ANSI-Accredited Standards Developer Audit: Required Documentation

In connection with an ANSI Audit, ANSI-Accredited Standards Developers are required to make available to Auditors the documentation listed below. Questions: psa@ansi.org .

Please note that developers need to be able to provide to the ANSI auditor any additional documentation not listed below to demonstrate compliance with any and all requirements contained in their procedures, regardless of whether those requirements are in the ANSI Essential Requirements.

Procedures *Make this one folder*

1. Most recently ANSI-accredited procedures and, if different, procedures used to develop standards that will be audited
2. Copies of any required policies that are not on file at ANSI (Records Retention Policy, Appeals Policy, Interpretation Policy, Metric Policy, Patent Policy, Policy, Commercial Terms and Conditions Policy, and Antitrust Policy)

For Each Audited Standard *Make a folder for each standard. In each standard folder, include:*

PINS/Project Initiation subfolder
3. Documentation authorizing the initiation of the project
4. PINS form(s)
Include any correspondence with ANSI about the PINS

BSR-8 subfolder
5. BSR-8/108 form(s)
Include any correspondence with ANSI about the BSR-8 form(s)

BSR-9 subfolder
6. BSR-9/109 form(s) with all supporting documentation that accompanied the submittal to ANSI (e.g., **consensus body roster with interest categories and how each individual voted**), and any correspondence with ANSI on the submission; if applicable, evidence that a BSR-109 form was submitted no later than ten working days after the standard was designated as an ANS
7. BSR-10 (if applicable)

Rev 2017

8. Evidence of extension requests and responses from ANSI (BSR-11)

Ballot subfolder – one for each ballot conducted – including recirculation ballots
9. Original letter ballots (and all recirculation ballots), or minutes if voting was at a meeting, that reflect the specific votes of each member of the consensus body; evidence if voting on standard was done at a meeting that anyone who missed the meeting was given an opportunity to vote and evidence of follow-up correspondence for unreturned ballots
Include original distribution of ballots and accompanying documents; ballots completed by consensus body members
10. All comments submitted during ANSI public review or a statement that no public comments were received
11. All attempts at comment resolution to address objections from the consensus body and/or ANSI public review; evidence that written dispositions with attempts at resolution were provided to these objectors
12. Documentation from the consensus body member and/or public review commenter withdrawing the negative vote or comment
13. Documentation of actions to inform unresolved objectors from the consensus body and/or public review in writing of the right to appeal
14. All minutes that relate to the development of the standard being audited
Unless they related to project initiation – then they go in PINS folder

Published standards subfolder
15. Published copies of the standards being audited

For the Consensus Body/Bodies – *If you only use one consensus body, this can be one folder; if you ever use more than one (such as different canvass groups for different standards) they can be separate folders, or subfolders under the applicable standard*
16. Documentation evidencing that consensus body members are being added to and/or removed from the consensus body in accordance with the accredited procedures, including invitations, requests to be added or applications, evidence of any required approvals (votes, appointments, etc.), and correspondence to the member
17. Documentation regarding monitoring and taking action on consensus body members who are not meeting participation requirements
18. Evidence that the developer is soliciting additional participation as necessary, and if balance is an issue, targeting the solicitation to under-represented interest categories (web-site announcements, trade press, press releases, newsletters, direct mailings, meeting minutes, Call for Members in ANSI's *Standards Action,* etc.)
19. Documentation to verify the interest categories for the consensus body members as reported on the BSR-9 form(s). In addition, that interest categories are discreetly defined and available upon request.
20. Documentation that rosters are maintained and distributed per the accredited procedures

Appeals and Interpretations *Make a folder for each*

21. All documentation related to any appeals that were discussed and identified during the pre-audit teleconference

22. Example(s) of interpretation requests received and processed in accordance with the developer's Interpretation Policy since the last audit and discussed and identified during the pre-audit teleconference

Miscellaneous *Make this one folder*

23. If not available on the developer's website, the developer's mission statement and a brief background/history of the developer

24. Evidence of project tracking- using formal or informal means

25. Evidence of formal training- both for standards developer staff as well as for volunteers

26. Copies of any MOUs or formal agreements with other standards developers

27. Examples of articles in trade press, press releases, or other publicity conducted to announce relevant standards activities and/or to publicize new editions of the developer's standards