



# **ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards**

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**CONTENTS**

**CONTENTS.....2**

**ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards...3**

**1.0 General.....3**

**2.0 Requirements Associated with the Identical or Modified Adoption of an ISO or IEC Standard as an American National Standard.....3**

**3.0 Expedited Procedures for the Identical Adoption of an ISO or IEC standard as an American National Standard.....3**

    3.1 Public notice and public review .....4

    3.2 Minimum consensus body ballot period.....4

    3.3 Comment .....4

    3.4 Notice of Action and Right to Appeal.....4

    3.5 Approval of an ISO or IEC Standard as an American National Standard.....5

    3.6 Periodic Review.....5

**Annex A: Definitions of Levels of Equivalency of National Adoptions of ISO or IEC Standards.....6**

**Annex B: Designation, Maintenance, and Publication of a National Adoption of an ISO or IEC Standard...8**

## **ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards**

### **1.0 General**

ANSI accredited standards developers (developers) should take ISO or IEC standards into consideration and should, if appropriate, base their standards on or consider the adoption of an ISO or IEC standard as an American National Standard (ANS). US TAGs exist for most standards projects for which the United States has evidenced substantial interest. These groups may be contacted for information and advice through their TAG Administrators or Technical Advisors (as relevant), who are on record at ANSI.

The “*ANSI ISO/IEC Standards Sales and Exploitation Rights Policy*” shall be consulted for the terms and conditions concerning which ANSI accredited standards developers may adopt an ISO or IEC standard as an American National Standard. *ISO/IEC Guide 21* defines certain levels of equivalencies of adoption,<sup>1</sup> *i.e.*, identical, modified or not equivalent. Only an identical or modified version of the ISO or IEC document shall be considered for adoption as an American National Standard. A developer who chooses to nationally adopt an ISO or IEC standard shall follow its accredited procedures for developing American National Standards. A developer who wishes to have the option of following the expedited procedures set forth in clause 3.0 herein when seeking to adopt an ISO or IEC standard as an identical adoption shall include a provision or notification to this effect in its accredited procedures.

If a developer wishes to adopt an ISO or IEC guide, report, or document other than a standard, the developer shall follow its accredited procedures and may not utilize the expedited procedures detailed in clause 3.0 below.

### **2.0 Requirements Associated with the Identical or Modified Adoption of an ISO or IEC Standard as an American National Standard**

A standards developer wishing to adopt an ISO or IEC standard as an American National Standard that constitutes an identical or modified adoption as defined in Annex A shall:

- a) clearly identify during the ANS development and submittal process that it is the intent of the standards project to adopt a specific ISO or IEC standard and provide notice in compliance with current ANSI requirements, as modified by clause 3.0;
- b) designate and publish the final approved American National Standard in compliance with applicable ANSI procedures; and
- c) comply with the *ANSI ISO/IEC Standards Sales and Exploitation Rights Policy* and submit evidence of compliance (such as a confirmation from the ANSI staff responsible for such contractual arrangements) as part of the formal submittal of the candidate American National Standard for approval.

### **3.0 Expedited Procedures for the Identical Adoption of an ISO or IEC standard as an American National Standard**

The expedited procedures contained in this clause may be used only for the identical adoption of ISO or IEC standards for which the US TAG voted or will vote in the affirmative. For all other circumstances, the developer’s accredited procedures shall apply.

A developer who wishes to have the option of following the expedited procedures set forth herein when seeking to adopt an ISO or IEC standard as an identical adoption shall include a provision or notification to this effect in its accredited procedures. In addition, the numerical requirements for consensus set forth in the developer’s accredited procedures apply.

A developer may propose the identical national adoption of an ISO or IEC standard to its American National Standard consensus body. The developer that is proposing such an action may do so:

- a) Concurrent with the US TAG vote on an ISO or IEC standard. In this case the developer’s consensus body

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<sup>1</sup> See Annex A for definitions of the degrees of adoptions.

has an opportunity to endorse the ISO or IEC standard for adoption as an American National Standard at or around the same time that the US TAG is approving the standard as an ISO or IEC standard.

