



Standards Development Program

Policies and Procedures: American National Standards and
Technical Reports

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Table of Contents

1	GENERAL	5
1.1	Foreword	5
1.1.1	The Importance of American National Standards	5
1.1.2	The Importance of the Technical Report	6
1.1.3	The Importance of Guidelines	6
1.1.4	The Role of ARMA International in Standards and Best Practices Development	6
1.1.5	ARMA International Organizational Structure	6
1.1.6	Consensus Groups	6
1.1.7	Public Review Body	6
1.1.8	Member of ANSI	6
1.1.9	Non-U.S. Countries	7
1.2	Due Process	7
1.2.1	Openness	7
1.2.2	Lack of Dominance	7
1.2.3	Balance	7
1.2.4	Coordination and Harmonization	7
1.2.5	Notification of American National Standard Development and Coordination	7
1.2.6	Consideration of Views and Objections	7
1.2.7	Consensus Vote	8
1.2.8	Appeals	8
1.2.8.1	Format and Procedures for Submission of Appeals	8
1.2.8.2	Other Operational Issues Pertaining to Appeals	8
1.2.9	Written Procedures	9
1.2.10	Compliance with Policies and Procedures	9
1.2.11	Patent Policy	9
1.2.12	Interpretation Policy	9
1.2.13	Metric Policy	10
1.2.14	Records Retention Policy	10
1.2.15	Commercial Terms and Conditions	10
1.3	Approval of Actions in Connection With American National Standards	10
1.3.1	National Adoption of ISO or IEC Standards as American National Standards	10
1.3.2	Maintenance of American National Standards	10
1.3.3	Withdrawal for Cause	11
1.3.4	Format and Process	11
1.3.5	Discontinuance of an American National Standard Project	11
1.3.6	Appeals of Withdrawal Actions	11
1.4	Principles of Operation	11
1.4.1	Representation	11
1.4.2	Scope of Publications Developed	11
1.4.3	Coordination	11
1.4.4	Periodic Review	12
1.4.5	“In Writing”	12
1.4.6	Working Documents	12
1.5	Consensus Group Membership Categories	12
1.5.1	Suppliers	12
1.5.2	Government Users	12
1.5.3	Non-Government Users	13
1.5.4	Educators/Trainers	13

1.5.5	Determining Membership Categories	13
2	CONSENSUS GROUPS	13
2.1	Purpose and Responsibility	13
2.2	Principles of Operation.....	13
2.2.1	Consensus Group Project Leader	13
2.2.2	Recordkeeping.....	13
2.3	Participation on Consensus Groups	13
2.3.1	Membership Recruitment	13
2.3.2	Call for Participation	14
2.3.3	Voting.....	14
2.3.4	Size	14
2.3.5	Tenure	14
2.3.6	Changes.....	14
2.4	Consensus Group Meeting Procedures	14
2.4.1	Guest Participation	14
2.4.2	Frequency	14
2.4.3	Voting.....	15
2.5	Consensus Group Recordkeeping	15
2.5.1	Minutes	15
2.5.2	Record Copy	15
2.5.3	Reports.....	15
3	AMERICAN NATIONAL STANDARD DEVELOPMENT	15
3.1	Project Proposals	15
3.2	Project Initiation.....	15
3.3	Consideration of Comments on PINS	16
3.4	Consensus Group Balloting.....	16
3.5	Public Review and Consideration of Objections	17
3.6	Preparation for Publication	18
4	DEVELOPMENT OF TECHNICAL REPORTS	18
4.1	Criteria for Registration of Technical Reports with ANSI	18
4.2	Procedures for Approval by Accredited Standards Developer and ANSI Registration	19
4.3	Project Proposals	19
4.4	Project Initiation.....	19
4.5	Intent to Register	19

4.6 Preparation for Publication19
4.7 Appeals.....20

1 General

1.1 Foreword

The membership of ARMA International represents multiple sectors of the information management profession, including records and information management personnel, archivists, information technology professionals, consultants and vendors from industry, government and educational institutions. This broad base of membership allows ARMA International to establish and administer a voluntary system through which records and information management (RIM) standards and best practices may be recognized in the profession and recommended for national and international use.

These procedures have been developed to provide a systematic approach to the coordination and management of the ARMA International standards development program. These procedures, together with the information contained in the *ARMA International Standards Development Program Publication Guide*, cover development of proposed American National Standards for submission to ANSI and development of technical reports for registration with ANSI.

Use of “Shall” and “Should”

Work in standards development requires an understanding of terms. To avoid confusion and misunderstanding, the following definitions are to be followed.

