



Summary of Revisions to the *ANSI Essential Requirements*:

2003 – 2020

Note: the ANSI Essential Requirements: Due process requirements for American National Standards (www.ansi.org/essentialrequirements) replaced the ANSI Procedures for the Development and Coordination of American National Standards in 2003.

Year	Clause	Title	Revision summary
2003	2.1	Openness	Insertion of an explanation of the term “affiliation”.
	2.3	Balance	Combines two sections: balance and interest categories.
	2.4	Notification of standards development and coordination	Revision to the PINS process. Specific requirement for the submittal of additional information via the PINS for publication in <i>ANSI’s Standards Action</i> . Requirement for the submittal of a revised PINS in certain situations. Specific acknowledgement of the PINS requirement for standards maintained under the Continuous Maintenance option.
	2.6	Evidence of consensus and consensus body vote	Revision to the procedures that govern the handling of negative votes and the requirements imposed on ASDs with regard to documentation of a change of vote from negative to affirmative.

Year	Clause	Title	Revision summary
	2.7	Appeals	Although not specifically called out in this section, the following option specified in the appeals procedures contained in the previously maintained Annex A, Model procedures for committees (clause A12), has been eliminated: “If the parties to the appeal cannot agree on an appeals panel within six weeks, the matter shall be referred to the Executive Standards Council or its designee, which shall appoint the members of the appeals panel.” Accordingly, any ASD with such a provision in their appeals procedures (including all those who utilize A12) is required to revise their appeals procedure, as the ExSC will no longer be available to facilitate the developer-level appeals process in this way.
	4.1	Accreditation of American National Standards Developers	Elimination of references to three methods of accreditation. Note that although references to Accredited Standards Committees (ASC) have been eliminated, for those developers accredited under this method, the current view of the ExSC is that the accreditation is jointly held by the secretariat and the committee. If this view changes, ASDs will be notified.
	4.1.3	Maintenance of accreditation	New requirement for ASDs that do not maintain at least one ANS. The requirement in this circumstance is that the ASD must submit their accredited procedures for review and approval on a five-year cycle as well as a justification as to why the ASD has not submitted any standards for approval as ANS and why the accreditation remains relevant.
	4.2.1.1	Criteria for approval of an American National Standard	Elimination of the requirement as a condition of approval as an ANS that the proposed standard be provided to the administrator(s) of the appropriate U.S. TAG. The ExSC continues to encourage coordination but will not condition approval of a standard as an ANS upon this transmittal. The ExSC notes the coordination mechanisms established via the PINS process, comment consideration requirements and section 4.3 Planning, coordination and public notice.
	4.6	National Adoption of ISO or IEC Standards as American National Standards	The applicable normative procedures are referenced here, but are now contained in a standalone document.

Year	Clause	Title	Revision summary
	4.7.1	Periodic maintenance of American National Standards	Revision to the extension process applicable to overage standards. If an ASD has submitted a PINS or BSR-8 in connection with the overage standard, then an extension request for that standard is not required. Clarification that at the tenth anniversary of approval of a standard as an American National Standard, the standard's approval automatically expires.
	Annex A	Definitions	New annex that contains existing and recently approved definitions applicable to the ANS process.
	Annex B	Draft standards for trial use	Existing text separated into a new annex.
	Annex C	Procedures for the Development of a Provisional ANS or a Provisional Amendment to an ANS	New annex that details a new process for the approval of a new type of provisional document, i.e., Provisional ANS or Provisional Amendment to an ANS. Note this annex contains designation, maintenance and audit information.
2004	1.7	Appeals	Clarification that “procedural complaints include whether a technical issue was afforded due process”. This text should have been included in the 2003 edition of the <i>ANSI Essential Requirements</i> , but was inadvertently omitted.
	2.4	Notification of standards development and coordination	Revision to the PINS requirement. Reduces the PINS comment period from 45 days to 30 days.
	2.6	Evidence of consensus and consensus body vote	Clarifies that all members of a consensus body shall have the opportunity to vote on the approval of a document or portion thereof as a candidate American National Standard.

Year	Clause	Title	Revision summary
	2.7.1	Right to appeal	Clarification that is consistent with the revision to 1.7 noted above.
	3.2	Commercial terms and conditions	Clarification that reintroduces flexibility that existed in a prior version of this provision.
	3.3	Evidence of compliance	Revision to the requirements previously referred to as “records retention” requirements. This revision increases the options available to standards developers with regard to the retention of evidence of compliance with the procedures upon which accreditation by ANSI was granted.
	4.4	Designation of American National Standards	Clarification of the requirements associated with text that has not undergone a developer’s ANSI-accredited procedures.
	4.5.1	Style of publication	Deletion of this section due to an outdated reference. For assistance with publication style, please see the “ANSI Style Sheet” posted on ANSI Online.
2005	2.4	Notification of standards development and coordination	Clarification that the PINS submitted to ANSI is required to provide the information requested in points (a) and (b) of clause 2.4. Submittal of this information is not optional.
	3.3	Evidence of Compliance	Revision for consistency.
	4.2.1.3.2	Withdrawal by ANSI Accredited Standards Developer	Clarification of the available withdrawal options that do not require consensus body vote.
2006	2.5	Consideration of views and objections	Clarification of recirculation requirements.

