Standards Development Program

Policies and Procedures: American National Standards and Technical Reports

11880 College Boulevard
Suite 450
Overland Park, Kansas 66210

(913) 341-3808

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1 Foreword

The membership of ARMA International represents multiple sectors of the information governance/information management profession, including records and information management personnel, archivists, information technology professionals, consultants and vendors from industry, and 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.

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

2 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 supporting the advancement and professionalism of the RIM discipline.
- Ensuring that valuable information assets are protected and remain accessible and retrievable throughout the information life cycle, including the preservation of historical records for future generations.
- Establishing uniform and readily understandable terminology for materials, supplies, and procedures, and enhancing interoperability between systems.
- Promoting efficiency and cost savings by reducing wasted effort, ensuring consistency of procedures over time, and reducing risk exposure.

3 The Importance of Technical Reports

Technical reports are educational or 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.

4 ARMA International Organizational Structure and Principles of Operation

Members of ARMA International and others are provided opportunities to participate in ARMA International’s Standards Development Program activities. American National Standards are developed in compliance with ANSI requirements and are within the association’s authorized scope as defined in section 32.
ARMA International adheres to content contained in the current versions of 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.

5 Accreditation by 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.

6 Non-U.S. Countries

Standards boards outside of the United States may desire to re-write and/or translate the ANSI/ARMA American National Standards or ANSI-registered ARMA International 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.

7 Due Process

Due process requirements apply to activities related to the development of consensus for approval, revision, and reaffirmation 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.

8 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.

9 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.

10 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. 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. If a consensus body lacks balance in accordance with the historical criteria for balance, and no specific alternative formulation of balance was approved by the ANSI Executive Standards Council, outreach to achieve balance shall be undertaken.

11 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. For the purposes of
coordination and/or harmonization, ARMA International may consult any international or regional guides that may impact a proposed standard.

12 Assertions of Conflict or Duplication

If ARMA International receives written comments within thirty (30) calendar days from the publication date of a PINS announcement in Standards Action, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously (or concurrently) 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. Such a deliberation shall be organized by ARMA International and the commenter and shall be concluded before the submission of a proposed standard for public review. If the deliberation does not take place within the 90-day period and ARMA International can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then ARMA International will be excused from compliance with this requirement. 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 standard project.

13 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.

14 PINS Deliberation Report

The outcome of a PINS deliberation shall be conveyed in writing (the “Deliberation Report”) within thirty (30) calendar days after the conclusion of the deliberation by ARMA International to the commenter and to ANSI. Upon submission of the Deliberation Report, ARMA International may continue with the submission of the proposed standard for public review. If additional deliberations take place, they should not delay the submission of the proposed standard for public review, and an updated Deliberation Report shall be conveyed within thirty (30) calendar days after each deliberation. Any actions agreed upon from the deliberations shall be carried out in a reasonably timely manner, but normally should not exceed ninety (90) calendar days following the deliberation. Subsequently, ARMA International shall include all of the Deliberation Report(s) with the BSR-9 submittal to the ANSI Board of Standards Review (BSR) for consideration should ARMA International ultimately submit the subject standard to ANSI for approval. Stakeholders who were involved in the PINS deliberation process may also file separate Deliberation Report(s) with ANSI and ARMA International within thirty (30) calendar days after conclusion of any deliberation for consideration by the BSR, if the standard is submitted to ANSI for approval. The outcome of a PINS deliberation is not binding, unless binding provisions are agreed to by ARMA International.

15 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 for the development of an American National Standard.

