLICY & PROCEDURE MANUAL**

**For all AEM Statistics Committees, Bureaus
and Product Councils with Statistics Programs**

Association of Equipment Manufacturers
Milwaukee, Wisconsin

Note: This revised manual was approved by the AEM STATISTICS EXECUTIVE COMMITTEE in September, 2009. As directed by the STATISTICS EXECUTIVE COMMITTEE and with the recommendation of the AEM Board of Directors, this manual is the master policy and procedure document for AEM statistics programs.

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<u>TABLE of CONTENTS</u>	<u>PAGE</u>
I. Introduction	Page 4
A. Mission Statement	
B. Terminology	
C. Anti-Trust Considerations & Guidelines	
II. Operational Organization	Page 10
A. Statistics Executive Committee Article X	
B. Statistics Executive Committee	
1. Organization	
2. Responsibilities	
C. Statistics Committees and Bureaus	
1. Organization	
2. Operating Guidelines	
3. Responsibilities	
D. AEM Staff	
E. Information Processing Company	
III. Company Participation	Page 31
A. Requirements for Company Participation	
B. Additional Requirements for New Participants	
C. Mergers and Acquisitions	
D. Non-AEM Member Participation	
E. Enforcement Policies	

IV. Reporting Programs	Page 41
A. Product Reporting Criteria	
B. Data, Reports, Activities, and Profiles	
C. Data Reporting Process	
D. Data Distribution Policy	
E. Model Charts	
F. Disclosure Prevention	
G. Audits	
H. Annual Start-up Process	
I. Proposals for New or Revised Programs	
V. Online Documentation	Page 57
VI. Definition of Terms	Page 58
VII. Appendices	Page 67
A. Quorums and voting	
B. Due dates for company reporting	
C. Data distribution to product non-participants	
D. Revision time periods	
E. OEM sales to non-participants	
F. Fee structure for non-members	
G. Program Proposal Form	
H. Waiver of disclosure form	
I. Report Card Criteria	
J. Statistics Committee Officer Terms	

SECTION I - INTRODUCTION

SECTION I-A: MISSION

Mission Statement

AEM will provide participating companies with the most timely, accurate, useful, and consistent market statistics data possible within legal parameters by providing the systems, support, and leadership to achieve an ever-increasing level of excellence in the performance of the statistical reporting function.

SECTION I-B: TERMINOLOGY

Due to the nature of the various organizations involved, terminology used to clearly identify various groups is rather lengthy and complex. Frequent repeated usage of full terminology makes the manual unnecessarily large and cumbersome. To make the manual easier to understand, use, and maintain, a set of standardized abbreviations, acronyms, and shorthand phrases will be used throughout this manual. These are:

AEM – Association of Equipment Manufacturers, often combined staff and members

Board – the AEM Board of Directors

Committee – An individual statistics committee or a bureau or council that does not have a separate statistics committee but participates in reporting programs.

Committee acronyms – a number of acronyms to identify various committees are frequently used. These include:

AESC	Agricultural Equipment Statistics Committee
ASC	Aggregate Statistics Committee
AWP	Aerial Work Platforms
BAEBRM	Road Machinery Statistical Committee
CECE	Committee for European Construction Equipment
CNPV	Concrete Paver Bureau
CPB	Contractor Pump Bureau
CSC	Crane Statistics Committee
CWE	Commercial Worksite Equipment Statistics Committee
DFP	Dairy Farm Products
DB	Drill Bureau

ISC	Intercontinental Statistics Committee
FEE	Forestry, Earthmoving, & Excavator Statistics Committee
GNSC	Generator Statistics Committee
JCEMA	Japan Construction Equipment Manufacturers Association
KOCEMA	Korea Construction Equipment Manufacturers Association
LTR	Light Tower Statistics Committee
MBMB	Mounted Breakers Manufacturers Bureau
MEWPC	Manufacturers of Elevating Work Platforms
SEC	Statistics Executive Committee
PACB	Portable Air Compressor Bureau
PMAC	Parts Marketing Analysis Committee
PTMB	Pneumatic Tool Manufacturers Bureau
SMI	Masonry & Concrete Saw Manufacturers Institute

Committee officers – the chairman and vice-chairman of a committee

Company – A company that participates in AEM reporting programs. May be an AEM member company or a non-member program participant; a parent or subsidiary; sometimes a distinct reporting location within a company.

IPC – the information processing company, i.e. Hargrove & Associates (HAI).

Member – A company that participates in reporting programs and is an AEM member. See also company or reporter

Non-member – A company that participates in reporting programs but is NOT an AEM member. See also company or reporter

OCR – Official company representative to AEM

Participant – see company or reporter

Product Segments - Groupings of committees and/or product lines having similar interests, applications, product lines, constituencies, etc

Reporter – an individual company or reporting entity within a company or the person doing the reporting on behalf of a company

Representative – A company's appointed representative to a committee

Size class – a statistical data grouping within a product category; often a measurable range of values, such as a range of engine horsepower or operating weights; sometimes a general classification of product, such as folding versus non-folding.

Staff – any member of the AEM Statistics Department staff or other AEM staff as so noted.

SECTION I-C: ANTI-TRUST CONSIDERATIONS & GUIDELINES

As a trade association, AEM is subject to both federal and state antitrust laws. As a matter of law, a trade association and its members stand in the same position under the antitrust laws as any other group of persons or firms. Thus, the legality of association activities is judged by the same standards as are applied to other entities.

AEM recognizes the need to be constantly vigilant to assure full compliance in all respects with the antitrust laws and in furtherance thereof hereby endorses the basic principles contained in this guide for members and staff of the Association.

The purpose of the antitrust laws is to preserve a competitive economy in which free enterprise can flourish. The Association's long insistence upon full compliance with all legal requirements in the antitrust field is based not only on a desire to stay within the bounds of the law, but also on the Association's conviction that the preservation of a free competitive economy is essential to the welfare of the Association, the industry it represents, and the nation.

The following policy statements regarding anti-trust considerations and guidelines are published in the AEM Bylaws.

ANTI-TRUST CONSIDERATIONS

This statement is intended to codify the Association's existing policy and to provide guidelines for compliance with the law.

The Association unequivocally supports the policy of competition served by the antitrust laws and reaffirms its uncompromising intent to comply strictly in all respects with those laws.

It is the responsibility of every member and staff person of AEM to be guided by AEM policy of strict compliance with the antitrust laws in all AEM activities. It shall be the special responsibility of Association officers, Bureaus, Council and Committee Chairmen to insure that this policy is known and adhered to in the course of activities pursued under their leadership.

To assist the staff and all officers, Bureaus, Council and Committee Chairmen in recognizing situations which may raise the appearance of an antitrust problem, the Association shall furnish to each of such persons a copy of this antitrust guide for AEM Members and Staff and will make available general legal counsel when questions arise as to the manner in which the antitrust laws may apply to the activities of AEM or any Bureau, Council or committee of AEM.

ANTI-TRUST GUIDELINES

MEMBERSHIP

1. Any firm meeting the requirements of membership as set forth in the Bylaws shall be admitted to membership in AEM on a non-discriminatory basis.
2. Participation in any and all Association activities by a member company is wholly voluntary.
3. No member of the Association shall have authority to represent that he is communicating on behalf of and as an official representative of the Association without prior approval of the Association.

MEETINGS

1. All Association meetings shall be regularly scheduled, and attended by AEM staff. Secret or "rump" meetings shall be strictly avoided.
2. In conducting AEM meetings, the Chairman thereof shall follow a formal agenda which shall be reviewed in advance by legal counsel.
3. Minutes of all meetings shall be kept by a designated party who shall accurately record what actions were taken at the meeting. Minutes of all meetings shall be approved by the Chairman and legal counsel and shall be submitted to the group for approval at its next meeting.
4. Legal counsel shall be present at all meetings of the Association's Board of Directors and at any other meeting at which sensitive issues may be discussed.
5. In informal or social discussions at the site of a AEM meeting, which are beyond the control of its officers and chairmen, all members and staff are expected to observe the same standards of personal conduct required of the Association in its compliance with these antitrust guidelines.

TOPICS OF DISCUSSION

1. AEM activities or communications shall include discussion or action on matters of interest to the industry.
2. No AEM activity or communication shall include any discussion or action, for any purposes or in any fashion, of prices or pricing methods, production quotas or other limitations on production or sales.
3. No AEM activity or communication shall include discussion or action which might be construed as an attempt to prevent any person or entity from gaining access to any customer, goods or services, to boycott any person or entity, or to prevent any person or entity from purchasing goods or services freely in the market.
4. No AEM activity or communication shall include discussion or action which might be construed as an agreement or understanding to refrain from purchasing materials, equipment, services or other supplies from any supplier.
5. No AEM activity or communication shall include any other discussion or action which would tend to restrict competition in any manner between members or within the industry.

GENERAL OPERATING PROCEDURES

1. Guest speakers at Association functions and authors of Association materials shall be informed of the need to comply with Association antitrust guidelines in the preparation and presentation of matters to the membership.
2. Handouts at meetings conducted by the Association and, when possible, outlines or texts of presentations, shall be reviewed whenever practical by staff and when appropriate by legal counsel in advance.
3. In making this guide available to Association members, AEM intends it to serve as a practical aid to members and staff in dealing with the antitrust laws which have particular application to Association activities. The guide is by no means an attempt to provide a detailed analysis of the antitrust laws or as a substitute for individual legal advice in handling specific matters.
4. Just as membership and participation in AEM activities is a good investment for members, so too is an effective antitrust compliance program a good investment for the members of the Association.

SECTION II - OPERATIONAL ORGANIZATION

SECTION II-A: STATISTICS EXECUTIVE COMMITTEE

On January 1, 2003, AEM adopted its Constitution and Bylaws. Article X, reprinted here from those Bylaws, establishes the Statistics Council as a function council to provide related services to members. Pursuant to Article X, the STATISTICS EXECUTIVE COMMITTEE (SEC) has been established by the membership and approved by the Board to function as the executive committee of the Statistics Council, reporting to the Board.

ARTICLE X Councils, Bureaus, and Committees

Section 1. Function or product councils, bureaus, or committees may be created in the organization following Board approval. The Board will establish standing Board-level committees and task forces as needed for such areas as membership, government affairs, trade shows, finance, long-range planning, and the annual conference.

Section 2. Eligibility. To be eligible for participation in a function or product council, bureau, or committee, a company must manufacture one or more products included within the designated area of interest. Furthermore, to be eligible for participation, a company must be engaged in the relevant discipline or activity on an ongoing basis.

Function councils are operated to provide services to members that cut across all product areas and interests. Job related councils operate along the lines of the areas of responsibility of member representatives.

Section 3. Executive Committees and Officers. A member who is a qualified participant in a product group is eligible to serve as a Chairman or on the Executive Committee of that group. Any member representative who qualifies to participate in a council (i.e. Parts, Service, Training, Safety, Marketing Communications, and International) is eligible to serve as a Chairman and on the Executive Committee of that council. Function councils serving such service areas as statistics, international marketing, and technical services will have Chairmen, Vice Chairmen, and Executive Committees, which will report to the Board.

SECTION II-B: STATISTICS EXECUTIVE COMMITTEE

II-B-1. ORGANIZATION

1. The SEC will consist of the following:
 - a. The 8 largest statistics system users, based on input records, with the representative to be appointed by the company.
 - b. A representative from each active Product Segment with each segment determining its representative for a one-year term. There are no limits on the number of terms a representative may serve.
 1. Road Machinery
 2. Ag Equipment and Dairy Farm Products
 3. Commercial Worksite Equipment and Forestry, Earthmoving, & Excavators
 4. Lifting
 5. Parts
 6. Aggregates
 7. Light Equipment
 8. Aerial Work Platforms
 9. Power Systems and Energy
 - c. 5 at-large members.
 - d. The Chairman of the Main Statistical Committee of CECE is an ex officio member of the SEC and may only vote on issues involving CECE.
2. The SEC will elect a Chairman and a Vice Chairman annually, usually at the last meeting of the year. The Vice Chairmanship is not considered an automatic succession position to the Chairmanship.
3. Membership selection process:
 - a. The 8 largest system users will be determined annually by AEM staff and announced in advance of the last regularly scheduled SEC meeting of the year.
 - b. The Product Segment groups will elect a representative annually, subsequent to the announcement of the 8 automatic seats.
 - c. The five at-large members will be appointed by a nominating committee consisting of the newly elected SEC Chair and Vice Chair, the immediate past SEC Chair and Vice Chair, and an AEM staff person. If

there is no immediate past Chair or Vice Chair on the committee, those positions on the nominating committee may be filled by current SEC members recommended by the Chair, Vice Chair and AEM staff.

4. Terms of office:
 - a. SEC membership and officer terms begin on January 1, except when filling vacated positions, which will take effect upon succession.
 - b. Each Product Segment group representative serves a one-year term. There are no limits on the number of terms.
 - c. At-large members serve one-year terms. There are no limits on the number of terms.
 - d. The Chairman and Vice Chairman serve one-year terms. They may stand for re-election, but are limited to no more than 3 consecutive terms in that capacity.

5. SEC membership qualifications:
 - a. No parent company may have more than one SEC representative. The only exception would be the ex officio CECE representative.
 - b. The SEC Chairman cannot simultaneously be the Chairman or Vice Chairman of another statistics committee.
 - c. It is recommended that persons serving in the elected and appointed positions have at least one year of experience as a company representative to a committee, with a high level of performance and leadership skills. It is preferred the persons being elected as chairman and vice chairman of the SEC have at least one year of experience on the SEC.
 - d. SEC meeting attendance is essential. A candidate should make a firm commitment before election or appointment and be expected to attend at least the majority of the meetings.
 1. Should a Product Segment representative not be able to attend, the elected representative must select an alternative representative from that Product Segment, and that person will have voting responsibilities.