Year	Clause	Title	Revision summary
	3.2	Commercial terms and conditions	Clarification of what is allowable under the commercial terms and conditions provision of the ANSI Essential Requirements.
2007	1.7 & 2.7	Appeals	These revisions clarify the expectations with regard to appeals fees. A reorganization of text is also incorporated.
	2.3	Balance	These revisions clarify the requirements relative to interest categories and the relationship between interest categories, i.e., that the interest category definitions must be defined and discreet. The proposal is not intended to limit the number of potential interest categories but to aid in the understanding of the requirements relative to ANS.
	2.4, 3.3 & 4.7	Stabilized Maintenance of an ANS	These revisions relate to a new “stabilized maintenance” option for American National Standards (ANS). In particular, clause 4.7.3 provides the details of the new option; other companion revisions are also incorporated in other sections. Clause 3.3 addresses evidence of compliance requirements.
	2.6	Evidence of consensus and consensus body vote	These revisions codify the requirement that ANSI-Accredited Standards Developers include in their procedures how consensus will be determined with respect to a candidate ANS. In addition, the revision contains an example of the criteria for consensus, but notes that a developer may submit for approval an alternative methodology for determining consensus.
	2.4, 4.2 & 4.7	National Adoptions of ISO and/or IEC standards as ANS	These are companion revisions to those contained in the National Adoption Procedures, which is a separate document. Among other things, the requirement that a PINS be submitted for national adoptions has been reinstated.
2008	1.4	Coordination and harmonization	New clause – clarifies that coordination and harmonization is an ANSI essential requirement for due process.
	2.4	Coordination and harmonization	New clause – clarifies what is meant by coordination and harmonization and provides a revised definition of conflict within the ANS process.

Year	Clause	Title	Revision summary
	2.5	Notification of standards development and coordination	Requires ANSI-Accredited Standards Developers who intend to submit a candidate/ANS for consideration as an ISO or ISO/IEC JTC-1 standard to state as much in the associated PINS and public review announcements.
	3.1	ANSI Patent Policy	Revised to include clarifications to the ANSI Patent Policy.
	4.2.1.1	Criteria for approval of an ANS	Revisions consistent with text related to conflict within the ANS process.
	4.2.1.3.4	Withdrawal for Cause	Revisions consistent with text related to conflict within the ANSI process.
	4.7.2	Continuous maintenance of ANS	Revisions to clarify processes associated with ANS maintained under the continuous maintenance option but that are not active within the prior five year maintenance cycle.
	5.2	Criteria for approval of ANSI Audited Designator Status	Revisions consistent with text related to conflict within the ANSI process.
	5.4	Requirements (ANSI Audited Designator)	Revisions consistent with text related to conflict within the ANSI process.
2009	3.1	ANSI Patent Policy	Revised to include a clarification to the ANSI Patent Policy.
	Annex A	Definitions	Editorial add of the definition of “stabilized maintenance” as contained in clause 4.7.3 of the main text of the <i>ANSI Essential Requirements</i> .

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	Annex B – of the 2008 edition of the <i>ANSI Essential Requirements</i>	Draft American National Standard for Trial Use	Deleted. Any developer whose procedures reference or address “Draft American National Standards for Trial Use” is required to revise those procedures to (1) delete them; or (2) revise the draft standard for trial use provision to eliminate reference to ANSI and to the document as a “Draft <u>American National Standard</u> for Trial Use”. Documents previously labeled and processed as <i>Draft American National Standard for Trial Use</i> are no longer recognized as such by ANSI.
2010	2.1	Openness	Revision clarifying that if consensus body membership is by organization and not individual, then a consensus body roster (per clause 2.1 of the <i>ANSI Essential Requirements</i>) shall be made available upon request and include a point of contact (not contact information), along with the name of the organization that is a voting member of the consensus body. The point of contact is not necessarily the person who cast the vote on behalf of the organization.
	4.2.1.2	Reaffirmation of an ANS	<p>Revision to increase flexibility with respect to the identification of an ANS as a reaffirmed document. The following options, for example, satisfy current procedural requirements and the 2010 revision:</p> <ul style="list-style-type: none"> · Republished with a designation that includes (R20xx); · Insert with reaffirmation notice that accompanies the standard; or · Notation on or in the document. <p>The ExSC confirmed that a reaffirmed document does not require reprinting; however, something on or associated with a specific copy of the document must indicate to the user of the document that it is a reaffirmation of an existing ANS.</p>