Shall: The word “Shall” denotes a mandatory requirement within the standard

Should: The word “Should” denotes a recommendation

1.1.1 The Importance of American National Standards

American National Standards are ANSI-approved and promote records and information management operational excellence by:

- Providing guidance for the implementation of policies, systems, and procedures for the management of recorded information throughout its life cycle.
- Ensuring consistency in the management of records and information throughout the enterprise and the RIM profession.
- Ensuring that valuable information assets are protected and remain accessible and retrievable throughout the information life cycle.
- Ensuring that historical records are preserved for future generations.
- Establishing uniform and readily understandable terminology for materials, supplies and procedures.
- Establishing criteria for the selection of products specific to a particular need.
- Eliminating misunderstanding and confusion between suppliers and buyers relative to the specifications for equipment, materials, and/or supplies on which standards are adopted.
- Advancing the professionalism of the records and information management discipline.
- Enhancing interoperability between systems.
- Promoting efficiency and cost savings by reducing wasted effort, ensuring consistency of procedures over time, and reducing risk exposure.

1.1.2 The Importance of the Technical Report

Technical reports are informative or educational (tutorial.) They may also provide methodologies for application of standards. Accredited standards developers, such as ARMA International, develop technical reports that are useful in conjunction with standards of National or International bodies on a particular subject.

1.1.3 The Importance of Guidelines

Guidelines are used to provide information and guidance as to methods or procedures, but they do not have the same level of authority as standards or technical reports. The *ARMA International Standards Development Program Publication Guide* provides policies and information that assist in the creation of guidelines. Additional procedural information may also be obtained from ARMA International.

1.1.4 The Role of ARMA International in Standards and Best Practices Development

ARMA International participates in RIM standards and best practices development activities in four (4) areas:

- Developing American National Standards and ANSI-registered technical reports
- Developing guidelines
- Providing RIM input to other organizations developing standards, technical reports and best practices in areas related to RIM, when appropriate
- Participating in the development of International Organization for Standardization (ISO) standards, technical reports and best practices in RIM and related areas

1.1.5 ARMA International Organizational Structure

Members of ARMA International and others are provided opportunities to participate in ARMA International's standards development program activities. ARMA International's staff and/or designee(s) works in conjunction with the consensus groups to ensure American National Standards are developed in compliance with ANSI requirements and to ensure that proposed American National Standards are within the association's authorized scope as defined in section 1.4.2. ARMA International provides official liaisons to ISO.

1.1.6 Consensus Groups

Under the direction of ARMA International, various consensus groups accomplish the development of each American National Standard. The consensus group votes on the actions to be taken in regard to the American National Standard under development.

1.1.7 Public Review Body

The public review body is comprised of individuals who request a copy of the proposed American National Standard for review and comment in response to notices placed in internal communication publications such as ARMA International's *InfoPro*, the ARMA International website, special announcements sent to affiliated organizations, and ANSI's *Standards Action* publication. These notices announce the opening of the "Call for Comments" on a proposed American National Standard.

1.1.8 Member of ANSI

ARMA International was approved as an accredited standards developing organization by ANSI effective August, 1986. ARMA International established ANSI procedures to develop ANSI-registered technical reports, effective September 2002.

1.1.9 Non-U.S. Countries

Standards boards outside of the United States may desire to re-write the ANSI/ARMA Standards or ANSI-registered ARMA technical reports to make them more specific to the needs and practices of the particular country. In such cases, those standards boards should ask permission from ARMA International.

1.2 Due Process

Due process requirements apply to activities related to the development of consensus for approval, revision, reaffirmation and withdrawal of an American National Standard.

Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has a right to participate by: a) expressing a position and its basis, b) having that position considered and c) having the right to appeal. Due process allows for equity and fair play. The following constitute the minimum acceptable due process requirements for the development of consensus.

1.2.1 Openness

Participation shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership on the consensus body shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.

1.2.2 Lack of Dominance

The American National Standard development process shall not be dominated by any single interest category, individual or organization. Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength or representation to the exclusion of fair and equitable consideration of other viewpoints.

1.2.3 Balance

The American National Standard development process should have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance. (See section 1.5 for a list of interest categories.) Historically, the criteria for balance are that: a) no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards.

1.2.4 Coordination and Harmonization

Good faith efforts shall be made to resolve potential conflicts between and among existing American National Standards and candidate American National Standards.

1.2.5 Notification of American National Standard Development and Coordination

Notification of American National Standards activity shall be announced in suitable media as appropriate to demonstrate an opportunity for participation by all directly and materially affected persons.

1.2.6 Consideration of Views and Objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the PINS announcement or public comment listing in ANSI's *Standards Action*.

1.2.7 Consensus Vote

Evidence of consensus in accordance with these requirements and the accredited procedures of the standards developer shall be documented.

1.2.8 Appeals

Procedural appeals regarding any action or inaction, including whether a technical issue was afforded due process, can be initiated by an appellant within fourteen (14) calendar days of the appellant's receipt of ARMA International's written disposition of the objection as delivered by an appropriate designee of the ARMA International Standards Development Program. Such appeals can be made to a subset of the ARMA International Member Practice & Support Committee, hereinafter referred to as "the Committee". The Committee will include only members of the ARMA International Member Practice & Support Committee who are also members of the ARMA International Board of Directors; ARMA International staff members who are members of the ARMA International Member Practice & Support Committee shall be excluded. A complete and current roster of the ARMA International Member Practice & Support Committee may be viewed at <http://www.arma.org/Governance/index/POL1-016ExB.aspx>. In regards to appeals, it should be noted that the Committee's decision shall be considered final and binding; the Committee may not, at any time, overrule or demand a reversal of a consensus body decision. A request for an appeal shall be in writing and shall include a full explanation of the reason for the request, as well as any supporting documentation. Appeals requests shall use the format described in section 1.2.8.1 Format and Procedures for Submission of Appeals, below.

