



*AIIM*  
**(ASSOCIATION FOR  
INFORMATION AND IMAGE  
MANAGEMENT)**

**AIIM STANDARDS DEVELOPMENT  
POLICIES AND PROCEDURES  
FOR ANSI APPROVED DOCUMENTS**

Approved by the Standards Board

Approved by ANSI

Approved August 14, 2007



# Table of Contents

Foreword .....	4
1.0 Organization .....	6
1.1 Scope.....	6
1.2 Program of Work.....	6
1.3 AIIM Management Duties .....	6
1.4 Due Process Requirements and Balance .....	7
2.0 AIIM Standards Program Structure.....	8
2.1 General.....	8
2.1 Standards Board.....	8
2.2 National Standards Council (NSC).....	11
2.3 Standards Committees .....	14
2.4 Ad Hoc Groups (AHG) .....	18
2.5 Study Teams.....	19
2.6 U.S. Technical Advisory Group to ISO TC 171 - Document Management Applications..	20
2.7 Liaisons.....	22
3.1 Types of Documents .....	24
3.2 ANSI/AIIM Standards.....	24
3.3 ANSI/AIIM Standard Recommended Practices.....	24
3.4 ANSI/AIIM Technical Reports .....	25
3.5 Nationally Adopted International Standards (NAIS) .....	25
4.0 Flow of Development .....	26
4.1 Project Proposals.....	26
4.2 Draft Document Preparation .....	27
4.3 Editing.....	27
4.4 AIIM Balloting.....	27
4.5 ANSI Public Review and Approval.....	29
4.6 Document Publication .....	30
5.1 Due Process Requirements .....	30
5.1.1 Openness .....	30
5.1.2 Consensus.....	30
5.1.3 Representation of Interests.....	30
5.1.4 Lack of Dominance .....	30
5.2 Written Procedures .....	31
5.3 Records .....	31
5.4 Documents.....	31
6.1 Document Review Requirements.....	32
6.2 Document Revision.....	32
6.3 Document Reaffirmation .....	32
6.4 Document Withdrawal .....	33
7.1 Purpose and Responsibility.....	33

7.2 Complaint.....	33
7.3 Response.....	34
7.4 Hearing .....	34
7.5 Appeals Panel.....	34
7.6 Conduct of Hearing .....	34
7.7 Decision .....	34
Appendix A.....	36
Appendix B.....	37
Appendix C.....	39
Metric Policy.....	39
Appendix D.....	40
Patent Policy .....	40
Appendix E .....	42
Commercial Terms and Conditions .....	42
Appendix F .....	43
Interpretations Policy.....	43
Appendix G .....	45
Participation Fee Waiver Policy.....	45
Appendix H.....	46
Standards Development Flowchart .....	46
Appendix I .....	48
Draft Standards for Trial Use.....	48
Appendix J .....	49
Technical Reports for Registration with ANSI .....	49

***AIIIM***  
***(Association for Information and Image Management)***

***AIIIM Standards Development Policies and Procedures  
for ANSI Approved Documents***

***Approved March 2007***

**Foreword**

These policies and procedures, approved by the AIIIM Standards Board, provide a mechanism for the management and coordination of the development of standards in the AIIIM standards program. The AIIIM standards program is operated in conformance with the Association's constitution and bylaws and in concert with the guidelines established by the American National Standards Institute (ANSI) for the development of American National Standards.

AIIIM membership includes individuals and organizations, both public and private, representing consumers, manufacturers, service organizations and government interests. This diverse membership allows AIIIM to provide and administer a voluntary standards development system for the creation, storage and retrieval of information imaging standards that may be recognized and accepted both in the U.S. and internationally.

AIIIM standards serve as a means of:

- Promoting interchangeability and quality control of products;
- Eliminating misunderstandings or confusion between manufacturers and users with respect to products for which standards are adopted;
- Advancing the growth of the industry;
- Benefiting the public health, safety, and welfare; and
- Facilitating domestic and international trade, communication and understanding.

AIIIM participates in standardization activities in three areas:

- In the U.S., AIIIM drafts, reviews, approves and publishes standards, recommended practices and technical reports under the guidelines established by this document in concert with those of ANSI.
- Internationally, AIIIM serves as the administrator of the U.S. Technical Advisory Group (TAG) to ISO/TC 171, Document Management Applications of the International Organization for Standardization (ISO). The TAG represents the U.S. National Body (ANSI) in the development of international standards for electronic, micrographic, and optical information, transaction processing and image management technologies.
- Liaisons with other standards development organizations are established when a common interest exists. Liaisons act as two-way channels of communication to keep both organizations informed.

The approval procedure for recognizing standards as ANSI/AIIIM standards ensures a consensus of affected interests. The AIIIM National Standards Council (NSC) is balloted while the AIIIM membership is afforded the opportunity to comment on each standard. NSC ballots and all comments receive consideration before a standard is approved. (See Section 2.2.)

In addition to the procedures contained in this document, AIIM Standards also operates in compliance with the ANSI Essential Requirements: Due process requirements for American National Standards.

Questions, regarding AIIM Standards Program procedures and policies should be directed to AIIM, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910.

## **1.0 Organization**

### **1.1 Scope**

The scope of the areas of work undertaken by standing committees, subcommittees and ad hoc groups operating under and authorized by these policies and procedures shall be standardization of terminology, definitions, sizes, formats, quality, methods of measurement, apparatuses and procedures for the production, use, and storage and retrieval of structured and unstructured content (documents) and related source data and processes related to enterprise content management.

The Association will also coordinate its work with that of other standards development organizations and committees working in related areas.

### **1.2 Program of Work**

Standards, recommended practices and technical reports prepared in accordance with these policies are intended to have broad national acceptance as well as provide the basis for the development of International Organization for Standardization (ISO) standards.

AIIM standards committees may produce the following kinds of documents:

- ANSI Approved Standards (See section 3.2),
- ANSI Approved Standard Recommended Practices (SRPs) (See Section 3.3),
- ANSI Approved Technical Reports (TRs) (See Section 3.4), and
- AIIM Recommended Practices (ARPs).

The first three involve the formal consensus review and balloting required under ANSI Rules (See Section 4.5). AIIM Recommended Practices require consensus approval of the authoring committee and the Standards Board. They are not reviewed through the ANSI required AIIM membership review, NSC committee review or ANSI Public Review. Therefore, they do not receive the ANSI approval notice.

The program of work of the AIIM standards committees is assigned to several committees.

The designation, title and approved scope of each committee is listed in Appendix A. The committee listing is dynamic with the most current information available from the AIIM Standards Department.

### **1.3 AIIM Management Duties**

As an accredited standards developer, the AIIM Standards Department fulfills the role of the Secretariat as described in the ANSI Procedures.

The Standards Department shall:

- 1) Maintain accreditation in accordance with ANSI Essential Requirements: Due process requirements for American National Standards, including submission of the consensus body roster;
- 2) Organize the committees;
- 3) Oversee the committee's compliance with ANSI/AIIM procedures;
- 4) Maintain a membership roster of the committee and a program of work or a list of standards for which the committee is responsible;

- 5) Assist committees with administrative work, including secretarial services; meeting notices and arrangements; preparation and distribution of meeting agendas, minutes, ballots and draft standards; and maintenance of adequate records. It is expected that a committee member will perform these duties for committee work.
- 6) Submit draft standards with supporting documentation for Standards Board approval, AIIM membership comment, NSC approval and ANSI review and approval as American National Standards;
- 7) Publish or arrange with ANSI for publication of AIIM's standards, revisions, and addenda as required. (NOTE: This includes coordination with and review by the committee-designated editor prior to publication.)
- 8) Coordinate the voluntary activities through which organizations and individuals may cooperate in developing, establishing, and improving standards based on a consensus of interested parties;
- 9) Promote knowledge and use of approved standards;
- 10) Work and cooperate, through ANSI, with ISO and other standards developing bodies in the development of international standards;
- 11) Cooperate with departments and agencies of federal, state and local governments in achieving optimum compatibility between government codes, standards and the voluntary standards of the industry in order to foster the maximum use of voluntary industry standards;
- 12) Develop publications and other programs pertinent to standardization;
- 13) Provide training on the development of standards and the administration of standards committees;
- 14) Maintain appropriate records for the AIIM Standards Program and its committees;
- 15) Monitor the voting history of the NSC members and issue notifications of voting rights being in jeopardy due to ballots not being returned. Provide report and recommendations for withdrawal of NSC member voting privileges on a quarterly basis to the AIIM Standards Board.
- 16) Recruit subject experts to the Standards Process, by actively recruiting committee members from both the user and vendor communities;
- 17) Serve as the Secretariat of the Standards Board, U.S. Technical Advisory Group to TC 171 (TAG) and others as necessary;
- 18) Perform other administrative functions as required by these procedures.

#### **1.4 Due Process Requirements and Balance**

AIIM's standards committees shall operate in conformance to and in accordance with the due process requirement established by ANSI and set forth in the ANSI Essential Requirements: Due Process for American National Standards.

Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has the 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 minimum acceptable due process requirements for the development of consensus include openness, lack of dominance, balance, notification of standards development and coordination, consideration of views and objections, consensus vote, appeals and written procedures.

"Consensus" means substantial agreement has been reached by directly and materially affected interest categories. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution.