Or

- b) Any time after an ISO or IEC standard has been approved as such.

The following provisions are applicable to the processes associated with the national adoption of identical ISO or IEC standards:

### **3.1 Public notice and public review**

When a developer is proposing an identical national adoption of an ISO or IEC standard, the following options apply:

- a) Project Initiation Notice (PINS): If a published ISO or IEC standard exists or if an ISO or IEC standard is at a point in the ISO or IEC process where no additional changes to the document may be made, then submittal of a PINS form is not required. If, however, a draft ISO or IEC standard is at an earlier phase of development, and changes to the document prior to approval as an ISO or IEC standard may be made, then a PINS is required. The publication of a PINS for the national adoption of an ISO or IEC standard that is still under development may encourage interested parties to participate in that process.
- b) Public Review: The public review announcement in *Standards Action* shall clearly indicate that the action pending is an identical adoption of an ISO or IEC standard. Whenever possible, public review of the proposed identical adoption should occur before or concurrent with balloting by the consensus body. With respect to international approval, the SDO undertaking national adoption shall provide all public review comments to the US TAG for consideration, but is not required to inform the commenters of how the TAG disposed of those comments. With respect to the national adoption, all comments received shall be provided to the consensus body (if other than the TAG) for consideration in determining its position. The consensus body is not required to provide detailed responses to the comments, however the SDO shall inform public reviewers regarding whether or not identical adoption was approved for submission to ANSI.

### **3.2 Minimum consensus body ballot period**

A developer using these expedited procedures may utilize the minimum ballot period established by their accredited procedures for American National Standards. Alternatively, the consensus body may vote to establish a ballot period that is not less than two weeks.

### **3.3 Comment**

The developer shall clearly indicate to the consensus body that the ballot associated with the national adoption of an ISO or IEC standard only takes into consideration the identical adoption of the standard as an American National Standard. Thus, there is no opportunity for comment resolution. Any comments, including editorial, technical and those highlighting conflicts with current American National Standards or other non-U.S. standards shall be provided to the members of the consensus body in order to provide them with the opportunity to respond, reaffirm, or change their vote within the time limits established by the developer's accredited procedures; however, there shall be no attempt at resolution of the comments unless identical adoption under ANSI expedited procedures is abandoned and the consensus body decides to instead consider adoption (with or without national deviations) under normal procedures.

Comments received from either the consensus ballot or the public review period shall also be referred to the appropriate US TAG.

### **3.4 Notice of Action and Right to Appeal**

Prior to the submittal to ANSI of a candidate American National Standard as an identical adoption following these expedited procedures, the developer shall notify public commenters of the intended final action on the standard and that an appeals process exists within the accredited procedures used by the standards developer.

### **3.5 Approval of an ISO or IEC Standard as an American National Standard**

A candidate American National Standard that is submitted as a result of the implementation of these expedited procedures shall be processed in the same manner as a standard that is submitted without objections.

### **3.6 Periodic Review**

An ANS that is an identical adoption of an ISO or IEC standard does not have to be reaffirmed according to the schedule applicable to other American National Standards, but rather may be reaffirmed at the same time that the corresponding ISO or IEC standard is reaffirmed by the respective organization.

If the ISO or IEC standard has been withdrawn, revised or superceded, similar action shall be considered by the adopting SDO within six months of the international action. If the standards developer no longer has the rights under the Sales & Exploitation Rights Policy with regard to the ISO or IEC standard, then the related ANS shall be withdrawn.