2. Automatic seats must appoint a substitute from their company if the designated representative is unable to attend, and that person will have voting responsibilities.
 3. If at-large members are unable to attend, any substitute representative will not have voting privileges.
 - e. SEC meetings are open to any representative who wishes to attend on his/her own initiative or at the request of the Chairman. The only exception would be during time periods when a rare executive session is declared by the chairman to address a sensitive issue. Such attendees may participate in the meeting at the discretion of the chairman, but have no vote.
6. Quorum: A quorum is defined as 51% of the SEC membership for holding an official meeting and for approval of business before the Committee.
 7. Operating guidelines enumerated in the Statistics Committees and Bureaus section apply to the SEC unless otherwise noted.
 8. Nomination and Election Process: The nomination and election process for the Chairman, Vice Chairman, and Product Segment positions will be as follows:
 - a. Members will be given the opportunity to submit nominations by mail or electronic transmission prior to the time of the vote.
 - b. If the voting is to take place during a meeting, members will be provided the opportunity to nominate candidates during the meeting. At the discretion of the Chairman or other presiding officer, voting may be by verbal response, written ballot, or show of hands.
 - c. If voting is not to be conducted at a meeting, it may be conducted by mail or electronic ballot. Votes are to be submitted to the designated AEM staff or legal counsel as directed by the Chairman or presiding officer.
 - d. A majority of votes cast is required for election. If no nominee receives a majority, a run-off election of the 2 highest vote recipients will be held until a majority is achieved.
 - e. When electing the Chair and Vice Chair, the Chair will be elected first. Candidates for the Chair position will automatically be nominated for the Vice Chair office.

SECTION II-B-2: RESPONSIBILITIES:

In addition to the responsibilities enumerated herein, many of the ones listed in the Statistics Committees and Bureaus section are applicable to the SEC. Generally the exceptions are those that deal with product specific responsibilities, proposals, etc.

SEC Responsibilities:

1. Ensure that the actions, programs, and activities of the Statistics Council are consistent with the policies and determinations of AEM and the Board.
2. The SEC will resolve any conflicts in the relationship of product reporting versus committee. If companies petition the SEC to establish a new committee, the SEC will review and guide the group in organizing a committee or determine it best fits in an existing committee.
3. Guidance and direction for the individual committees. Act as final authority on disputed issues at the committee level.
4. Define the structure of the Product Segments and how they relate to mandatory reporting requirements and SEC membership.
5. Provide strategic planning and direction on the future of statistical activities to the committees, staff, IPC and Board.
6. System and statistics program improvements.
 - a. Identification of potential improvements.
 - b. Review of new programs and changes to existing programs.
 - c. Prioritize development as necessary.
 - d. Review and approval of proposals for revising system operation, architecture, and major components.
7. Oversight of the IPC including service provider agreement review (operations).
8. Budget review and recommendations: meetings and service agreement (financial).
9. Oversight and resolution of data integrity issues.
10. Monitor and update the AEM Statistics Policy and Procedures Manual.
 - a. Form a Policy and Procedures Review Subcommittee.

- b. Review and approve or decline changes presented by the subcommittee.
11. Marketing, promotion, and education related to statistics programs.
 12. Maintain liaison as appropriate with governmental and industry associations, i.e. Intercontinental Statistical Committee, CECE, etc.

Chairman's Responsibilities:

1. Call meetings of the SEC.
2. Preside at the meetings.
3. Coordinate with staff the preparation of Statistics Council reports for the AEM Board.
4. Appoint and oversee such subcommittees of the SEC as deemed appropriate.

Vice Chairman's Responsibilities:

1. Act in place of the Chairman in his/her absence or inability to function.
2. Chair the Policy and Procedures Manual Review Subcommittee.
 - a. Appoint up to 3 subcommittee members from the SEC.
 - b. Review and act upon requests to change the Statistics Council Policy and Procedure manual from committees or company representatives.
 - c. Review specific committee policy and procedure variations drafted and approved at the committee level.
 - d. Review the manual annually, draft, and recommend changes to keep it current.
 - e. Present recommendations for changes to be made or requests that should be declined to the SEC.
 - f. Coordinate maintenance of the manual with staff, assuring publication of the updated manual by publication on the web within 30 days.

SECTION II-C: STATISTICS COMMITTEES AND BUREAUS

SECTION II-C-1: ORGANIZATION

Statistics committees in AEM are organized by sets of related product lines as well as by the mix of companies involved in the market and commonality of interests. No committee may report a product already the responsibility of another committee. The SEC will resolve any conflicts in the relationship of product reporting versus committee. If companies wish to start new programs for a unique line of products and they believe a new committee should be established, they would petition the SEC.

1. Company representation.
 - a. Each company participating in a program is a member of the committee responsible for that program and shall appoint a person to represent it on the committee. An alternate representative is to be appointed to serve in case of the unavoidable absence of the regular representative.
 - b. Each company representative shall be qualified to present the company's position on meeting agenda items that are pertinent to its product line(s) and to make appropriate decisions regarding these items at the committee meetings.
2. Each committee will elect a Chairman and a Vice Chairman
 - a. Committee AEM members elect officers, usually at the last meeting of the year. Elections may also be conducted by mail or electronic ballot.
 - b. Candidates for committee offices must represent an AEM member company in good standing; it is recommended that officers have represented their company on the committee for at least one year and have a good committee attendance and performance record.
 - c. The Vice Chairmanship is not considered an automatic succession position to the Chairmanship.
 - d. Officer terms begin on January 1, except when filling vacated positions, which will take effect upon succession.
 - e. The officers serve terms as defined by their respective committee as listed in Appendix J.
3. Nomination and election process for Officers:
 - a. Members will be given the opportunity to submit nominations by mail or electronic transmission prior to the time of the vote.
 - b. If the voting is to take place during a meeting, members will be provided the opportunity to nominate candidates during the meeting. At the discretion of the Chairman or other presiding officer, voting may be by verbal response, written ballot, or show of hands.

- c. If voting is not to be conducted at a meeting, it may be conducted by mail or electronic ballot. Votes are to be submitted to the designated AEM staff or legal counsel as directed by the Chairman or presiding officer.
- d. A majority of votes cast is required for election. If no nominee receives a majority, a run-off election of the 2 highest vote recipients will be held until a majority is achieved.
- e. The Chair will be elected first. Candidates for the Chair position will automatically be nominated for the Vice Chair office.

4. Product specialists:

- a. Each product included in a program shall have a person designated as product specialist.
- b. A committee chairman may appoint product specialists from the committee membership or the role may be delegated to AEM staff at the discretion of the committee and senior staff.
- c. A product specialist is responsible for monitoring the statistics programs related to their assigned products, including the review of model charts for their assigned products and that participating companies report all their products in their proper categories.
- d. The qualifications to become a Product Specialist include:
 - 1. Membership in the committee.
 - 2. Represent a company that reports the products that are assigned.
 - 3. Assignment to a specific product(s) by the Committee Chairman.
 - 4. Have Internet access with no firewall issues.
 - 5. Have a user ID and password for the secure Internet sites.
 - 6. Have an e-mail address and check e-mail at least daily.
 - 7. Have knowledge of the products to which they are assigned

SECTION II-C-2: OPERATING GUIDELINES

Each committee will conduct its business in accordance with the following guidelines. Most of the practices also apply to the SEC, with the exception of specific product and report references.

1. A quorum of participating companies must be present at each meeting in order to make overall committee decisions. Each committee shall define what constitutes a quorum for its committee. The staff person serving the committee shall determine if a quorum is present and record such in the minutes. If a quorum is not present, business matters can be discussed, but no decisions can be made except product specific issues where attendance meets product specific requirements. It is permissible to take a vote of members present with follow-up ballot of those absent to reach a decision. The quorum requirements for each committee are listed in appendix A.
2. Each committee shall decide what percentage of companies participating in a product program can approve product specific decisions. Committees should attempt to achieve a unanimous vote. The requirements to approve a product specific motion for each committee are listed in appendix A. Product specific decisions can be made at committee meetings or at meetings of only those companies participating in the product specific program.
3. Although normal practice is to meet once or twice a year, each committee may schedule the number of meetings it believes necessary to conduct its business. Each committee should inform staff of its schedule well ahead of time so that a staff representative can be present.
4. Committee members will be informed of the meeting time and place 30 to 60 days ahead of the meeting so they can plan their attendance. A second announcement and meeting agenda will be available to all committee members 30 days ahead of the meeting.
5. Issues requiring a vote at a committee meeting should be clearly specified on the agenda so that company representatives can discuss the issues with their company management.
6. Major decisions to be made at a scheduled meeting include, but are not limited to, the addition, expansion, contraction, or deletion of reports. Major decisions require the following procedural safeguards:
 - a. A formal motion, second, and vote on the issue.
 - b. If attendance sufficient to meet the passage requirements is not present, a follow-up ballot will be sent to those absent for timely completion.
 - c. All committee decisions affecting policy are subject to review and approval by the SEC to ensure consistency and compliance.

7. Decisions made outside of a regularly scheduled committee meeting will be conducted by mail, electronic ballot, or voice vote on a conference call.
8. Proposed new programs and proposed changes to any statistics program should be presented to the committee at a fall meeting of the committee and voted upon at a spring meeting for implementation beginning January the following year. Late passage of proposals may result in delayed implementation and/or increased cost.
9. In considering adoption of proposed new programs or changes to existing programs, the committee will consider whether participating companies have the capability to comply with the proposals.
10. Questions in regard to input data or system operation are to be directed to the IPC.
11. Questions concerning the consolidated industry data should be directed to the IPC or AEM staff as appropriate.
12. All questions in regard to the policies of the statistics programs should be directed to AEM staff.
13. There will be no audio or video recording of the proceedings of the meetings of either the SEC, any of the committees, any task group, or subcommittee.
14. No meeting of the SEC, any committee, any task group, or subcommittee may be conducted without an AEM staff person present.
15. Meeting minutes must be taken for each meeting of the SEC, committees, task groups, or subcommittees. Meeting minutes generally should consist of a short and concise record of actions taken at the meeting, and should not reflect the author's editorial comments or other content regarding statements made or actions taken outside the meeting in question. The procedure for taking and processing meeting minutes is as follows:
 - a. Draft meeting minutes must be prepared by an AEM staff member acting as recording secretary.
 - b. The draft minutes are then reviewed by any other AEM staff members present at the meeting.
 - c. Legal counsel conducts a review following the staff review of the meeting minutes of the SEC and any other meetings deemed appropriate for legal review by AEM senior staff or the Chairman of the SEC.

- d. The draft minutes are then sent to the appropriate Chairman and Vice-Chairman for approval.
 - e. The Chairman and Vice-Chairman will inform staff of their approval or their proposed changes.
 - f. In the event of changes proposed by the Chairman and/or Vice-Chairman, staff will decide if the proposed changes are of a substantive nature and merit further review by legal counsel.
 - g. Following approval by the Chairman and Vice-Chairman, the draft minutes, labeled “unconfirmed”, are posted on the AEM website for access by the committee members.
 - h. Committee members may propose specific amendments to the unconfirmed minutes any time up to the time of the next meeting, when there is a call on the agenda to approve the minutes. Proposed amendments should be forwarded to AEM staff, who will post them on the AEM website along with the unconfirmed minutes.
 - i. At the next meeting of the SEC, committee, subcommittee, or task group, the unconfirmed meeting minutes and any proposed amendments are discussed and voted upon. Upon approval, they become an official record of that meeting.
16. Each committee shall appoint a representative to provide liaison with the Policy and Procedures Review Committee of the SEC.
17. Meetings will be conducted according to *Robert's Rules of Order*. AEM staff shall ensure that the rules are followed.

SECTION II-C-3: RESPONSIBILITIES

Chairman's Responsibilities:

1. Call meetings of the committee and oversee meeting preparations through staff or personal involvement.
 - a. Prepare jointly with staff the agenda for future meetings.
 - b. Consult with staff on various aspects of the meeting, which may include hotel, meeting room arrangements, breaks, meals, refreshments, visual aids, and the fee to be charged to participants, if applicable.
 - c. Promote upcoming meetings among the committee members and encourage their attendance.
2. Preside at the meetings and oversee the general function of the committee.
 - a. Confirm with staff, upon arrival at a meeting site, that all meeting arrangements are in proper order.
 - b. Recognize first time attendees and encourage them to meet other committee members and become involved in committee activities.
 - c. Keep the committee focused on business items at all times.
3. Follow-up on meeting results with staff and IPC.
 - a. Summarize with the Vice Chairman and staff at the end of each meeting, the agreed upon actions on significant items and the person responsible for such actions.
 - b. Following each committee meeting, meet with staff, the IPC, and the Vice Chairman and SEC Chairman, if available, to discuss and confirm what needs to be done, who does it, and appropriate time frames.
 - c. Review and approve meeting minutes promptly within 6 business days when received from staff. If the draft is not received from staff within two weeks of the meeting, contact staff and ask when the minutes will be received so they can be posted for committee members within the thirty-day schedule.
4. Appoint such subcommittees as deemed appropriate.

5. Follow up with subcommittee chairmen and other committee members with assignments on the progress of their assignments.
6. Review on a regular basis the various control reports in the system including the status report, reporter logs, audit status report, model chart annual startup tracking report, etc., and confer with staff regarding any required actions.
7. Call for nominations for committee officer elections when required.
8. Appoint product line specialists who are responsible for monitoring the statistics program in terms of products, models, and participants related to their product(s).

Vice-Chairman's Responsibilities:

1. Act in place of the Chairman in his/her absence or inability to function.
2. Review the meeting minutes promptly when received from staff. Inform the committee chairman and staff of any changes or approval.
3. Maintain a summary of important decisions made during the meeting. Review with the Chairman and/or participate in discussions following the meeting with staff and the IPC on the work to be done as a result of the decisions made.
4. Serve the committee in other capacities as directed by the committee Chairman.

Committee Member Responsibilities

1. Submit all company input data no later than the report deadline, preferably early. Be available to answer questions concerning the data, enabling the IPC to resolve issues without delaying the compilation of industry data.
2. Submit accurate data that are consistent with the rules of the programs.
3. Update all model information according to procedures, deadlines, and appropriate classifications.
4. Prepare requests to the committee for changes to existing programs or proposals for new programs using the form for this purpose as a guideline. These are to be provided to staff preferably by e-mail, with copies to the

Chairman, Vice Chairman, and product specialist, 30 days prior to the meeting so they may be made available to committee members in advance of the meeting, by posting on the website.