1.2.8.1 Format and Procedures for Submission of Appeals

An appeal shall be initiated by an appellant by submitting a written request to: ARMA International, Member Practice & Support Committee--Appeals; c/o V. Wiler, Director of Publications; 11880 College Boulevard, Suite 450; Overland Park, Kansas 66210. The format of such a request shall include the following: a) a full explanation of the reason for the appeal—this explanation should answer "why" the appellant wishes to undertake the appeal and how s/he has a direct and material interest; b) a description of the decision from which the appeal is taken—this description should provide historical documentation of decision-related communications between the appellant and ARMA international; c) a short statement of the matter in controversy—this should be a concise, summary statement of the matter; d) the reason(s) why the appellant believes the decision is in error, including evidence to support the appellant's position—such evidence consists of facts, figures, statistics, or similar referential information, where appropriate; and e) a description of the specific relief sought by the appellant—this description should clearly state the remedy suggested by the appellant. The burden of persuasion shall rest with the appellant. Seven (7) complete paper copies of such a written request shall be sent via certified US Mail within fourteen (14) calendar days following receipt by the appellant of the decision that is the subject of the appeal.

1.2.8.2 Other Operational Issues Pertaining to Appeals

No party to an appeal shall communicate with any member of the Committee regarding the appeal while the matter is pending. Upon receipt of the written appeal request, the Committee shall plan a consideration of the appeal at its next regularly scheduled meeting. At an appeals hearing, decisions of the Committee shall be based on a majority vote of all members in attendance (either in person or via teleconferencing facilities,) not counting abstentions. The Committee's decision shall specify the outcome of the appeal, the reasons for such outcome, and the specific relief granted, if any. The Committee shall respond to the appellant with a decision, in writing, within forty-five (45) calendar days of the Committee's receipt of the appeal.

A member of the Committee shall act at all times in a manner that promotes confidence in the integrity and impartiality of ARMA International's processes and procedures and should avoid a conflict of interest or the appearance of a conflict of interest in connection with appeals activities. ARMA International recognizes that a conflict of interest can arise from involvement

by a Committee member with the subject matter of a dispute under consideration by the Committee or from any relationship between the Committee and a party to an action before the Committee, whether past or present, that reasonably raises a question of a Committee member's impartiality. Typically, a potential conflict of interest arises when a member of the Committee participated in activities integral to the particular issue under review. If a materially affected party asserts that it believes that a member of the Committee has a conflict of interest, that materially affected party is required to state the reason(s) for its belief. That information shall then be communicated to ARMA International, c/o V. Wiler, Director of Publications. ARMA international shall forward that information to the member of the Committee identified as having a possible conflict for that person's response. If that Committee member disagrees with the assertion, then the Chairperson of the Committee shall make a final determination as to whether a conflict of interest exists. Members of the Committee who are disqualified from a particular discussion shall not participate in the arguments, deliberations, voting, or decision. Where a Committee member voluntarily chooses to excuse him/herself from an appeal proceeding as s/he believes a conflict of interest may exist due to any disqualifying situation, including that Committee member's personal or professional activities related to the appeal or appellant, that Committee member shall be disqualified from a particular discussion and shall not participate in the arguments, deliberations, voting, or decision.

ARMA International encourages settlement of disputes at any time if the settlement is consistent with the objectives of the ARMA International procedures. Any settlement (to which the parties agree in writing) that is consistent with ARMA International procedures or an agreement to withdraw the appeal, will terminate the appeals process. If the settlement leads to a substantive change in a standard, the change shall be processed in accordance with the most current version of the *ARMA International Standards Development Program Policies and Procedures: American National Standards and Technical Reports*.

1.2.9 Written Procedures

Written procedures shall govern the methods used for American National Standard development and shall be available to any interested person.

1.2.10 Compliance with Policies and Procedures

ARMA International is an ANSI-accredited standards developer. ARMA International complies with the normative policies and administrative procedures established by the ANSI ExSC or its designee.

1.2.11 Patent Policy

ARMA International shall comply with ANSI patent policy regarding the inclusion of patents in American National Standards as described in the most current version of the *ANSI Essential Requirements: Due process requirements for American National Standards*.

1.2.12 Interpretation Policy

The policy of ARMA International is to provide clarification or interpretation for any ARMA-sponsored American National Standard. All requests for clarification or interpretation must be submitted in writing and addressed or forwarded to: ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210; Attn: Standards or standards@armaintl.org. Upon receipt by ARMA International, the request will be evaluated by the appropriate ARMA International staff and/or ARMA International's designee(s) and a written response will be returned to the requester within thirty (30) calendar days. Such requests, and the accompanying responses, will be posted to the ARMA International website.