## **Annex A: Definitions of Levels of Equivalency of National Adoptions of ISO or IEC Standards**

Normative, as applicable

The definitions contained in this annex are excerpted from *ISO/IEC Guide 21 – Adoption of ISO or IEC Standards as regional or national standards*. This annex is normative in connection with actions related to the national adoption of ISO or IEC standards. Any changes in document layout (e.g., in relation to pagination, font type and font size etc.) especially in an electronic environment, have no impact on the degree of equivalence.

### **A.1 Identical (IDT)**

The regional or national standard is identical to the ISO or IEC standard under the following conditions:

- a) the regional or national standard is identical in technical content, structure and wording (or is an identical translation), or
- b) the regional or national standard is identical in technical content, although it may contain the following minimal editorial changes:
  - substitution of decimal point for a decimal comma;
  - correction of any misprints (e.g., spelling errors) or pagination changes;
  - deletion of text in one or several languages from a multilingual ISO or IEC standard;
  - inclusion of any technical corrigenda or amendments issued to the ISO or IEC standard;
  - changes to the title to be consistent with an existing regional or national series;
  - substitution of “this regional/national standard” for “this ISO or IEC Standard”;
  - inclusion of any regional or national informative material (e.g., informative annexes that do not alter, add to or delete from the provisions of the ISO or IEC standard); examples of informative material are advice to users, training guidance or suggested forms or reports;
  - deletion of informative preliminary material from the ISO or IEC standard;
  - changes in wording, i.e., use of synonyms to reflect common language use in the region or country adopting the ISO or IEC standard, such as the use of “elevators” for “lifts” in certain countries;
  - addition, for informative purposes, of recalculated values of quantity units where a different measurement system is used in an adopting country.

The “vice versa principle” is fulfilled.<sup>2</sup>

### **A.2 Modified (MOD)**

The regional or national standard is modified in relation to the ISO or IEC standard under the following conditions. Technical deviations are permitted provided they are clearly identified and explained. The regional or national standard reflects the structure of the ISO or IEC Standard. Changes to the structure are only permitted if an easy comparison of the content and structure of the two standards continues to be possible.

For transparency and traceability, it is strongly recommended that a national standard adopts only one single ISO or IEC standard. Under certain circumstances, it may be appropriate to adopt several ISO or IEC standards within one national standard. However, this is only practicable for the user if an easy comparison of the content is provided in a list identifying and explaining the changes. Modified standards may also include the changes permitted under identical correspondence.

The “vice versa principle” is not fulfilled.

A modified standard can include such cases as the following:

- a) “The regional or national standard contains less.” The regional or national standard only applies a subset of the available choices in the ISO or IEC Standard, has less stringent requirements, etc.

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<sup>2</sup> Vice versa principle: principle whereby anything that is acceptable under the terms of the ISO or IEC Standard is acceptable under the regional or national standard and vice versa, and thus compliance with the ISO or IEC Standard also means compliance with the regional or national standard.

- b) "The regional or national standard contains more." The regional or national standard adds aspects or types, has more stringent requirements, includes additional tests, etc.
- c) "The regional or national standard alters a part of the ISO or IEC Standard." Part of the content is identical, but both the regional or national standard and the ISO or IEC Standard contain some differing requirements.
- d) "The regional or national standard provides an alternative choice." The regional or national standard provides a provision of equal status, which may be used as an alternative to that given in the ISO or IEC Standard.

(Note: See Annex A of the *ISO Guide* for examples of lists of technical deviations and their explanation.)

A regional or national standard can include an ISO or IEC Standard in its totality and can contain additional technical provisions, which are not part of the ISO or IEC Standard. In this case, the degree of correspondence to the ISO or IEC Standard is either "modified" or "not equivalent", depending on whether or not the differences are clearly indicated and technical deviations are listed and explained, although the part composed of the included ISO or IEC Standard may not have been subject to any modifications.

### **A.3 Not Equivalent (NEQ)**

The regional or national standard is not equivalent to the ISO or IEC Standard in technical content and structure and the changes have not been clearly identified. This also can include the case where only a minority in number or significance of the ISO or IEC provisions remains in the regional or national standard. This degree of correspondence does not constitute an adoption.