5. Attend meetings, usually one or two per year, of all the committees that include the products your company markets.
 - a. Be prepared to represent your company on issues listed on the agenda. It is expected that meeting preparation include a review of all agenda items and related documents with company management to agree on a company position on these issues.
 - b. Participate fully in the meeting by responding to committee issues, expressing your company's position, and stating your opinions and alternatives on various issues listed in the agenda.
 - c. Report to your company's management following each statistics committee meeting regarding the issues and proposals discussed and the accomplishments of the meeting.
6. Read and abide by the Policy and Procedure Manual.
7. Respond on time to all committee surveys, ballots, and other requests.
8. Should your company enter into the market for a new product line for which you will be reporting data, notify staff and supply product specifications in a timely manner to allow verification and setup procedures in time for reporting.
9. Notify staff and the IPC of any acquisitions, mergers, etc. that effect the parent/company structure, model chart considerations and possible disclosure, data access security, profile updates, and reporting responsibilities.
10. Become an active advocate in your company to report all data accurately and in accordance with the policies and procedures of the committee and the statistics program.
11. Become knowledgeable of your company's reporting procedures to the IPC if you are not responsible for this function in your company. This will enable you to discuss reporting issues at meetings and take the results of the discussions back to your company.
12. Become knowledgeable of your company's products and models in order to discuss and act upon the discussion of proposals and other reporting issues.

13. Complete all procedures involved with the annual model chart review and program start-up (in the November to January time frame) and sign-off that you have complied with all the requirements.

Product Specialists' Responsibilities:

1. Attend the meetings of the committee.
2. Review model charts for the products assigned to ensure that there is no disclosure of individual company data.
3. Ensure that the model charts are current for all reporting companies.
4. Review the models of new/current reporters to ensure that these models are reported in the correct product line and class.
5. Assist, when needed, in the development of proposals for product changes.
6. Maintain and/or create product definitions for the assigned products.
7. Complete the review and start-up process by the deadlines assigned. This process starts in mid-December and is completed in January, depending upon company completion.

SECTION II-D: AEM STAFF

The primary responsibilities of AEM and the Statistics Department staff include, but are not limited, to the following:

1. Providing appropriate staff and resources to administer the AEM statistics programs according to the approved Policies and Procedures of the association, and the rules of the various programs, including:
 - a. Monitoring conformance by participating companies
 - b. Identifying policy and rules conformance concerns
 - c. Developing plans to address conformance concerns
 - d. Providing orientation sessions/information for new reporters

2. Liaison with the IPC for contractual, operational and financial matters, such as:
 - a. Budgets, contracts and scope of work documents.
 - b. Review of IPC compliance with policies and procedures, security guidelines, and IPC systems improvement proposals.
 - c. Implementation of new programs and revisions to existing programs
 - d. Direction on the distribution of data (who gets what).
 - e. Being the primary contact with the IPC regarding company questions on policy and procedure matters.
 - f. Notification of new participants into any program(s), including all relevant contact information.
 - g. Notification of companies withdrawing from programs.

3. Working with the committees on the design, implementation and on-going operations of the programs.
 - a. Coordinate with IPC to prepare, by 1 October, a document identifying all reporting changes in statistics programs for the following year as approved by the committees, and distributing the document to the IPC and program participants.
 - b. Monitoring Model Charts, including consultation with Product Line Specialists and the IPC, to help assure non-disclosure.
 - c. Development and delivery of orientation sessions for representatives of new participants and new reporters of current participants.
 - d. Administering the public release and/or sale of the farm equipment Flash Report and North American Model charts.
 - e. Subscribing to the standard listings for geographical codes of US states and counties; Canadian provinces, counties and census sub-divisions; and countries of the world; and make such information available to the IPC and participants.

4. Providing legal counsel, as appropriate, to review proposed programs, agendas, minutes, policy and procedure manuals, and any other business of the committees.
5. Coordinating statistics meetings, projects and events by:
 - a. Making and communicating arrangements regarding meeting dates, locations, and times.
 - b. Distributing meeting announcements, agendas and other related materials at least thirty (30) days prior to the meeting.
 - c. Notifying participants to submit proposals in writing to staff at least thirty (30) days prior to the meeting for posting on the website so committee members can study them and be prepared to respond.
 - d. Prior to the meeting, confirm with those committee members who are to present or lead discussion in the meeting that they plan to attend and are prepared.
 - e. Recording minutes of each meeting for review as prudent by legal counsel, providing draft copies to the chairman and distributing completed minutes within thirty (30) days following the meeting.
6. Supporting the interests of the committees by:
 - a. Providing appropriate access to the AEM Board, product groups, and other entities within the association to facilitate communication on statistical matters.
 - b. Communicating with the AEM President and the SEC on matters of budget, policy, legal concerns, and special projects administration.
 - c. Recruitment of new participants, either current or prospective AEM members that will further improve the quality of statistics being collected and distributed.
 - d. Advising the SEC on member needs for changes in statistics and statistical services.
 - e. Using the SEC as a resource to resolve issues regarding the use of statistics about the industry, including information published by other organizations such as the U.S. Government or other private statistics groups.
 - f. Managing the statistics related information on the AEM website, including complete and current committee rosters.
 - g. Representing AEM in activities of the Intercontinental Statistical Committee (ISC.)
 - h. Providing liaison as appropriate with National Association of Manufacturers (NAM), and various governmental agencies.

SECTION II–E: INFORMATION PROCESSING COMPANY

The fundamental responsibilities of the IPC include developing, maintaining, and operating the AEM system and databases and the performance of other services per the AEM contract and the annual Scope of Work document. Specific IPC responsibilities of which participating companies should be aware include the following:

1. Providing data acquisition, processing, and dissemination services:
 - a. Processing and making available, per committee specifications, the industry output information (including all revisions) within three working days after receiving the last company's correct input data.
 - b. Make available flash reports to all reporters within one day of receipt of the latest correct data input.
 - c. Provide the ability to maintain all model charts, including updates and printing capability, on the AEM system.
 - d. Providing data processing services and associated software support to enable input and transfer of data between the companies and the IPC.

2. Providing database / data warehouse services:
 - a. Maintaining individual company data in the AEM databases indefinitely unless otherwise directed in writing by the individual company, subject to a minimum retention of 24 months plus the current year.
 - b. Maintaining industry data, model charts, and support/control tables in the databases indefinitely.
 - c. Develop and maintain internal coding/control mechanisms for items such as products and sizes, companies and parents, etc. necessary for processing and presenting data and provide the means to export these tables for participant use.
 - d. Incorporate into the database and software the uniform geographic coding system and updates provided by AEM for countries, states, provinces, counties and sub-counties.

3. Providing coordination, quality, and data integrity facilities:
 - a. Contacting, as needed, participating companies to help ensure reports are submitted accurately and on-time. The IPC will contact late reporters and request assistance from AEM staff as needed to maintain the processing schedule.
 - b. Maintaining online status reports to provide visibility of reporting and audit activities.
 - c. Administering data audits per the approved audit procedure.

- d. Conduct AEM system training, normally via teleconference, for reporters from new participating companies, and new reporters from existing reporting companies.
- e. Conducting and posting the results of an applicable committee's annual Reporting Procedures Survey among all program participants via the Internet.
- f. Consulting with participating companies regarding the gathering and transmitting of input data, and the processing and publishing of output data.
- g. Produce reporter's logs and report cards for committees requiring them.
- h. To maintain and provide AEM access to the names and contact information of all persons at participating companies who create, transmit and have access to data.

4. Security, privacy, backup, and recovery:

- a. Taking precautions to prevent disclosure of any company data. Only those IPC staff with a need-to-know will have access to individual company data. The IPC shall not share or disclose any data to any persons or entities other than authorized AEM staff and authorized participating company representatives. Inappropriate disclosure of company or industry data will result in immediate and severe consequences that may include termination.
- b. To contact reporters when a company has a product(s) or model(s) for which no data have been reported for the last twelve (12) months and suggest the company end-date the model(s). If end-dating is not carried out, notify AEM staff for further follow-up with the company.
- c. Make provisions to ensure that all electronic data transfer (input and output) is performed in a secure, encrypted environment that is protected from interception.
- d. Employ a firewall to prevent unnecessary access and malicious attacks from Internet hackers to the IPC network. Access to servers and some portion of the AEM system website are password encrypted, with no record of passwords kept after delivery.
- e. Providing continual updates of virus protection software.
- f. Maintaining a security system to prevent unauthorized entry and theft of data, and daily backup and storage of the database information at an off-site location.
- g. To destroy, by shredding, all individual company paper input data six (6) months after publication.
- h. The IPC will assign individual UserNames, User Credentials and Passwords to authorized AEM participants. The IPC will authorize the first two (2) User Credentials; member companies requiring additional Passwords, will need to purchase them directly from the IPC. The IPC will monitor use of these accounts to deter sharing of UserNames. The IPC will maintain a system allowing and requiring regular changes in passwords

by the participants and algorithms to help insure strong, unpredictable passwords. The IPC will respond immediately to deactivate User Credentials instructed by companies or AEM.

5. The IPC may not consult with any company for marketing or strategic analysis or interpretation of data where the IPC's knowledge of industry data would create potential conflict of interest.

SECTION III - COMPANY PARTICIPATION

SECTION III-A: REQUIREMENTS FOR COMPANY PARTICIPATION

All companies participating in AEM statistics programs must understand and meet the following basic requirements, and must comply with all other policies and procedures contained in this Manual.

1. Participation in AEM statistics programs is voluntary.
2. Companies that are engaged in the manufacture and/or distribution of machinery or equipment and meet the requirements of the specific programs in which they wish to participate must be admitted to the programs, provided that they agree in writing to comply with the program rules, pay any required fees, and participate in all programs within a Product Segment (see # 4 below) for which they have products.
3. Data must be reported by or on behalf of all participants for all models and product lines that are manufactured by them, or on their behalf, for all programs that are included in any statistics Product Segment in which they participate. A company (parent and all affiliates) may choose to participate in one product segment, but not another.
 - a. For North American programs, companies must report all activity/data from all worldwide sources including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangements to destinations in the United States and Canada.
 - b. For worldwide programs, companies must report all activity/data from all worldwide sources including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangements, to all destinations in the world.
 - c. Participation in any North American programs requires participation in any corresponding international statistics program for those products.
4. Product Segments are defined by the SEC. They consist of groupings of committees and/or product lines having similar interests, applications, product lines, constituencies, etc. The Product Segments are:
 - a. Road Machinery
 - b. Aerial Work Platforms
 - c. Ag Equipment, Dairy Farm Products, and Farmstead Equipment

- d. Commercial Worksite Equipment and Forestry, Earthmoving, & Excavators
- e. Lifting
- f. Parts (currently suspended)
- g. Aggregates
- h. Light Equipment
- i. Attachments
- j. Power and Energy Systems

Selective reporting (cherry picking) within a Product Segment is not permitted. An entity (Corporation, LLC, etc.) that participates in one or more product line programs within a Product Segment is required to participate in all product-line programs within that Product Segment in which the entity (and any other entity it controls, as defined below) is eligible to participate.

Entity A *controls* Entity B if A owns or controls, directly or indirectly, more than 50% of the total voting power of share of capital stock or other equity interest entitled to vote for B's board of directors or other members of B's governing body. If A does not control B, then A cannot be expected to require B to report its data within a Product Segment.

NOTE: If A and B are related (e.g. A owns a non-controlling interest in B, or A and B are sister companies owned by the same parent company) and B does not report its data, A is prohibited from sharing any of its AEM market data with B.

- 5. Each participating company must agree to abide by the spirit and the specifics of the policies and procedures contained in this manual, and to report company input on or before the program due dates. Early submission of data is encouraged.
- 6. The company must maintain adequate systems to properly comply with the requirements of the programs(s) in which it participates.
- 7. Companies must inform the AEM staff of the name, address, phone/fax numbers, and e-mail address of the person(s) who will represent the company on statistics matters and an alternate.
- 8. Companies must inform the IPC of the name, address, phone/fax numbers, and e-mail address of the person(s) who will submit company data and access the consolidated industry information and an alternate. Passwords issues by the IPC to reporters are unique, user specific and may not be shared within a company. When personnel changes occur, the AEM staff and IPC shall be informed immediately to avoid potential security exposure.
- 9. Participating companies and their personnel must treat AEM industry data as proprietary and confidential. These data are not to be divulged outside the participating companies, except to their authorized dealers/distributors. Company and dealer personnel should not have access to these data unless and until they

have been informed of this policy and have agreed to comply with it. If necessary to provide data to an outside organization such as a consultant, a written non-disclosure agreement should be required.

10. Participants who experience timeliness, data integrity, and/or compliance problems may be required to enter the Participant Assistance Program. Details of this program are listed in Section III-E of this Manual.
11. Program participants must respond completely and on-time to surveys and other requests for information as directed by AEM.

**SECTION III-B:
ADDITIONAL REQUIREMENTS FOR NEW COMPANY PARTICIPANTS**

Following are the additional requirements for new participants in the statistics programs. It is important they be informed of the requirements set forth here and in the preceding section and they agree to comply with such requirements prior to joining the program.

1. It is preferred that new participants enter a program at the beginning of a year, with the January data cycle. In order to do so and allow adequate time for orientation, system setup, model chart preparation, training, and any needed company process changes, their entry must be approved by November 1. They may enter a program during the year if approved by the committee, but must back-report data to the beginning of the year in the same detail and time periods as if they had started in January, at the risk of having their data for those periods disclosed to others in the program.
2. Complete an orientation program by AEM statistics staff prior to reporting any data. The orientation may be conducted at the company office, via teleconference, or in a group meeting, at the discretion of the AEM statistics staff based upon knowledge of the company, complexity of the program(s), and prior reporting experience, if any. Attendees should include, at a minimum, the person who will be the company statistics representative, the person who will report the company data and receive the industry output, and the company executive responsible for this activity. There is no charge for this session. The orientation will cover the following:
 - a. Information about AEM
 - b. Requirements of statistical program reporting
 - c. The data they will be required to collect and input
 - d. Statistical program policies and procedures
 - e. Information on the committees and how they work
 - f. Responsibilities of committee members (all participants)
3. At the orientation, sign an agreement:
 - a. Verifying that a duly authorized representative of the company has read and understands the reporting requirements of the statistics programs in which it will participate and can comply with them beginning with the first reporting period.
 - b. Acknowledging that the company may be subject to monetary penalty, suspension, or expulsion for failure to comply with these reporting requirements as outlined herein.
4. Prior to reporting any data, complete a training program conducted by the IPC on the use of the AEM system for updating model charts, reporting company input, and receiving industry output. Such training is normally via teleconference,

however if an on-site visit by the IPC is required, the company would be responsible for all travel expenses of the trainer. Alternatively the company may visit the IPC. AEM would pay the IPC fees for a full day of training.