1.2.13 Metric Policy

In accordance with 41 CFR Part 101-29, General Services Administration, January 23, 1984 “Use of Metric System of Measurement in Federal Product Descriptions,” and American National Standard Metric Practice, ANSI Z.210.1, all dimensions will be in U.S. customary units, and metric units shall be shown parenthetically.

1.2.14 Records Retention Policy

The standards development program record series, (code 10.010000) contains ARMA International’s official operating procedures for the program. Records in that series shall be retained for a period of ten (10) years after those records are superseded.

American National Standards project files records shall be retained for a period of five (5) years after those records are superseded. The American National Standards project files record series, (code 10.020000) contains all records for American National Standard development as required by the most current version of *ANSI Essential Requirements: Due process requirements for American National Standards*. American National Standards project files are considered superseded when an edition is replaced by a fully approved new edition of the American National Standard, or when an American National Standard is withdrawn; records related to withdrawn American National Standards shall be maintained for five (5) years from the date of withdrawal.

All final published documents are retained for the life of the association under record retention code 08.111100 for retention as technical publications.

1.2.15 Commercial Terms and Conditions

ARMA International shall comply with the commercial terms and conditions policy as described in the most current version of *ANSI Essential Requirements: Due process requirements for American National Standards*.

1.3 Approval of Actions in Connection With American National Standards

1.3.1 National Adoption of ISO or IEC Standards as American National Standards

If ARMA International wishes to adopt an ISO or IEC standard as an American National Standard, ARMA International shall comply with the requirements set forth in the most current edition of the *ANSI Procedures for the National Adoption of ISO or IEC Standards as American National Standards*.

1.3.2 Maintenance of American National Standards

American National Standards shall be kept current and relevant by means of timely revision, reaffirmation or action to stabilize. Identification of a reaffirmed American National Standard will comply with procedural requirements in the most current version of the *ANSI Essential Requirements: Due process requirements for American National Standards*. Obsolete standards shall be withdrawn. Except in the case of the national adoption of ISO and IEC standards as American National Standards, when the maintenance provisions contained in the most current version of the *ANSI Procedures for the National Adoption of ISO or IEC Standards as American National Standards* shall apply, the three options (periodic maintenance, continuous maintenance or stabilized maintenance) outlined in the most current version of the *ANSI Essential Requirements: Due process requirements for American National Standards* shall be permitted.

1.3.3 Withdrawal for Cause

ARMA International will respond to any request for “Withdrawal for Cause”, which may be submitted at any time by any materially interested party, the ANSI Executive Standards Council (ExSC) or its designee, who feels that the American National Standard violates ANSI requirements or is in conflict with another standard.

1.3.4 Format and Process

Requests for “Withdrawal for Cause” that are received by ANSI will be forwarded to ARMA International. The “Withdrawal for Cause” shall be in writing and addressed to ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210, Attn: Standards or standards@armaintl.org. Within thirty (30) calendar days of ARMA International’s receipt of the request, ARMA International will send a decision letter stating reasons for the decision to the petitioner and the Secretary of the Board of Standards Review at ANSI.

1.3.5 Discontinuance of an American National Standard Project

ARMA International may abandon the processing of a proposed new or revised American National Standard or portion thereof if it has followed its accredited procedures. The final decision will be made by ARMA International. A written justification for such an action shall be made available upon receipt of a written request received by ARMA International within sixty (60) calendar days of the date of the final action. Appeals of such actions shall be made to the ExSC based on procedural noncompliance; such appeals shall comply with ARMA International’s policies and procedures described in sections 1.2.8, 1.2.8.1, and 1.2.8.2 of this document.

1.3.6 Appeals of Withdrawal Actions

Appeals of such actions shall be made through ARMA International’s appeals procedure as described in sections 1.2.8, 1.2.8.1, and 1.2.8.2 of this document.

1.4 Principles of Operation

ARMA International adheres to content contained in the most current versions of the *ANSI Essential Requirements: Due process requirements for American National Standards* and *Procedures for the Registration of Technical Reports with ANSI*, as well as any other relevant guidance documents distributed by ANSI.

1.4.1 Representation

The interests of the public, including ARMA International members, labor, industry, education and government shall have appropriate representation in standards activities. This includes an opportunity to participate in the development and review of proposed publications prior to acceptance.

1.4.2 Scope of Publications Developed

The scope of ARMA International’s standards development program activities addresses the key concepts of the fields of records and information management, regardless of technological or organizational environment. When there is overlap, ARMA International will coordinate efforts with other standards developing organizations and encourage and promote the use of standards developed by other professional organizations, when appropriate.

1.4.3 Coordination

ARMA International’s standards development program publications, including American National Standards and technical reports, are coordinated through the ARMA International Publications Department for editorial review prior to publication.