Balance of membership is an accepted concept of standards work. The AIIM standards program strives to maintain a balance on all committees whenever possible. An effort will be made to achieve a balance of technical expertise that serves the association within the ranks of the Standards Board and to provide a cross section of user-consumers, producers, general interest/government, service companies, and consultants as set forth in ANSI Essential Requirements: Due Process requirements for American National Standards, Section 2.3. The National Standards Council (NSC) ballot, the AIIM membership comment period and the ANSI public review, ensure consensus has been achieved for those documents being recommended for approval or adoption at the national level.

## **2.0 AIIM Standards Program Structure**

### **2.1 General**

The AIIM Standards Program consists of an advisory body, the Standards Board, a consensus body, the National Standards Council, standards committees and a secretariat.

### **2.1 Standards Board**

#### **2.1.1 Purpose and Responsibilities**

The Standards Board is established as the advisory body to the AIIM Standards Program and to provide oversight on the development, revision, reaffirmation or withdrawal of the standards, standard recommended practices and technical reports within the scope of the AIIM standards committees.

The Standards Board responsibilities are:

- (1) Ensure all requirements for due process, consensus, and openness have been followed in the development of standards, standard recommended practices, and technical reports;
- (2) Ensure such standards remain dynamic, duplication of work is minimized, promulgation of conflicting standards may be avoided and individual activity and initiative is encouraged;
- (3) Ensure the interests of the public, including AIIM members, consumers, industry and government have appropriate representation in standardization activities;
- (4) Evaluate and approve all written project proposals for new standards technical reports and industry recommended practices;
- (5) Recommend and approve changes to existing committee scopes;

- (6) Recommend and approve changes to the AIIM Standards Development Policies and Procedures for ANSI Approved Documents.
- (7) Provide direction to the AIIM Standards Program including identification of new projects.
- (8) Establish committees as necessary to accomplish the work of the program which includes approving committee scopes, chairpersons, vice-chairpersons, assigning projects to the committees, removing chairpersons, and disbanding committees.
- (9) Establish liaisons with other standards development bodies or organizations and with the standards committees.
- (10) Review and approve all members of the National Standards Council (NSC) on an annual basis based upon the continual monitoring and recommendation of the AIIM Secretariat. AIIM Secretariat will provide recommendations for the withdrawal of any members who have not fulfilled their obligations for membership.

### **2.1.2 Membership**

The AIIM Standards Board may consist of a minimum of eight (8) members but not exceed twelve (12) that are appointed by the AIIM Board of Directors and the committee chairmen as ex officio members. The Chairperson of the Standards Board is a member of the Standards Board (regardless of the interest group represented) as voted upon by the Standards Board. The Chairperson is nominated and seconded by a member of the Standards Board. A vote of simple majority is required to install the Chairperson. The Chairperson represents the AIIM Standards Program on the AIIM Board of Directors. The Chairperson serves a term of two years in concert with their term on the AIIM Board of Directors. The outgoing chairman of the AIIM Standards Board acts as the chair of the Standards Board Nominating Committee. The AIIM staff person responsible for the AIIM Standards Department is a member of the Standards Board with full voting rights. In the absence of the Chair, the AIIM staff person chairs the meeting. The chair of the U.S. TAG to TC171 is an ex officio member of the Standards Board with full voting rights with a term that corresponds to the term as chair of the U.S. TAG. Membership includes the Chairperson and all ex-officio member(s).

The AIIM Board of Directors upon recommendation by the Standards Board appoints the members of the Board for three-year terms. Members may be reappointed, but cannot serve more than two full consecutive terms. After a leave of two consecutive years a previous member of the Standards Board may be considered for two additional terms. Appointment to the Board to complete a partial term does not prevent a member from serving an additional two full terms.

There are two classes of membership on the Standards Board:

- (1) "P" members are the primary representative of their company/organization and have full voting privileges.
- (2) "A" members are alternate members who are allowed to vote in the absence of the "P" members.

Members of the Standards Board should be members of AIIM who possess a broad knowledge of the industry and industry issues. There should be no undue financial barriers to membership on the Standards Board. However, Standards Board members are responsible for their own travel, lodging, postage and other personal expenses incurred while participating in committee activities.

Membership on the Standards Board is contingent on active participation. If a member misses two meetings, it is grounds for dismissal by the Standards Board. The failure of a member to return two (2) consecutive ballots or to be more than thirty 30 days late on two consecutive ballots may also be grounds for dismissal from the Standards Board. Dismissal is by majority vote of the Standards Board.

### **2.1.3 Balance**

Balance of membership is an accepted concept of standards work. An effort will be made to achieve a balance of technical expertise that serves the association within the ranks of the Standards Board and to provide a cross section of user-consumers, producers, general interest/government, service companies and consultants as set forth in ANSI Essential Requirements: Due process requirements for American National Standards (Section 2.3).

#### **2.1.4 Meetings**

The Standards Board may meet quarterly. Additional meetings may be called provided advance notice has been given. Meetings may be conducted in person, via conference call, electronically through Internet, etc.

#### **2.1.5 Minutes**

The AIIM Standards Department, acting as Secretariat to the Standards Board, provides the formal minutes of all meetings within 45 days of the meeting. Distribution of approved minutes through posting on the AIIM web site or via email will be to the Standards Board members, AIIM President, Committee Chairs and others as specified by the Standards Board.

#### **2.1.6 Voting**

The Standards Board votes on the following matters:

- (1) Formation or disbandment of a committee or subcommittee;
- (2) Approval of a committee or subcommittee scope or changes thereto;
- (3) Action on a proposed, revised, reaffirmed standard or standard recommended practice to approve the draft while ballots are issued simultaneously to AIIM membership for comment, NSC ballot and ANSI public review;
- (4) Approval of a committee recommendation for the withdrawal of a standard, recommended practice or technical report simultaneously to the AIIM membership comment period, NSC ballot and ANSI public review for this action;
- (5) Approval of a new project proposal;
- (6) Adopt AIIM Standards Development Policies and Procedures for ANSI Approved Documents or changes thereto.
- (7) Approve the appointment or removal of committee Chairpersons and vice-chairpersons.
- (8) Dismissal of Standards Board members for cause.
- (9) Action on a proposed, revised or reaffirmed Technical Report to approve and forward the draft for ANSI public review.

A quorum consists of a majority of voting members. For example, five (5) of eight (8), seven (7) of twelve (12) affirmative votes are required to approve any action of the Standards Board not involving approval of standards. A vote to approve standards, standard recommended practices, and technical reports for balloting is by consensus (per ANSI Essential Requirements: Due process requirements for American National Standards, Section 2.6).

Upon completion, approval and submission of a standard by a standards development committee, the Standards Board reviews the standard and either approves its release for an AIIM membership comment period and NSC ballot or return it to the committee for further work as appropriate. This review ensures the procedures have been followed, the scope of

the proposed standard coincides with the initially-approved scope and does not conflict with or duplicate the intent of other standards and all parties have been involved and their comments considered.

Each company or organization is allowed one vote. One vote is allocated for each military department or agency, state or local government, each separate corporation with a controlling body such as a Board of Directors that does not report to another controlling body, or each separate educational institution with a controlling body such as a Board of Regent.

A committee member may represent two or more organizations casting separate votes for each organization represented. Since the committee shall approve the representation of multiple organizations by one individual, committee members must declare who they represent. If they are under contract with any companies with regard to a specific piece of work, they must declare it. In the event the primary member of the organization is present at the meeting or votes in a letter or roll call vote, all other representatives must refrain from voting.

Board members will be assigned liaison responsibilities to the committees including monitor committee meeting minutes, periodically obtain status reports from chairpersons, be available to assist chairpersons in resolving issues, etc. for the activities of standards development committees. The Standards Board liaison and the committee chairperson may not be the same person. A current list of assignments is available from the AIIM Standards Department.

Standards Board ballots not received by the scheduled due date will be considered an affirmative vote. They will be recorded as "Default – Affirmative."

Standards Board members may not change their ballots after the ballot has closed.

Committee chairpersons who are also members of the Standards Board will recuse themselves from any votes involving their committee.

### **2.1.7 Annual Report**

The Secretariat of the Standards Board may prepare an annual report of the activities of the AIIM standards organization. The report may include the activities of the Standards Board, NSC, U.S. TAG to TC171, the standing and ad hoc development committees and such other activities the Standards Board deems appropriate. Lists of membership, meetings, actions taken on the development of documents, status of existing standards documents and such other information that the Standards Board requests are included in the report. Each report covers a calendar year and is available for distribution at the direction of the Standards Board.

## **2.2 National Standards Council (NSC)**

### **2.2.1 Purpose and Responsibility**

The National Standards Councils (NSC) are established to provide industry related balance for the AIIM Standards Program, and serve as a liaison to other standards bodies or organizations to provide a broader base of knowledge and expertise in the creation of proposed AIIM standards and standard recommended practices.

The NSC's responsibilities are to provide:

- 1) Balanced voting body to approve proposed, reaffirmed, revised, or withdrawn ANSI/AIIM Standards and Standard Recommended Practices and for standards and standard recommended practices proposed for adoption at the national level.
- 2) Forum for representation of other industries, general interest groups, and standardization bodies to make their needs, concerns and interests heard in the AIIM standards program.
- 3) Conduit through which the needs, concerns and interest of the AIIM standards program can be communicated to other industries and standardization bodies.

- 4) Recommendations on the need for and urgency of proposed new projects.
- 5) Proposals of American National Standards within AIIM's Standards Program Scope.

### **2.2.2 Principles of Operation**

The NSC reviews and votes on the adoption, revision, reaffirmation, or withdrawal of all standards and recommended practices proposed for publication as part of the AIIM standards program. Proposed new projects may be circulated to the NSC for comment as directed by the Standards Board.