SECTION III-C: MERGERS AND ACQUISITIONS

1. When a participant purchases a non-reporting company, or a product line of a non-reporting company, whose products qualify for inclusion in any Product Segment(s) in which the purchaser is reporting, the purchased company must start reporting or the purchaser must withdraw from the segment.
2. When a non-participating company purchases a participating company, and the non-participating company has products that qualify for the product segment(s) in which the purchased company reports, the non-participating purchaser's products must be reported or the purchased company must withdraw from participation in the segment.
3. When a participating company purchases another participating company and both report products in a product segment, it is expected that reporting will continue uninterrupted.
4. If one company in a merger/acquisition situation is a participant and one company is not a participant, in consideration of the purchasing company providing AEM staff a written commitment to initiate reporting as required, a reasonable amount of time will be allowed for the non-reporting company to prepare to participate, not to exceed the following:
 - a. If the purchase is completed in the first 8 months of a calendar year, the non-reporting company must report starting in January of the following year, unless an extension is requested and approved.
 - b. If the purchase is completed in the last 4 months of a calendar year, the non-reporting company must start reporting no later than the second January following the date of purchase.
 - c. If the required written commitment is not received by AEM staff within 45 days of the completed purchase date, the participating company will be excluded from further reporting.
5. Access to historical data:
 - a. Historical data for purchased reporting companies will be made available to the purchasing company, whether the purchaser is a reporting company or a non-reporting company, only if the company agrees in writing (see 4 above) to comply with the provisions of this Manual.

- b. Historical data is only available during the time for which the purchased company has been reporting into a particular program.

SECTION III-D: NON-MEMBER STATISTICS PARTICIPATION

All requirements set forth in section III apply to companies that are not AEM members, but participate in statistics programs. In addition, the following policies apply to the participation by non-members:

1. Companies may participate in statistics activities as a non-member upon payment of the appropriate non-member participation fee.
2. Non-member participants may only vote on issues relating to the products they report. They may not vote on any policy issues, committee officers, etc.
3. Representatives of non-member companies may not become a committee officer nor may they serve on the SEC. They may, at the committee's discretion, hold other committee posts such as product specialist.

SECTION III-E: ENFORCEMENT POLICIES

AEM staff is to make all statistics committee chairs/vice chairs aware of the following enforcement policies, noting they should compare the proposed standard to any existing policy of that particular committee. If a committee has an established policy, or if a committee without a policy wishes to create a unique one, it should be submitted to the SEC for review and inclusion as an appendix to this manual. For committees having no such existing policy and not wishing to create a new one, the following policy will apply.

AEM PARTICIPANT ASSISTANCE PROGRAM

AEM staff and the IPC will monitor statistics participant's performance. A company may be placed in the AEM assistance program based on any of the following criteria:

- a. Timeliness - the company is consistently late in reporting data.
 - b. Compliance - the company does not follow all standard committee rules and procedures.
 - c. Data integrity - the company is not supplying all of the proper, required data.
2. For companies reporting from more than one source, all involved representatives and the parent company are responsible for ensuring compliance with all reporting policies and procedures.

TIMELINESS

1. All companies who are late on flash and/or actual reporting of data four times during a rolling 12-month period move into the AEM *Timeliness Assistance* program.
2. The first year a company is in the Timeliness Assistance program, the statistical representative and the Official Company Representative (OCR) of the company will receive a letter from AEM senior management reinforcing the importance of timely reporting and encouraging the company to improve.
3. AEM staff will consult with the company, analyze the reasons for late reporting, and develop a compliance plan.
4. The company must agree in writing to the compliance plan. Failure to agree to the compliance plan could result in expulsion or suspension from the statistics program, as determined by the Statistics Executive Committee (SEC).

5. If the company is late four times during the next 12-month period, it must drop out of the program or post a *performance guarantee* of 25% of its annual AEM dues or \$5,000, whichever is smaller.
6. After posting the performance guarantee, if the company is not late four times during the next 12-month period, the performance guarantee will be returned to the company.
7. If the company is late four times during the next 12-month period after posting the performance guarantee, it will forfeit the guarantee and will be suspended from the statistics programs until the company can satisfy AEM statistics staff and the appropriate committee that it is capable of compliance.
8. If approved, the company may re-enter the statistics program by meeting the same requirements as a new participant.

If training on the AEM software is necessary at any time during the Timeliness Assistance program, AEM will pay ½ the professional fee for the trainer. The company will be responsible for the other half of the professional fee plus all travel costs for the trainer if training is done on-site.

COMPLIANCE

1. A company is moved into the *Compliance Assistance* program if it scores below 70% on the AEM annual report card, but has reported late less than four times during a 12-month period. (*Report card measurement criteria are attached in Appendix I.*)
2. The first year a company is in the Compliance Assistance program, the statistical reporter and the OCR of the company will receive a letter from AEM senior management reinforcing the importance of the statistics programs and encouraging the company to improve its score.
3. AEM staff will contact the company to assist the company in improving its score and consult with the company to develop a compliance plan.
4. The company must agree in writing to the compliance plan. Failure to agree to the compliance plan could result in expulsion or suspension from the statistics program, as determined by the SEC.
5. If the company scores below 70% in the year following its adoption of the compliance plan, it will have to post a *performance guarantee* of 25% of its annual AEM dues or \$5,000, whichever is smaller.

6. If the company raises its report card score above 70% during the year (12 months) after posting the performance guarantee, the performance guarantee will be returned to the company.
7. If the company does not raise its score above 70% during the next year (12 months) after posting the performance guarantee, it will forfeit the guarantee and will be suspended from the statistics programs until the company can satisfy AEM statistics staff and the appropriate committee that it is capable of compliance.
8. If approved, the company will re-enter the statistics program by meeting the same requirements as a new participant.
9. If training on the AEM software is necessary at any time during the Compliance Assistance program, AEM will pay ½ of the professional fee for the trainer. The company will be responsible for the other half of the professional fee plus all travel costs for the trainer if training is done on-site.

DATA INTEGRITY ISSUES

1. When it is determined that a company has data integrity issues, AEM staff will make a determination as to whether it should contact the company and develop a compliance plan.
2. The company must agree, in writing, to the compliance plan. Failure to agree to the compliance plan could result in expulsion or suspension from the statistics program, as determined by the SEC.
3. The IPC will notify AEM staff of any companies reporting zero (0) data for any product line or size class for a 12-month period, following which AEM staff will notify the committee covering the product line(s) involved. The committee will be asked to consider the circumstances, and the company reporting zero data *could* face possible expulsion or suspension from the statistics program or other sanctions. Prior to the imposition of any expulsion or suspension, the committee will make a recommendation for approval by the SEC.

Other data integrity issues that will be monitored include (but are not limited to) the following:

- a. Illogical data combinations
- b. Failure to report rental conversions if the company is reporting “first rentals”.
- c. Others - to be developed.

SECTION IV - REPORTING PROGRAMS

SECTION IV-A: PRODUCT REPORTING CRITERIA

To be eligible for reporting, each product must be distinguishable by the critical technical specifications of the product, as designated by the appropriate committee. Each committee will develop product definitions, reporting criteria, model charts, and other procedures to ensure accurate reporting.

It is common practice that the data pertaining to a product is reported by size class or other type category. Each product and size class must include the products of at least three distinct and separate companies to prevent disclosure. See “Disclosure Prevention” for details.

Products sold by a manufacturer on an OEM basis to another reporting company shall be reported by the marketing company and not the manufacturing company. The goal is to obtain accurate data and the marketing company should have the more direct link to the actual customer. If the manufacturer actually receives better timely data then an exception could be made, provided there is no double reporting. The policy regarding products sold on an OEM basis to a non-reporting company varies by committee or program from being reported as “special geography” to not being reported at all. Refer to the “OEM sales to non-participating companies” in Appendix E.

Statistics programs for new products or product groups may be created upon request by the participants involved. If the products seem to fit within the domain of an existing committee, the proposal should originate within that committee, with review by the Statistics Executive Committee. If there is reason to believe a new committee should be formed, then the proposal would be made directly to the SEC. A factor in the consideration of the request is that the proposed product group will not infringe on an existing program already organized for that product. The SEC will provide counsel to resolve if the product group should be made a part of an existing committee or be established on its own. For new product groups that are outside the current purview of AEM, the SEC will provide a recommendation to the AEM Board of Directors.

SECTION IV-B: DATA, REPORTS, ACTIVITIES, and PROFILES

The AEM reporting system was designed and developed with centralized databases at its core. These contain all of the company and industry statistical data, including model charts. Some of the database components serve as control tables that not only control many of the system's main functions, but also provide flexibility whereby the companies can choose variations or combinations of reports in addition to accessing the "standard" reports as approved by the committees. For example, the activities of first rental and new machine retail sales can be combined to form the value "first-in-the-dirt".

In the scheme of submitting company input and retrieving output, the term "report" is used to identify a unique combination of product, activity, frequency, and model chart as defined by the committee. An activity identifies an event that is tracked in the life of a machine, such as shipment, rental, or retail sale, or a state of a machine, such as being in dealer inventory. All reporting is based on model charts. In this context of defining a report, "model chart" distinguishes, for example, between the model charts for the North American market versus the one for the worldwide market. Codes and meanings are assigned by the IPC as needed and communicated to the reporters.

Reports may be added or deleted from time to time, or the details included can be expanded or contracted, as approved by the vote of the reporting companies with products involved in such reports. Companies will have access to reports covering all available details of the products they report. Policy regarding data distribution to non-reporting companies is determined by the members of the committee and/or participating product reporters involved.

One of the more important control mechanisms of the system is the profile. For each reporting entity there is an input (company) and an output (industry) profile. The input profile defines exactly what a company (reporter) is expected to input. Each entry defines a "report" (as explained above) and characteristics, such as what geography and what attributes are required. The output profile defines similar information pertaining to the consolidated industry data. The profiles can be viewed and analyzed thru the system and thereby provide a complete list of what is available to each company. The profiles provide a high degree of flexibility and can be tailored to each company. For example, a company may elect to input data by county even though an industry program is by state. This profile concept simplifies the addition, deletion, or modification of reports thereby reducing or eliminating application programming changes, while literally driving the system. Each company needs to verify their profiles, especially the committee approved changes, at the start of each year in coordination with the IPC.

SECTION IV-C: DATA REPORTING PROCESS

The standard method of reporting original data and revisions, for distribution of consolidated industry data, and for updating model charts is through the use of the AEM software on the Internet by the reporter. In special cases data may be transmitted by paper report for an additional fee. The software provides reporting companies access to model charts, consolidated industry data, and the company's reported data. As a secure web based system, online access can be granted to many users at a company's discretion.

Data Accuracy And Timeliness

To promote data accuracy and enhance value, each company will comply with the following data input requirements:

1. The due dates (see Appendix B) are the latest dates by which input data should be submitted, usually by 12:00 noon central time. Participants are strongly encouraged to submit their data as soon as accurate and complete data are available prior to the due date. In so doing, delays caused by errors or questionable data are sharply reduced, if not eliminated, and publication of industry data occurs earlier.
2. If at any time the reporter cannot meet the due date, it is his/her responsibility to inform the AEM staff and the IPC in advance and state the reason for the delay and the date when the data will be submitted.
3. The due dates and times for each general category of data and each committee are enumerated in the appendices to this manual. There are variations on the due date when it falls on Saturday, Sunday or holiday.
4. All data input will be prepared in conformance with the provisions of this manual, the input profile, and the system requirements.
5. All data will be based upon permanent company records and will not duplicate any previously reported data.
6. A company that has failed to submit its data on time will be contacted by the IPC. If satisfactory arrangements to report the data have not been made, AEM staff will contact appropriate senior management at the company to make satisfactory arrangements.
7. The IPC will maintain a status report on the Internet depicting the current status of data input, processing, and output publication. Information will be shown by product, model chart, and company reporting entity.

Input reports

The basic premise of the AEM system is one-time reporting of all information pertaining to a particular activity and chart, i.e. input report. For example, a retail sale transaction may be by county and contain customer type, first use, and dollar values. Some of these elements may be accessible in the consolidated data at different times and in different detail, such as some dollar values being released annually and summarized by country.

There is a primary exception to the one-time reporting premise: flash reports versus actuals.

Flash Report

A flash report normally includes retail sales activity or subsets, like 3-part reporting. It is regarded as the first, early estimate of retail sales activity for the United States and Canada, although companies are strongly encouraged to submit the actual numbers and many do so. If actual data have been entered, the system will allow the calculation of the flash input from the actuals. Flash input is normally due a few days before actuals with results published separately.

Actuals

Actuals are a comprehensive, complete reporting of data. These data are reported with all the detail required for a particular program, i.e., full geographic detail, final delivery, new retail, first rental, rental conversion, customer type, first use, dollar value, front wheel drive, etc.

Input data reporting requirements

Input data must be submitted to the IPC on or before the required date as described below:

1. Data may be entered via online entry or by importing a company created computer file according to IPC specs, or a combination thereof.
2. Most North American input data are submitted by model or further by serial number at company discretion. Exceptions to that norm would be data previously reported under different committee rules with input by size class. Similarly, worldwide data reporting may be by size class, serial number, or by model. To enter data by model, the model must have been previously entered into the appropriate model chart (see Model Chart Section). When a company enters data by size class, it must have a model in that size class, but there is no

link between the data and a valid model number. The input method is indicated in the input profile.