16 Consensus Vote

For American National Standards projects, evidence of consensus in accordance with the current version of ANSI Essential Requirements: due process requirements for American National Standards and ARMA International’s ANSI-accredited procedures shall be documented.
17 Appeals Involving American National Standards

Procedural appeals regarding any action or inaction shall be initiated by an appellant within fourteen (14) calendar days of an American National Standard’s publication approval date as indicated in ANSI’s Standards Action. No appeals involving technical issues, i.e., issues related to technical content within ARMA International’s scope and purview as an accredited standards developer, shall be allowed. Appeals shall be made to a subset of the ARMA International Content Editorial Board (CEB), hereinafter referred to as “the Committee”. The Committee members shall be selected by ARMA International and shall total five individuals, including one individual who serves as Chairperson of the Committee; the Committee shall include only members of the ARMA International Content Editorial Board (CEB) who are not ARMA International staff members and are not participants in the American National Standard project involved in the appeal. A complete and current roster of the ARMA International Content Editorial Board (CEB) may be viewed at: http://www.arma.org/r2/standards-amp-best-practices/standards-development-process/standards-appeals. 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, shall terminate the appeals process. If the settlement leads to a substantive change in a standard, the change shall be processed in accordance with the current version of the ARMA International Standards Development Program Policies and Procedures: American National Standards and Technical Reports.

In regards to appeals, it should be noted that the Committee’s decision shall be considered final and binding; the Committee shall 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 below.

An appeal shall be initiated by an appellant by submitting a written request to: ARMA International, Content Editorial Board (CEB) – Appeals; c/o 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 matter from which the appeal is taken—this description should provide historical documentation of pertinent 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 there is an error, including evidence to support the appellant’s position—such evidence consists of 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, with return receipt requested, to the abovementioned address; the request shall be mailed within thirty (30) calendar days of the American National Standard’s publication approval date as indicated in ANSI’s Standards Action. The certified US Mail confirmation of delivery notice shall serve as the appellant’s record of ARMA International’s receipt of the written request for an appeal; ARMA International shall deliver the request for appeal to the Committee within ten (10) calendar days of receipt by ARMA International. The timeline for ARMA International’s response to the appellant is stated below.

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 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 recuse 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.

18 Written Procedures and “In Writing”

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

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.

19 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.

20 Patent Policy

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

21 Interpretation Policy

ARMA International will not provide interpretation for any ARMA International-sponsored American National Standard.

22 Antitrust Policy

American National Standards shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop American National Standards are to be conducted in accordance with these laws.
23 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.

24 Records Retention Policy

ARMA International shall retain all records for American National Standard development as required by the current version of ANSI Essential Requirements: Due process requirements for American National Standards. The consensus group project leader or project manager 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. American National Standards-related records shall be retained for a period of five (5) years after those records are superseded. Such records 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.

Records related to the registration of Technical Reports shall be retained as required, per the current version of Procedures for the Registration of Technical Reports with ANSI.

25 Commercial Terms and Conditions

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

26 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 current edition of ANSI Procedures for the National Adoption of ISO or IEC Standards as American National Standards.

27 Maintenance of American National Standards

American National Standards shall be kept current and relevant by means of timely revision or reaffirmation. Identification of a reaffirmed American National Standard will comply with procedural requirements in the current version of 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 current version of ANSI Procedures for the National Adoption of ISO or IEC Standards as America National Standards shall apply, the three options (periodic maintenance, continuous maintenance or stabilized maintenance) outlined in the current version of ANSI Essential Requirements: Due process requirements for American National Standards shall be permitted.

28 Withdrawal of American National Standards

An American National Standard must be supported by an ANSI-Accredited Standards Developer. If ARMA International wishes to withdraw its approval of one or more of its American National Standards, it may do so at any time and at its own discretion without a vote of the relevant consensus body. The final decision shall be made by ARMA International. If ARMA International does withdraw one or more of its American National Standards, then ARMA International shall notify ANSI immediately and in writing with the filing of a BSR-8 form; the standard(s) shall be withdrawn and an announcement shall appear in ANSI’s Standards Action.
29 Withdrawal for Cause of American National Standards

ARMA International shall respond to any request for “Withdrawal for Cause”, which may be submitted at any time by any materially interested party, including 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.

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 shall send a decision letter stating reasons for the decision to the petitioner and the Secretary of the Board of Standards Review at ANSI.

