ANSI-Accredited Standards Developers (ASD)

- 2023 Procedural Compliance Form
- 2022 ANSI Essential Requirements (<u>www.ansi.org/essentialrequirements</u>)
- ✓ The webinar will start at 2pm Eastern and will be recorded for future posting.
- ✓ All participants are muted for the duration of the webinar
- ✓ Slides will be distributed to all unless you send an email otherwise
- ✓ Please use the CHAT option to submit a question to All Panelists (that's the only way we'll address them)



Before we get started...

- On behalf of ANSI, I'd like to send everyone our best wishes for the new year and for health, strength and perseverance...again!
- Thank you to each of you for your role in implementing the ANS process...you literally make the world a better place
- ✓ 2023 marks the **20th anniversary** of the

ANSI Essential Requirements!



Housekeeping...

- All registrants are muted upon entry
- Slides will be distributed to all with a Q&A to follow
- If you wish to pose a question, please type the question into the Chat option and send to "All Panelists" – please do not send questions as private messages, we won't see them
 - we'll read your questions at certain points during the slide presentation, so everyone can hear the questions and the answers
 - we cannot answer fact-specific questions during the webinar, please contact us separately to discuss any such questions



Just a reminder... ANS-Related ANSI Staff - psa@ansi.org

- Fran Schrotter, ANSI Sr VP & COO NY
- Patty Griffin, ANSI Sr VP & General Counsel NY
- Procedures & Standards Administration NY (Introductions)
 - Anne Caldas NY 212-642-4914, acaldas@ansi.org
 - Heather Benko NY 4912, hbenko@ansi.org
 - Elizabeth Gonzalez NY 8912, egonzalez@ansi.org
 - Ally Bonacasa NY 4978, abonacasa@ansi.org
 - Jay Moskowitz NY 8925, jmoskowitz@ansi.org
 - Jim Thompson NY 4913, jthompso@ansi.org
 - Mary Weldon NY 4908, mweldon@ansi.org
- <u>psa@ansi.org</u> = our common email box

Agenda for ANSI-Accredited Standards Developers (ASD) – 2023 Procedural Compliance

- 1. Consumer Outreach Cleo Stamatos
- 2. Accreditation and maintenance requirements
- 3. Checks-and-balances within ANS process
- 4. 2022 ANSI Essential Requirements in effect in 2023
- 5. Q&A
- 6. Revisions to the ANSI National Adoption Policy
- 7. Q&A
- 8. Review of 2023 Compliance E-mail
- 9. Q&A
- 10.Resources

Consumer Outreach Cleo Stamatos

- My goal:
 - Find, Train and Retain consumer volunteers for participation on standards committees
- What is the profile for a potential volunteer?
 - ✓Interest in advocacy
 - ✓ Interest in public service
 - ✓ People who know or are comfortable with volunteer culture
 - ✓ People who recognize the value of committee work, consensus building

Activities to Engage Communities about Standards Opportunities

- "Safety Central" webinar events with the CPSC, every other month.

 https://www.ansi.org/events/standards-events/02-28-23-consumer-safety-webinar
- Promoting standards to wide audiences
 - Publications online and in print
 - Social Media LinkedIn and Twitter
 - Updated and new webpages on ANSI site
- Casting a wide net to find new volunteers
 - Current state and local level consumer offices (departments like aging, weights and measures)
 - Groups that work with older Americans (AARP, National Council on Aging, Retirees)
 - State and Local Consumer Groups
 - Recommendations from current CIF members
 - Accessibility Community
 - Rural Community



RETAIN AND TRAIN

- ANSI Consumer Participation Fund launched in 2022 https://www.ansi.org/outreach/consumers/consumer-fund
- Assist ASDs find, train and retain consumer participants for ANS Consensus Bodies:
 - ✓ Help with finding and onboarding new consumer members
 - ✓ Help develop mentorship ideas for new participants
 - ✓ Help develop improvements to the process to retain consumer members
 - ✓ One-on-one meetings with ASD staff available
- Cleo has been reaching out to ANSI-Accredited Standards Developers (ASDs) - regarding needs or difficulties recruiting consumers or public interest representatives to participate in standard setting. Your comments are welcome!