1. The AEM system provides the option of entering company data by serial number. This has often proven to enhance data quality, while allowing data to be input throughout the month, rather than aggregating totals at month-end. Data quality enhancement results from elimination of duplicate transactions for a machine and from other rules that can be employed, such as a machine cannot have a rental conversion that has not first been rented, nor can a machine be rented that has not been shipped.
2. The software performs various data quality checks as the data are entered and as the company approved data are submitted to the IPC. If problems are detected, error messages alert the reporter, who must correct the data before the system will proceed. Additional quality checks are performed by the IPC *after* input data are received from each and from all participants. The reporter is informed of any concerns or corrective actions required.
3. Every report must be submitted even if the total activity is zero.
4. Revisions to earlier reported months' data are transmitted at the same time as the data for the current month. (Procedures for reporting revisions follow.)
5. For a program requiring first-use, if the first-use of a machine is not known at the time of reporting, it can be reported as "not yet known" until it is known. The correct first-use for that product should be reported as soon as possible but within no more than 3 months. However the use of "not yet known" is strongly discouraged.

Publication by the Information Processing Company

No data will be published until 100% of each reporter's data within a product has been received, checked, and processed by the IPC. As industry data are completed for an individual product or groups of related products, publication may occur. Industry data will be released to all recipients of a product line/model chart at the same time, regardless of the form of distribution.

Method of Data Distribution

The AEM system on the Internet is the standard for data distribution. A statistics group may decide to have more than the standard method of distribution after consultation with the IPC, approval by the SEC, and the appropriate assessment of a fee for the additional form. The fee assessed should at least cover the cost to the IPC for providing the service. The committee, the IPC, and AEM staff may, for some low data volume statistics programs, decide on another standard form of distribution.

1. All companies that access data via the AEM system are simultaneously notified by e-mail when the consolidated data are available. Paper reports generated by the IPC are simultaneously shipped via UPS ground to reporters not using Internet data distribution.
2. The data distributed in a reporting cycle includes the last reported period data and any revisions to previous periods.
3. The software is designed to allow reporters to produce market share reports for their company as well as separate reports of industry or company data.
4. No company can access another company's data without permission of the company originally submitting the data.

Revisions

Revisions to previously reported data should be reported when known. The AEM software provides the means to report revisions. Each committee may establish policy with regard to the time period in which the revisions are to be registered on a consistent basis. The methods adopted by each committee are enumerated in the "Revision time periods" appendix. Either:

1. All revisions must be applied to the month when the unit(s) was originally reported, not the current reporting month. In this manner, a cancelled sales report is treated as if it never existed. Negative industry numbers or industry numbers exceeding a company total cannot exist at even the finest level of detail. This is prevented by audits within the system, or
2. Returns or repurchases must be applied to the current reporting period. This is consistent with the typical accounting view of the world. Negative industry numbers and industry totals exceeding company totals may exist, particularly at detail levels, or
3. Corrections to elements such as geography are to be applied to the month when originally reported.

Questions regarding data:

All questions regarding input data should be directed to the IPC. Questions concerning the consolidated industry data or regarding the policies of the statistics programs should be directed to the AEM staff.

SECTION IV-D: DATA DISTRIBUTION POLICY

Recipients

Each committee may determine the distribution policy for the consolidated industry data of that particular group. At a minimum, all participants can receive all the data for the products they reported. In a few instances an exception is made to restrict access to the size classes within a product in which the company reports. Whether companies are eligible to receive any data for products they do not report and any limitations on the amount of detail available to them is to be determined by the committee. In some instances the rules can vary by sets of products. The distribution policy *exceptions* are enumerated in the “Data distribution to non-participating companies” appendix.

Participants may receive industry data for only the specific time period in which they participated in the given program. Historical data are not available to new participants

It is the responsibility of the recipients to treat AEM industry data as proprietary. *Industry data are not to be divulged outside their company/dealer organization.* An exception would be to provide data to a consultant contracted by the company, provided the consulting firm signs a non-disclosure agreement regarding the data. Participants should inform those in their company who have access to the data of this policy. All reports should be identified as confidential. It is the responsibility of all participants, AEM staff, and the IPC to institute steps to enforce confidentiality, including practices such as shredding hard copy reports no longer needed and protecting individual passwords.

Public Information

Requests to provide reports other than the public flash reports for U.S. and Canada agricultural products to the general public shall be declined by staff. Should a request appear to be worthy of consideration, it will be presented to the appropriate committees for potential action. To proceed the committee, the SEC, and the AEM Board of Directors must approve.

North American model charts, without manufacturer or source country information, are available for purchase by the public thru AEM staff.

SECTION IV-E: MODEL CHARTS

Model charts control the input of data into the system for processing. A product program must have a model chart in order to be operative. Model charts identify commercially available models including those phased out of production but still available, along with the size rating, the name of the marketing and manufacturing companies, and the country of origin. In addition, parent/subsidiary relationships are identified and maintained. Participants must keep the model listing up-to-date in order to input data into the system each reporting period, particularly when data are input by model or serial number.

Model charts serve as the means to check that there are at least three independent parent companies in each size class in order to avoid the disclosure of individual company data. This is done with respect to both marketing and manufacturing organizations. They also serve as a means to check machine ratings with the product specification sheets published by the reporting company.

Generally the policies and procedures for model charts are the same for all charts - North American, Worldwide, and Western Europe. One major difference is that the North American model chart maintenance program, by committee policy, automatically places each model in the size class consistent with the actual machine rating, while in the Worldwide and Western Europe model charts, participants specify the size class for each model as deemed appropriate, again as a matter of member policy. The latter also applies in North America when input is by size class rather than model.

It is recommended that those participants that report North American and worldwide data from more than one location assign one location the responsibility for all model chart maintenance. If this is not possible, the company should establish procedures for the coordination of communications from the various locations to ensure that all models are listed properly and consistently.

1. Participants may make changes to their own models only. If a participant questions the model listing of another company, the question should be sent in writing to the AEM office for resolution.
2. The model chart identifies the participants that may receive the product related statistical data.
3. The company will enter new models in the model charts when the first commercially available unit is shipped, or sooner at the company's discretion.
4. Companies that have models with activity to report prior to the official public introduction date and do not want the model data available to other participants in

- a. Only models shipped or in inventory may be reported under this feature.
 - b. Hidden models can be reported for a maximum of 3 months. This is accomplished by noting the start date in the model chart as up to 3 months after the unit is entered into the company's model library. The start date cannot be changed once data are entered for the unit.
 - c. The start date entered by the company should indicate the month, for which the unit will be reported, i.e., if the company enters a start date of September, it indicates that the unit will be reported in the September data that is due in October.
 - d. This feature cannot be used for companies entering a new product line, but only for product lines in which a company already participates.
 - e. Once retail activities are entered for a "hidden model", the "hidden model" feature is released and the model is shown on the model chart.
5. Companies that do not use the AEM system for reporting must use the model chart reporting form to communicate all updates to model information to the IPC as pre-arranged.
 6. Phased-out models are to be included in data reported until all inventory is depleted. In a retail sales program, this includes depletion of both factory and dealer inventory, with all rental units converted (sold) to an end use customer. Once the model is no longer available, an end date should be entered into the model chart(s). The end-dated models will remain on the model chart through the end of the year specified in the end date. Note: Models may be reported in DORF programs even though they do not appear in the model chart.
 7. Regularly, the data included in the model charts should be reviewed for accuracy.
 - a. Updates to the model charts are made "real time" and are available to all users of the AEM system as they are made, within the constraints of start dates. Participants not using the AEM software will receive model charts on paper annually from the IPC.
 - b. Each company must edit its list of models for accuracy and make any additions, deletions, or changes as they are known.

- c. Product Line Specialists should review model charts for accuracy, completeness, and disclosure at the beginning of each year and periodically throughout the year.
- d. AEM staff should be informed of any irregularities.

SECTION IV-F: DISCLOSURE PREVENTION

These provisions establish the minimum requirements necessary to prevent disclosure of individual company data:

1. All AEM statistics program data must be processed by an outside independent firm under contract to AEM. No data shall be processed by the AEM staff. AEM staff shall not have access to company data reported to the IPC.
2. The IPC and AEM staff must commit in writing to the confidential handling of the data. Only those employees with a need to know should have access to company data. This includes situations like audit requests, data accuracy checks, and company-initiated assistance. Unauthorized distribution of data by the IPC or AEM staff to other than eligible participants is not tolerated and constitutes grounds for termination.
3. A disclosure test will be applied to every size class to assure that at least three independent companies report non-zero data in each size class. Separate tests will be made on the basis of the beginning of the year North American and worldwide model charts. Two divisions of one parent company count as one company, not two. If a company reports sales of its own product and also sells the same product to another reporting company as an OEM supplier, these two companies will be treated as one company in the relevant size classes to prevent disclosure.
4. The model charts for the U.S. and Canada, one per product reported, will be used to determine disclosure for the data reported in the North American statistics program.
5. The model charts for the worldwide reporting programs, one per product, will be used to determine disclosure for the worldwide shipments and retail sales programs.
6. The disclosure test will not be applied to states, provinces, counties and census subdivisions or other reported geographic detail in the North American program, and will not be applied by country in the worldwide program.
7. If disclosure is found in any size class, the appropriate participants will determine how the size classes will be handled - by combining with the next higher or lower size class, eliminating the size class, or the suppression of the data. Decisions on combining classes should be based on previously combined classes existing in historical data when practical.

8. The restriction that at least three companies must report in a size class may be exempted by written waiver of disclosure furnished to AEM by all of the companies involved. A form (Appendix H) for such purpose is available from the AEM office.

SECTION IV-G: AUDITS

If a reporter has reason to question the accuracy of any specific industry data, an audit can be requested. The procedure is:

1. An audit request is to include:
 - a. Product
 - b. Time period in question
 - c. Report (activity) in question
 - d. Size class(es)
 - e. Geographical area
 - f. Other values being questioned such as customer type or first use.
 - g. The nature of the problem, such as: quantity too high or too low, incorrect county reported, inappropriate customer type or first use.
 - h. Any supporting explanation or commentary that can assist the IPC or competitive reporters in reviewing the situation and/or support your concern.
2. The data audit request must be sent in writing to the IPC.
3. The IPC will first attempt to identify the source of the questioned information by reviewing relevant input data, and then contact the source for verification and correction of misreported data. If such a data review does not identify a likely source, the IPC will issue an audit request to all reporters in the particular segment to verify the questioned data, reply to the audit, and file appropriate revisions.
4. Company response to audits should be completed within 3 weeks of the request.
5. All reporters of the data involved in the audit request will be informed of the audit results.
6. A status report for each audit will be maintained on the IPC website.
7. Audits will be treated with priority similar to regularly reported data, as program credibility is essential.
8. Upon completion of an audit for which results are not satisfactory to the requesting company, a second request may be submitted. The IPC will issue a second audit request to the companies in the particular segment that reported suspect data,

requesting further investigation (with notification to AEM staff). If the companies do not submit revisions, the IPC is to request that an explanation be provided in writing to both the IPC and AEM staff explaining why corrections are not in order.

Upon completion of second audit, where the petitioning company is still unsatisfied with the results, AEM staff will work with IPC and audited companies in an attempt to resolve the matter. Upon completion of AEM's investigation, all parties involved will be notified of the final result.

9. Revisions resulting from an audit must be made within two reporting periods after the audit is completed.

SECTION IV-H: ANNUAL START-UP PROCESS

Annually the model charts and profiles must be updated and prepared for reporting activity in the following year. The "start up" procedure is as follows:

- | | |
|----------------------|---|
| 1 Oct. | AEM staff submits to the IPC all program changes for the next year for modification of the company and industry profiles. |
| Month of Oct. | The IPC updates profiles and releases them to reporters for verification and correction if necessary. The system provides year over year comparison and analysis tools to assist reporters in reviewing. Companies are strongly urged to utilize these tools and closely check results to avoid costly problems with their data and delays in processing. |
| No later than 1 Nov. | Reporters must begin review of the model charts and make additions or corrections as needed, particularly recording end dates on now-obsolete models and adding new models that can be acknowledged publicly. |
| 15 Dec. | Deadline for reporters to complete model chart updates to start the new year and sign-off on the survey center. This is the starting point for review by product specialists. |
| 15 Jan. | Deadline for product specialists to complete the review of model charts for completeness and accuracy, review and resolve |

disclosure problems uncovered, and to sign-off thru the formal review process in the IPC web site.

New year model charts must be complete, approved, and available to all participants before the first industry reports can be distributed.

SECTION IV-I: PROPOSALS FOR NEW OR REVISED PROGRAMS

Refer to the Product Reporting Criteria (Section IV-A) for additional guidelines and requirements regarding the initiation of reporting programs for products not currently covered.

Guidelines For Submitting a Proposal For Either a Change in an Existing Program or A New Program

AEM committee members should use the following guidelines for preparing a proposal for either a new statistics program or a change to an existing program. Following these guidelines will help other representatives affected to understand the proposal, will help AEM and the IPC evaluate the effects of the proposal on budget and the reporting system, and could enhance the potential for early passage. The AEM staff and the IPC will assist in developing a proposal as requested.

The proposal should be submitted to the committee officers and AEM staff prior to the meeting in which it is to be introduced. The proposal will be posted on the AEM web site and linked to the appropriate meeting agenda item. This will allow committee members to have sufficient time to study it, discuss in advance with the originator or other reporters, and to obtain reactions to it from their management personnel.

Questions about the use of these guidelines should be directed to AEM staff or your committee chairman. A corresponding Proposal form (See Appendix G) is available on the AEM web site that can be copied and modified for submission as a Word document via e-mail. The numbered items below correspond to that document.

4. A statement of your proposal, what do you want accomplished. Also state what reports are affected - the flash and/or actual report. Examples:
 - a. Start a new program of retail sales by county in the U.S. and Canada for HMMV's
 - b. Start a new program of shipments of agricultural rotary cutters by country of destination from all sources of manufacture in the world by the participants
 - c. Split an existing HP category for crawler tractors in to two categories
5. Identify the products and sizes of products included in the proposal.
6. Describe or define the product(s) in the proposal if it is one not currently reported. Include the basis for size classification.