30 Discontinuance of an American National Standard Project

ARMA International may decide to abandon the processing of a proposed new or revised American National Standard or portion thereof at its own discretion and without a vote of the relevant consensus body. ARMA International must notify ANSI immediately of such actions which will be announced in Standards Action.

31 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.

32 Scope of Publications Developed

The scope of ARMA International’s Standards Development Program activities includes the development of systems, rules, reports and/or procedures for information and records creation, structure, capture, organization/classification, search, access, retrieval, use, transmission, retention, storage, and disposition in paper and electronic formats. Topics related to archives/records and information management such as: information governance, security, disaster recovery, legal/regulatory requirements, process quality improvement, and specific filing equipment, supplies, terminology and applications/technologies are studied, as well. Standards and technical reports may be developed in any of the aforementioned subject areas and may have broad, cross-industry or unique, sector-specific applicability. 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.

33 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.

34 Periodic Review

All ANSI/ARMA American National Standards shall be reviewed within five (5) years of approval. All ANSI-registered, ARMA International technical reports shall be reviewed within ten (10) years of registration. Periodically, appropriate actions (i.e., reaffirmation, revision, or withdrawal) shall be initiated and ANSI shall be notified of actions planned, including the request for placement of a notice in ANSI’s Standards Action.
35 **Purpose and Responsibility of Consensus Groups**

Under the direction of ARMA International, a consensus group participates in an American National Standard project and serves as the consensus body for an ARMA International proposed American National Standard; the consensus group votes on a proposed American National Standard.

36 **Consensus Group Membership Categories**

Balance on the consensus group 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**

  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.

- **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.

- **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.

- **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.

37 **Determining Consensus Group 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.

38 **Consensus Group Principles of Operation**

Each consensus group is governed by the principles of due process that govern American National Standard work. Each consensus group is overseen by a project manager appointed by ARMA International.

39 **Consensus Group Project Leader**

For each consensus group, ARMA International will appoint a consensus group project leader from among the “Call for Participation” respondents.
40 Consensus Group Recordkeeping

ARMA International shall retain records to demonstrate compliance with all aspects of the current version of ANSI Essential Requirements: Due process requirements for American National Standards. All records created or received by the consensus group shall be delivered to ARMA International throughout the project. These actions ensure that record copies of all records are maintained and available for inspection by ANSI if/when required. Records shall be retained in accordance with the records retention policy described in section 24.

41 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.

42 Membership Recruitment for Consensus Groups

ARMA International is responsible for the recruitment of an active, balanced, and competent consensus group. ARMA International membership is not a requirement for consensus group membership. As needed, ARMA International solicits participation from under-represented classifications to ensure balance or to enlist specific subject matter experts.

43 Call for Participation for Consensus Groups

At the beginning of each new American National Standard project, a “Call for Participation” notice will be placed in the next available ARMA International’s InfoPro. Other available communication channels may be utilized, including electronic communications. The “Call for Participation” shall be conducted for a minimum of 30 (thirty) calendar days.

44 Consensus Group 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.” A formal consensus group vote shall be balloted in writing.

45 Consensus Group 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.

46 Consensus Group Tenure

Members may serve on a consensus group, provided they actively participate, until the project is completed. Following the removal of a non-participating consensus group member, the non-participating member may be replaced.

47 Consensus Group Changes

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

48 Consensus Group Meeting Procedures

Meetings are conducted via teleconferencing technology. ARMA International provides a toll-free conference call line for consensus group meetings. In all cases, meeting notes will be recorded for consensus group meetings.
49  **Guest Participation in Consensus Group Meetings**

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.

50  **Consensus Group Meeting Agendas**

The consensus group project leader or project manager is responsible for scheduling teleconference meetings as often as may be necessary to meet project objectives. The consensus group project leader or project manager 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.

51  **Minutes of Consensus Group Meetings and Monthly Project Reports**

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

Each month, a project report shall be created by the consensus group project leader or project manager for each project to allow ARMA International to monitor and record progress.

52  **Project Proposals for American National Standards**

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 from 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.