YOU HAVE MADE A DIFFERENCE - THANK YOU

- We are better together.
 - Working with consumer partners to talk about your work in the standards community
 - Highlighting your work will help engage more groups on standards
- Let's celebrate the successes you have made happen, and continue to find ways to amplify messages.
 - Guest blog posts on your sites? Other ways to highlight stories
 - https://www.ansi.org/outreach/consumers/consumers-standards page to highlight work and partnerships



Thank you

I welcome your feedback!

Other advocates I should contact?

Groups you have reached out to?

Outreach suggestions?

Concerns?

Please let me know.

Cstamatos@ansi.org

Cell: 410-245-3483



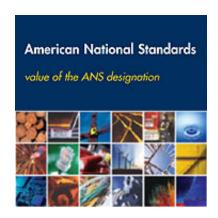
Accreditation by ANSI of a standards developer relates to the *procedures* used in connection with American National Standards (ANS) only...

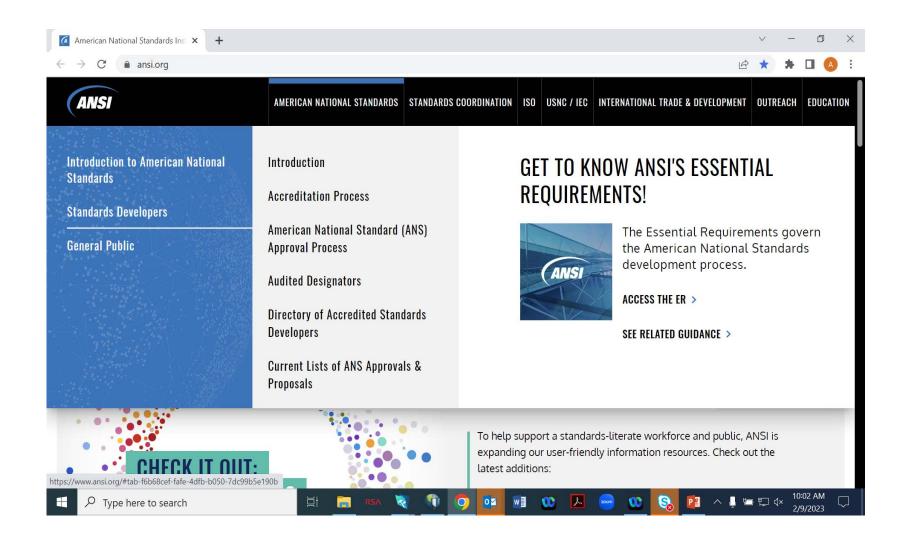
Note: ANSI-Accredited U.S. TAGs to ISO and ISO/IEC JTC 1 have separate accreditation requirements

ANSI-Accredited Standards Developers (ASD) & American National Standards (ANS)

- 237 ANSI-accredited standards developers (ASD) <u>www.ansi.org/asd</u>
 - ANSI Essential Requirements: due process requirements for American National Standards (www.ansi.org/essentialrequirements)
 - "ANSI Essential Requirements" governs ANS process
 - Only ASDs may submit standards for approval as ANS
 - Accreditation by ANSI is a pre-condition for submitting a standard for approval as an ANS (ANSI ExSC accredits procedures, ANSI BSR approves ANS)
 - All ANS are maintained on a regular cycle to ensure currency
 - Nearly 14,000 American National Standards
 - All ASDs are subject to ANSI's neutral third-party oversight including a regular procedural audit
 - Not all standards developed by these organizations are approved as ANS
 - ANSI recognizes multiple paths to standards development

Learn more: www.ansi.org/ansvalue





Once accredited by the ANSI ExSC, what ongoing responsibilities does an ANSI-Accredited Standards Developer (ASD) have?