Additional NSCs may be designated by the Standards Board. The NSCs are technology oriented to better evaluate the standards within a specific technology area, i.e., imaging to cover both micrographics and electronic imaging and document management to cover document technologies and COLD/ERM. The number of established NSCs are determined by the Standards Board.

### **2.2.3 Membership**

Membership of each NSC consists of a minimum of 12 voting members who are representatives of any organizations and/or other individuals who have an interest and are willing to take an active part in the affairs of the NSC and who are willing to support the development of standards and standard recommended practices. Participation is open to all persons who might reasonably be expected to be or who indicate that they are, directly and materially affected by the standards and standard recommended practices in the AIIM standards program.

Individuals representing the interest categories of:

- (1) User-Consumer, an appropriate user participant is an individual who is the user or consumer of document or content management products and/or services;
- (2) Producer, an appropriate producer participant is a representative of an organization that manufactures or develops hardware, software or other component devices that may be used in document or content management systems;
- (3) General Interest/Government, an appropriate general interest participant is a representative of an organization that on its own includes a membership of diverse interests but related to the document or content management industry. An appropriate government participant is a representative of a government agency that may be affected in government agency procurement based on the standards activity in the document or content management area.
- (4) Service Company, an appropriate service company participant is a representative of a company that provides document or content management services or is a reseller of document or content management products and services, and
- (5) Consultants, an appropriate consultant participant is a representative that provides services to the document or content management industry.

Individuals to be considered for membership on an NSC are recommended or may apply to the Standards Board who will review their qualifications and approve their participation on the appropriate NSC. To apply for membership on an NSC, the applicant shall in writing indicate their direct and material interest in AIIM's standards work, their qualifications and their willingness to participate actively. If the applicant is an organization, specific individuals to represent the organization will be identified.

The members of the NSC are appointed for three year terms by the AIIM Standards Board. Members may be reappointed, subject to Standards Board ballot, but cannot serve more than two full consecutive terms. After a leave of two consecutive years a previous member of the National Standards Council may be considered for two additional terms. Members should be taken from companies participating in AIIM or organizations with similar technology interests, however, NSC members are not required to be members of AIIM. If an NSC member's contact information or status on

the NSC changes, the member will notify AIIM Staff as soon as possible. AIIM Staff is responsible for maintaining NSC membership records.

The name, affiliation (entity the individual represents which may or may not be their employer, if representing as an individual their employer and sponsor shall be listed and provided upon request. No contact information will be shared other than with AIIM and ANSI.

The Secretariat reviews the NSC membership annually with respect to the requirements of membership set forth above.

There are two classes of membership in the NSC:

- (1) "P" members are the primary representative of their company/organization and have full voting privileges.
- (2) "A" members are alternate members who are allowed to vote in the absence of the "P" members.

An NSC member representing other technical and standards bodies shall inform the Secretariat of items of interest to the NSC and other members of AIIM.

There shall be no undue financial barriers to membership on the NSC. However, NSC members are responsible for expenses incurred while participating in NSC activities.

#### **2.2.4 Balance**

Since the NSC is the balancing body of the program, it represents the following five interest categories and is not dominated by any single interest category: (1) user-consumers, (2) producers, (3) general interest/government, (4) service companies and (5) consultants. (See Section 2.2.3 for definitions of the interest categories.) In determining balance, no single interest category shall be more than a majority of the total membership. An effort is made to balance technology expertise as it relates to the interests community served by AIIM.

#### **2.2.5 Meetings**

The work of the NSC may primarily be conducted through email, listservs and/or wikis.

#### **2.2.6 Voting**

AIIM's Standards Department prepares and distributes draft documents and ballots to the NSC after initial review and approval by the Standards Committees. Members of the NSC are afforded a period of no less than thirty 30 days and no more than 45 days to respond to ballots. Votes may be concurrent with the Standards Board ballot, AIIM membership ballots and ANSI public review.

A majority of the membership of the NSC shall participate in the ballot. Failure to return two (2) consecutive ballots results in loss of NSC membership.

An organization may belong to more than one NSC. An organization may have only one vote on each NSC.

All affirmative with comment and negative NSC ballots will be returned to the standards committee. Prompt consideration shall be given to the expressed views and objections of all participants. The discussion of the comments and the manner in which they are handled will be documented in detail in the committee's meeting minutes or on a comment form and circulated to the full committee. An effort to resolve all expressed objections will be made, and each objector notified in writing (including electronic communications) of the disposition of the objection and the reasons therefore. In addition, each objector shall be informed that an appeal process exists within the procedures and will be afforded fifteen (15) days in which to file an appeals complaint with the AIIM Standards Board. A copy of the disposition of comments and rationale

for each comment shall be included in the committee meeting minutes. A copy of the meeting minutes and any communications to the objector shall be forwarded to AIIM Standards Department.

Objections and any substantive changes are reported to the NSC membership in order to afford all members an opportunity to respond, reaffirm or change their vote. Only one recirculation of comments is conducted to afford NSC members an opportunity to consider alternate views. New comments received as a result of a recirculation vote are filed for consideration at the next review period. Prompt consideration is given to the expressed views and objections of the reconsideration ballot. In order for an objector to change a vote from negative to affirmative with comment, the objector shall communicate with the secretariat in writing (including electronic communications) as to the change and the rationale. Negative ballots received must include a reason for the negative vote. Negative ballots received without comments are counted as Negative without comment and will not be recirculated.

Ballots with comments or negative votes received after the close of the ballot period may be considered immediately provided the voting member was granted an extension by the Secretariat.

To approve a standard or standard recommended practice requires approval by more than a simple majority of the committee's membership.

Any organization or corporation employing the use of a consultant as a part of their company or organization has only one vote. The consultant must declare affiliation intent on the standard.

## **2.3 Standards Committees**

### **2.3.1 Purpose and Responsibility**

The scope of each committee and any subcommittees (hereafter referred to as "committees") is approved by the Standards Board. The committee scope is reflected in its program of work. New work items may be developed by the committee for submission to the Standards Board.

The standards committees' responsibilities are to:

- (1) Develop standards, standard recommended practices, technical reports and conduct other projects as assigned by the Standards Board;
- (2) Maintain an awareness of changes and advances in their assigned subject areas including the review of externally developed standards;
- (3) Develop proposals for new projects as outlined in Section 2.2.1;
- (4) Maintain the standards developed by the committee in accordance with Section 4.0.

### **2.3.2 Principles of Operation**

While standards development is the primary function of standards committees, there are other activities that may be assigned to a committee. In setting up a program of work, the committee should be guided by its assigned scope.

All draft documents and reports of a committee are a matter of public record. However, draft documents and reports should include a notice that they are "STANDARDS COMMITTEE WORKING DOCUMENTS ONLY--NOT FOR PUBLIC USE".

New standards projects may not be initiated without review and approval by the Standards Board. Questionnaires, survey forms or similar documents prepared for distribution to the AIIM membership or the general public must be forwarded to the AIIM Standards Board for approval prior to distribution. (Questionnaire, survey forms, etc. prepared for use within the committee do not require AIIM Standards Board approval.)

The Committee Chair shall temporarily relinquish the chairmanship of the committee to the Vice Chair during discussions in which their organization or one they represent has an interest. The Committee chair remains neutral on all ballots and only votes in the instance of a tie.

### **2.3.3 Membership**

There are four classes of membership in Standards Committees:

- (1) "P" members are the primary representative of their company/organization and have full voting privileges.
- (2) "A" members are alternate members of the same company/organization as the "P" member who are allowed to vote in the absence of the "P" member.
- (3) "O" members are observers without voting privileges. "O" members will be copied on all committee agendas and minutes.
- (4) "L" members are liaison members to the committee.

An organization includes a corporation, federal or military department or agency, partnership or association, self-employed or self-financed individual or any other legal or commercial entity.

Standards committee Chairpersons are appointed by the Standards Board for a term of two (2) years. A standards committee Chairperson may be reappointed, as often as necessary, to complete the mission of the committee. The Standards Board reaffirms or removes the Committee Chairpersons during the last meeting of the calendar year ending in an even number.

A vice-chairperson is selected by the committee. The name of the vice-chairperson is forwarded to the Standards Board for approval. The vice-chairperson acts in the place of and with the authority of the chairperson at any meeting which the standards committee Chairperson is unable to attend.

Each standard, technical report or project is assigned to a specific project editor. Notification of these assignments is submitted to the AIIM Standards Department.

Membership on a standards development committee is contingent upon active participation. Annually, the committee chair may issue a request to the committee membership of active participation interest and commitment to review documents and return ballots. The results of this activity determines the committee members to receive ballots and is shared with AIIM Standards Department by January 1. Failure of an "P" member or their alternate to attend meetings, actively participate, and/or return two (2) consecutive ballots can be grounds for reclassification as a non-voting "O" member. The Committee Chair informs the member in writing of the impending reclassification. A primary member who has been moved to Observer status due to failure to return ballots or attend meetings, may be reinstated as a Primary member and regain voting privileges by attending one committee meeting either face-to-face, conference call, video conference or Internet conference. Absence of two consecutive ballots from a Primary by the due date causes a change to Observer status. If and when the standard or technical report gains committee approval and then AIIM Standards Board approval, its published form will show the names and affiliations of primary and alternates. Persons presently in Observer status who wish to become primary should meet the membership requirements of attending one face-to-face meeting, conference call, video conference or Internet conference; returning ballots and requesting a change in status from Observer to Primary. The requirement of attendance at one meeting is made of all who want to gain voting privileges as a new committee member or a restored primary member.