1.4.4 Periodic Review

All ANSI/ARMA American National Standards shall be reviewed within five (5) years of approval. Appropriate actions (i.e., reaffirmation, revision or withdrawal) will be initiated subsequent to the review and ANSI will be notified of actions planned. Each ANSI-registered ARMA technical report shall be reaffirmed, revised or withdrawn by the tenth anniversary of its registration or it will be administratively withdrawn and a notice of same placed in ANSI's *Standards Action*.

1.4.5 "In Writing"

These procedures make several references to transactions and documentation that must be provided "in writing." Electronic submissions and e-mail messages are appropriate forms for this documentation, unless otherwise noted.

1.4.6 Working Documents

Distribution of working documents is restricted to ARMA International and to members of the consensus group (for development of an American National Standard) or workgroup (for development of an ANSI-registered technical report). For documents that will be submitted to ANSI for approval as an American National Standard or an ANSI-registered technical report, the header on each page of the document shall identify it as a "Working Draft" and shall include the number (e.g., ARMA TR 1 – xxxx) to ensure that the information is not construed as a best practice or an approved American National Standard. When the document becomes an approved American National Standard or a registered technical report, the "xxxx" will be replaced with the year of publication. The rest of the number will remain the same throughout the development process.

1.5 Consensus Group Membership Categories

Balance on the consensus groups is essential to ensure that no special interest group can unfairly influence the resulting American National Standard. A balance of membership is an essential concept of ANSI American National Standard procedures. ARMA International has established a system for classification of all persons involved in standards development work. There are four (4) categories of representation. These are:

- Suppliers
- Government Users
- Non-Government Users
- Educators/Trainers

1.5.1 Suppliers

This category includes those individuals who are directly involved in manufacturing, fabricating or distributing equipment, materials, supplies or services used by the records and information management profession, e.g., file cabinets, shelving, folders, labels, guides, magnetic tapes, compact disks, etc. This category includes consultants who make recommendations to client organizations, assist in the development and implementation of records management programs and/or produce products used by client organizations.

1.5.2 Government Users

This category includes those individuals who use records management equipment, materials and supplies, and who are under the employ of a local, state/provincial or federal agency. This category includes employees who work for government contractors.

1.5.3 Non-Government Users

This category includes those individuals who use records management equipment, materials, supplies or services and are under the employ of a private enterprise.

1.5.4 Educators/Trainers

This category includes those individuals who are not essentially involved in the use of records management equipment, materials or supplies, but are involved in teaching records and information management techniques and procedures. This category includes consultants whose primary focus is on training and educating, rather than providing consulting services to the industry.

1.5.5 Determining Membership Categories

Consensus group members shall be categorized in accordance with the principal business interest of their employer. If a group member is not employed, s/he may be categorized according to his/her primary interests. If an individual's interest category changes in the course of the project, the most recent interest category is the one used to determine whether there is still balance on the group and if the individual remains eligible to vote.

2 Consensus Groups

2.1 Purpose and Responsibility

The purpose and responsibility of the consensus group is to serve as the consensus body for ARMA International American National Standard development activities.

2.2 Principles of Operation

Each consensus group is governed by the principles of due process that govern American National Standard development work. (See section 1.2).

2.2.1 Consensus Group Project Leader

For each consensus group, ARMA International will appoint a consensus group project leader from among the "Call for Participation" respondents who are ARMA International members. S/he is responsible for directing the consensus group work and submitting timely reports to ARMA International.

2.2.2 Recordkeeping

All records and information created or received by the consensus group shall be the responsibility of the consensus group project leader. Records shall be turned over to ARMA International throughout the project and upon resignation or replacement of the consensus group project leader. These actions ensure that record copies of all records are maintained and available for inspection by ANSI if/when required.

2.3 Participation on Consensus Groups

Consensus group participation is open to all directly and materially affected persons. Participants may serve on the consensus group for the duration of the project or as long as they have an active interest. The affiliation and interest category of each consensus group member shall be made available to interested parties upon written request.

2.3.1 Membership Recruitment

ARMA International is responsible for the recruitment of an active, balanced and professionally competent consensus group. ARMA International membership is mandatory for the consensus group project leader, but is not a requirement for consensus group membership. The consensus group project leader and ARMA International are responsible for soliciting participation from

under-represented classifications to ensure balance or to enlist specific subject matter experts to participate.

2.3.2 Call for Participation

At the beginning of each new project a “Call for Participation” notice will be placed in the next available ARMA International’s *InfoPro*. Other available communication channels, including e-mail distribution and Web-based means of communication, may be utilized.

2.3.3 Voting

There may be more than one (1) member from a company, organization or government agency on a consensus group, but there can be only one (1) voting member from the company, organization or government agency. In cases of more than one member from the same organization, those individuals are asked to determine which one will serve as the voting member, and which one will be recognized as a “special contributor.”

2.3.4 Size

A consensus group shall ideally consist of ten to fifteen (10 - 15) voting members. However, there is no requirement regarding the minimum or maximum number of voting members.