7. List the names of the potential participants and location if potential new members.
8. Specify the geographic areas included in the proposal (country, state, list of counties, etc).
9. State specifically the data to be reported. If a new program, state for example, final deliveries (retail sales to final customers, no rentals). If a change to an existing program, state what data are affected by the proposed change.
10. Identify additional data to be included, such as customer type and first use lists, company direct sales, dollar values, etc.
11. Frequency of reporting for the new program. It should be noted that almost all AEM programs are monthly, which is strongly preferred.
12. Proposed due date. Specify the day of the month following the month of activity. The dates should be consistent with other products reported in the effected committee (see “Due dates for company reporting” appendix).
13. Proposed begin date, month and year. The general policy for implementing new programs or changes to existing programs is that the proposal should be presented first at the fall meeting of the committee and approved at the following spring meeting for implementation the following year.
14. Back report historical data. Specify the past years it is believed that the participants can back report the same data proposed for future reporting. Note any differences, such as back reported data will be by country, rather than county.
15. Data distribution. Who is eligible to receive the industry data? Refer to the “Data distribution to product non-participants” appendix. Consistency with existing committee policy is urged.
16. Develop a sample model chart, if applicable, to depict the alignment of various models and recommended size classes. Or request AEM staff to conduct a survey of potential reporters to construct one.

SECTION V - ONLINE DOCUMENTATION

Several committee listings, definitions, and documentation, plus system components including codes and values, structures, and control tables serve in effect as extensions to the main policy and procedure manual. These are separately documented and accessible to participants online, either thru the iSTAT system or on the AEM or HAI websites. Since these are authoritative sources of information that must be kept up-to-date, they are not duplicated in this manual, but simply identified here to call them to the participant's attention.

1. Committee documentation accessible on the AEM web site
 - a. Policy and procedures manual and appendices
 - b. Meeting agendas
 - c. Meeting minutes
 - d. Committee rosters
 - e. Product specialists rosters
 - f. Product definitions and reporting classification methods
 - g. Proposal Request form
 - h. Customer type and first use definitions—(link to applicable committees)
 - i. Outstanding merit award criteria—(link to applicable committees)
 - j. Committee goals

2. System components accessible in the AEM statistics processing system and IPC website
 - a. Reporting and processing status reports
 - b. Company report cards

3. System components accessible in the AEM processing system
 - a. Companies and parents
 - b. Company input profile, annual changes, and summaries
 - c. Industry output profile, annual changes, and summaries
 - d. Master industry profile (all data available)
 - e. Master industry profile cross reference lists Customer type lists
 - f. Customer Type and First use lists
 - g. Geography lists - regions of the world, countries, states and provinces, counties, and census consolidated sub-divisions (sub-counties)
 - h. Size classifications, company and industry
 - i. Reporters logs

SECTION VI - DEFINITION OF TERMS

The following definitions are those currently in effect for all AEM statistics programs. This list does not preclude any statistics program adding to this list or modifying any of these definitions to better fit the product or type of program of their group. Any new or modified definitions must be added to this list with an explanation of why it differs from a similar term.

All terms are listed in alphabetical order.

Activity – events or states in the life of a product that are reported in the various AEM statistics programs, both domestic and worldwide. Activities are defined in the AEM system and identified by an activity-id. They can include events/states such as: shipments, first in the dirt retail sales, final delivery retail sales, first rentals, rental conversions, retail sales of new machines (not previously rented), field inventories, dealer owned rental fleet (DORF) inventories, sales by customer type and sales by first use.

Attribute – a characteristic of a product or additional information reported as a subset of an activity as input and output for the product, e.g., company direct sales, mechanical front wheel assist, zero tail swing, etc.

Ballot – the means by which a binding vote can be registered on an issue. A ballot may be secret or public, and may be cast on paper, electronically, etc. At a meeting, a ballot can be conducted in paper form, or by “raising of the hand” or by registering a “yea” or “nay”. Absentee ballots are allowed in the AEM statistics programs.

Bookings – report all shipment “bookings” by worldwide geographic location (refer to AEM Countries of the World listing for the 10 geographic areas to be reported). When entering data, note that your entries for this report should be in the following order:

1. **Net orders booked** - booked orders received (#2 below) minus cancellations received (#3 below)
2. **Booked orders received** by your company during the report month
3. **Cancellations received** which occurred in the current month to orders which were previously booked (in either current or previous months).

Census Consolidated Subdivision – a grouping of Canadian census subdivisions within a containing census subdivision. They were created by Statistics Canada for ease of

geographical referencing. They are also more stable than census subdivisions because most boundary changes involve the units contained in the group.

Census Division (CD) – Canadian geographical areas established by provincial law, which are intermediate between the census consolidated subdivision and the province. In some provinces, these are equivalent to counties in the U.S. They were created to facilitate regional planning and the provision of services that can be more effectively delivered on a scale larger than a municipality.

In Newfoundland, Manitoba, Saskatchewan, and Alberta, provincial law does not provide for such administrative geographical areas; therefore, equivalent census divisions have been created by Statistics Canada in cooperation with these provinces. There are no census divisions in the Yukon Territory.

In Quebec, the “municipalité régionale de comté” (MRC), or its equivalent (communauté urbaine”, “territoire conventionné”, or group of MRCs) has been adopted as the CD level of the classification. This represents a completely new census division structure within Quebec since 1986.

CD boundaries tend to be relatively stable over many years.

Census Subdivision (CSD) – a term applied to municipalities as determined by provincial legislation or their equivalent: Indian reserves, Indian settlements, and organized territories. Beginning with the 1981 Census, each Indian reserve and Indian settlement recognized by the census has been treated as a separate CSD. Prior to the 1981 Census, all Indian reserves in a census were grouped together and classified as one census subdivision.

Census subdivisions have been created for the unorganized territories of Newfoundland, Nova Scotia, and British Columbia by Statistics Canada in cooperation with the provinces, as equivalents for municipalities. Each of the parts of a census subdivision that straddles provincial boundaries is treated as a separate CSD.

Codes – a general term for specific values assigned to identify and be equivalent to entities and provide control of the data processed by the IPC. All codes except geographic are developed and assigned by the IPC. There are three main sets of geographic codes used in the programs administered by AEM as follows:

Canada – codes developed and maintained by Statistics Canada identify provinces, census divisions, census subdivisions, and consolidated census subdivisions. Changes in geography and codes are generally published every five years subsequent to the Canadian Census.

United States – codes developed and maintained by the federal government, as part of the Federal Information Processing Standards (FIPS). Included are codes for

states and counties. Changes in codes made in any given year are adopted by AEM at the beginning of the following year.

Worldwide Codes – are those developed and maintained by the International Standards Organization (ISO) and includes identification of all countries of the world. Changes in countries and codes announced by ISO in any given year are adopted by AEM at the beginning of the following year.

Company – a corporation or other business entity actively engaged in the manufacture and/or sale, directly or through affiliates of farm, industrial, or construction equipment. All business entities having a common parent corporation or other form of common majority ownership, constitute one company, whether they participate individually or collectively.

Company Direct Sales –those sales made by the corporation (manufacturer and/or marketer) itself, rather than by the affiliated dealers or distributors. Company direct sales often involve large quantities and significant discounts. Typically these sales would be made to:

- Federal government agencies
- State/Provincial government agencies
- County governments
- City, Town, and other local governments
- Independent rental companies, like Hertz and Prime
- Large national accounts, such as large contractors, railroads, etc.
- Auctions

Dealers/distributors may sell to any and all of these same types of customers.

Consignment Units –Units for which the manufacturer retains title and risk regardless of where the inventory resides.

County –**A county is** the largest geopolitical subdivision of states in the U.S. and in some provinces of Canada. Activity reported by county should reflect the location of the first substantial use, or if the activity is inventories, the location of the dealer. The location for a sale to an independent rental company, DORF, or Direct sale, should be the location of the rental yard to which it [the machine] was delivered, unless first use location is known.

Custom Operator – A custom operator is a service provider (person or entity) that provides a service targeted at the producer/farmer. They usually purchase a fleet of machines and may contract in advance with producers, in some cases over a multi-state/province geography. Typical operations include: custom harvesting done with combines, forage harvesters, large mower conditioners, large balers, or windrowers, as well as custom spraying, fertilizer application, and land-leveling. This does not include

producer/farmers who purchase a machine for their own use and also provide services to neighboring farmers.

Sales to custom operators are to be reported into the county that is the operating base of the custom operator.

Customer Type – the type of customer / business or government entity that purchases or rents a unit. (See Online Documentation section for list.)

Dealer Owned Rental Fleet (DORF) – a dealer-owned rental business whose primary purpose is renting or leasing machines to customers, i.e. the rent-to-rent business. The renter generally would have no option to purchase the machine and would be building no equity by way of rental payment for use of the machine. The machines would have been purchased by the DORF, either as a new retail or a rental conversion, from the affiliated dealer.

Dollar Value – the company invoiced amount in U.S. dollars to a dealer after identifiable discounts and incentives. Sometimes called “Dealer Net Cost”. Exceptions: For agricultural equipment only, data for Canada are reported in Canadian dollars. For Crushers, the data are reported by “list price”, also known as manufacturers suggested retail price

DORF Fleet Conversion – the sale/title transfer of a machine from the inventory of a Dealer Owned Rental Fleet to a third party.

DORF Inventory – all machines owned as part of a dealer owned rental fleet.

End-Use – the function for which a unit will primarily be used. (See Online Documentation for list)

First Use – the function for which a new machine will see its first substantial use as a new, not previously rented machine, typically a first rental or a retail sale.

First-In-the-Dirt (FID) – the combination of new retails plus first rentals, the common element being the first transaction with a customer of a new machine.

First Rental – units that are rented, not sold, to the first user. Also, units in rental programs (owned by the manufacturer/marketer – at dealer locations). These include “rental purchase” and “rent-to-sell” units. Excluded are sales to dealer owned rental fleets (see DORF).

First Substantial Use – the first work application of a product (machine) after purchase or rental in terms of time and type of project is used. Typically, a job requiring an hour or two would not be recorded. A job such as digging a basement for a new house would be recorded even though the job may be short term.

Final Delivery (FD) – the combination of new retails plus rental conversions, the common element being the transfer of title of a new machine.

Flash Report – a preliminary report of the prior month’s market activity, by product. The market activity shown in a flash report may differ between programs, as may geographic scope, which is usually at a high level, e.g. country. The data may be reported with or without size classifications.

Frequency – the time periods in a year in which an industry report is published. Typically, each report is published monthly, but variations can be accommodated.

Government Sales –

Retail sales or rentals to a Federal Government agency should be reported as “U.S. Government or Canadian Government”. This includes, but is not limited to, machines designed specifically for use by the Federal Government. Geographic and other coding can vary by program or committee. Generally these units should be reported into working location if sold by a dealer or distributor or into the pseudo state code for the U.S. or Canada government if a company direct sale, and should be classified using the Federal Government customer type code.

Retail sales or rentals to State Governments should be reported in the state/province and county/census division of first use. These units should be classified using the State Government customer type code.

Retail sales or rentals to County/Local/City/Village/Township governments should be reported in the state/province and county/census division of first use. These should be classified using the county or local government customer type code as appropriate.

Horsepower –

Net Horsepower - SAE Net Horsepower as defined by SAE J1349.

PTO Horsepower (horsepower measured at the power take off of farm tractors) – ratings measured by either the University of Nebraska or the OECD. Ratings for Nebraska tested unit will be shown on the Model Charts to two decimals; OECD units to one decimal. Manufacturers estimated PTO HP will be shown as a whole number followed by an “E” for estimated, when identified as such by the estimated HP attribute. Estimated ratings will be replaced when actual test data (Nebraska or OECD) are available. Units without a power take off (i.e., large four wheel drive tractors) will receive an estimated PTO rating by multiplying the net engine horsepower by .86. This rating will also be marked with an “E”.

Independent Rental Company – a company not affiliated with a manufacturer or dealership, whose main business activity is renting or leasing equipment, i.e. rent-to-rent.

Inventory –

New Inventory – new unused units that have been shipped and invoiced, but never reported as either a first rental, new retail, or rental conversion as of the end of each month.

Rental Inventory – total company and dealer inventory of rental units not yet sold, i.e. not yet reported as “rental conversions”. This would include all units in rental inventory at the end of each month regardless of whether they are in the dealer’s yard or out on rent. Rental inventory excludes dealer owned rental fleet units.

Consignment inventory should not be reported as inventory until invoiced to a dealer or end user.

Demonstration inventory should not be reported until invoiced to a dealer or end user.

Inventory units purchased “used” by the dealer should not be reported in inventory.

iSTAT – AEM’s Internet-based statistics processing system.

Model Chart – a set of data base files that define the models of a product and their specific characteristics. The files are used to create a display or report also referred to as a model chart. Collectively these become an important control mechanism in the AEM system. Model charts are used to determine potential disclosure in the reporting categories or size classes of a product. The same model chart may be used for one or more activities, while variations may exist depending on the general market and reporting controls, such as North American versus worldwide. The document and files, containing relatively static data by product, include the identification of the marketing company, model number, size rating of the model, company and industry size classes to which it belongs, country of origin, and company that manufactures the product. Model Charts provide a key control mechanism governing the input of activity data into the system and output for distribution. A model must be defined in the model chart before data can be reported for that model.

Month – Although it is recommended to use calendar months, it is acceptable to use whatever a company defines as its working month. The most important factor is consistency.

New Retail – the first time title transfer of a new, never rented, unused and previously unsold machine from a dealer, distributor or manufacturer to an end-use customer at the time of first substantial use. This includes the sale of units to “dealer owned rental fleets” (DORFS) or to an independent rental company.

North America – for most of the AEM statistics programs, North America is defined as the combination of the United States and Canada.

North American Marketing – a company will be considered a participating company in the North American statistics programs if it meets the following criteria in North America:

- a. Has an established sales/marketing branch or headquarters office.
- b. Supports a dealer/distributor network.
- c. Provides readily and commercially available product to the company's dealers/distributors.
- d. Aggressively markets and sells product.
- e. Maintains adequate inventory to support sales of dealers.
- f. Can adequately collect data to satisfy all programs in which the company participates.
- g. Publishes and has available to customers, specification sheets and price lists for all the products marketed.
- h. "Test" marketing of products will not be considered as marketing criteria.

