



Auditing Policy and Procedures for ANSI-Accredited U.S. TAGs to ISO

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Auditing Policy and Procedures for ANSI-Accredited U.S. Technical Advisory Groups (U.S. TAGs) to ISO

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Foreword

Having an auditing process at ANSI helps strengthen the voluntary consensus standards system as a whole. The purpose of auditing ANSI accredited U.S. TAGs to ISO is to provide assurance that approved procedural rules for participation in international standards development are being followed. Auditing provides ANSI and the accredited U.S. TAGs with an evaluation of actual participation in the international standards activities and the development of U.S. national body positions.

The *ANSI Auditing Policy and Procedures for U.S. Technical Advisory Groups to ISO* was originally approved by the ANSI Board of Directors' National Policy Committee in March 2002.

American National Standards Institute Auditing Policy and Procedures for ANSI-Accredited U.S. Technical Advisory Groups (TAGs) to ISO

1 Introduction

Participation in ISO and IEC standards activities, respectively, requires membership in each of the international non-treaty standardization organizations, the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC). ANSI's membership in these organizations provides U.S. interests with the opportunity to participate in the work of the ISO and IEC toward the development of international standards. ANSI provides financial and administrative support for overall U.S. ISO and IEC membership together with management leadership. The U.S. National Committee (USNC) is responsible for the interface with IEC, and operates in accordance with the operating manual of the USNC for IEC.

As the U.S. member body of ISO, ANSI is responsible for participation in those technical areas of work where U.S. interests have indicated support. Participation is through the selection/establishment of U.S. technical advisory groups (U.S. TAGs) for ISO technical committees or subcommittees.

To assure that positions presented to ISO are representative of U.S. interests the American National Standards Institute (ANSI) accredits and coordinates several hundred organizations that serve as U.S. Technical Advisory Groups to ISO Technical Committees based in part on the U.S. TAG procedures which are required to ensure due process and consensus. The U.S. TAG can either develop its own procedures or adopt the *Model Operating Procedures for U.S. TAGs to ANSI for ISO activities* ANSI provides the criteria, and procedures for achieving due process and determining consensus on U.S. positions, as well as other requirements for participation in the international standards arena. These ANSI criteria and requirements are accepted by each accredited U.S. TAG as a condition of accreditation. See *ANSI Procedures U.S. Participation in the International Activities of ISO*, hereafter referred to as the "*ANSI International Procedures*".

ANSI's auditing process is intended to confirm adherence to the criteria for accreditation and to confirm that the procedures and practices of accredited U.S. TAGs continue to be consistent with current ANSI requirements and those that formed the basis for accreditation. Auditing also is intended to increase the level of credibility and the effectiveness of due process for all persons who are directly and materially affected by the development of a U.S. position on a proposed ISO or IEC standard. In addition, auditing supports and strengthens the voluntary consensus standards system and enhances the reputation and integrity of ANSI-Accredited U.S. TAGs to ISO. Auditing can also assist ANSI-accredited U.S. TAGs to ISO in improving their operations and in detecting potential problems. Although the *ANSI International Procedures* provide for regular audits, the ANSI Board of Directors has determined that audits of ANSI Accredited U.S. TAGs to ISO shall only be scheduled for cause due to serious procedural violations or complaints.

ANSI's auditing process extends to all ANSI accredited U.S. TAGs regardless of the procedures they use. Audits will be scheduled by the ExSC for cause according to clause 5 of these procedures. The audit applies to the activities of the U.S. TAG and the TAG Administrator. The U.S. TAG, as well as the

TAG Administrator, share the responsibility for ensuring that the U.S. TAG is operating in accordance with its accredited procedures and for meeting ANSI's requirements for due process, consensus and other ANSI criteria. However, the final responsibility for a U.S. TAG's compliance with their procedures rests with the TAG Administrator as referenced in clause 2.3.3 of the *ANSI International Procedures*. Any findings and subsequent recommendations in the audit report will be the joint responsibility of both the U.S. TAG and the TAG Administrator to ensure that corrective action is taken to address those items. Throughout these procedures, reference to U.S. TAG or ANSI-Accredited U.S. TAG to ISO can be inferred to include the TAG Administrator.

The ANSI auditing process includes independent audits conducted by ANSI or ANSI-designated auditors at the site of the respective TAG Administrator or by remote audits and review by ANSI of all audit reports. The remote audit concept is intended only for those U.S. TAGs that are responsible for providing U.S. input on a very small number of international standards. The Executive Standards Council (ExSC) has authorized the ANSI Audit Director, at his or her discretion, to determine which U.S. TAGs may select the remote audit option. In the case of a remote audit, the audit shall be conducted following receipt of all requested documentation. All fees and expenses associated with the conduct of any ANSI audit shall be the responsibility of the ANSI-Accredited U.S. TAG to ISO.

2 Authority and responsibilities

Responsibility for the accreditation of U.S. TAGs rests with the ANSI ExSC. The authority by which ANSI audits accredited U.S. TAGs is described in the *ANSI International Procedures*, which assign responsibility for auditing to the ANSI Audit Director under the supervision of the ExSC.

The ANSI Audit Director's authority includes arranging for audits of accredited U.S. TAGs, overseeing of the audits themselves, and transmitting audit findings and recommendations to the ExSC (see 2.5.5.4 of the *ANSI International Procedures*).

The ExSC's authority includes developing audit procedures, determining which U.S. TAGs shall be audited, reviewing audit reports and recommendations received from the ANSI Audit Director confirming adherence to the criteria for accreditation, and confirming that the procedures and practices of accredited U.S. TAGs continue to be consistent with current *ANSI International Procedures*. The ExSC is also responsible for taking any necessary action based on its audit findings (see 2.5.5.4 of the *ANSI International Procedures*). Further, appeals related to such an audit are made to the ANSI ExSC.