If a member of a committee wishes to resign from the committee, the member should submit their resignation via email to the Committee Chairperson and AIIM Standards Department. The resignation will be recognized in a written response. If the member wants to re-instate membership in the committee, the member needs to participate as a new member, attending one meeting to be eligible to vote at subsequent meetings. If a Chairperson or Vice-Chairperson resigns, the resignation should be in written format to the Standards Board via the AIIM Standards Department. The Secretariat will acknowledge the resignation in an email. If the member wants to re-instate membership in the committee, the member needs to participate as a new member, attending one meeting to be eligible to vote at subsequent meetings.

Standards committee members are not required to be members of AIIM but it is recommended that they be at least an Associate member which is automatic with participation on a committee. Standards committee chairpersons are required to be members of AIIM. However, a participation fee is charged to non-AIIM members to cover administration costs. Committee members are responsible for their own travel, lodging, postage and other personal expenses incurred while participating in committee activities.

### **2.3.4 Balance**

Members of a standards committee are preferred to be individuals who are subject experts for the areas of standardization. Standards committees work toward a balanced membership across interest groups, however, it is not required.

### **2.3.5 Meetings**

Public notice is given at least thirty 30 days in advance of all committee meetings. In accordance with Roberts Rules of Order, a meeting is an official gathering of committee members in one room or area to transact the business of the committee. Meetings can be held in various formats including, face-to-face or via conference call, videoconference, Internet conference, etc. A listserv discussion thread does not constitute a meeting.

Except where it conflicts with the rules contained in these procedures, the latest edition of Roberts Rules of Order provides guidance for the operation of a formal meeting.

### **2.3.6 Minutes**

A record of each meeting (committee and subcommittee meeting minutes) is required and a copy forwarded to the Standards Department. At the subcommittee level, a summary and revised draft document is sufficient. Minutes of meetings should be distributed to the members no later than 45 days following the meeting.

### **2.3.7 Voting**

Voting on committee documents and issues is both a privilege and a responsibility of all Primary members of the committee.

Committee ballots may be in electronic format, (i.e., Microsoft Word document attached to an email or via ballot system).

A committee quorum consist of the majority of "P" members (as defined in *Membership*) and, therefore, a simple majority is required to take actions other than for approval of "standards." Each company or organization is allowed one vote. One vote will be allocated for each military department or agency, state or local government, each separate corporation with a controlling body such as a Board of Directors that does not report to another controlling body, or each separate educational institution with a controlling body such as a Board of Regent. A committee member may represent two or more organizations casting separate votes for each organization represented. Since the committee approves the representation of multiple organizations by one individual, committee members must declare whom they represent. If they

are under contract with any companies with regard to a specific piece of work, they must declare it. In the event the primary member of the organization is present at the meeting or votes in a letter or roll call vote, all other representatives should refrain from voting.

Votes to forward proposed standards to the Standards Board require approval by at least a majority of the membership and a formal ballot (letter open for 15 days depending on time of year or recorded) ballot. Committee and subcommittee ballots may be conducted concurrently. Comments and concerns remaining after consensus has been reached are forwarded to the Standards Board along with the proposed "standard." Negative ballots received must include the reason for the negative vote. Resolution of negative ballots must be in writing to the voting member and documented in the committee minutes including rationale for the decisions. Chairpersons may not change a vote unless instructed to do so by the voter. The voter shall submit the change in writing to the committee chair. The committee chair will provide written confirmation of the specified vote change to the voter. All unresolved negative votes shall be recorded and reported to the Standards Board as outstanding negatives. If the negative vote includes comments not related to the proposal, the comments will be considered a new proposal to be treated at the next review cycle.

All comments received and the manner in which they were handled shall be acknowledged in writing (including email) by the committee chair to the full committee. Comments shall be submitted using the comment form provided by the committee chair. The discussion of the comments and the manner in which they are handled shall be documented in detail in the meeting minutes or on the comment form and circulated to the full committee.

Any organization or corporation employing the use of a consultant as a part of their company or organization shall have only one vote. The consultant must declare intent on the standard.

Failure of committee members to return two (2) consecutive letter ballots results in reclassification as an "O" member (as defined in "Membership"). A Primary member who has been moved to Observer status due to failure to return ballots or attend meetings, may be reinstated as a Primary member and regain voting privileges by attending one committee meeting either face-to-face, conference call, video conference or Internet conference. Absence of two consecutive ballots from a Primary by the due date will cause a change to Observer status. If and when the standard or technical report gains committee approval and then AIIM Standards Board approval, its published form will show the names and affiliations of primaries and alternates. Persons presently in Observer status who wish to become primaries should meet the membership requirements of attending one face-to-face meeting, conference call, video conference or Internet conference; returning ballots; and requesting a change in status from Observer to Primary. The requirement of attendance at one meeting is made of all who want to gain voting privileges as a new committee member or a restored primary member.

A new member of the standards development committee must participate in one meeting to be eligible to vote at subsequent meetings.

However, a special request to vote may be made in writing (including email) to the committee Chair for approval of voting privileges prior to participating in a meeting.

Interested individuals who are not members of a committee may attend meetings as non-voting observers or consultants. These individuals may participate in the discussion, but do not have a vote in the proceedings of the committee.

When discussions and/or votes are necessary regarding a recommendation to the U.S. TAG to ISO/TC171 on a U.S. position on a project, only representatives of a company (or themselves) located in the U.S., including "U.S. branch offices" of foreign companies may attend that portion of the meeting and vote.

### **2.3.8 Annual Report**

Each committee shall prepare and submit to AIIM's Standards Department an annual report of their activities by the end of January each year. The report includes such data and information as requested by the Standards Board including membership, meeting reports, and actions taken. Copies of the annual report may be distributed by the Standards Department as specified by the Standards Board.

### **2.3.9 Committee Formation**

The decision to establish a committee is the prerogative of the Standards Board. In the case of a new committee, the proposal shall contain the title, scope, assignments, Chairperson and membership roster. The Chairperson of the Standards Board will, via an AIIM or industry publication, notify AIIM membership and the NSC of the action. The Standards Department will notify the committee chairperson of the approval to form the committee or sub-committee.

### **2.3.10 Committee Disbandment**

The decision to disband a committee is the prerogative of the Standards Board. However, on completion of its work assignment or when recommended by the committee Chairperson, the Standards Board may approve the disbandment of the committee. The Standards Department will notify the committee chairperson of the approval to disband the committee or sub-committee.

### **2.3.11 Subcommittees**

Subcommittees are recommended by the parent committee for the purpose of developing a particular standard or standards within a specific technical area that falls within the parent Committee's scope. Subcommittees follow the same Principles of Operation as Committees (Section 1.5.3.2).

All subcommittee records; e.g., agendas, minutes, voting results, etc. are forwarded to the Chair of the parent Committee and AIIM Standards Department.

## **2.4 Ad Hoc Groups (AHG)**

### **2.4.1 Purpose and Responsibility**

Standards committees may establish ad hoc groups (AHG) to accomplish additional projects within their work scope. The parent committee is responsible for the activities of the AHG.

### **2.4.2 Principles of Operation**

The primary function of an ad hoc group is to develop a document or portion thereof as assigned by the sponsoring committee.

### **2.4.3 Membership**

An AHG allows experts with a specific interest to work on a defined project. Participants in AHG activities need not be members of the parent committee, however, an AHG shall be chaired by a committee member.

### **2.4.4 Balance**

Membership is restricted to individuals who are experts on the subject of standardization. A balanced membership is not required in an ad hoc group.

### **2.4.5 Meetings**

An ad hoc group meets as often as necessary or work may be accomplished via the email, conference call, videoconference, Internet, etc.

### **2.4.6 Minutes**

Meeting minutes may be prepared. In most cases, a brief summary and an updated document are sufficient.

### **2.4.7 Voting**

Ad hoc groups are not decision-making bodies and have no final approval responsibilities. Their work is reported to the sponsoring committee Chairperson for vote by the sponsoring committee.

### **2.4.8 Annual Report**

An ad hoc group prepares an annual report for submission to the Chairperson of the sponsoring committee for submission to the Standards Board.

### **2.4.9 Formation/Disbandment**

The decision to establish or disband an Ad Hoc Group is the prerogative of its parent committee but such action is reported to the Standards Board. The committee will notify the Standards Board of the action and will allow the Board a thirty 30-day review period.

In the absence of objections, the Standards Department will notify the sponsoring committee Chairperson of the approval of the formation or disbandment of the ad hoc group.

## **2.5 Study Teams**

### **2.5.1 Purpose and Responsibility**

Study Teams are formed by the AIIM Standards Department or the Standards Board to examine a general technology area to determine the need for standardization.

### **2.5.2 Principles of Operation**

The team will discuss and assess technology trends and relationships; provide advisory study reports to the AIIM Standards Department and the Standards Board; provide technical documentation that can be construed as pre-standardization documentation; conduct long-term pre-standardization studies; and/or conduct a study that may generate a project proposal for a standards development project.

### **2.5.3 Membership**

A Study Team is open to all interested parties and technical experts from the area of work to be investigated. Participants in study team activities need not be members of AIIM. However, a participation fee may be charged to non-AIIM members to cover administration costs. Study team members are responsible for their own travel, lodging, postage and other personal expenses incurred while participating in the study team activities.

### **2.5.4 Balance**

Membership is restricted to individuals who are experts on the subject. A balanced membership is not required in a study group.