What does an ASD need to do to maintain accreditation?

- Maintain compliance with the current edition of the ANSI Essential Requirements: Due process requirements for American National Standards
 - www.ansi.org/essentialrequirements
- Return Annual ASD Compliance Form (E-mail)
- Submit, when changed, revised procedures to ANSI for review and approval
 - psa@ansi.org
 - Strikethrough, underline format with an explanation

More next slide...

Maintaining Accreditation as an ANSI-Accredited Standards Developer (ASD)

4.1.3 of the ANSI Essential Requirements

 Annual payment of ANSI Membership or equivalent Maintenance of Accreditation Fee

(www.ansi.org/membership)

- ✓ Invoices were issued in 2022, so if your organization has not received one, please send an email to membership@ansi.org or psa@ansi.org
- Annual payment of National Activity Assessment (NAA) based on the number of ANS maintained, e.g., \$2885 for 0-3 ANS
 - ✓ Helps defray the cost of the ANS infrastructure
 - ✓ Covers the cost of the routine Audit (if 5 years' worth of National Activity Assessment fees have been paid)
 - ✓ Timely payment required to maintain accreditation

Maintaining Accreditation as an ANSI-Accredited Standards Developer (ASD)

4.1.3 of the ANSI Essential Requirements

- **Submit to regular audits** <u>or</u> if "0" ANS, then a periodic reaccreditation with justification is required until an ANS is approved
 - ✓ Typically a 5-year audit cycle of ANS and Technical Reports (TRs) registered with ANSI
 - ✓ Procedural compliance audit

So now let's review...

ANSI's checks-and-balances throughout the ANS process that make it unique and provide confidence of compliance and due process

What are ANSI's ANS-related checks and balances?

- Annual Compliance Form and binding certification today's focus
- Accreditation and reaccreditation of procedures
- ANSI's public review and appeals provisions apply to
 - accreditation-related issues (procedures, scopes)
 - proposed and approved American National Standards
- Required timely maintenance of ANS
 - Remember 5 year maintenance cycle & 10 year automatic expiration
- Routine Audit (5 yr cycle), Special Audit for cause (as determined by the ANSI ExSC)

More...

ANS checks and balances continued...

- BSR-9/Evidence of consensus review by ANSI Board of Standards Review
 (BSR) and staff at the BSR's direction (see ANSI BSR's Operating Procedures
 2022 edition)
 - ✓ BSR-9/BSR 109 Certification Statement, which is binding (109=Audited Designators only)
 - Use of 2022 BSR-9/109 is required
- Withdrawal for cause option (including remand of ANS as a result of an audit or appeal)
- Opportunity to propose revisions to the ANSI Essential Requirements (and other ANS-related procedures)
 - Through the ANSI ExSC (see later slides)

No revisions to the 2022 *ANSI Essential Requirements* were approved, so the 2022 edition remains in force in 2023...

Any questions at this point?

Overview of select revisions incorporated in the 2022 ANSI Essential Requirements

 Openness: move existing "Affiliation" footnote to main text to promote transparency

Balance:

- The interest category of a voting member is to reflect the business or other interests of their primary source of support for participation on the consensus body
 - Clarification concerning the use of a General Interest category
 - Edits to footnote re: "further interest categories"
- New definitions: "sponsor" and "consultant"
- Reinforcing statement that sub-categories of interest categories should not be used to circumvent balance requirements

2.1 Openness

Timely and adequate notice of any action to create, revise, reaffirm, or withdraw a standard, and the establishment of a new consensus body shall be provided to all known directly and materially interested parties. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information. In addition, the member's name (or if membership is by organization, the name of the organization with a point of contact), affiliation—and interest category of each member of the consensus body shall be made available to interested parties upon request. The affiliation of a consensus body member refers to the entity that the consensus body member represents, which may or may not be that person's employer. If the consensus body member is serving in an individual capacity, then the name of the individual, their sponsors (if any) and interest category shall be made available upon request. Contact information is not required.