53  **Project Initiation for American National Standards**

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 shall 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. If the response to sub-section (b) changes substantively as the standard is developed, a revised PINS shall be submitted and published. 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.

54  **PINS Exceptions**

A PINS is not required for revisions of an American National Standard that is maintained under continuous maintenance and (1) is registered as such on the ANSI website, (2) has a notice in the standard that the standard is always open for comment and how to submit comments, and (3) has information on the developer’s website that the standard is under continuous maintenance and how to submit comments. A PINS is also not required in connection with the decision to maintain an ANS under the stabilized maintenance option. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard.
55 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 proposed 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” is issued to establish a consensus group to implement the project. ARMA International shall appoint a consensus group project leader from among the consensus group participants.

56 Consensus Group Balloting

All consensus group members are given an opportunity to vote, via written ballot, on whether to approve the proposed American National Standard 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 shall 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; the calculation of the twenty-one (21) calendar days constituting the voting period shall not include the date of ballot distribution. 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 shall be conducted in
writing. 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.

Within thirty (30) calendar days of the ballot’s close, the consensus group shall receive all ballot comments and determine a response for disposition of said ballot comments, in collaboration with ARMA International. Within thirty (30) calendar days of the ballot’s close, each voter providing comments shall be advised in writing of: 1) the disposition of his/her comments and the reason(s) therefore and 2) the appeals process that exists within procedures used by ARMA International. For negative voters, as part of the written disposition of voter comments, ARMA International shall inquire in writing if the voter would be willing to change his/her vote. Subsequent to receipt of such written disposition, if a voter is willing to change a negative vote to affirmative, s/he shall verify the changed vote in writing to ARMA International, indicating that the vote may be changed to affirmative. The vote can then be moved to the “affirmative” category for purposes of submitting the BSR-9 to ANSI.

If the proposed American National Standard manuscript undergoes “substantive change” as defined by ANSI as a result of comments from the consensus group balloting, the revised manuscript must undergo a separate, new consensus group ballot and public review period; the ballot and the BSR-8 form submitted to ANSI will note it is a second, third, etc., consensus group ballot and public review period.

(See the current version of 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.

57 Public Review and Consideration of Comments/Objections

 Concurrent to the balloting of the consensus group, a notice will be placed in ARMA International’s InfoPro announcing a “Call for Comments” on the proposed document. Special announcements may be sent to affiliated organizations and/or posted on the ARMA International website, also. 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 public review and comment. The public review and comment period shall be publicized via the public area of the ARMA International webpage. Public reviewers can request either an electronic copy or a hard copy of the document. The public reviewer shall be charged a fee to cover production, postage, handling, and other related costs.

The public review and 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 public review and comment period will be sixty (60) calendar days. Such listing shall be concurrent with consensus group balloting.

Within thirty (30) calendar days of the close of the public review and comment period, the consensus group shall receive all public comments/objections and determine a response for the disposition of said public review comments/objections, in collaboration with ARMA International. Each such public reviewer shall be advised in writing within thirty (30) calendar days of the public review and comment period’s close of: 1) the disposition of his/her comment(s)/objection(s) and the reason(s) therefore; and 2) the appeals process that exists within procedures used by ARMA International. Included in the written disposition of the public
reviewer’s comment(s)/objections(s) shall be this statement by ARMA International: “Unless your written response is received within ten (10) calendar days of the date of this communication, ARMA International considers your public comment(s)/objection(s) to be resolved.” If a written response is received in a timely manner and a continuing objection exists, the consensus group members shall be advised of the continuing objection and offered the opportunity to respond, reaffirm, or revise the vote.

ARMA International shall consider any public comments/objections received subsequent to the closing of the public review and comment period in the same manner as a new proposal, i.e., ARMA International shall suggest the public reviewer can complete a new project proposal form and submit it to ARMA International. Timely comments/objections not related to the proposal under consideration shall be documented and considered in the same, aforementioned manner as submittal of a new project proposal. The submitter of the public comments/objections received subsequent to the closing of the public review and comment period and the submitter of timely public comments that are not related to the proposal under consideration shall be so notified in writing.