### **2.5.5 Meetings**

Study Teams meet as often as necessary or work may be accomplished via the mail, conference call, videoconference, internet, etc. Meeting notices should be received by participants at least 30 days in advance of the meeting.

### **2.5.6 Minutes**

Meeting minutes may be prepared. In most cases, a brief summary, an updated document and list of attendees are sufficient.

### **2.5.7 Voting**

Study Teams are a fact-finding, rather than a standards-writing, operation. Therefore, while a vote is taken to forward the study results to the AIIM Standards Department, and the Standards Board, the vote is advisory in nature and the concept of "approval" or "disapproval" or "consensus" does not apply. However, it is important that dissenting opinions be documented and included with the study report.

Voting is conducted via roll call, letter ballot, e-mail, etc. and no more than one vote per organization is allowed.

### **2.5.8 Annual Report**

The Chairperson of the study team prepares an annual report of the Study Team activities for submission to AIIM Standards Department and Standards Board by the end of January.

### **2.5.9 Formation/Disbandment**

Each Study Team is established for a specific study by the AIIM Standards Department or the Standards Board. Upon completion and acceptance of its report, the team is disbanded.

## **2.6 U.S. Technical Advisory Group to ISO TC 171 - Document Management Applications**

### **2.6.1 Scope**

The scope of ISO TC 171, Document Management Applications is as found on the ISO web site at

<http://www.iso.org/iso/en/stdsdevelopment/tc/tclist/TechnicalCommitteeDetailPage.TechnicalCommitteeDetail?COMMID=4053>

## **2.6.2 Purpose and Responsibility**

The U.S. TAG to TC171 operates under and reports to the Standards Board and the American National Standards Institute (ANSI) for the development of U.S. positions on international standards within the TAG's scope.

AIMM acts as the administrator of the U.S. TAG/TC171 on behalf of ANSI. The TAG develops and coordinates the U.S. positions on the development and review of standards developed under the auspices of TC 171 of the International Organization for Standardization (ISO). The TAG shall perform the following functions:

- (1) Recommend registration of ANSI as a "P" or "O" member of an ISO subcommittee or recommend a change in ANSI membership status to an ISO technical committee or subcommittee;
- (2) Initiate and approve U.S. proposals for new work items for consideration by ISO/TC171;
- (3) Initiate and approve U.S. working drafts for submittal to ISO/TC171 for consideration as committee drafts;
- (4) Determine the U.S. position on an ISO draft international standard, draft technical report, committee draft, ISO questionnaire, draft reports of meetings, etc.;
- (5) Provide adequate U.S. representation to TC171 meetings, designate heads of delegations and members of delegations and ensure compliance with the ANSI "Guide for U.S. Delegates to IEC/ISO meetings";
- (6) Determine U.S. positions on agenda items of ISO/TC171 meetings and advise the U.S. delegation of any flexibility it may have on these positions;
- (7) Nominate U.S. technical experts to serve on ISO/TC171 working groups;
- (8) Provide assistance to U.S. ISO/TC171/SC2 Secretariat, upon request, including resolving comments on draft international standards, draft technical reports and committee drafts;
- (9) Identify and establish close liaison with other U.S. technical advisory groups in related fields, or identify ISO or IEC activities that may overlap the TAG's scope;
- (10) Recommend to ANSI the acceptance of Secretariats for ISO/TC171 or subcommittees;
- (11) Recommend ANSI invite ISO/TC171 or subcommittees to meet in the U.S.;
- (12) Recommend to ANSI U.S. candidates for the chair of ISO/TC171 or subcommittees and the U.S. conveners of the working groups.
- (13) Informing the Standards Board and others interested in specific subjects of development and advances learned of through participation in TC171 affairs.

## **2.6.3 Principles of Operation**

The operation of the TAG shall meet the criteria established by ISO. The operation of the TAG shall also conform to the ISO/TAG requirements established by ANSI.

## **2.6.4 Membership**

The TAG will consist of organizations and individuals who desire to take an active part in the pursuit of U.S. interests in the development of international standards through ISO's TC171.

Members of the TAG need not belong to AIIM, however, members of the TAG must represent a company (or themselves) located in the U.S., including U.S. branch offices of foreign companies.

The TAG Chair is confirmed by the Standards Board upon recommendation of the TAG.

### **2.6.5 Balance**

Balance of membership on the U.S. TAG is not required. The U.S. TAG is a group of subject matter experts who attempt to represent U.S. positions at the ISO level. C committee recommendations in the form of a vote are obtained in the TAG's process of forming the U.S. position. The U.S. TAG vote does not necessarily reflect a C committee position. The C committee positions are recommendations that the TAG accepts, modifies, or rejects.

### **2.6.6 Meetings**

Meetings of the U.S. TAG are determined by the TAG Chair. Meetings are usually held prior to the meeting of ISO/TC171. Additional meetings may be held provided thirty 30-day advance notice has been given. Where possible the meetings shall be held in connection with other meetings associated with AIIM, i.e., Standards Week, Standards Board, etc.

### **2.6.7 Minutes**

The Standards Department serves as Secretariat to the U.S. TAG and supplies formal meeting minutes for distribution to the U.S. TAG, the Standards Board and all U.S. experts assigned to the TAG.

### **2.6.8 Voting**

As administrator, AIIM receives all material related to ISO/TC171 which are circulated as necessary to those interested parties and members of the TAG. In addition, those items which require the development of a U.S. vote or position may also be announced in the AIIM or industry publication and ANSI's Standard Actions to afford those interested parties the opportunity to comment. The proposed standard is circulated through the appropriate standards committee within AIIM for review. A thirty 30-day comment period should be allowed.

### **2.6.9 Annual Reports**

The U.S. TAG prepares an annual report of its activities. The report includes such data and information as requested by ANSI. The period covered and date of submission, etc., is established by ANSI. The annual report is distributed to the Standards Board, TAG members and the TAG Administrator.

The U.S. TAG prepares such other reports as requested by ANSI, TC171 or ISO. Copies of all reports prepared are sent to the Standards Board for information.

## **2.7 Liaisons**

### **2.7.1 Purpose and Responsibility**

Individuals appointed as liaisons by the Standard Board represent the interests and concerns of the AIIM standards program to non-AIIM standards developing groups.

Through contact and interaction with participants in the AIIM standards program, liaisons are to keep themselves and AIIM informed on the interests and concerns that relate to the subject area to which they are assigned.

### **2.7.2 Appointment of Liaisons**

The Standards Board appoints, removes, or replaces liaisons as necessary.

Liaisons are preferred to be but need not be members of AIIM. However, a participation fee may be charged to non-AIIM members to cover administration costs. Liaisons are responsible for their own travel, lodging, and other expenses incurred while participating in liaison activities.

### **2.7.3 Voting**

Copies of all ballots executed by AIIM technical liaison personnel are forwarded to the Standards Department for distribution to the Standards Board for final review prior to submission to the appropriate organization.

### **2.7.4 Reporting**

Liaisons submit reports to the AIIM Standards Board as requested. At a minimum, liaisons submit an annual report.

Significant information and time sensitive reports should be sent to AIIM's Standard Department, which will distribute them to the Standards Board and other interested parties.

### **2.7.5 Membership in External Groups**

The AIIM Standards Department with Standards Board approval is encouraged to monitor and/or participate on those non-AIIM committees whose work scope and activities are of interest to the members of AIIM. The level of activity may include meeting attendance, monitoring of committee correspondence and commenting on documents. The liaison to an external group is encouraged to submit appropriate AIIM standards to these groups for consideration in the development of their standards.

### **2.7.6 Voting**

If the appointed liaison is a voting member of an external group, a consensus vote of the AIIM NSC or Standards Board may be initiated for standards related items (administrative items may be voted on at the discretion of the liaison officer), if appropriate. Copies of the document and ballot are provided on request and a consensus vote tallied from requests received.

### **2.7.7 Annual Report**

A liaison representing the AIIM Standards Board to an external standards organization, upon request, provides a report to the Standards Board and appropriate standards committees. Meeting minutes and draft documents are provided to the Standards Department as received by the liaison.

## **3.0 Procedures for the Development of Standards Documents**

### **3.1 Types of Documents**

Four (4) types of documents are subject to development by AIIM Standards Development Committees:

- ANSI/AIIM Standards,
- ANSI/AIIM Standard Recommended Practices,
- ANSI/AIIM Technical Reports, and
- Nationally Adopted International Standards (NAIS).

### **3.2 ANSI/AIIM Standards**

An ANSI/AIIM standard is a document of recognized authority, which specifies performance of components and methods. It is designed for the benefit and with the cooperation of all concerned. It is the result of a particular standardization effort approved by the Standards Board and may take the form of:

- (1) a document containing a set of conditions to be fulfilled covering technical limitations and applications for items, vocabulary, materials, processes and methods;
- (2) a document containing methods and procedures for performance and/or testing products, materials and processes;
- (3) a document defining a fundamental unit or physical constant, (e.g., ampere, meter, absolute zero).

Standards, as released by AIIM, are forwarded to the ANSI Board of Standards Review (BSR) for processing as an American National Standard. The AIIM staff shall follow submission procedures as outlined by ANSI.