The audit will examine some or all of the following based upon the instructions of the ExSC:

1. Procedures in use by the U.S. TAG governing the development of U.S. positions;
2. Knowledge of and compliance with ISO and ANSI requirements;
3. Records of compliance and their maintenance;
4. Adherence to ANSI due process and consensus criteria;
5. Balloting procedures and results;
6. Documentation of attempts to resolve objections; and
7. Appeal mechanism and its implementation.

3 Extent of audits

Audits shall involve a review of the operations of ANSI-accredited U.S. TAGs as they relate to the development of a U.S. position and associated activities, including continuity of administrative oversight and support of these activities. A sampling of operations and documents shall be used to obtain a representative review. The specific nature of the audit will be determined by the ExSC, taking into account the basic parameters outlined below. All audits shall be scheduled upon the direction of the ExSC after consideration of serious procedural violations or a complaint.

- The scope of these audits shall include the development and representation of the U.S. position on the international standards on which the U.S. TAG submitted a position, whether that position was affirmative or negative.
- Based on the focus of the audit, the ExSC will determine if a single action of the U.S. TAG shall be reviewed, or if a broader scope is appropriate. If it is determined that a broader scope is appropriate, normally, not more than 10% of the international standards on which the U.S. TAG submitted a position would be reviewed. A minimum of 5 international standards (or all if there are fewer than 5) shall be reviewed. In those instances where more than 250 international standards are eligible to be audited, the number to be audited shall range between 25 and 40. The ExSC or its designee, in conjunction with the Audit Director, shall determine on a case by case basis the number of international standards to be audited, based on factors such as the number of accreditations or locations maintained by the U.S. TAG Administrator. In no instance shall the number of standards audited be greater than 40.
- Audits shall not involve the accounting or financial aspects of U.S. TAGs.

Audits shall take into consideration the practices and actions, records and reports of accredited U.S. TAGs in implementing their operating procedures to comply with ANSI criteria, rules, procedures and requirements including, but not limited to, the following items, as instructed by the ExSC:

- a) criteria for accreditation: (2.3, 2.4, 2.5) *
- 1) the U.S. TAG Administrator is a member of ANSI and possesses the requisite technical competence related to the international technical activity (2.3.1.2(2)) ;
 - 2) the U.S. TAG Administrator has agreed to follow all applicable ANSI and ISO procedures (2.3.1.2 (7));
 - 3) the U.S. TAG Administrator has agreed to comply with the requirements associated with ANSI oversight and supervision of the activities of all parties serving as U.S. TAG Administrators (2.3.1.2 (9));, including mandatory training by ANSI to support compliance with ANSI procedures governing the administration of the U.S. TAG and representation of U.S. interests at ISO (2.3.1.2 (8));
 - 4) the U.S. TAG operating procedures for developing and coordinating U.S. positions conform to the requirements of the ANSI *Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC* (Annex B of the *ANSI International Procedures*) (2.5.1);
 - 5) continuity of administrative oversight and support of standards activities is being provided (2.3.3);
 - 6) the U.S. TAG is in compliance with the criteria for balance and openness as outlined in sections B4.1 and B4.2 of the ANSI *Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC* (see Annex B of the *ANSI International Procedures*) (2.5.2(1));
 - 7) a U.S. TAG membership list and annual report is submitted to ANSI annually (2.3.3(2));
 - 8) the members of the U.S. TAG actively participate (2.3.3(3));
 - 9) U.S. proposals and U.S. positions are transmitted to ANSI as developed and approved by the U.S. TAG (2.3.3);
 - 10) U.S. delegates lists for all international meetings are transmitted to ANSI (2.3.3(6));

* Numbers in parentheses with an asterisk refer to corresponding sections in the *ANSI International Procedures*.

- 11) an appeals mechanism is provided and implemented consistent with ANSI requirements (2.3.3(8));
- 12) Establishing a written antitrust policy reflecting the TAG's practice to conduct all business and activity in compliance with applicable antitrust laws. (2.3.3 (9) and (B5.6)
- 13) The US TAG Administrator shall agree that the person(s) serving as the administrator of the TAG shall be a US citizen (or seeking U.S. citizenship) residing in the U.S., or as a U.S. citizen (or seeking U.S. citizenship) living or working abroad, or otherwise legally authorized to work in the U.S. (which would also include lawful permanent residents and individuals in the U.S. on temporary work visas) (2.5.2 (5)).

b) due process requirements: (Annex B)*

- 1) *Current operating procedures:* Practices used to implement the requirements regarding development of U.S. positions for the standardization activities of ISO are consistent with the currently accredited operating procedures and conform to the following due process requirements of ANSI (B.3 and B5.1):
 - _ *Openness of participation:* Participation is open to all U.S. national interested parties who are directly and materially affected by the activity in question (B4.1);
 - _ *Notification of standards development:* Timely and adequate notice of the formation of new activities related to international standards is provided to all known directly and affected interests, including ANSI's *Standards Action* (B4.1 and B5.2);
 - _ *Balance:* The process of developing U.S. positions provides an opportunity for fair and equitable participation without dominance by any single interest (B4.2);
 - _ *Interest categories:* Interest categories are appropriate to the development of consensus in any given standards activity (B4.2);
 - _ *Consideration of views and objections:* Prompt consideration is given to the written views and objections of all participants, including those commenting on the listing in *Standards Action* (B5.3);
 - _ *Appeals:* The written procedures contain an identifiable, realistic and readily available appeals mechanism (B5.5).
- 2) *Record retention:* Records are prepared and maintained to provide evidence of compliance with the *ANSI International Procedures* and the current operating procedures of the U.S. TAG. Such records are maintained and retained for the period of time specified in the records policy of the U.S. TAG as well as meeting ANSI requirements (B5.4).