2.3.5 Tenure

Members may serve on a consensus group, provided they actively participate, until the project is completed. Non-participating members may be replaced.

2.3.6 Changes

Any changes of consensus group membership shall be reported to ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210, Attn: Standards or standards@armaintl.org.

2.4 Consensus Group Meeting Procedures

Meetings are typically conducted on an informal basis. At the discretion of the consensus group project leader or by majority vote of the members present, however, the meeting may be conducted on a formal basis. *Robert’s Rules of Order - Newly Revised* should serve as a guide to the conduct of the meeting, unless it conflicts with the rules contained in this manual. In that case, the most current version of the *ARMA International Standards Development Program Policies and Procedures: American National Standards and Technical Reports* shall prevail. In all cases, meeting notes will be recorded for consensus group meetings and those notes shall be delivered by the consensus group project leader to ARMA International on a timely basis. (See section 2.5.1.)

2.4.1 Guest Participation

Non-consensus group members may attend a consensus group meeting as an observer, consultant or expert witness and should be encouraged to participate. They shall conduct themselves as guests and are not entitled to vote.

2.4.2 Frequency

The consensus group project leader is responsible for calling meetings as often as may be necessary to meet the objectives effectively. ARMA International will make a toll-free conference call line available for consensus group meetings.

2.4.3 Voting

If a formal consensus group vote is to be taken at a meeting, notice of the intended vote will appear in the agenda. Consensus group members who are not in attendance at such meetings will be balloted in writing.

2.5 Consensus Group Recordkeeping

The consensus group project leader shall provide all consensus group members with a copy of meeting notices and agenda items, prior to the meeting. Copies shall also be provided to ARMA International.

2.5.1 Minutes

The consensus group project leader shall provide minutes of all meetings to all members of the consensus group and to ARMA International. The minutes shall contain all actions and decisions, including a record of members' voting activities and summaries of discussions, to make those actions readily understandable to those not present at the meeting.

2.5.2 Record Copy

The consensus group project leader shall provide the record copy of all consensus group-related documents that have a direct bearing on the American National Standard development process to ARMA International. The record copy shall be maintained by ARMA International. ARMA International shall retain records to demonstrate compliance with all aspects of the most current version of the *ANSI Essential Requirements: Due Process Requirements for American National Standards*. Records shall be retained in accordance with the records retention policy described in section 1.2.14.

2.5.3 Reports

On a monthly basis, a project report shall be submitted by each consensus group project leader to ARMA International.

3 American National Standard Development

The following are the procedures that lead to the issuance of an American National Standard.

3.1 Project Proposals

Any individual or organization may make a proposal for a new ARMA International American National Standard project. Every proposal will be given equal consideration regardless of the source of the proposal. To be eligible for consideration, a written proposal must be submitted to or initiated by ARMA International. A project proposal form for this purpose is available on the ARMA International website. If ARMA International rejects the proposed project, the originator shall be notified in writing, with an explanation of the decision. In such cases, the originator of the proposal has the right to provide evidence in support of the proposed project and to receive reconsideration by ARMA International.

3.2 Project Initiation

To initiate a new project with ANSI, revise an existing American National Standard or commence an identical national adoption of an international standard with ANSI, ARMA International will complete an ANSI Project Initiation Notification System (PINS) form and submit it to ANSI. A statement shall be submitted and published as part of the PINS announcement that shall include: a) an explanation of the need for the project, including, if it is the case, a statement of intent to submit the standard for consideration as an ISO or ISO/IEC JTC-1 standard; and b) identification of the stakeholders likely to be directly impacted by the standard. ARMA International shall advise the relevant ANSI-Accredited US TAG(s) if the standard is intended to be submitted for consideration as an ISO or ISO/IEC JTC-1 standard.

Using the most current version of the *ARMA International Standards Development Program Publication Guide* as a reference, the American National Standard document will be drafted.

3.3 Consideration of Comments on PINS

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on either the PINS announcement or public comment listing in ANSI's *Standards Action* publication that publicizes new work being undertaken by standards developers.

If written comments are received within thirty (30) calendar days from the publication date of a PINS announcement in ANSI's *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard or a candidate American National Standard that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within ninety (90) calendar days from the comment deadline.

ARMA International shall organize the deliberation, along with the commenter. Deliberations shall be concluded before ARMA International submits a draft American National Standard for public review. If the deliberation does not take place within ninety (90) calendar days, ARMA International is responsible for demonstrating that a good faith effort was made to schedule and organize the deliberation before being excused from compliance with this requirement by ANSI.

The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed project. The outcome of such a deliberation shall be conveyed in writing by ARMA International and the commenter (ideally as a joint submission) to the ANSI Board of Standards Review (BSR) for consideration should the developer ultimately submit the related candidate American National Standard to ANSI for approval.

At the conclusion of all deliberations, the proposed project may be approved by ARMA International as contained in the proposed scope or upon a revision to the proposed scope. Upon approval, a "Call for Participation" will be issued to establish a consensus group to implement the project. (See section 2.3.2.) ARMA International will appoint a consensus group project leader from the among the consensus group participants.