A sponsor is defined as an organization that provides funds specifically to support the individual's participation in the standards activities of the consensus body.

2.3 Balance

Historically the criteria for balance are that a) no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards.

The interest categories appropriate to the development of consensus in any given standards activity are a function of the nature of the standards being developed. Interest categories shall be discretely defined, cover directly and materially interested parties and differentiate each category from the other categories. Such definitions shall be available upon request.

Consensus body members, including consultants, typically are classified in accordance with the business or other interests of their employers or the sponsors they represent in connection with the standards development activity. In cases where a consensus body member receives funding from the sponsoring ANSI-Accredited Standards Developer (ASD) or other entities, that information shall be disclosed to determine if it will impact the member's interest classification.

For purposes of this section, a "consultant" is someone who agrees to provide professional service in exchange for compensation, financial or otherwise.

2.3 Balance (continued)

In <u>determining</u> the interest categories appropriate to a standards <u>development</u> activity, <u>an ASD shall give</u> consideration shall be given to at least the following <u>three categories</u>:

- a) producer;
- b) user;
- c) general interest.

If, after consideration, a "General Interest" category is deemed appropriate, that interest category should include only those whose business or other interests are not covered by another discretely defined interest category.

Where appropriate, additional interest categories should be considered. However, interest categories shall not be created for the purpose of avoiding balance requirements.

Further interest categories that may be used to categorize directly and materially interested parties consist of, but are not limited to, the following: a) Consumer; b) Directly affected public; c) Distributor and retailer; d) Industrial/commercial; e) Insurance; f) Labor; g) Manufacturer; h) Professional society h) Regulatory agency; i) Testing laboratory. K) Trade association.

Overview of select revisions incorporated in the 2022 ANSI Essential Requirements

- Emphasis on timely and adequate notice of standards development activity in *media suitable* to demonstrate that a meaningful opportunity for participation by all directly and materially interested parties in a fair and equitable manner was provided.
 - ✓ Website posting is good, but please do more
 - ✓ Review the balance/outreach guidance document
- PINS revision (more detailed "notice")
- Appeals: Clarifications to better explain ANSI's appeals
 processes and reference to applicable procedures based on the
 type of appeal, e.g., ANS vs accreditation

2.5.1 Project Initiation Notification System (PINS)

A statement shall be submitted and published as part of the PINS announcement that shall include:

- (a) an explanation of the need for the project, including, if it is the case, a statement of intent to submit the standard for consideration as an ISO, IEC or ISO/IEC JTC-1 standard; and
- (b) identification of the stakeholders (e.g., telecom, consumer, medical, environmental, etc.) likely to be directly impacted by the standard; and
- (c) the interest categories that will or are expected to comprise the consensus body.

If the response to sub-section (b) changes substantively as the standard is developed, a revised PINS shall be submitted and published.

If a developer receives a written request for additional information or for the opportunity to discuss the proposal from a directly and materially interested outside party or current consensus body member, during the 30-day PINS comment period, the ASD shall respond in writing within 30 days of the comment deadline.

2022 New Guidance Documents

- ✓ ANSI Essential Requirements: Series of three Q&As based on webinars and questions submitted for the ExSC
- ✓ Engaging Consumers in Standards Development: Recommendations from Consumer Representatives
- ✓ Guidance re: Disclosure of Consensus Body Member Interests and Supporting Transparency in the American National Standards (ANS) Process
- ✓ Interest Classification and Balance Assessment Guidance for Consumer-Product-Safety Standards intended to be approved as American National Standards (ANS)
- <u>www.ansi.org/asd</u> then select "ANSI Procedures, Guidance, Interpretations and Forms"



QUESTIONS?