c) criteria for approval of U.S. positions on international standards: (B7)*

- 1) the actual practices used to develop evidence of consensus for transmittal of U.S. positions on international standards activities to ANSI are consistent with the current operating procedures and conform to ANSI due process requirements; (B6)
- 2) U.S. positions concern international standards activities within the scope approved at the time of accreditation or reaccreditation with ANSI (2.2.2);
- 3) if no U.S. consensus has been established an abstention is submitted (B6.3).

d) other ANSI requirements:

- 1) *Complaint Notification:* a copy of any complaint concerning the manner in which the U.S. TAG is operating or the U.S. TAG administration is being conducted, and all subsequent related correspondence, is forwarded to ANSI (2.5.5.3);

- 2) *U.S. Proposals for New Work Items:* all U.S. proposals for the initiation of new work items for the development of international standards shall be approved by the appropriate U.S. TAG (B7.3);
- 3) *Use of Fast-Track Procedures:* nationally accepted standards submitted using the fast-track procedures when a) the U.S. is a P-member of a concerned technical committee and b) the proposed standard has the approval of both the originating organization and the appropriate U.S. TAG (B7.4).

The ANSI reporting format to be used by the auditors is provided in annex B.

4 Frequency of audits

The ExSC has determined that audits of ANSI-Accredited U.S. TAG's will be scheduled for cause as outlined below.

5 Audits for cause

In scheduling an audit for cause (whether at its own initiative or at the request of the International Policy Committee (IPC), the ExSC shall consider all the evidence presented in accordance with clause 19 of the ANSI ExSC Operating Procedures and make a determination whether or not an audit for cause is appropriate and when said audit should be scheduled (e.g., immediately, after submission of a U.S. position, prior to hosting an international meeting, etc.) In conducting an audit for cause the audit team shall be provided with instructions specific to that audit (e.g., thorough review of a particular ANSI-accredited US TAG to ISO (US TAG) operations, the development of US positions on a particular international standard, a portion of the process, etc.) Items not pertaining to the instructions given by the ExSC shall not be subject to audit.

In those instances where non-trivial procedural violations are discovered during the course of an audit for cause, the ExSC may allow the U.S. TAG the opportunity to correct the deficiencies. In these instances, the ExSC shall determine if the U.S. TAG's accreditation should be suspended pending compliance with the U.S. TAG's procedures and current requirements set-forth in the ANSI International Procedures. An audit for cause may be scheduled within the following 12 months to verify such compliance. Alternatively, the ExSC may withdraw accreditation and require the TAG and TAG Administrator to reapply, if so desired.

6 Audit procedures

6.1 Selection of audit team and audit team leader

The ANSI Audit Director shall appoint an audit team and audit team leader for each audit of a selected U.S. TAG (the "auditee"). Audit teams shall consist of one, two, or three individuals, selected from an ANSI-organized pool of available and qualified people. An audit team member may be replaced by the ANSI Audit Director with or without cause.

6.2 Qualification of auditors

Individuals selected to serve as auditors shall have the following qualifications:

- a) experience in, and knowledge of, the requirements for U.S. participation in the international standards arena including ANSI criteria for accreditation, due process, and consensus;
- b) general knowledge of auditing principles and methods obtained through any combination of experience, education, or ANSI training;
- c) the ability to act objectively and independently; and
- d) the ability to analyze information and to express findings clearly, concisely, and in a timely manner.

6.3 Initiation of an audit

The audit team leader shall attempt to schedule the audit to be conducted within thirty (30) working days from the appointment of the audit team. The audit team leader shall provide the auditee with a list of

particulars that the audit team intends to verify or examine during the audit and any other information that the audit team believes will help the auditee prepare for the audit.

6.4 Audit report and auditee response

The completed audit report shall be forwarded by the audit team leader to the ANSI Audit Director within thirty (30) working days after the completion of the audit. The ANSI Audit Director shall transmit a copy of the report to the auditee with a request that the auditee submit any comments to ANSI within thirty (30) working days of receipt of the report. The auditee comments may include plans and a timetable for corrective action relating to any recommendations contained in the audit report.

6.5 Action on audit reports

The ExSC shall review the audit material transmitted to it by the ANSI Audit Director, take appropriate action, and notify the auditee of its action. The action taken may include a finding that the conditions upon which accreditation was granted have been satisfactorily maintained. If the action taken includes a finding that the conditions upon which accreditation was granted have not been satisfactorily maintained, the auditee shall be requested to take defined corrective action in accordance with 2.5.5.4 of the *ANSI International Procedures* and 5 of this document.

6.6 Conflict of interest

6.6.1 Audit Team: The ANSI Audit Director shall not appoint auditors to an audit team who have a known conflict of interest that may affect their ability to perform an unbiased audit. Appointed auditors shall notify the ANSI Audit Director of any real or apparent conflict of interest as soon as practicable after notification of their appointment.

An appointed auditor shall act at all times in a manner that promotes confidence in the integrity and impartiality of ANSI's processes and procedures and should avoid a conflict of interest or the appearance of a conflict of interest in connection with all audit related activities. A conflict of interest can arise from any relationship between the auditor and auditee, whether past or present, that reasonably raises a question of an auditor's impartiality.

The auditee shall be provided with the name of the appointed auditor and be given the opportunity to advise ANSI of a potential conflict of interest on the part of the auditor. If the auditee asserts that a conflict of interest exists, then the Audit Director shall appoint a different auditor.

6.6.2 Reviewing Body: A member (or his/her employer) of a reviewing body having a conflict of interest with the auditee shall not be allowed to receive or review a copy of the audit report and will not be allowed to participate in the discussion of the audit unless otherwise agreed to by the auditee. The conflict of interest procedures applicable to the reviewing body shall apply.