#### **Development**

An ANSI/AIIM Standard is developed as outlined in Section 2.2 - Flow of Development. Upon completion of a Standard through the committee it is submitted for a 15 day Standards Board ballot taking into consideration the time of year and extending to 30 days if over a holiday, a 45-60 day NSC ballot, a 45-60 day membership comment period and a 45-60 day Public Review in ANSI's Standards Action. The NSC ballot coincides with the ANSI Public Review. Upon the successful completion of all review processes, the Standard is published with an ANSI/AIIM MSXXX-YYYY designation. The MS designation will be used with Micrographic Technology Standards only. All other technologies will bear the ANSI/AIIM XXX-YYYY designation. AIIM Standards are submitted for ANSI registration as "an ANSI/AIIM Standard" using ANSI's BSR9 form. Approved Standards will bear the ANSI approval logo or the words "an American National Standard", date of approval and designation.

### **3.3 ANSI/AIIM Standard Recommended Practices**

An ANSI/AIIM Standard Recommended Practice is a guideline document similar to a standard but lacking the specification characteristics of a standard. A Standard Recommended Practice is frequently more tutorial in content. It will be forwarded to ANSI for approval as an American National Standard Recommended Practice.

#### **Development**

An ANSI/AIIM Standard Recommended Practice is developed as outlined in Section 2.2 - Flow of Development. Upon completion of a Standard Recommended Practice through the committee it is submitted for a 15 day Standards Board ballot taking into consideration the time of year and extending to 30 days if over a holiday, a 45-60day NSC ballot, a 45-

60day membership comment period and a 45-60day Public Review in ANSI's Standards Action. The NSC ballot coincides with the ANSI Public Review. Upon successful completion of all review processes, the standard is published with an ANSI/AIIM MSXXX-YYYY designation. The MS designation will be used with Micrographic Technology standards only. All other technologies will bear the ANSI/AIIM XXX-YYYY designation. AIIM Standards shall be submitted for ANSI registration as "an ANSI/AIIM Standards" using ANSI's BSR9 form. Approved Standard Recommended Practices will bear the ANSI approval logo or the words "an American National Standard", date of approval and designation.

### **3.4 ANSI/AIIM Technical Reports**

An ANSI/AIIM Technical Report is created to disseminate technical concepts or to provide tutorial information. It may result from areas which are determined to be premature for standardization, but where the industry would benefit from such tutorial or technical information. Standards committees are encouraged to prepare technical reports providing guidelines and technical information that can result in greater consistency and effectiveness in the industry.

A Technical Report may begin development as a proposed standard. However, in some cases, a Standard may be more appropriately published as a Technical Report. Technical Reports are not Standards, nor shall they be represented or used as such.

#### **Development**

An ANSI/AIIM Technical Report is developed as outlined in Section 2.2 - Flow of Development. Upon completion of a 15-day Standards Board ballot taking into consideration the time of year and extending to 30 days if over a holiday and approval from ANSI, the Technical Report is published with an ANSI/AIIM TRX-YYYY designation. AIIM Technical Reports shall be submitted for ANSI registration as "an ANSI/AIIM Technical Report" using ANSI's Technical Report form allowing for a 30 day Public Review in Standards Action. Approved Technical Reports will bear the ANSI approval logo or the words "an American National Technical Report", date of approval and designation.

### **3.5 Nationally Adopted International Standards (NAIS)**

A Nationally Adopted International Standard (NAIS) is an ISO standard which the U. S. standards committee has agreed to adopt as a national standard. Recommendations to adopt an NAIS shall be forwarded to the ANSI Board of Standards Review for processing as an American National Standard. The AIIM staff will follow the procedures as outlined by ANSI in ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards.

#### **Development**

An NAIS is a published ISO standard. Upon recommendation of adoption of an ISO standard and withdrawal of an ANSI/AIIM national Standard by a standards committee, AIIM Staff will issue a PINS form to ANSI clearly stating its intent to adopt an ISO Standard. Once the adoption is approved by the committee, the proposed adopted Standard is submitted for a 15 day Standards Board ballot taking into consideration the time of year and extending to 30 days if over a holiday, a 45-60day NSC ballot, a 45-60day membership comment period and a 45-60day Public Review in ANSI's Standards Action. Upon the successful completion of all review processes, the Standard is published with an ANSI/AIIM/ISO XXXX:YYYY designation. NAIS Standards shall be submitted for ANSI registration as "a Nationally Adopted International Standard" using ANSI's BSR9 form. Approved NAIS Standards will bear the ANSI approval logo or the words "an American National Standard", date of approval and designation. The year of the NAIS will be that of the year the ISO Standard was approved and published. Reviews of NAIS Standards will be coordinated with the ISO review of the Standard.

## **4.0 Flow of Development**

The following procedures are designated for the development of Standards by AIIM Standards Committees. These procedures are structured to ensure openness, consensus of approval and review. A graphic illustration is contained in the Appendices.

### **4.1 Project Proposals**

A proposal for developing a new Standard, or revising or withdrawing an existing Standard may be submitted by any individual or organization. All proposals shall be given prompt consideration. The proposer need not be a member of the AIIM Standards Program. The project proposer is encouraged to participate in the development of the project.

The project proposal shall contain, at a minimum, the following:

- (1) Title;
- (2) Date of submission to the Chairperson of the Standards Board;
- (3) Unambiguous technical description of the project;
- (4) Need Statement or market relevance;
- (5) Commercial (potential) impact;
- (6) Coordination with other standards development activities;
- (7) Resources (committee participants and funding);
- (8) Timeline for project;
- (9) Identification of Project Proposer
- (10) Proposed Project Leader or Committee Chairperson
- (12) List of the proposed members of the Committee
- (13) "Strawman" or rough draft of the document

All proposals for new projects are addressed to the AIIM Standards Department.

Upon receipt of the project proposal, the AIIM Standards Department reviews the proposal and makes it available to the Standards Board and to the NSC for comment.

The Standards Board reviews the proposal and either approves or disapproves adoption of the project. Approved projects are assigned to a committee or subcommittee for development. The AIIM Standards Department notifies the project proposer on the outcome of the proposal. Approved project proposals and the committee to which it has been assigned are announced in the AIIM or industry publication and a PINS form is submitted to ANSI for Standards and Standard Recommended Practices.

## **4.2 Draft Document Preparation**

To develop a draft, the assigned standards committee either addresses the project in committee or assigns specific portions of the project to subcommittees or ad hoc groups.

When the committee has completed and approved a document, it is forwarded to the AIIM Standards Department in the form specified in the AIIM Style Manual. The committee Chairperson includes a cover letter describing:

- (1) The committee recommendation for a Standards Board ballot. In the case of a proposed standard or recommended practice, the committee is making a recommendation for a Standards Board ballot and NSC ballot, AIIM membership review and ANSI Public Review;
- (2) The formal committee vote forwarding the document to the Standards Board;
- (3) The rationale and correspondence used to resolve comments and any negative votes.

## **4.3 Editing**

The AIIM Standards Department is responsible for the grammatical/copy editing of the draft and to ensure its compliance with the AIIM Style Manual.

When edited, a copy of the document is returned to the committee Chairperson or committee project editor who reviews the draft to correct any technical inconsistencies that may exist between the original draft and the edited document.

## **4.4 AIIM Balloting**

### **4.4.1 Voting Principles**

All documents approved by AIIM Standards Committees for acceptance as ANSI Standards are balloted to obtain the broadest possible review and comment. This section applies to all ballots including committee, Standards Board, TAG, AIIM membership comment period, ANSI Public Review and NSC.

All ballots on Standards, Standard Recommended Practices, Technical Reports and Nationally Adopted International Standards offer the following options:

- 1) Affirmative,
- 2) Affirmative with Comment,
- 3) Negative, with reasons (the reasons for a negative vote shall be given and if possible should include specific wording or actions that would resolve the objection,
- 4) Abstain, with reasons. For votes on membership and officer-related issues, the affirmative, negative, abstain method of voting shall be followed. Votes with regard to these issues need not be accompanied by reasons and need not be resolved or circulated to the consensus body.

All ballots include the opening and closing ballot dates.

Every effort on the part of the committee chair or AIIM Standards Department will be made to follow-up via email requesting immediate return of ballots to all members whose votes have not been received ten (10) working days before the ballot closes

Negative votes shall be accompanied by substantiating data and should include specific wording or actions, which would resolve the objection. The objections and specific wording which shall overcome the objection are submitted with the negative ballot. All negative votes shall be acknowledged in writing (including email).

- AIIM shall not change a vote unless instructed in writing to do so by the voter.
- The voter shall submit the change in writing (including email) to AIIM Standards Department and the committee chair.
- AIIM Standards Department or the committee chair shall provide written (including email) confirmation of the specified vote change to the voter. If the change of vote is not submitted in writing by the voter, then written confirmation of such a vote change shall be provided to the voter by AIIM Standards Department.

The committee chairperson and AIIM staff shall make every effort to resolve negative votes in writing (including email). In the event, the negative vote cannot be resolved, it shall be recorded and reported to the Standards Board and BSR (ANSI's Board of Standards Review) as outstanding negatives. If the negative vote is not accompanied with comments or includes comments not related to the proposal, AIIM and the committee are not required to consider them but will record them as "negative without comments".

All negative comments will be shared with the committee to allow committee members to amend their ballots if they agree with the negative comments. Acknowledgement of negative votes and comments shall be made to the submitter in writing (including email).

Ballot periods of a maximum of 30 days with the exception of the NSC ballot and the AIIM membership comment period which is a 45-60 day period for Standards have been established.

The edited document is balloted to the Standards Board, which reviews the document for compliance with the assigned scope, technical quality and accuracy and to insure that the requirements for openness and due process have been met.

The Standards Board may return the Standard, Standard Recommended Practice, or Technical Report to the standard committee for additional work if the Standards Board feels the:

- Standard is not in the best interest of the information management community.
- Committee needs to resolve concerns raised through the consensus process.