3.4 Consensus Group Balloting

Using the most current version of the *ARMA International Standards Development Program Publication Guide* as a reference, the consensus group completes the American National Standard draft manuscript and any necessary revisions. All consensus group members are then given an opportunity to vote on whether to approve the draft and submit it to ANSI. Consensus group members have four vote options:

- Affirmative
- Affirmative with comment
- Negative with supporting reason or documentation attached (Please note: A negative vote must be accompanied by comments related to the proposed American National Standard. If no comments are attached to the negative vote, or if comments do not relate to the proposed American National Standard, the vote will be registered as "negative without comment" without further notice to the voter and in order to establish a quorum.)
- Abstain with reasons attached

Votes must be submitted to ARMA International within twenty-one (21) calendar days of the date on the ballot. Votes must be registered by at least 51% of the consensus group participants (counting abstentions.) Two-thirds of those voting (not counting abstentions,) must approve in

order to take action. This ballot may be conducted by mail, in writing, by roll call in a meeting where results are recorded or any combination of the above. Approximately ten (10) calendar days prior to the close of the ballot, ARMA International will send a written reminder to all voters from whom a ballot has not been returned.

Negative votes and comments will be reviewed by ARMA International to determine a proposed course of action regarding the comments. ARMA International shall record and consider all negative votes accompanied by any comments that are related to the proposal under consideration. This includes negative votes accompanied by comments concerning potential conflict or duplication of the draft American National Standard with an existing American National Standard and negative votes accompanied by comments of a procedural or philosophical nature. If comments not related to the proposal are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal.

Within thirty (30) calendar days of the ballot's close, ARMA International will contact the submitter of negative votes to discuss the issue(s) raised in the ballot and whether the proposed course of action meets with his/her approval. If the voter is willing to change the vote to affirmative, s/he shall verify the changed vote in writing to ARMA International, indicating that the vote may be changed to affirmative based on the discussion and agreement. The vote can then be moved to the "affirmative" category for purposes of submitting the BSR-9 to ANSI. If the voter is unwilling to change his/her vote to affirmative, ARMA International will ask under what conditions the voter would be willing to change the vote. The voter is notified in writing of the appeals process available under the ARMA International American National Standard development process.

The BSR-9 form documents the evidence of consensus and is submitted when the consensus process is complete and the document is ready to be submitted to ANSI for approval as an American National Standard.

3.5 Public Review and Consideration of Objections

Concurrent to the balloting of the consensus group, a notice will be placed in ARMA International's *InfoPro* and distributed to related organizations announcing a "Call for Comments" on the proposed document. The ANSI BSR-8 form is submitted to ANSI so that the "Call for Comment" notice can be listed in ANSI's *Standards Action* report. If it is the case, a statement of intent to submit the American National Standard for consideration as an ISO or ISO/IEC JTC-1 standard shall be included as part of the description of the scope summary that is published in ANSI's *Standards Action*. This "Call for Comments" notice will advise ARMA International members and other interested parties that the final draft of the proposed document is available from ARMA International for review and comment. Public review shall be publicized via the public area of the ARMA International webpage. Reviewers can request ~~that~~ either an electronic copy or a hard copy of the document. The reviewer may be charged a fee to cover production, postage, handling, and other related costs.

The comment period will be held open for a period of thirty (30) calendar days if full text can be published in ANSI's *Standards Action* **and it is not a new American National Standard** or forty-five (45) calendar days if the documents can be provided electronically, either by URL or by e-mail. If the documents are not available electronically, the comment period will be sixty (60) calendar days. Such listing may be requested at any stage in the development of the proposal, at the option of the standards developer, and may be concurrent with final balloting. However, any substantive change subsequently made in a proposed American National Standard requires listing of the change in ANSI's *Standards Action*.

In connection with an objection articulated during a public comment period, or submitted with a consensus group vote, an effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made. Each such objector shall be advised in writing within thirty (30) calendar days of the comment period's close or consensus group

ballot's close, of the disposition of the objection and the reasons therefore. If resolution is not achieved, each such objector shall be informed in writing that an appeals process exists within procedures used by ARMA International. When this process is completed in accordance with the written procedures of ARMA International, ARMA International shall consider any comments received subsequent to the closing of the public review and comment period in the same manner as a new proposal. Timely comments that are not related to the proposal under consideration shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified in writing.

If the draft American National Standard undergoes “substantive change” as defined by ANSI as a result of comments and ballots from the consensus group and/or comments from the public review, the revised draft must undergo a separate consensus group ballot and public review period. (See the most current version of the *ANSI Essential Requirements: Due process requirements for American National Standards, Annex A, Definitions.*)

Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members of the consensus body an opportunity to respond, reaffirm or change his/her vote.

3.6 Preparation for Publication

The consensus group shall review the edited, revised draft and recommendations relative to any negative votes to determine whether a consensus has been established. The BSR-9 form will be submitted to ANSI when ARMA International has determined that:

- The consensus group appropriately followed procedures to ensure balance and consensus in the development and balloting of the American National Standard.
- Any appeals were properly handled before submitting the draft American National Standard for ANSI approval.