6.7 Confidentiality of Audit Reports

All audit information and audit reports shall remain confidential and shall not be disclosed to any person other than the auditee, appropriate ANSI staff, the auditors, and, as appropriate, members of the reviewing bodies. The auditee may provide the audit information and reports received to whomever it deems appropriate.

7 Hearings and appeals

7.1 Request for hearing on an action of the ExSC

The auditee may submit a written request for a hearing before the ExSC with respect to the action taken by the ExSC in 5 or 6.6 above, provided such request is received at ANSI within thirty (30) days after receipt of notification of the ExSC action. The request shall include a statement of the reasons as to why the action of the ExSC should be modified. The hearing shall be conducted in accordance with the hearing procedures contained in the *Operating Procedures of the ANSI Executive Standards Council*.

7.2 Appeal of ExSC action

Final action by the ExSC may be appealed to the ANSI Appeals Board in accordance with the ANSI *Appeals Board Operating Procedures*.

8 Self-audits

ANSI-Accredited U.S. TAGs to ISO may find it useful to conduct self-audits. The purpose of self-audits is to permit an accredited US TAG to identify areas where improvement and increased efficiency are possible. They also provide an opportunity to identify any areas where policies or procedures may not be in conformance with the *ANSI International Procedures*. Annex A contains suggested self-audit procedures. The results of any self-audit are required to be submitted to the ExSC for review with the U.S. TAG's annual report. In addition, accredited U.S. TAGs are not required to use annex A in conducting self-audits.

Annex A - Self-audits by ANSI-Accredited U.S. TAGs to ISO

ANSI-Accredited U.S. TAGs to ISO may find it useful to conduct self-audits. The purpose of self-audits is to permit an accredited US TAG to identify areas where improvement and increased efficiency are possible. They also provide an opportunity to identify any areas where policies or procedures may not be in conformance with the *ANSI International Procedures*. The results of any self-audit are required to be submitted with the annual report. Accredited US TAGs are not required to use annex A in conducting self-audits.

Self-audits should involve a review of the operations of the ANSI-Accredited U.S. TAG as they relate to participation in international standards development and associated activities, including continuity of administrative oversight and support of its standards activities. A sampling of operations and documents should be used to obtain a representative review.

Audits should take into consideration the practices and actions, records, and reports of the accredited U.S. TAG in implementing its operating procedures to comply with ANSI criteria, rules, procedures and requirements.

Individuals selected to serve as auditors should be experienced in, and have knowledge of, the voluntary consensus standards system including ANSI criteria for accreditation, due process and consensus. In order to avoid any real or apparent conflict of interest, individuals serving as auditors preferably should not be directly involved in the standards work of the standards developer, either as a volunteer or as a staff member.

An audit report, including findings and recommendations, should be prepared by the auditors and provided to the accredited U.S. TAG in a timely manner, preferably within 40 working days of completion of the audit. The ANSI Audit Reporting Format (annex B) may be used.

Annex B - ANSI reporting format

ANSI- Accredited U.S. Technical Advisory Groups

This audit applies only to ANSI requirements relative to U.S. participation in the international standards activities of ISO by the ANSI-Accredited U.S. TAG being audited. The ExSC will identify the sections of the *ANSI Reporting Format* that are specific to the audit for cause. While the U.S. TAG is required to respond only to those items determined by the ExSC to be part of the audit, U.S. TAGs may find completion of the entire form useful in examining the operations of the U.S. TAG.

Name of ANSI-Accredited U.S. TAG: _____

Date of accreditation: _____

Address: _____

Date(s) of audit: _____

Name(s) and address(es) of auditor(s) _____

Responses to the questions below, and explanations where necessary, must be based on evidence found during the audit. Such evidence should substantiate the answer (and explanation) given.*

* Numbers in parentheses with an asterisk refer to corresponding sections in the current version of the *ANSI Procedures for the Development and Coordination of American National Standards*.

1. Procedures governing development and coordination of U.S. positions in the international standardization activities of ISO.

1.1. Indicate below the procedures used:

1.1.1. ANSI's model procedures for an Accredited U.S. TAG ____

1.1.2. Unique U.S. TAG procedures ____

1.2. If the U.S. TAG's procedures are used (i.e., model procedures are not used), do they meet the requirements in the *Criteria for the Development and Coordination of U.S. Positions in the International Standards Activities of the ISO and IEC?* (2.1.1 and 2.5.2(2))* Yes No ____

1.2.1. If no, what is the explanation?

1.3. If the U.S. TAG's procedures are used, have these procedures been revised since the date of accreditation or reaccreditation? (2.5.5.1)* Yes No ____

1.3.1. If yes, have the revised procedures been formally transmitted to ANSI? (2.5.5.1)* Yes ____ No _

1.3.2. If yes, is there documentation verifying this transmittal? Yes____No _

1.3.3. If no, what is the explanation?

1.4. Are the current procedures transmitted to new participants, as well as to officers of the U.S. TAG? Yes No ____

1.4.1. If no, what is the explanation?

1.5. Are the procedures readily available to any interested person? (B5.1)* Yes____No ____

1.5.1. If no, what is the explanation?

1.6. Does the U.S. TAG have any U.S. TAG(s) to ISO subcommittee(s) that are not independently accredited? Yes No ____

1.6.1. If yes, is the degree of independent authority to take actions defined in writing, either as part of the U.S. TAG procedures or as a policy or agreement? (2.1.1)* Yes____No ____

1.6.1.1. If no, what is the explanation?

1.6.2. If yes, was the agreement approved by the parent U.S. TAG? (2.1.1)* Yes____No ____

1.6.2.1. If no, what is the explanation?

1.6.3. If yes, was a copy of the agreement provided to ANSI? (2.1.1)* Yes____No ____

1.6.3.1. If no, what is the explanation?

1.7. Does the U.S. TAG to an ISO technical committee have a U.S. TAG to an ISO subcommittee that has the authority to perform all of the functions of a U.S. TAG without oversight by the U.S. TAG to the ISO technical committee? (2.5.4)* Yes No ____