National Adoption Policy Update

- As the U.S. member body to ISO and, through the USNC to IEC, ANSI has the right to nationally adopt ISO, IEC and ISO/IEC JTC1 standards.
- ANSI shares these national adoption rights with eligible U.S. TAG Administrators.
 - Many TAG Administrators are also ANSI-Accredited Standards Developers (ASDs).
- In order to nationally adopt, the standard must be processed as an American National Standard (ANS) by an ASD in accordance with the ANSI Procedures for the National Adoption of ISO and IEC Standards as ANS (www.ansi.org/nationaladoption).
- National adoptions are governed by the <u>ANSI National Adoption</u>
 <u>Policy</u>, which is under the jurisdiction of the Executive Committee of the Board of Directors.

Update to the National Adoption Policy – Effective January 1, 2023

- 1. Codify the long-standing interpretation that a TAG Administrator's decision to assign or not assign national adoption rights is not appealable to ANSI
- 2. Clarify that an ASD's eligibility to obtain nationaladoption rights is limited to ASDs that meet the definition of U.S. National Interested Party
- 3. Clarify that under sections 2.5 and 2.6, the ExCo decides any national adoption requests submitted by an ANSI-Accredited Standards Developer (ASD) when no TAG exists or ANSI is the TAG Administrator

QUESTIONS?

National Adoption Procedural Questions?
psa@ansi.org

National Adoption Contractual Questions?

Katie Calder kcalder@ansi.org

Let's focus now on the 2023 Annual Compliance Form/E-mail

Annual Procedural Compliance Form/E-mail

- Issued on January 10, 2023
- Communicates procedural revisions (if any)
 - If none, like 2023, then annual confirmation of compliance still required
 - 2022 ANSI Essential Requirements remains in effect in 2023
 - Opportunity to review your accredited procedures and any supplemental documents to ensure full compliance with the ANSI Essential Requirements
 - ✓ Also a good time to review your last audit to make sure any necessary revisions were completed and submitted
- Includes binding certification by ASD of overall procedural compliance
- Every separate accreditation requires return of a Compliance E-mail/Form

What does the 2023 ASD Compliance Form/E-mail say?

What information/certification does the 2023 Compliance Form/E-mail Require?

Questions marked with an asterisk (*) are mandatory. 1* Applicability:

This ANSI Procedural Compliance Form applies to the procedures associated with this ANSI-Accredited Standards Developer:

Name of ASD

What information/certification does the 2023 Compliance Form/E-mail Require?

•••	
2.	* Do your current ANSI-accredited procedures comply with the 2022 edition of the ANSI Essential Requirements without any revisions? Please indicate YES or NO (if Yes please skip to question 4):
3.	Submittal of revised procedures/statement of intent to revise procedures to comply (check one):
	Our accredited procedures have been revised to comply with the 2022 ANSI Essential Requirements and a copy is attached. Please indicate here if any additional changes have been made to your accredited procedures:
	Our accredited procedures will be revised in order to comply with the 2022 ANSI Essential Requirements. This revision will be submitted to ANSI (psa@ansi.org) for review and approval by this date (please indicate the date, which must be no later

than March 1, 2023)

37

What does the 2023 Compliance Form E-mail Require?

4.* Returned By:

Please enter information for the staff associated with the accredited procedures for which this form is submitted:

Full Name:

E-Mail:

Confirmation by ANSI of Receipt

- Within two weeks of submitting the completed Compliance Form E-mail you will receive an acknowledgement E-mail
 - Please retain that E-mail receipt for your records
- If you do not receive an acknowledgement please send an E-mail to psa@ansi.org as a transmission error may have occurred
- If you submit revised procedures, but do not hear back within one month, please send an email to psa@ansi.org to ensure the procedures are in the processing queue

So let's review the timeline again...