ARMA International will arrange for approved drafts to be proofread and formatted to insure compliance with the most current version of the *ANSI Style Guide-sheet*. Per the latest version of the *ANSI Essential Requirements: Due process requirements for American National Standards*, portions of a document that were not approved through the American National Standard process shall be labeled appropriately as such and shall not include provisions that are required for conformance to an American National Standard.

Upon ANSI's approval of a draft American National Standard as an official American National Standard, the cover will be designed to include the ANSI logo or the words “An American National Standard” along with the ANSI/ARMA publication number. ARMA International's publication of an approved American National Standard shall be within six (6) months after the notification is received from ANSI. If this deadline cannot be met, ARMA International shall request an official extension from ANSI.

4 Development of Technical Reports

4.1 Criteria for Registration of Technical Reports with ANSI

A technical report shall be entirely informative in nature and shall not contain information implying that it is an American National Standard. It shall clearly explain its relationship to aspects of the subject that are, or will be, dealt with in related American National Standards.

All technical reports registered with ANSI must be in compliance with the ANSI Patent Policy. In addition, registration with ANSI of an ISO or IEC document as a technical report requires compliance with the most current version of the *ANSI Policy Regarding Rights to Nationally Adopt IE and ISO Standards or Otherwise Use IEC and ISO Material*.

4.2 Procedures for Approval by Accredited Standards Developer and ANSI Registration

The decision to publish a document as a technical report that is registered with ANSI (or as a supplement to a currently registered technical report) shall require approval by ARMA International using the most current versions of *Procedures for the Registration of Technical Reports with ANSI* and the procedures contained in this document. Technical reports that are registered with ANSI need not be subjected to consensus by public review before approval action is taken by the accredited standards developer. In addition, no approval by ANSI's Board of Standards Review, the ExSC, or any other ANSI body is required prior to registration of the technical report with ANSI, provided, however, that ANSI reserves the right to deny registration of any technical report for legal reasons, upon advice of its counsel or where it is shown that publication of the technical report is contrary to the public interest.

ARMA International may choose, at any time, to issue a supplement to a report that has been registered with ANSI. The issuance of a supplement to a technical report that has been registered with ANSI shall require adherence to the same procedures as for registration with ANSI of a technical report.

4.3 Project Proposals

Any individual or organization may make a proposal for a new ARMA International technical report project. Every proposal will be given equal consideration regardless of the source of the proposal. To be eligible for consideration, a written proposal must be submitted to or initiated by ARMA International. A project proposal form for this purpose is available on the ARMA International website. If ARMA International rejects the proposed project, the originator shall be notified in writing, with an explanation of the decision. In such cases, the originator of the proposal has the right to provide evidence in support of the proposed project and to receive reconsideration by ARMA International.

4.4 Project Initiation

If ARMA International agrees to initiate the proposed project as a technical report publication, a "Call for Participation" will be issued to establish a workgroup to implement the project. (See section 2.3.2.) ARMA International will appoint a workgroup project leader from among the workgroup participants. Using the most current version of the *ARMA International Standards Development Program Publication Guide* as a reference, the technical report will be drafted.

4.5 Intent to Register

An announcement of the intent to register a technical report must be placed in ANSI's *Standards Action* for thirty (30) calendar days. ARMA International will file an ANSI PSA-01 form, which is used to initiate the announcement in ANSI's *Standards Action* and to request ANSI registration of the technical report.

4.6 Preparation for Publication

ARMA International will arrange for the technical report manuscript to be proofread and formatted to insure compliance with the most current version of the *ANSI Style Guide-sheet*. Editorial review will also be coordinated through the ARMA International Publications Department.

When a technical report that has been registered with ANSI is published, the following text shall be included in the foreword. "Publication of this Technical Report that has been registered with ANSI has been approved by ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210. This document is registered as a Technical Report according to the Procedures for the Registration of Technical Reports with ANSI. This document is not an American National Standard and the material contained herein is not normative in nature. Comments on the content of this document should be sent to ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210, Attn: Standards."

In addition, the foreword should include a rationale for the publication of the technical report that is registered with ANSI.

Upon registration of a technical report with ANSI, the cover will be designed to include the ARMA TR publication number. ARMA International's publication of a registered technical report shall be within six (6) months after the registration is received by ANSI. If this deadline cannot be met, ARMA International shall request an official extension from ANSI.

All procedures and requirements will be implemented per the most current version of the *Procedures for the Registration of Technical Reports with ANSI*.

4.7 Appeals

Appeals can be initiated by an appellant within fourteen (14) calendar days of the termination of a notice to register a technical report in ANSI's *Standards Action*. Appeals regarding registration of a technical report should be sent to ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210; Attn: Standards or standards@armaintl.org. ARMA International will respond to all appeals in writing within thirty (30) calendar days of ARMA International's receipt of the appeal.