1.7.1. If yes, is the U.S. TAG to the ISO subcommittee separately accredited? (2.5.4)* Yes ____ No ____

1.7.1.1. If no, what is the explanation?

2. Administrative oversight and support of standards activities

2.1. Is the U.S. TAG Administrator a member of ANSI? (2.3.1.2(2))* Yes____No ____

2.1.1. If no, why not?

- 2.2. Is there a supervisory body that reviews standards development activities and progress? (2.3.1.2(3) and 2.3.1.2(4))* Yes No ___
- 2.2.1. If no, what, if any, mechanism exists to review the standards development activities and progress?
- 2.3. Has the U.S. TAG membership list and annual report been sent to ANSI on an annual basis? (2.3.3(2))* Yes No _
- 2.3.1. If no, what is the explanation?
- 2.4. Is participation monitored for openness, dominance, balance, activity, and interest classification? (2.3.1.2(5))* Yes No ___
- 2.4.1. If no, what is the explanation?
- 2.5. Has the level of participation of each member of the U.S. TAG (and other relevant bodies) been monitored to ensure active participation? (2.3.3.(4))* Yes No ___
- 2.5.1. If no, what is the explanation?
- 2.6. If a member of the U.S. TAG (and other relevant bodies) is found to be a poor participant or non-participant, are attempts made to rectify the delinquency? Yes No ___
- 2.6.1. If no, what is the explanation?
- 2.7. Has any member of the U.S. TAG (and other relevant bodies) been suspended for non-participation within the last five years? Yes No ___
- 2.7.1. If yes, what methods were employed to elicit a more active participation and how was the member(s) suspended?
- 2.8. Are administrative and clerical functions (including meeting arrangements, timely preparation and distribution of documents related to the work of the U.S. TAG, and maintenance of appropriate records, including minutes of meetings and results of letter ballots, etc.) being handled effectively? (2.3.3(4))* Yes No ___
- 2.8.1. If no, what is the explanation?
- 2.9. Are there written internal administrative procedures for handling requests to participate, preparation and distribution of documents related to the work of the U.S. TAG, minutes, letter ballots, responses to comments, record keeping, etc.? Yes No ___
- 2.9.1. If no, what is the explanation?
- 2.10. Is there a readily available and identifiable source within the accredited U.S. TAG to obtain additional information on any international standards activity in which the U.S. TAG is participating? Yes No ___
- 2.10.1. If no, what is the explanation?
- 2.11. Are responsible parties within the accredited U.S. TAG knowledgeable of ANSI requirements for openness, due process, criteria for approval of U.S. positions, etc.? Yes ___ No ___
- 2.11.1. If no, what is the explanation?
- 2.11.2. Have responsible parties within the U.S. TAG Administrator completed mandatory ANSI training to support compliance with ANSI procedures governing the administration of a U.S. TAG and representation of U.S. interests at ISO? (2.3.3 (12)) Yes_____ No_____
- 2.11.2.1. If yes, date of the training:_____
- 2.11.2.2. If no, why not?

2.11.3. What staff training on the ANSI requirements is available?

2.11.4. If training is available, do the training materials contain the current policies and procedures? Yes ___ No ___

2.11.5. If training is available, who normally provides the staff training?

2.12. What methods are used to ensure that participants are aware of ANSI requirements for due process, consensus and the criteria for approval of U.S. positions?

2.12.1. If training is available, do the training materials contain the current policies and procedures? Yes ___ No ___

2.12.2. If training is available, who normally provides the training?

2.12.3. If training for officers (and other members) is available, is it optional or required?

2.12.4. If training is required, how is this requirement enforced?

3. Records of compliance with ANSI due process requirements

3.1. How are records of standards activities and compliance with ANSI requirements prepared and maintained?

3.1.1. Where are the records kept?

3.1.2. How long are standards-related records maintained?

3.2. Is there a record retention policy that provides for retention of records for a period of time after issuance of the international standard to which they pertain? (B5.4)* Yes ___ No ___

3.2.1. If no, what is the explanation?

3.3. Is there compliance with record retention policies? (2.3.3(4) and B5.4)* Yes ___ No ___

3.3.1. If no, what is the explanation?

3.4. How is the record retention policy made available to staff or other interested parties?

3.5. Is a membership record for the U.S. TAG (and other related standards development bodies) maintained? (2.3.3(2))* Yes ___ No ___

3.5.1. If no, what is the explanation?

3.5.2. If yes, does this record include invitations and replies from materially and affected interests? Yes ___ No ___

3.5.3. If yes, does this record include membership requests from interested parties and replies from the U.S. TAG Administrator? Yes ___ No ___

3.6. Are minutes of all relevant bodies maintained? (2.3.3(4))* Yes ___ No ___

3.6.1. If no, what is the explanation?

3.6.2. If yes, do the minutes of meetings give sufficient information so that rationale for the U.S. position, including the responses to comments, can be determined? Yes ___ No ___

3.6.3. Do the minutes provide copies of all documents distributed at the meeting or are they provided separately?

3.7. Are records for each letter ballot taken by the U.S. TAG (and other relevant bodies) maintained? Yes ___ No ___

3.7.1. If no, what is the explanation?

3.7.2. If yes, do these records contain the receipt and disposition of each comment and negative ballot submitted? Yes No

4. Cooperation and communication with ANSI

4.1. Indicate if the U.S. holds a P- or O-membership in the applicable ISO technical committee or subcommittee.

4.1.1. The U.S. holds a P-membership. _____

4.1.2. The U.S. holds an O-membership. _____

4.2. Are recommendations concerning registration, change of registration or termination of registration of ANSI as a P- or O- member on an ISO technical committee or subcommittee being submitted to ANSI as approved by the U.S. TAG? (1.3.2, 2.2.3(1), 2.3.3(5) and A2.1)* Yes No