- January 10, 2023 Compliance Form issued via E-mail
- March 1, 2023 Compliance Form due to <u>psa@ansi.org</u>
 - ✓ Indicates compliance with the entire Essential Requirements (not just 2022 edition changes)
- March 1, 2023 Final deadline for submitting revised procedures related to 2022 Compliance Form (E-mail)
 - ✓ Revised procedures may be submitted any time, but must be submitted *timely* in connection with any changes
 - ✓ Must be submitted in strike-through-underline format with explanation (ExSC requirement)

Failure to return Compliance Form timely (which we know will not happen...)

- The ANSI Executive Standards Council (ExSC), which is the accrediting body, will be advised and your organization's status as an ANSI-Accredited Standards Developer (ASD) will be reviewed and could be suspended.
 - Progression of actions: Reminder to primary ASD accreditation contact, note to boss on behalf of ExSC, public listing in SA
 - Audit finding
- Note: You may (are expected to) also submit overdue compliance forms from past years – this is an Audit finding

QUESTIONS?

Still to come: ER Maintenance and Resources

How is the "ANSI Essential Requirements: Due process requirements for American National Standards" maintained and how can it be changed?

ANSI Essential Requirements Revision Process

- All ANS-related ANSI procedures are "living" documents, subject to revision
- Proposed procedural revisions to the ANSI ER:
 - Proposal submitted to psa@ansi.org (strikethrough, underline with rationale)
 - Proposal reviewed by the ANSI Executive Standards Council (ExSC)
 - If supported, proposal announced in *Standards Action* (www.ansi.org/standardsaction)
 - Public comments reviewed and responded to by the ANSI ExSC
 - If supported after public review, then ANSI ExSC submits to ANSI Executive Committee of the Board of Directors for final approval
 - Revision incorporated into the next annual (January) edition of the ANSI Essential Requirements

ANSI Essential Requirements: 2003-2022

- Summary of annual changes to the ANSI Essential Requirements since its issuance are contained in the document entitled "Summary of Revisions to the Essential Requirements: 2003-2022"
- Available at <u>www.ansi.org/asd</u> with other guidance documents

Additional Reminders...

If you would like to promote an ANS that has been adopted by a Federal Agency, please let us know! Contact pr@ansi.org

New Guidance Issued in 2022

- www.ansi.org/asd
- 3 Q&As re 2022 ANSI Essential Requirements > ExSC_022_2022, ExSC_042_2022, ExSC_069_2022
- 3 Guidance documents:
 - ExSC_52_2022: Engaging Consumers in Standards Development: Recommendations from Consumer Representatives
 - ExSC_053_2022: Guidance re: Disclosure of Consensus Body Member Interests and Supporting Transparency in the ANS Process
 - ExSC_054_2022: Interest Classification and Balance Assessment Guidance for Consumer-Product-Safety Standards intended to be approved as ANS



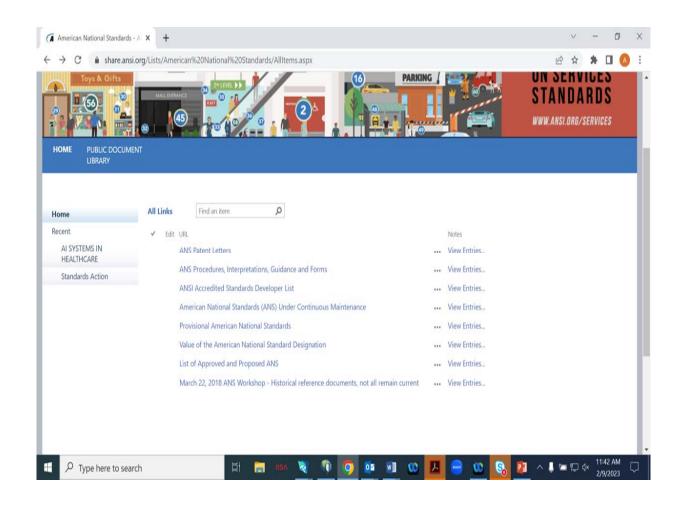
Targeted Outreach...special reminder...