The Standards Board may approve the submission of Technical Reports for registration to ANSI.

The Standards Board operates and votes using consensus for all its actions. Standards ballots may be simultaneously balloted to the Standards Board, NSC, ANSI and AIIM Membership. The availability of the Standard for review will be advertised in the AIIM or industry publication.

#### **4.4.2 Comment Resolution**

All "negative" and "affirmative with comment" votes of substance from the Standards Board, AIIM membership comment, NSC, or ANSI public review will be returned to the sponsoring committee. The committee chairperson shall acknowledge the comments in writing (including email) to the submitter. The committee shall attempt to resolve all negative votes and shall address all comments. The disposition of all comments including negative votes, reasons and other comments shall be communicated in writing (including email) to all committee members including:

- letter with rationale for each decision,
- meeting minutes with detailed rationale for each decision, or

- comments form with detailed rationale for each decision.

A negative vote is considered resolved when the negative voter agrees in writing (including email) to change his/her vote or the negative commenter accepts in writing (including email) the proposed resolution of his/her comment.

The committee Chairperson shall prepare written correspondence (including email) for votes, stating the committee action and rationales and informing the voter of his/her right to appeal. If resolution is not achieved, each objector is reminded that an appeals process exists within the procedures used by AIIM. The recipient is afforded 15 working days to respond to the Chairperson. Negative ballots shall not be changed unless instructed, in writing to do so by the individual who submitted the vote. If substantive changes are made, the substantive changes are re-balloted to all committee members and concurrently to the Standards Board, NSC, and ANSI Public Review for a public review and comment period.

In those instances where a negative ballot is unaccompanied by any comments, an attempt is made to obtain comments from the objector, and the ballot is included on the final voting tally as a “negative without comment.” Recirculation of the ballot to the Standards Board or the NSC is not necessary.

Comments received subsequent to the closing of the public review and comment period may be considered immediately or the committee may consider them at the next review or as a new proposal. Non-voting member comments will be acknowledged in writing as described above.

Timely comments that are not related to the proposal under consideration are documented and considered in the same manner as the submittal of a new project proposal. The submitter shall be notified of this action.

Unresolved objections resulting after attempts to resolve and any substantive change made in a proposed American National Standard are reported to the consensus body in order to afford all members an opportunity to respond, reaffirm, or change their vote.

All comments and unresolved negative ballot responses will provide a reminder in written format (hard copy or email) of the right to appeal the decision and will specify the time period (total of 15 working days) providing an expiration date.

A final draft is prepared which incorporates the resolution of negative votes and comments. Standards to be published at the national level will be forwarded by AIIM Standards Department to the ANSI Board of Standards Review (BSR) for approval as national standards. If there are negative ballots which cannot be resolved, then the draft standard and copies of the negative ballots are distributed with a reconsideration ballot. The ballot period is a maximum of 30 days. Unresolved objections and substantive changes will be included in a recirculation ballot to allow others an opportunity to review their vote in connection with the comments received.

All documentation/correspondence of the committee’s action must accompany the submission to the BSR. The NSC vote is the consensus vote reported on the ANSI BSR9 form.

#### **4.5 ANSI Public Review and Approval**

AIIM will request a 45-day public review period and provide ANSI with the source, URL or email address from which the draft Standard or Standard Recommended Practice is available in electronic format and will fulfill requests for documents within one day of request. The ANSI BSR will announce the review period (45 days) in the ANSI Standards Action. At the close of the review period and upon receipt of the draft standard, compilation of the NSC ballots and results of the ANSI public review, the BSR shall approve the Standard for publication.

The AIIM membership comment period, the NSC ballot and ANSI public review are concurrent votes.

AIIM Standards staff will submit the BSR8 form to ANSI at least 2 weeks prior to initiating the NSC ballot and AIIM Membership Comment period so the ballots will coincide.

## **4.6 Document Publication**

Compilation of the NSC ballot and results of the ANSI public review are sent to the BSR for approval of the Standard as an American National Standard. The final document will be published no later than six months after approval as an American National Standard. All Standards, Standard Recommended Practices and Technical Reports prepared or revised by standards committees shall be drafted and published in conformance with the AIIM Style Manual.

## **5.0 Due Process**

Due process allows for equity and fair play. No obstacles shall be created that prevent anyone with a direct and material interest from expressing a viewpoint and, if dissatisfied, appealing at any point in the approval of a Standard, Standard Recommended Practice or Technical Report.

### **5.1 Due Process Requirements**

#### **5.1.1 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 shall not be conditional upon membership in any organization, not unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of any action to create, revise, reaffirm, or withdraw a Standard, and the establishment of a new consensus body shall be provided to all known directly and materially affected interests. Notice should include clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information. In addition, the affiliation and interest category of each member of the consensus body shall be made available to interested parties upon request.

#### **5.1.2 Consensus**

"Consensus" means substantial agreement has been reached by directly and materially affected interest categories. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution.

#### **5.1.3 Representation of Interests**

All directly and materially affected interests shall have the opportunity for fair and equitable participation without dominance by any single interest.

#### **5.1.4 Lack of Dominance**

Dominance means a position or exercise of dominance authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase "without dominance by any single interest normally will be satisfied by the historical criteria for balance; that is (1) no single interest constitutes more than one-third of the membership of a committee dealing with safety or (2) no single interest constitutes a majority of the membership of a committee dealing with product standards. Unless it is claimed by a directly and materially affected interest that a single interest dominated the standards development process to the exclusion of fair and equitable consideration of other viewpoints, no test for dominance is required.

Interest categories for AIIM Standards are identified and defined in Section 2.2.3.

## **5.2 Written Procedures**

These written procedures shall govern the methods used for Standards Development and shall be available to any interested party.

## **5.3 Records**

Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised, or reaffirmed American National Standards maintained under periodic the maintenance option shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawals of American National Standards shall be retained for at least 5 years from the date of withdrawal.

Records shall be prepared, maintained and made accessible to those having a direct and material interest under reasonable conditions of time, location, cost, and convenience to all concerned. Standards records should include, but not necessarily be limited to: draft standards; proposed amendments; standards promulgated; reports of meetings (including attendance, decisions, and a synopsis of discussions), reports of ballot results; disposition of objections; and rationale of principle supporting data as appropriate to the development of new standards or actions taken on existing standards. The records maintained should permit an overall view of what occurred. AIIM International, as the custodian of the official files will maintain these records. The committee chairperson is expected to maintain a complete file of committee working documents.

Records may be maintained in electronic format. It is also necessary to maintain membership records including requests to join or changes in status or contact information for all committees.

## **5.4 Documents**

Copies of meeting notices and agendas should be provided to the committee, subcommittee or ad hoc group members at least one month prior to the meeting. Copies should also be provided to the AIIM Standards Department, and in the case of subcommittees, to the parent committee Chairperson. Minutes of all meetings should be distributed, within 45 days of the meeting to the members of the committee or subcommittee, the parent committee Chairperson in the case of a subcommittee, Standard Board liaison, and the AIIM Standards Department. The minutes contain all actions and decisions of the committee or the subcommittee, including items of discussion if they are necessary to understand the actions, decisions or rationale.

All draft documents and reports of a committee are a matter of public record. However, draft documents and reports should include a notice that they are "STANDARDS COMMITTEE WORKING DOCUMENTS ONLY--NOT FOR PUBLIC USE".

The AIIM Standards Department receives a copy of all committee correspondence for information and the official file.

AIIM's name, address and logo and the chair's company name, address or logo shall not be included on any committee draft documents or reports.

It is important to maintain a document register and all important documents to assure rapid and complete access to specific data.

## **6.0 Maintenance of Standards, Recommend Practice and Technical Reports**

### **6.1 Document Review Requirements**

AIIM standards and standard recommended practices may be revised as frequently as necessary. However, every standard and standard recommended practice shall be reviewed every five years by the responsible standards committee, resulting in a reaffirmation, revision or withdrawal. Review should begin on the third anniversary of the approval of the document and be completed by the fifth anniversary of the document. The AIIM staff will notify committees of upcoming document review requirements.

In the case of reaffirmations and withdrawals, an ANSI PINS (Project Initiation Notification System) form may be submitted when the action to begin the reaffirmation or withdrawal is approved but is not necessary. A PINS form is submitted to ANSI when the committee decides to revise or withdraw a Standard is approved. In the event that the project intent changes, AIIM Standards Department will submit a revised PINS to ANSI clearly stating the change in intent of the standards work.

Technical reports may likewise be revised as often as the Standards Board determines. Because of the dynamic nature of technical reports, they must be reviewed more frequently than standards but at a minimum of every 3 years. This review will be completed within 3 years of publication or the last review. The AIIM staff will notify committees of upcoming document review requirements.

The review of a Standard or Technical Report is conducted in the same manner as for a proposed document, whether reaffirmation, revision or withdrawal is anticipated. Technical Reports do not require an AIIM membership ballot. Approval of the Standards Board is deemed sufficient. Extension of the review period may be requested by the committee when reviews of existing documents have been delayed.

### **6.2 Document Revision**

When a document revision has been recommended, the procedures for flow of development are followed. (See Section 4.0).