4.2.1. If no, what is the explanation?

4.3. Are U.S. proposals for new work items for consideration by an ISO technical committee or subcommittee submitted to ANSI as approved by the U.S. TAG? (2.2.3(2))* Yes No

4.3.1. If no, what is the explanation?

4.4. Are U.S. working drafts for consideration as committee drafts by an ISO technical committee, subcommittee or working group submitted to ANSI as approved by the U.S. TAG? (2.2.3(3))* Yes No

4.4.1. If no, what is the explanation?

4.5. Are U.S. positions on ISO draft International Standards, draft technical reports, committee drafts, ISO questionnaires, draft reports of meetings, etc. submitted to ANSI as approved by the U.S. TAG? (2.2.3(4))* Yes No

4.5.1. If no, what is the explanation?

4.6. Are U.S. positions on agenda items of an ISO technical committee or subcommittee meeting approved by the U.S. TAG and is the U.S. delegation given appropriate instructions, including any flexibility it might have on said positions? (2.2.3(6))* Yes No

4.6.1. If no, what is the explanation?

4.7. Do all U.S. positions submitted to ANSI include the information listed below? (A.7.10)* Yes No

4.7.1. Title and designation of the document.

4.7.2. Indication of the type of action requested (for example, approval of a new draft international standard or reaffirmation, revision, or withdrawal of an existing draft international standard, questionnaire, etc.).

4.7.3. Status of any appeal action related to approval of the proposed U.S. position .

4.7.4. A summary of voting and U.S. TAG member responses.

4.7.5. Identification of all unresolved views and objections, names of the objector(s), and a report of attempts toward resolution.

5. Annual Reporting

5.1. Has an annual report been prepared by the TAG Administrator and submitted to ANSI? (2.5.5.2)* Yes No

5.1.1. If no, what is the explanation?

5.2. Does the annual report include information on meetings (including attendees), actions taken and the work program? (2.5.5.2)* Yes No

5.2.1. If no, what is the explanation?

5.3. Does the annual report include the current U.S. TAG membership list? (2.5.5.2)* Yes ___ No ___

5.3.1. If no, what is the explanation?

5.3.2. If yes, does it include the following?

5.3.2.1. Title and designation of the U.S. TAG. Yes ___ No ___

5.3.2.2. Scope of the U.S. TAG. Yes ___ No ___

5.3.2.3. U.S. TAG Administrator (name of organization, secretary, address(es), telephone, etc.). Yes ___ No ___

5.3.2.4. U.S. TAG officers (chair and other officers). Yes ___ No ___

5.3.2.5. Names of individual members and alternates, their addresses and business affiliations, including names of the organizations they are representing on the U.S. TAG. Yes ___ No ___

5.3.2.6. The interest categories of the U.S. TAG are defined and the category of each member identified. Yes ___ No ___

5.4. Does the annual report include any problems encountered during the past year in the functioning of the U.S. TAG or U.S. TAG administration, and any areas in which the TAG Administrator requires assistance from ANSI? (2.5.5.2(3)) *Yes ___ No ___

5.5. Does the annual report include express certification by the TAG Administrator that the U.S. TAG has been and continues to be operated in a manner that complies with all applicable ANSI and ISO procedures? (2.5.5.2(4))* Yes ___ No ___

5.6. If a self-audit was conducted in the last year, were the results included with the annual report? (2.5.5.2(5))* Yes ___ No ___

5.6.1. If no, what is the explanation?

6. Notification of standards activity to directly and materially affected persons

6.1. Are announcements (direct mailings, press releases, articles in the trade press, advertisements, etc.) used to solicit participation by directly and materially affected interests? (B4.1)* Yes ___ No ___

6.1.1. If no, what is the explanation?

6.1.2. When in the process are these announcements released?

6.1.3. How are responses to such announcements considered? (1.2.1)*

6.2. Are appropriate international standards activities listed in *Standards Action* in order to provide an opportunity for public comment? (B5.2)* Yes ___ No ___

6.2.1. If no, what is the explanation?

6.2.2. If yes, what is the normal length of the comment period?

7. Coordination with other US TAGs

7.1. Is the scope of the U.S. TAG consistent with the applicable portion of the scope of the ISO technical committee or subcommittee? (2.2.2)* Yes ___ No ___

7.1.1. If no, what is the explanation?

- 7.2. What methods exist to provide a consistent review of existing standards and standards being developed, both nationally and internationally, for the purpose of avoiding duplication of effort and conflicting standards? (A2.9)*
- 7.3. What channels of communication with other US TAGs (direct, or through ANSI Standards Boards, Planning Panels, etc.) are utilized for coordination? (2.2.3.9)*
- 7.4. Do formal liaisons exist between the accredited U.S. TAG and other national standards developers and US TAGs? (A2.9)*
- 7.4.1. If yes, please provide a list.
- 7.5. If harmonization of standards cannot be resolved between the accredited U.S. TAG and other US TAGs, is the matter referred to ANSI for assistance in coordination and development of a harmonization plan? Yes ___ No ___
- 7.6. Is there a parallel or related national standards development program? (A2.9 and B6.1)* Yes ___ No ___
- 7.6.1. If yes, please provide a list of the national activities.
- 7.6.2. If yes, how do the members of the accredited U.S. TAG participate in the national standards activity?
- 7.6.3. Are national standards reviewed by the accredited U.S. TAG proposed for international adoption? Yes ___ No ___
- 7.6.4. Are international standards considered by the appropriate accredited standards developer for adoption as American National Standards? Yes ___ No ___