- ✓ Review "Balance" guidance document (2022 editorial updates)
- A general call for consensus body members is a good thing and checking the relevant box on a PINS or BSR-8 form at http://psawebforms.ansi.org/ automatically generates such an announcement
- Targeted Outreach evidence is <u>required</u> if consensus body lacks balance!
- ✓ Additional option: Targeted outreach through ANSI Standards Action

ASDs may also request publication of announcements in **Standards Action** intended to **target and recruit** consensus body members in one or more specific interest categories:

- Please send the text of the announcement to psa@ansi.org
- Include the proposed standard's designation and title, the underrepresented interest category(ies) on the consensus body along with the definitions of those interest categories and a contact/link to apply for consensus body membership along with any relevant deadlines and interesting information about the project.
- Publication will generally be in accordance with the <u>ANSI Standards Action publication</u> schedule

www.ansi.org/asd



ANS Procedures, Interpretation, Guidance and Forms SAMPLE <u>www.ansi.org/asd</u>

- ANS Forms slide deck
- Appeals guidance
- Audit procedures and guidance
- Balance, Outreach & Targeted Outreach guidance (2022)
- PINS Deliberation guidance & sample report (2022)
- Efficiencies in the standards development process
- ExSC interpretations: recirculation, openness
- Implementation Guidelines: Embedded Trademarks, Software in Standards
- National Adoptions of ISO, IEC and ISO/IEC JTC 1 as ANS slide deck of the basics
- ANS-related webinar slides
- and more...

Use of ANS & ASD Marks

Rules for use of ANS and ASD marks:

https://www.ansi.org/resource-center/logo-use





"ANSI" Cannot be used as part of a compliance mark on a product

- "ANSI", the ANSI logo, and numerous other identifiers containing "ANSI" are registered trademarks, service marks, and accreditation marks of the American National Standards Institute (ANSI).
- ANSI does not itself develop standards or certify management systems, products, services, materials, or personnel.
- ANSI does not permit, under any circumstances, the use or registration by others of "ANSI," the ANSI wording and crescent design logo ("ANSI Logo"), icon, or any other marks, names, or domain names consisting of or incorporating ANSI or marks owned by ANSI, or anything confusingly similar (individually and collectively "ANSI Marks").
 - Doing so would give the false impression that ANSI carries out certification activities, or has approved or authorized the organization using its ANSI Marks.

Resources



Enhanced ANSI Website (www.ansi.org)

✓ ANS - Background:

https://www.ansi.org/american-national-standards/ans-introduction/overview#introduction

✓ ASD – Developer focused:

https://www.ansi.org/american-national-standards/info-for-standards-developers/standards-developers

✓ General Public - participation:

https://www.ansi.org/american-national-standards/info-for-the-general-public/general-public

✓ Standards Action page with resources including link to PINS/BSR-8 and ANS updated reports

www.ansi.org/standardsaction

Helpful Resources

- Cleo Stamatos, ANSI Consumer Outreach Manager: cstamatos@ansi.org
- Standards Action and 2023 publication schedule: <u>www.ansi.org/standardsaction</u>
- Summary of ANS process steps: www.ansi.org/anskeysteps
 - See another version through the ANS-pages from the ANSI home page
- PINS,BSR-8s,BSR-11,PSA-01 (single and excel) always current: https://www.ansi.org/portal/psawebforms/
- ANS Training: PSA will send emails to all ASDs when the next series of webinars is scheduled in 2023
- ANS Value Brochure: <u>www.ansi.org/ansvalue</u>
- Standards Boost Business: <u>www.standardsboostbusiness.org</u>
- ANSI Membership Overview & Orientation sessions monthly on the 1st Friday of every month (30 minutes)
 https://www.ansi.org/membership/overview-webinar

QUESTIONS? Thanks for joining!

Please take the quick 2 question survey that follows.

American National Standards Institute

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