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	4.2.1.3.4	Withdrawal for cause	<p>Revision to address the process by which the ANSI Executive Standards Council (ExSC) may remand an American National Standard (ANS) to the ANSI Board of Standards Review (BSR) for reconsideration as a result of an audit or an appeal.</p> <p>This revision details the remand process applicable to a standard that is already approved as an ANS and that has been the subject of an ANSI audit or ANSI appeal. If related findings indicate that the standards development process appears to have lacked due process, the BSR will be asked to reconsider the approval status of the standard as an ANS.</p>
	4.4	Designation of American National Standards	Revision is intended to highlight, and thus clarify, the current requirement reflected in clause 4.4 that portions of a document that were not approved through the ANS process shall be labeled appropriately as such and shall not include provisions that are required for conformance to an ANS.
2011			<i>2010 edition of the ANSI Essential Requirements unchanged.</i>
2012	1.3	Balance	Revision is intended to clarify outreach requirements with respect to balance on an ANS consensus body, connecting 1.3 with the historical criteria for balance as stated in clause 2.3. The ANSI Executive Standards Council (ExSC) also confirmed that like other evidence of procedural compliance, evidence of outreach is required to be made available to the ANSI Board of Standards Review, as applicable, and retained as part of the record that is subject to ANSI audit.
2013	2.5 and sub-parts	Notification of standards development and coordination	<p>Reorganization of 2.5. Addition of deadlines related to the PINS Deliberation process and the submittal of one or more PINS Deliberation Reports. Clarification that actions agreed upon from any deliberations shall be carried out in a reasonably timely manner, but normally should not exceed 90 days following the deliberation. Clarifications related to PINS Deliberation Report submittal by stakeholders.</p> <p><i>Note: Updated PINS Informational Guidance Document includes a sample (non-mandatory) PINS Deliberation Report.</i></p>

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2014	4.2.1.3.3	Discontinuance of a standards project	Clarification of the requirements related to the discontinuance of a standards project that has been announced in <i>ANSI Standards Action</i> but will not proceed based on a decision made by the sponsoring ANSI-Accredited Standards Developer without a vote of the relevant ANS consensus body.
	Editorial only	Editorial changes only to 2.5 and 2.7	Replace “draft” with “proposed”.
2015	3.1	ANSI Patent Policy	Addition of text to address patent transfers in connection with patent letters of assurance. Patent letters of assurance received after March 2, 2015 must comply with this provision.
	3.3	Antitrust Policy	New Antitrust Policy: a developer may adopt the language provided in the new section 3.3 or may develop its own policy that complies and that is on file with ANSI as part of its accreditation record.
	4.5	Publication of ANS	Clarification of ANS publication requirement as it applies to ANSI-Accredited Standards Developers that hold the status of ANSI Audited Designator.
	4.7.1 and 4.7.2	Maintenance of ANS	Clarification related to the National Adoptions of ISO and IEC standards as ANS. Clarification of ANS extension processes as they apply to ANSI-Accredited Standards Developers that hold the status of ANSI Audited Designator.
2016	2.5.2	Public Review	Addition of a footnote to clarify public review requirements.
	3.1	ANSI Patent Policy	Addition of text to require that ANSI-accredited standards developers encourage disclosure of essential patent claims.

Year	Clause	Title	Revision summary
2016	4.1, 4.1.1	Accreditation of American National Standards Developers	Addition of text to clarify that an applicant for accreditation by ANSI as a standards developer is required to be incorporated, registered or otherwise recognized as a legal entity.
2017	B.1.7	Processing the Provisional ANS as an American National Standard	This revision clarifies that a PINS is required, either before or after publication of an initial announcement in Standards Action that identifies the Provisional ANS or Provisional Amendment to an ANS.
2018	4.1.3	Maintenance of accreditation	Addition of text consistent with 4.1 and 4.1.1, to clarify that in order to maintain accreditation by ANSI, an ASD shall continue to maintain its status as an incorporated, registered or otherwise recognized legal entity.
2019	3.1	ANSI Patent Policy	This revision is intended to reflect the understanding, concerning revisions and reaffirmations, that updated patent letters of assurance are required only for <u>revisions</u> and only with respect to new revised text in a proposed American National Standard (ANS) that contains an essential patent claim. Updated patent letters of assurance are not required for reaffirmations of existing ANS, as a reaffirmation by definition means that no substantive changes to the ANS have been incorporated.
2020	3.1.2	ANSI Patent Policy	This revision removes the requirement that an ASD submit positive patent letters of assurance (LOAs) to ANSI, but requires that they continue to be retained by the ASD and posted publicly either by the ASD or by ANSI. In addition, in connection with this revision, the BSR-9 and BSR-109 forms will be revised in 2020 to expressly require that any negative LOAs associated with a candidate ANS be attached to the relevant BSR-9 (or BSR-109).

Year	Clause	Title	Revision summary
2020	4.3	Planning, coordination and public notice	This provision has been updated to recognize reliance on the current procedures applicable to the handling of claims of conflict and duplication within the American National Standards (ANS) process. The PINS notification and deliberation process (See 2.5.1 PINS) is the primary mechanism by which claims of conflict and duplication are vetted within the ANS process, in addition to the opportunity for stakeholders to address such claims through public comment, voting and appeals processes.