8. Openness of participation

- 8.1. In the formation of the U.S. TAG to the ISO technical committee or any subcommittee(s) did the TAG Administrator contact U.S. national interested parties? (2.1.2)* Yes ___ No ___
- 8.1.1. If no, what is the explanation?
- 8.2. Did a notice of formation of a U.S. TAG appear in ANSI's *Standards Action* and other appropriate publications? (2.1.2 and 2.4.2)* Yes ___ No ___
- 8.2.1. If no, what is the explanation?
- 8.2.2. If yes, was prompt consideration given to the written views and objections of those commenting on the notice and was an effort made to resolve all expressed objections? (2.4.2)* Yes ___ No ___
- 8.2.3. If no, what is the explanation?
- 8.3. Does the U.S. TAG have a co-administrator? Yes ___ No ___
- 8.3.1. If yes, is there a written agreement on file at ANSI that includes implementation of administrative responsibilities? (2.3.2)* Yes ___ No ___
- 8.3.1.1. If no, what is the explanation?
- 8.3.2. If yes, is the U.S. TAG being audited the organization designated as the party with whom ANSI interfaces? (2.3.2)* Yes ___ No ___
- 8.4. What officer positions exist on the U.S. TAG?
- 8.5. Are the officers selected in accordance with the applicable procedures? (*Note* clause A4 covers the requirements for those U.S. TAGs using the *Model TAG Procedures*.) Yes ___ No ___
- 8.5.1. If no, what is the explanation?

- 8.6. Are requests for membership addressed to the TAG Administrator? (2.1.2)* Yes___No ___
- 8.6.1. If no, what is the explanation?
- 8.7. How are requests for membership approved? (*Note:* clause A5 covers the requirements for those U.S. TAGs using the *Model TAG Procedures.*)
- 8.8. Are requests for membership processed, approved or denied in accordance with applicable procedures? Yes___No ___
- 8.8.1. If no, what is the explanation?
- 8.9. Is participation open to all national interested parties (organizations, companies, government agencies, individuals, etc.) who are directly and materially affected by the activity in question? (2.1.1 and B4.1)* Yes ___ No ___
- 8.9.1. If no, what is the explanation?
- 8.10. Is participation conditional upon membership in any organization? (B4.1)* Yes___No ___
- 8.10.1. If yes, what is the explanation?
- 8.11. Is there a fee for participation? (B4.1)* Yes___No ___
- 8.11.1. If yes, do procedures exist to provide a waiver of fees to qualified applicants?
Yes___No ___
- 8.11.1.1. If yes, have any requests for waiver been received in the last five years? Yes ___
No ___
- 8.11.1.2. If yes, what was the disposition of these requests?
- 8.11.1.3. If yes, does the fee present a barrier to participation (please explain)? Yes___No ___
- 8.12. Is participation restricted on the basis of technical qualifications or other such requirements? (B4.1)* Yes___No ___
- 8.12.1. If yes, are written guidelines regarding the minimum technical qualifications established for each project? Yes ___ No ___
- 8.12.2. If no, how are the minimum technical qualifications determined?
- 8.13. In the last three years, have any requests for participation been denied? Yes___No ___
- 8.13.1. If yes, what is the explanation?
- 8.13.2. If yes, was the applicant notified that the decision may be appealed within the appeals system established by the U.S. TAG? (2.1.2)* Yes___No ___
- 8.13.2.1. If no, what is the explanation?
- 8.13.3. If yes, was an appeal submitted? Yes___No ___
- 8.14. What efforts is the TAG Administrator making to ensure active participation on the U.S. TAG?
- 8.15. In the last three years, have any members of the U.S. TAG been suspended due to lack of participation? Yes ___ No ___
- 8.15.1. If yes, was the suspension accomplished in accordance with applicable procedures? (*Note:* Clause A5.9 covers the requirements for those using the *Model TAG Procedures.*) Yes
No ___

8.15.2. If yes, what efforts did the TAG Administrator make to encourage active participation prior to the suspension?

9. Balance and lack of dominance

9.1. What are the interest categories of the U.S. TAG and when was membership therein last reviewed? (2.5.2.(1))*

9.1.1. What is the current balance of the above interest categories? (B4.2)*

9.1.2. Are the Producer, User and General Interest categories included? Yes ___ No ___

9.1.2.1. If no, what is the explanation?

9.1.3. Does each of the identified interest categories have adequate representation? Yes ___ No ___

9.1.3.1. If no, what efforts have been made to attract additional members?

9.1.4. Is participation by users actively sought? Yes ___ No ___

9.1.5. Do the user participants have the requisite technical knowledge and experience?
Yes ___ No ___

9.2. What mechanism does the U.S. TAG Administrator utilize to achieve and maintain a balanced membership on the U.S. TAG (and other relevant bodies)?

9.3. Have any claims of dominance been made? (B4.2)* Yes ___ No ___

9.3.1. If yes, what is the explanation?

10. Balloting procedures and results

10.1. Is balloting being handled expeditiously and in accordance with the procedures that formed the basis for accreditation of the U.S. TAG? (B7.2)* Yes ___ No ___

10.1.1. If no, what is the explanation?

10.1.2. Are there internal ballot procedures available to all staff? Yes ___ No ___

10.2. What is the usual voting period?

10.3. Are the voting requirements (i.e. majority or 2/3 of those voting) being met? (*Note: Clauses A7.5 and A7.6 of the Model TAG Procedures contain the requirements*) Yes ___ No ___

10.3.1. If no, what is the explanation?

10.4. Are the ballot results, after attempts at resolution of objections, reported to the participants, thereby providing an opportunity to change the initial vote? Yes ___ No ___

10.4.1. If no, what is the explanation?

10.5. Are the position taken by the U.S. TAG in accordance with the guidelines found in B6.1, B6.2, B6.3, and B6.4 of the ANSI *International Procedures*? (B6.1, B6.2, B6.3 and B6.4)*
Yes ___ No ___