OEM Sale – the sale of a unit from one manufacturer to another. Generally, the marketing company should report these products, as they know the details of activity with customers and dealers. Products sold on an OEM basis to non-reporting companies should usually not be reported, especially if they are modified outside the bounds of the product definition. Rules regarding the reporting of OEM activity may vary by committee. It is important to prevent double-reporting by the manufacturer and marketer.

Official Company Representative – The person officially designated to represent a company in AEM affairs, usually an officer of the company and in a number of instances a member of the AEM Board of Directors.

Participating Company – an AEM member company that participates in the statistics programs, or a non-member company that participates in the AEM statistics programs and has paid the non-member participation fee.

Phase-out Models – models no longer considered current by a reporting company, but for which company and/or dealer inventory remains. All models must remain on the Model Chart until the end of the year when the last unit is sold.

Province – the largest geopolitical subdivisions within Canada. Activity reported by province should reflect the location of the first substantial use.

Rental Conversion – the sale/title transfer to an end-user of any product previously reported as a first rental. This includes the sale of previously rented units to dealer owned rental fleets (DORFs). Conversion also applies to exported (usually by dealers), scrapped, or otherwise retired machines. A rental unit sold at auction should be reported as a conversion in the county of the auction.

Retail Sale – consists of both the delivery of a unit to the end-user and the settlement/title transfer for the unit by the retailer. The sequence of the two events is not significant (also see “Final Delivery”). **Revision – a revision is any change to the data that was originally submitted to the IPC. Examples of a revision include a change in state, county, country, customer type, first use, cancellation of a sale with return to inventory, etc. Refer to Section IV—Reporting Programs for further details.**

Shipment – transport of a unit from the manufacturer to an end-user, retail outlet, wholesale outlet or rental/leasing pool as defined below. Units shipped to a company’s trans-shipment pools or staging areas shall not be reported until shipped to entities listed above and invoiced. Units shipped to a facility where substantial changes are made to the basic product should not be reported. These machines should be reported when shipped after the changes have been made if there is a reporting program for the new product. Exceptions to this rule are explained below.

End-user – any establishment or individual who puts the product to use; the consumer.

Retail Outlet – any establishment, including company stores, dealers or distributors, which sell product to the end-user.

Wholesale Outlet – any establishment, including company branch houses, which sells to a single destination country or independent or unrelated establishment that sells to an unknown destination.

Rental/Leasing Pool – any establishment that places equipment with the end-user through a lease, rent-to-rent, or rental-purchase agreement.

Boom trucks (MOTACC) are shipped as kits to various dealers/distributors who mount them on chassis prior to delivery to end-users. The chassis is irrelevant to reporting. The kit shipment should be reported.

Size class – a series of graded classifications of measure into which products are divided. Size may include classifications of horsepower, dig depth, width of cut, carrying capacity, etc. Size may also express the specific rating of a machine or classes of sizes used in the

statistics programs. Size classes span an interval of size measurement. For example, using horsepower levels such as 100 & under 110 HP in order to express clearly the specific sizes to be included in the interval.

State – the largest geopolitical subdivision within the United States. Activity reported by state should reflect the location of the first substantial use.

Survey – a non-binding request for information or a non-binding request for a position on a certain issue.

Weight – the working weight of a machine, often expressed in metric tons.

Year – calendar year (1 January through 31 December).

APPENDIX A: QUORUMS AND VOTING

The following matrix identifies, by statistics committee or group, the quorum requirements for holding a meeting and the quorum requirements for product-specific reporting programs.

Committee/Group	Meeting Quorum	Product/Program Approvals Requirement
Aerial Work Platforms	Simple Majority	Three (3) reporting companies
Ag Equipment Statistic Committee	Seven (7) reporting companies in attendance	80% of product participants
Aggregates (crushers, screens, feeders)	Simple Majority	Three (3) reporting companies
Aggregates (breakers, demo attachments)	Simple Majority	$\frac{3}{4}$ Majority
Attachments	Simple Majority	Simple Majority
Commercial Worksite Equipment	30% of reporting companies	Simple Majority
Dairy Farm Products	66% of reporting companies	Unanimous
Forestry, Earthmoving & Excavators	40% of reporting companies	Simple Majority
Light Equipment (air compressors, contractor pumps, pneumatic tools, light towers, portable generators, saws)	Simple Majority	Unanimous
Statistics Executive Committee	Simple Majority	Not applicable
Lifting (hydraulic cranes, truck-mounted cranes, tower cranes)	Simple Majority	Simple Majority of those present and voting
Power Systems and Energy (mobile generators)	None at this time	None at this time
Road Machinery (pavers, planers, soil stabilizers)	Simple Majority	Unanimous
Road Machinery (compaction)	Simple Majority	$\frac{3}{4}$ majority

APPENDIX B: Due Dates for Company Reporting

			NA Flash		NA Actuals			NA All		WW Ship			
Committee Acronym	Committee or Product Line	Products	Date	Time	Date			Time	If Sat	If Sun	Date	Time	D
					All	Ship	Retl						
AESC	Agricultural Equipment	All	9th	12:00	15th			12:00	Fri	Mon			
ASC	Aggregate Equipment	All			15 th			12:00	Fri	Mon			
Attmts	Attachments	All			13 th			12:00	Fri	Mon			
AWP	Aerial Work Platforms	All			15 th			12:00	Fri	Mon			
BAEBRM	Road Machinery	All			15 th			17:00	Mon	Mon	15 th	17:00	
CPB	Contractor Pumps	All			20th			17:00	Mon	Mon			
CWE	Commercial Worksite Equipment	All			10th			12:00	Fri	Mon	15th	17:00	2
DFP	Dairy Farm Products	All			15th			12:00	Fri	Mon			
FEE	Forestry, Earthmoving, & Excavators (see exceptions below)				10th			12:00	Fri	Mon	15th	17:00	2
FEE	EM07, EM58				13th			12:00	Fri	Mon	15 th	17:00	2
GNSC	Generators	All			15 th			12:00	Fri	Mon			
LTSC	Light Towers	All			15 th			12:00	Fri	Mon			
MBMB	Mounted Breakers	All			15th			17:00	Mon	Mon			
MOTACC	Telescopic & Articulated Cranes	All			15th			17:00	Mon	Mon			
PACB	Portable Air Compressors	All			15th			17:00	Mon	Mon			
PCSA	Power Crane & Shovel	All				10th	20th	17:00	Mon	Mon			
PTMB	Pneumatic Tools	All			15th			17:00	Mon	Mon			
SMI	Masonry & Contractor Saws	All			15 th			17:00	Mon	Mon			
TCSC	Tower Cranes	All			20 th			12:00	Fri	Mon			
CNPV	Concrete Pavers	Suspended											
DEMO	Demolition	Suspended											

	Attachments												
EGB	Environmental Grinders	Suspended											
PMASC	Parts	Suspended											
RD	Drills	Suspended											

APPENDIX C: DATA DISTRIBUTION TO PRODUCT NON-PARTICIPANTS

The standard AEM policy regarding data distribution is that companies participating in North American reporting programs receive reports in full detail for *all* products or size classes in which they participate.

Each committee and/or the company's marketing certain groups of products within a committee *may* elect to extend eligibility for some reports to companies that market some, but not all, products within the group. The data made available may have restricted content, such as aggregated geography or activity types, or certain details may be eliminated, such as customer type and first use. There are no instances where data from one committee is shared in any form with another committee.

To be eligible to receive industry data under extended policies, the company must be in compliance with all product participation rules and must participate in at least one of the products of the committee and product group. To obtain access to any of these reports, the company is to direct a one-time request to AEM staff to initiate authorization and updates to the industry profile for regular data access.

This document delineates the policy regarding distribution of specific data under extended eligibility rules to *qualifying companies*. In other words, it itemizes the **exceptions** to standard policy of industry data distribution to only the participants in a specific product program.

In the pages that follow:

FD = "final deliveries" (a combination of new machine retail sales and rental conversions)

FID = "first in the dirt" (a combination of first rentals and new machine retail sales)

Aerial Work Platforms

The following reports are available only for the products in which a participant reports.

- Straight Boom Lifts (WP60)
- Towable Boom Lifts (WP61)
- Compact Scissor Lifts (WP62)
- Midsize Scissor Lifts (WP63)
- Large Scissor Lifts (WP64)
- Manual Propelled Vertical Lifts (WP65)
- Self Propelled Vertical Lifts (WP66)
- Electric Articulated Booms (WP67)
- IC Articulated Booms (WP68)
- Slim Scissor Lifts (WP69)

Aggregates (crushing, and screens)

The following reports are available only for the products in which a participant reports.

- Cone Crushers (PSCC)
- Jaw Crushers (PSHR)
- Hammermills (PSHM – suspended)
- Primary Impactors (PSPI)
- Horizontal Rotor Secondary Impactors (PSRS – suspended)
- Vertical Shaft Impactors (PSVS)
- Roll Crushers (PSRC – suspended)
- Monthly shipments by state, province, Mexico and Exports

The following reports for all products are available to all participants.

- 2 & 4 Bearing Screens (VS2B)
- Horizontal Screens (VSHS)
- Feeders (VSFD)
- Monthly shipments by State, province, Mexico and Countries of the World

Agricultural Equipment Statistics Committee (AESC)

Main” Product Lines

The following reports are available to all participants *reporting into any one of these products.*

Agricultural Equipment Value (FEEV)
Monthly value by U.S. and Canada

Farm Loaders (FE31)
Monthly retail sales (FD) by state and province

Two Wheel Drive Farm Tractors (FE01)
Four Wheel Drive Farm Tractors (FE22)
Rectangular Balers (FE05)
Round Balers (FE06)
Portable Grinder Mixers (FE08 – suspended)
Shear Bar Forage Harvesters (FE10 - suspended)
Manure Spreaders, Conveyor Type (FE11)
Manure Spreaders, V-bottom Type (FE12 – suspended)
Pull Type Fixed Frame Planters (FE15)
Mounted Fixed Frame Planters (FE16)
Unit Planters (FE17 – suspended)
Self-Propelled Combines (FE23)
Self-Propelled Shear Bar Harvester (FE27)
Front End Loaders (FE31)
Corn Heads (FE52)
Sickle Bar Mower Conditioners (FE60)
Forage Harvester Headers (FEFT)
Side-Pull Mower Conditioner (FEM1)
Mid-Pivot Mower Conditioner (FEM2)
Windrower Sickle Bar Auger Heads (FEW1)
Windrower Rotary Auger Heads (FEW2)
Windrowers, Self-propelled (FEW3)
Windrowers, Pull-type (FEW4 – suspended)
Windrower Draper Heads (FEWC)
Combine Pickup Headers (FEPC)
Combine Platforms - Rigid Frame (FEPR)
Combine Platforms - Flexible Type (FEPX)
Monthly retail sales (FD) by state and province,
without customer type and attribute data
Monthly field inventory
Annual value

Agricultural Equipment Statistics Committee (AESC) - (continued)

Implements

The following reports are available to all participants *reporting into any one of these products.*

- Disk Harrows, Offset (FE56)
- Disk Harrows, Tandem (FED3)
- Tractor Backhoe Attachments (FEBA)
- Field Bale Thrower (FEBT – suspended)
- Drum and Disk Mowers (FED1)
- Forage Blowers (FEFA - suspended)
- Forage Boxes (FEFB – suspended)
- Flail Forage Harvesters (FEFH – suspended)
- Box Scrapers (FELL)
- Post Hole Diggers (FEPH)
- Rigid Rotary Cutters (FER1)
- Flexible Rotary Cutters (FER2)
- Multi-Spindle Rotary Finishing Mowers, mid-mounted (FERM)
- Multi-Spindle Rotary Finishing Mowers, Rigid rear-mounted (FER3)
- Multi-Spindle Rotary Finishing Mowers, Flexible rear-mounted (FER4)
- Rotary Rakes (FERO)
- Snow Blowers (tractor-mounted) (FESB)
- Self-propelled Sprayers (high clearance) (FESP)
- Tractor Mounted Blades (FETB)
- Tedders (FETD)
- Tedder/RR Combos (FETR - suspended)
- Wagon Gear (FEWG – suspended)
- Finger Wheel Rakes (FEWR)
 - Monthly retail sales (FD) by state and province

Agricultural Equipment Statistics Committee (AESC) - (continued)

Tillage and Crop Production Equipment (TACPEC)

The following reports are available to all participants *reporting into any one of these products.*

- Moldboard Plows (FE53 - suspended)
 - Monthly retail sales (FD) by state and province
 - Monthly field inventory for U.S. and Canada
 - Annual value

- Air Seeder Delivery Systems (TPA3 - suspended)
- Air Seeder - Air Hoe Drill, 3-section (TPA4 - suspended)
- Air Seeder - Air Hoe Drill, 5-section (TPA5 - suspended)
- Air Seeder - Air Disc or Coulter Drill (TPA6 - suspended)
- Air Seeder - Floating Hitch Tillage, 3-section (TPA7-suspended)
- Air Seeder - Floating Hitch Tillage, 5-section (TPA8-suspended)
- Combination Chisel Plows (TPCC)
- Field Cultivators (TPCF)
- Chisel Plows (TPCP)
- Row Crop Cultivators (TPCR-suspended)
- Grain Drills (TPGD)
- Folding Grain Drills (TPGF)
- Roller Harrow-Pulvi Mulchers (TPHM - suspended)
- Minimum Tillage Primary (TPMP)
- Soil Conditioners (TPSC)
- Combination Primary Tillage (TPTP)
- Combination Secondary Tillage (TPTS)
 - Monthly retail sales (FD) by state and province

Road Machinery

Asphalt Pavers

The following reports for all products are available to all participants.

- By Sizes (PEAP)
 - Shipments reported by state, province and countries of the world
 - Retails reported by county and CCSD

Soil Stabilizers

The following reports for all products are available to all participants.