If the proposed American National Standard manuscript undergoes “substantive change” as defined by ANSI as a result of public comments/objections from the public review and comment period, the revised manuscript must undergo a separate, new consensus group ballot and public review and comment period; the ballot and the BSR-8 form submitted to ANSI will note it is a second, third, etc., consensus group ballot and public review and comment period.

(See the current version of 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.

58 Preparation for Publication of an American National Standard

The consensus group shall review the proposed American National Standard 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 proposed American National Standard for ANSI approval.

ARMA International shall arrange for proposed American National Standards to be proofread and formatted to insure compliance with the 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 proposed American National Standard as an official American National Standard, the cover shall be designed to include the ANSI logo and/or the words “Approved 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.
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 current version of the ANSI Policy Regarding Rights to Nationally Adopt IEC and ISO Standards or Otherwise Use IEC and ISO Material.

Procedures for Approval of Technical Reports/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 current versions of Procedures for the Registration of Technical Reports with ANSI and the procedures contained in this document. Technical reports registered with ANSI are not consensus documents. 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; however, 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 technical report that has been registered with ANSI; the same procedures contained in this document for development of a technical report shall be used for issuance of a supplement to a technical report that has been registered with ANSI. Using the current version of ANSI’s Procedures for the Registration of Technical Reports with ANSI, a supplement to a technical report that has been registered with ANSI shall also be registered with ANSI.

Project Proposals for Technical Reports

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.

Project Initiation for Technical Reports

If ARMA International agrees to initiate a technical report publication project, a workgroup shall be established. ARMA International will appoint a workgroup project leader from among the workgroup participants.

Announcement of Intent to Register A Technical Report

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 shall 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.

Preparation for Publication of Technical Reports

ARMA International shall arrange for the technical report manuscript to be proofread and formatted to insure compliance with the current version of the ANSI Style Guide-sheet. Editorial review shall be coordinated through ARMA International.
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 shall be designed to include the ARMA International 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 current version of Procedures for the Registration of Technical Reports with ANSI.

65 Appeals Involving Technical Reports

Procedural appeals regarding any action or inaction shall be initiated by an appellant within fourteen (14) calendar days of an ANSI-registered technical report’s registration date as indicated in ANSI’s Standards Action. No appeals involving technical issues, i.e., issues related to technical content within ARMA International’s scope and purview as an accredited standards developer, shall be allowed. Appeals shall be made to a subset of the ARMA International Content Editorial Board (CEB), hereinafter referred to as “the Committee”. The Committee members shall be selected by ARMA International and shall total five individuals, including one individual who serves as Chairperson of the Committee; the Committee shall include only members of the ARMA International Content Editorial Board (CEB) who are not ARMA International staff members and are not participants in the ANSI-registered technical report involved in the appeal. A complete and current roster of the ARMA International Content Editorial Board (CEB) may be viewed at: http://www.arma.org/r2/standards-amp-best-practices/standards-development-process/standards-appeals. 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, shall terminate the appeals process.

In regards to appeals, it should be noted that the Committee’s decision shall be considered final and binding. 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 below.

An appeal shall be initiated by an appellant by submitting a written request to: ARMA International, Content Editorial Board (CEB)—Appeals; c/o 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 matter from which the appeal is taken—this description should provide historical documentation of pertinent 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 there is an error, including evidence to support the appellant’s position—such evidence consists of 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, with return receipt requested, to the
abovementioned address; the request shall be mailed within fourteen (14) calendar days of the
ANSI-registered technical report’s registration date as indicated in ANSI’s Standards Action.
The certified US Mail confirmation of delivery notice shall serve as the appellant’s record of
ARMA International’s receipt of the written request for an appeal; ARMA International shall
deliver the request for appeal to the Committee within ten (10) calendar days of receipt by
ARMA International. The timeline for ARMA International’s response, i.e, the Committee’s
response, to the appellant is stated below.

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 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 recuse 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.