11. Consideration of views and objections

11.1. Is there a record of each comment and objection resulting from the balloting, public review responses, and other views and inputs received? (B5.3)* Yes ___ No ___

11.1.1. If no, what is the explanation?

11.2. Was there an effort to resolve all objections? (B5.3)* Yes ___ No ___

11.2.1. If no, what is the explanation?

11.3. Was each objector advised of the disposition of the objection, with an opportunity to withdraw or maintain the objection? (B5.3)* Yes ___ No ___

11.3.1. If no, what is the explanation?

11.4. If substantive changes were made to the proposed standard(s) after it was balloted, are they reported to the U.S. TAG? (B5.3)* Yes ___ No ___

11.4.1. If no, what is the explanation?

12. Meetings of the U.S. TAG and ISO Technical Committee, Subcommittee or Working Group

12.1. Has the ISO Technical Committee, Subcommittee(s) or working group(s) met in the U.S.?
Yes ___ No ___

12.1.1. If yes, was the invitation to host the meeting made by the U.S. Head of Delegation, with the proviso that the actual invitation was subject to confirmation by ANSI, upon recommendation by the TAG Administrator? (1.4.2 and 2.2.3(11))* Yes ___ No ___

12.1.1.1. If no, what is the explanation?

12.1.2. If yes, was the written request to ANSI approved by the U.S. TAG and did it state that the U.S. TAG or other sponsoring organization(s) shall bear the meeting costs? (1.4.2)* Yes ___ No ___

12.1.2.1. If no, what is the explanation?

12.1.2.2. If yes, did the written request include proposed meeting dates, location and a point of contact for meeting arrangements? (1.4.2)* Yes ___ No ___

12.1.2.2.1. If no, what is the explanation?

12.2. Has the U.S. TAG provided adequate U.S. representation to ISO technical committee or subcommittee meetings? (2.2.3(5))? Yes ___ No ___

12.2.1. If no, what is the explanation?

12.3. Has the U.S. TAG designated Heads of Delegations and members of delegations? (2.2.3(5))* Yes ___ No ___

12.3.1. If no, what is the explanation?

12.3.2. If yes, have these lists been transmitting to ANSI? (2.3.3(6))* Yes ___ No ___

12.3.2.1. If no, what is the explanation?

12.3.3. If yes, have Head of Delegation reports been prepared? Yes ___ No ___

12.3.3.1. If no, what is the explanation?

12.4. How has the U.S. TAG ensured compliance with the *ANSI Guide for U.S. Delegates to IEC/ISO Meetings*? (2.2.3(5))*

12.5. Has the U.S. TAG nominated U.S. technical experts to serve on ISO working groups? (2.2.3(7))* Yes ___ No ___

12.5.1. If no, what is the explanation?

13. Complaint Notification and Appeals

13.1. Has a copy of any complaint concerning the manner in which the U.S. TAG is operating or the U.S. TAG administration is being conducted, and all subsequent related correspondence, been forwarded to ANSI? (2.5.5.3)* Yes ___ No ___

- 13.1.1. If no, what is the explanation?
- 13.2. What appeals have been received since the last audit and what was the final disposition?
- 13.3. What methods are used to notify outstanding objectors of their right of appeal?
- 13.4. Are there written appeals procedures that are readily available upon request? Yes ___
No ___
- 13.4.1. If no, what is the explanation?
- 13.4.2. If yes, do the written procedures contain an identifiable, realistic and readily available appeals mechanism? (B5.5) Yes ___ No ___
- 13.5. Are appeals to the accredited U.S. TAG on the basis of substantive and procedural actions or inactions being addressed promptly? Yes___No ___
- 13.5.1. If no, what is the explanation?
- 13.6. Have the rights of the involved parties to present their cases been upheld? Yes___No ___
- 13.6.1. If no, what is the explanation?
- 13.7. Have any undue burdens been placed on the parties involved? Yes ___ No ___
- 13.7.1. If yes, what is the explanation?
- 13.8. Has consideration of appeals fully addressed the concerns expressed? Yes___No ___
- 13.8.1. If no, what is the explanation?
- 13.9. Have appeals been considered in a fair and unbiased manner? (B5.5)* Yes___No ___
- 13.9.1. If no, what is the explanation?
- 13.10. Is there a record of each appeal and are such records available to the involved parties? Yes___No ___
- 13.10.1. If no, what is the explanation?

14. Publication and maintenance of ISO standards

- 14.1. Does the TAG Administrator have a license agreement with ANSI to sell the ISO standards on which the U.S. TAG participated? Yes___No ___
- 14.2. What methods exist to ensure that ISO standards are reviewed at least every five years for revision, reaffirmation or withdrawal?
- 14.3. Are any ISO standards beyond the five-year limit for review? Yes___No ___
- 14.4. Are any ISO standards beyond the ten-year age limit? Yes___No ___
- 14.4.1. If yes, what is the explanation?

15. Other

- 15.1. What mechanism exists for the prompt consideration of a proposal made for developing new standards or revising or withdrawing existing international Standards?
- 15.2. Does all communication from the U.S. TAG clearly indicate that it is from the ANSI-Accredited U.S. TAG and not ANSI? Yes ___ No ___
- 15.3. How does the accredited U.S. TAG handle allegations that an international standard or portion of an international standard unreasonably restrains trade or is anti-competitive?

15.4. What method does the U.S. TAG use to assure that adequate representation of consumers' concerns is obtained in connection with consumer product standards?

15.4.1. Is this method utilized as required? Yes___No ___

15.4.2. Does the TAG have a written antitrust policy that reflects the TAG's practice to conduct all business and activity in compliance with applicable antitrust laws? Yes___No_____

15.5 Does the ANSI-Accredited U.S. TAG Administrator to ISO, have status as an incorporated, registered or otherwise recognized legal entity (see sections 2.3.1.2 and 2.5.5)? Yes___ No_____