- All Sizes (RS01)

Shipments and retails reported by state and province

Cold Planers

The following reports for all products are available to all participants.

All sizes (CPRM)

Shipments and Retails reported by state and province

Compaction

The following reports for all products are available to all participants.

Vibratory Walk/Ride Behind Single Drum (CEA1)

Vibratory Walk/Ride Behind Double Drum (CEA2)

Trench Rollers Double Drum (CEA3)

Vibratory Tandem Roller two Vibrating Drums (CEB0)

Vibratory Tandem Roller One Vibrating Drum (CEC0)

Vibratory Single Drum Rollers-Asphalt (CEE1 – N.A. suspended)

Vibratory Single Drum Rollers-Soil-Smooth Drum (CEE2)

Vibratory Single Drum Rollers-Soil-Padfoot or Sheepsfoot Drums (CEE3)

Combination Rollers (CEF0)

Pneumatic Tired Rollers (CEG0)

Tandem Rollers (Static) (CEH1 – N.A. suspended)

Embankment (CEK1 – N.A. suspended)

Refuse (landfill) (CEK2)

Vibratory Plate Compactors-Forward Travel Only (CEL1)

Vibratory Plate Compactors-Reversible (CEL2)

Vibratory Tampers (CEM0)

Vibratory Tow-Type Rollers (CED1)

Three Wheel-Rollers (Static) (CEH2)

Monthly shipments by state and province

Monthly retails by county and CCSD

Monthly Worldwide shipments by Countries of the World

If you only report light equipment you only get light equipment (CEL1, CEL2, CEMO)

Contractor Pump Bureau (CPB)

The following reports for all products are available to all participants.

CPB Rated Centrifugal Cast Iron Pumps (CB01 - suspended)

Priming Assisted Pumps (CB09)

Non-Rated Self-Priming Centrifugal Pumps (CB02)

CPB Rated Trash Pumps (CB03)

CPB Rated Compact Trash Pumps (CB11)

Non-Rated Self-Priming Trash Pumps (CB04)

Diaphragm Aluminum Pumps (Wetted Parts) (CB05)

Diaphragm Cast Iron Pumps (Wetted Parts) (CB06 - suspended)

Submersible, Portable, Electric Pumps (CB07)

MSHA Submersible, Portable, Electric Pumps (CB08)
Submersible, Hydraulic Pumps (CB10)
Attenuated Pumps (suspended)
Monthly Shipment report by total

Commercial Worksite Equipment Committee (CWE)

The following reports are available to all participants *reporting into any one of these products.*

Rough-Terrain Forklifts - 2WD vertical mast (IF21)
Rough-Terrain Forklifts - 4WD vertical mast (IF23)
Telescopic Handlers (IF26)
Monthly flash reports
Monthly retails (FID) by state and province,
excluding customer type, first use, and attribute data
Monthly shipments by state and province
Monthly shipments by countries of the world
Monthly worldwide retail sales by country

The following product reports are available to only to those companies participating in these products.

Pedestrian Trenchers (IF01)
Riding Trenchers (IF02)
Vibratory Plows (IF03)
Skid Steers (IF11)
Compact Track Loaders (IF12)
Track Utility Loaders (IF31)
Backhoes <11 (IF42)
Directional Borers (DB01)

Crane Statistics Committee (CSC)

The following reports are available only for the products in which a participant reports

Hydraulic Rough Terrain Cranes (CRHO)
Hydraulic Truck Cranes (CRHM)
Hydraulic All Terrain Cranes (CRAT)
Lattice Crawler Cranes (CRLC)
Monthly Shipments by state, province and countries of the world
Monthly Retails by state and province
Worldwide Shipments by countries of the world

Hammerhead Tower Cranes (CRHH)
Self-erecting Tower Cranes (CRSE)
Luffing Jib Tower Cranes (CRLB)
Monthly shipments by total US and Canada Regions

Telescopic Cranes (TA01)
Monthly Shipments by state, province and countries of the world

Forestry, Earthmoving, and Excavator Committee (FEE)

Earthmoving Products

The following reports are available to all participants *reporting into any one of these products.*

Crawler Tractors (EM01)
Crawler Loaders (EM02-*suspended*)
Wheel Loaders (EM04)
Conventional Scrapers (EM05-*suspended*)
Elevating Scrapers (EM06-*suspended*)
Motor Graders (EM07)
Rigid Frame Haulers (EM08)
Articulated Haulers (EM58)
Wheel Dozers (EM60)
Monthly retails (FID) by state and province,
excluding customer type, first use, and attribute data
Monthly dealer inventory, with new and rental inventory breakout
Annual dollar value
Monthly worldwide shipments by country
Monthly worldwide retail sales by country

The following reports are available to all participants *reporting into any one of these products.*

Loader Wheel Tractors (IF14)
Loader/Backhoes (IF18)
Monthly retails (FID) by state and province,
excluding customer type, first use, and attribute data
Monthly dealer inventory, with new and rental inventory breakout
Annual dollar value
Monthly worldwide shipments by country
Monthly worldwide retail sales by country

The following reports are available only to those who are participating in the program

Pipelayers (EM71)

Forestry, Earthmoving, and Excavator Committee (FEE) (continued)

Hydraulic Excavators

The following reports are available to all participants *reporting into any one of these products* and to participants in the *crawler excavator based forestry products identified below*.

- Crawler Excavators (EXHC)
- Wheel Excavators (EXHW)
 - Monthly retails (FID) by state and province,
excluding customer type, first use, and attribute data
 - Monthly dealer inventory, with new and rental inventory breakout
 - Annual dollar value
 - Monthly worldwide shipments by country
 - Monthly worldwide retail sales by country

Forestry Products

The following reports are available to all participants *reporting into any one of these products* and to participants in the *hydraulic excavator programs*.

- Crawler Log Loaders (EX01)
- Crawler Tree Harvesters (EX02)
- Crawler Delimbers (EX03 - suspended)
- General Forestry Crawler Swing Machine (EX05)
 - Monthly retails (FID) by state and province, excluding customer type,
first use, and attribute data
 - Monthly dealer inventory, with new and rental inventory breakout
 - Annual dollar value
 - Monthly worldwide shipments by country
 - Monthly worldwide retail sales by country

All reports for these forestry products are *restricted* to only the participants in the *North American* programs for these individual products.

- Swing-to-Tree Feller Bunchers (EX04)
- Wheeled Tree Harvester (EX06)
- Wheel Log Skidders (IF10)
- Forwarders (IF51)
- Knuckle-boom Loaders (IF61)
- Drive-to-tree Feller Bunchers (IF62)

Generators Statistics Committee

The following reports for all products are available to all participants by sizes.

Portable Generators (GN01)
Mobile Generators (GN02)
Stationary Generators (GN03)
Monthly shipments by US, Canada

Light Tower Statistics Committee

The following reports are available to all participants.

Light Towers (LTSC)
Monthly shipments by size by Total North America

Mounted Breaker Manufacturers Bureau

Mounted Breakers

The following reports for all products are available to all participants.

By Size (MB01)
Monthly shipments by total US, total Canada and
Latin America by Country

Demolition Attachments (suspended)

The following reports for all products are available to all participants.

Grapples
Shears
Crushers/Pulverizers (Mechanical)
Crushers/Pulverizers (Hydraulic)
Quarter shipments by total US and total Canada

Parts Statistical Committee (suspended)

All reporting companies receive total parts sales dollars

Portable Air Compressor Bureau

The following reports for all products are available to all participants.

By Sizes (PA01)
Monthly shipments by US, Canada and Exports

Pneumatic Tool Manufacturers Bureau (PTMB)

The following reports for all products are available to all participants.

Chipping Hammers (PT01)
Hand Held Rock Drills (PT02)
Rivet Busters (PT03)
Paving Breakers (PT04)
Tampers (PT05)
Diggers, Trenchers Clay Spades (PT06)

Monthly Shipments by state and province

APPENDIX D: REVISION TIME PERIODS

Standard Policy: All revisions (i.e. changes to previously reported information) are to be made in the time period in which the original activity was reported.

Exceptions to the standard policy, by Product Segment, are as follows:

Aggregates:	(Mounted Breaker Manufacturers Bureau)
Road Machinery Stabilizers)	(Asphalt Pavers, Cold Planers, Compaction, Soil)
Lifting:	(Cranes)

1. A unit previously reported as a shipment or retail sale, which is returned to the factory as new, should be reported in the month in which the unit is returned.
2. Units which were improperly reported (such as wrong size class or state, etc.) should be reported as a revision to the month and year in which the unit was originally reported.

APPENDIX E: OEM SALES TO NON-PARTICIPANTS

The standard policies for OEM sales apply as described below, with the exceptions as noted:

Shipments Reporting Programs:

Shipments made on an OEM basis to a non-participating (i.e. non-reporting) manufacturer should not be reported as a shipment.

Retail Sales Reporting Programs:

In retail sales reporting programs, OEM sales to a non-participating company should not be reported, with the following **exceptions:**

Asphalt Pavers
Cold Planers
Contractors Pump Bureau
Soil Stabilizers

For these committees, OEM sales (the sale of a unit from one manufacturer to another) are to be reported as *miscellaneous sales* to avoid distorting the geographic distribution of retail sales. Report only OEM sales to non-participating companies to avoid double reporting of units.

APPENDIX F: FEE STRUCTURE FOR NON-MEMBERS

Fee structure is divided into 2 categories. Simple Reports and Complex. Reports

Simple Reports: Level of reporting does not exceed by state/province.

Complex Reports: Level of reporting is by county or includes shipments and retails or 3-Part reporting.

North American Programs

Complex Reports: \$1,050

Simple Reports: \$600

Foreign Programs

Complex Reports: \$1,200

Simple Reports: \$600

APPENDIX G: PROGRAM PROPOSAL FORM

ASSOCIATION OF EQUIPMENT MANUFACTURERS
6737 W. Washington Street, Suite 2400
Milwaukee, WI 53214-5647
414-298-4146/Fax: 414-272-1170

(choose one)

<input type="checkbox"/>	New Statistics Program
<input type="checkbox"/>	Change to an existing program

Name of Program and Code _____

1. Date submitted: _____

2. Submitted by: _____

3. Statistics Committee: _____

4. Statement of Proposal, what is to be accomplished:

5. Products and sizes of products to be included:

6. Product definition if the product is new to the statistics program:

7. Names of potential participants:

8. Geographic areas to be included (country, state, county):

9. Data to be reported (retail sales, inventory, shipments, first rentals, rental conversions, etc.)

10. Additional data to be reported (customer type, first use, direct sales, value, etc.):

11. Reporting frequency: _____

12. Proposed due date: _____

13. Proposed begin date: _____

14. Back report historical data? (Specify the past years participants can report):

15. Data distribution (if different from standard distribution of Committee):

16. Please attach sample model chart, if applicable:

APPENDIX H: WAIVER OF DISCLOSURE FORM

The following waiver form must be signed by companies participating in programs where there are less than three separate reporting companies.

AEM WAIVER OF DISCLOSURE

On behalf of the Association of Equipment Manufacturers (AEM) statistics program participant company identified below, I confirm and acknowledge that my company has been informed of the potential disclosure of its data in conjunction with the following AEM statistics program reports for (year), but nevertheless requests that AEM and its statistics program service provider process and report such data to other participating companies that are otherwise eligible to receive them:

(Name of program)

In addition, this will confirm and acknowledge that my company waives and releases AEM, its statistics program service provider (currently Hargrove & Associates Inc.), and their respective officers, directors, employees, agents, representatives and successors (collectively, the Releasees) from any and all claims and liabilities of any kind or nature that may arise as a result of the disclosure identified above.

I have full authority to execute this Waiver of Disclosure on behalf of the AEM statistics program participant company identified below.

By: _____
Signature

Title: _____

Participant Company: _____

Dated: _____

APPENDIX I: REPORT CARD CRITERIA

OUTSTANDING MERIT AWARD CRITERIA

	POSSIBLE POINTS
<hr/>	
<u>TIMELINESS (60%)</u>	
Flash Reports	
3 points for each month on time	36
Data	
3 points for each month on time	36
<u>POLICIES AND PROCEDURES (30%)</u>	
Annual Start-Up completed correctly and on time	10
Reporting Procedures Survey completed on time	5
Audit response within three weeks of request	5
Made revision to errors discovered in audit within two reporting periods	5
<u>CORPORATE CITIZENSHIP (10%)</u>	
Timely response to surveys	5
Company representative attends at least one statistics meeting?	10
<hr/>	
TOTAL POINTS POSSIBLE	112

Outstanding Merit Award measurement is based on the percentage of available points achieved.

APPENDIX J: Statistics Committee Officer Terms

Committee Acronym	Committee or Product Line	Elected Term Length	Comments**
AESC	Agricultural Equipment	1 year	It is expected the chair and vice chair will be reelected for two successive one year terms.
ASC	Aggregate Statistics Committee	2 years	No limit on re-election for additional terms
AWP	Aerial Work Platforms	1 year	No limit on re-election for additional terms
CPB	Contractor Pumps	No Statistics Committee	
CWE	Commercial Worksite Equipment	1 year	It is expected the chair and vice chair will be reelected for two successive one year terms.
CSC	Crane Statistics Committee	2 years	No limit on re-election for additional terms
DFP	Dairy Farm Products	1 year	No limit on re-election for additional terms
FEE	Forestry, Earthmoving, & Excavators	1 year	It is expected the chair and vice chair will be reelected for two successive one year terms.
GNSC	Generators	Not established yet	
LTSC	Light Towers	Not established yet	
MBMB	Mounted Breakers	No Statistics Committee	
PACB	Portable Air Compressors	No Statistics Committee	
PTMB	Pneumatic Tools	No Statistics Committee	
RMSC	Road Machinery (Asphalt Pavers, Compaction, Soil Stabilizers, Cold Planers)	2 years	No limit on re-election for additional terms.
SMI	Concrete Saws	No Statistics Committee	
CNPV	Concrete Pavers	suspended	
MBMB	Demolition Tools	suspended	
PMASC	Parts	suspended	
EGB	Environmental Grinders	suspended	
RD	Drills	suspended	

** Solicitations for nominations will be distributed in writing before meetings where elections need to be held.