## **Annex B: Designation, Maintenance, and Publication of a National Adoption of an ISO or IEC Standard**

### **Normative, as applicable**

#### **B.1 Designation and Publication**

This section addresses methods for informing users that a standard is a national adoption of an ISO or IEC Standard and provides recommendations associated with numbering identical adoptions. Much of the text in this annex is excerpted from *ISO/IEC Guide 21 – Adoption of ISO or IEC Standards as regional or national standards*.

Note that if changes are made to an ISO or IEC standard during the course of the development of consensus for its approval as an American National Standard and those changes are not reflected in the final ISO or IEC version of the standard, the resulting standard shall not bear the ISO or IEC standard designation. In such case, the standard will be considered a national/harmonized standard and is not an identical adoption. It shall be processed in accordance with the developer's procedures once the appropriate copyright permission is received from ANSI for use of the ISO or IEC material.

#### **B.2 Methods of adoption notice <sup>3</sup>(or Public Notification of the National Adoption of an ISO or IEC Standard as an American National Standard)**

The adoption of an ISO or IEC standard shall ensure that the identification of the ISO or IEC standard is clearly stated. There are two methods for the adoption of ISO or IEC Standards:

Endorsement method: only applicable to identical adoptions. Upon approval as an American National Standard an announcement in *Standards Action* shall be made. The standard adopted shall reference the ISO or IEC designation.

Republication: there are three methods of republication: reprinting, translation (with or without reprint of the original), and redrafting. Independent of which method of republication is chosen, a regional or national identifier of the organization adopting the ISO or IEC standard shall appear on the cover page and all other pages of the regional or national standard. In addition, the degree of correspondence to the ISO or IEC standard shall be stated in a prominent position and shall include the ISO or IEC reference number and year, and international title if different from the national title. (Examples: titles the same – Identical to ISO 11111: 2000; title different – Modified adoption of ISO 11111: 2000, Widgets.)

With particular reference to the development of electronic versions of standards, standards bodies may find new methods of adoption which are not covered in the *ISO/IEC Guide 21*, or may combine the existing ones. In this case the method used will not be listed here. However, the recommendations regarding choice and indication of correspondence will still remain applicable.

For further information concerning adoption methods described above and for methods of indicating technical deviations and editorial changes, please consult *ISO/IEC Guide 21*.

#### **B.3 Designating national standards that are identical adoptions of ISO or IEC Standards**

These guidelines supplement applicable sections of the *ANSI Essential Requirements*. When a national standard is identical to an ISO or IEC standard, this should be evident to the reader immediately on the cover and title page. The recommended method of identification for identical adoptions consists of including the ISO or IEC standard reference number (letters and number) in combination with or in association with the national designation. Depending on the method chosen, in order to improve transparency, the year of publication of the ISO or IEC Standard and/or that of the national standard should be added to the number wherever possible. Examples of acceptable methods of numbering follow:

a) Single-line numbering: The national letters may be separated from the ISO or IEC reference number (letters

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<sup>3</sup> See current version of ISO/IEC Guide 21.

and number) by a space:

ANSI ISO 1234:1999

b) Two-line dual numbering: The national letters followed by the ISO or IEC reference number on a separate line or on one line using a slash to separate them:

ANSI ABC 331:1999

ISO 1234:1998

or

ANSI ABC 331:1999/ISO 1234:1998

#### B.4 Maintenance of national adoptions

When adopting an ISO or IEC standard, all existing amendments and technical corrigenda to the ISO or IEC standard shall be included in the national standard. Amendments and technical corrigenda published after the adoption of an ISO or IEC standard should be considered for adoption as soon as possible. Adoption of amendments shall follow the same procedure as for the adoption of the original standard. Technical corrigenda (i.e., errata) may be published following the standards developer's usual procedures.