### **6.3 Document Reaffirmation**

An ANSI/AIIM Standard or Standard Recommended Practice is reviewed as noted in section 6.1. The reaffirmation of an existing Standard or Standard Recommended Practice requires the following:

- (1) Sponsoring committee approval and recommendation to the Standards Board;
- (2) Standards Board approval of committee recommendation;
- (3) An NSC ballot and AIIM membership comment period;
- (4) Announcement of intent in an AIIM or industry publication;
- (5) Submission of the appropriate documentation to ANSI for public review on the recommended reaffirmation.
- (6) Reaffirmations are accomplished without any substantive change to the main text of the Standard. Any substantive changes to the Standard resulting from comments received from balloting, result in a revision rather than a reaffirmation.

An ANSI/AIIM Technical Report is reviewed as noted in section 6.1. The reaffirmation of a Technical Report requires the following:

- (1) Sponsoring committee approval and recommendation to the Standards Board;
- (2) Standards Board approval of committee recommendation;
- (3) Announcement of intent in an AIIM or industry publication;
- (4) Submission of the appropriate documentation to ANSI for public review on the recommended reaffirmation.
- (5) Reaffirmations are accomplished without any substantive change to the main text of the Technical Report. Any substantive changes to the Technical Report resulting from comments received from balloting, result in a revision rather than a reaffirmation.

#### **6.4 Document Withdrawal**

An ANSI/AIIM document is reviewed as noted in Section 6.1. The withdrawal of an existing Standard requires the following:

- (1) Sponsoring committee approval and recommendation to the Standards Board;
- (2) Standards Board approval of committee recommendation;
- (3) An NSC ballot and AIIM membership comment period;
- (4) Announcement of intent in an AIIM or industry publication;
- (5) Submission of the appropriate documentation to ANSI for public review on the recommended withdrawal.

### **7.0 Appeals Procedure**

Persons who have directly and materially affected interests and who believe they have been or will be adversely affected by any procedural action or inaction by AIIM as a standards developer with regard to the development of a proposed American National Standard or the revision, reaffirmation, or withdrawal of an existing American National Standard, have the right to appeal. The burden of proof to show adverse effect shall be on the appellant. Appeals of actions shall be made within reasonable time limits (maximum 30 days); appeals of inaction may be made at any time.

#### **7.1 Purpose and Responsibility**

The appeals procedures are provided as a vehicle for the Standards Board to hear and respond to inquiries allowing for openness and due process.

#### **7.2 Complaint**

The appellant shall file a written complaint with the Standards Board 15 days after the date of notification of action or at any time with respect to inaction. The complaint shall state:

- (1) the nature of the objection(s) including any adverse effects,
- (2) the section(s) of these procedures or standards that are at issue,

- (3) actions or inaction(s) that would satisfy the appellant's concerns, and
- (4) previous efforts to resolve the objection(s) and the outcome of each shall be noted.

### **7.3 Response**

Within 30 days after receipt of the complaint, the respondent (Chairperson or Standards Board representative) shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

### **7.4 Hearing**

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, the Chairperson shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least ten working days notice.

### **7.5 Appeals Panel**

The appeals panel shall consist of three members selected from the AIIM membership in addition to the Chairperson. The Chairperson of the panel shall be the **Standards Board Chairperson**, and shall not have a vote in the decision of the panel. The voting members of the panel shall not have been directly involved in the matter in dispute, and not be currently involved in the development of the standard(s) in question, and shall not represent or be an employee of an interest that can be made directly or materially affected by any decision made by or to be made in the dispute. The voting members of the appeals panel shall be agreed to by both the appellant and the respondent. However, if the appellant, after a good faith attempt by AIIM to identify candidates cannot agree to the selection of a panel, said panel will be appointed by the Standards Board.

### **7.6 Conduct of Hearing**

The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the committee and the Chairperson took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals. Robert's Rules of Order (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

### **7.7 Decision**

The appeals panel shall render its decision in writing within ninety (90) days, stating findings of fact and conclusions, with reasons thereof, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:

- (1) Finding for the appellant, remanding the action to the committee or the Standards Board with a specific statement of the issues and facts in regard to which fair and equitable action was not taken.
- (2) Finding for the respondent, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections.

- (3) Finding that new, substantive evidence has been introduced, and remanding the entire action to the committee or the Standards Board for appropriate reconsideration.

## Appendix A

### Definitions

#### **Consensus**

Substantial agreement has been reached by directly and materially affected interests. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution.

#### **Expert**

An individual who is considered knowledgeable and experienced in the subject matter of concern.

#### **Organization**

a corporation, federal or military department or agency, partnership or association, self-employed or self-financed individual or any other legal or commercial entity.

Note: Each military department or agency, state or local government, each separate corporation with controlling body such as a Board of Directors that does not report to another controlling body, or each separate educational institution with a controlling body such as a Board of Regent shall be considered a separate organization.

#### **Resolved**

A negative vote cast by a member or a comment submitted as a result of public review where the negative voter agrees to change his/her vote or the negative commenter accepts the proposed resolution of his/her comment.

#### **Simple majority**

More than half of the votes on an issue.

#### **Substantive Changes**

A substantive change in a proposed American National Standard is one that directly and materially affects the use of the standard. Examples of substantive changes include:

- Shall to should;
- Should to shall;
- Addition, deletion or revision of requirements, regardless of the number of changes;
- Addition of mandatory compliance with referenced standards.

#### **Unresolved**

Either (a) a negative vote submitted by a consensus body member or (b) written comments, submitted by a person during public review expressing disagreement with some or all of the proposed standard, that have not been satisfied and/or withdrawn after having been addressed according to the procedures.

## **Appendix B**

### **Committee Scopes**

#### **C10 MICROGRAPHIC QUALITY AND CONTROL**

Responsible for micrographic technology including establishing quality control procedures and quality levels for source document, engineering and COM microforms, microform formats and specifications of supply items (e.g., physical dimensions and formats for microforms and the packaging of microfilm).

#### **C18 PUBLIC RECORDS, LIBRARIES, & ARCHIVES COMMITTEE**

Responsible for developing requirements and guidelines for the use of document and content technologies by federal, state, local, or other public instrumentalities and the library and archival user and producer communities.

#### **C19 TERMINOLOGY**

Responsible for terms and their definitions within the field of content management.

#### **C21 ADVANCED DATA STORAGE SUBSYSTEMS**

Responsible for various aspects of optical disk applications in information systems, including media error monitoring and reporting, error management, user requirements for interfaces, technical requirements, and other characteristics relative to the use of optical disk subsystems and different levels of standards for rewritable, write-once-read-many (WORM), read only memory (ROM), and combination optical disks.

#### **C22 EVIDENTIARY SUPPORT**

Responsible for assisting in the legality-related document work of ISO TC 171 and providing guidance to the U.S. TAG to TC 171 on legality issues.

#### **C24 ELECTRONIC IMAGING**

Responsible for electronic imaging technologies as they relate to scanning from paper, film media (roll, microfiche, aperture cards), to document input requirements, electronic imaging system calibration, ergonomics, output, display and applications.

#### **C25 ELECTRONICS QUALITY AND CONTROL**

Responsible for quality procedures and quality control recommendations for electronic images.

#### **C27 DOCUMENT MANAGEMENT TECHNOLOGIES**

Responsible for developing requirements and guidelines for document management technologies including COLD/ERM.

#### **C30 Integrated EDM/ERM**

Responsible for establishing integrated EDMS/ERMS functional requirements that must be shared between two types of systems as well as functional requirements unique to each system.

**DIQP, Digital Image Quality and Preservation**

Responsible for various aspects of preserving digital information.

\*As of 9/06 - Committees structure is subject to change.

## **Appendix C**

### **Metric Policy**

Units of the International System of Units (SI), the modernized metric system, are the preferred units of measurement.

If desired, non-SI units may be indicated in parenthesis following the SI units or may be provided in a table of equivalent values in an informative annex.

## **Appendix D**

### **Patent Policy**

AIIM will follow the ANSI patent policy as specified in the ANSI Essential Requirements: Due Process Requirements for American National Standards. (The following is an excerpt.)

There is no objection in principle to drafting a proposed American National Standard in terms that include the use of a patented item, if it is considered that technical reasons justify this approach.

If AIIM receives notice that a proposed American National Standard may require the use of a patented invention, the following procedures apply. AIIM will notify ANSI of the use of a patented invention being used in a proposed American National Standard.

#### 1.1 Statement from patent holder

Prior to approval of such a proposed American National Standard, AIIM shall receive from the identified party or patent holder either: assurance in the form of a general disclaimer to the effect that such a party does not hold and does not currently intend holding any invention the use of which would be required for compliance with the proposed American National Standard or assurance that:

- a) A license will be made available without compensation to the applicants desiring to utilize the license for the purpose of implementing the standard; or
- b) A license will be made available to applicants under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

AIIM will forward the disclaimer to ANSI.

#### 1.2 Record of statement

A record of the patent holder's statement shall be placed and retained in the files at AIIM and ANSI.

#### 1.3 Notice

When AIIM receives from a patent holder the assurance set forth in a) or b) above, the standard shall include a note as follows:

NOTE – The user's attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights.

By publication of this standard, no position is taken with respect to the validity of this claim or of any patent rights in connection therewith. The patent holder, has,

however, filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from AIIM International.

#### 1.4 Responsibility for identifying patents

AIIM and ANSI shall not be responsible for identifying all patents for which a license may be required by an American National Standard or for conducting inquiries into the legal validity or scope of those patents that are brought to its attention.

## **Appendix E**

### **Commercial Terms and Conditions**

AIIM will follow the ANSI policy on commercial terms and conditions specified in the ANSI Essential Requirements: Due Process Requirements for American National Standards.

## **Appendix F**

### **Interpretations Policy**

Official interpretation of AIIM developed Standards, Recommended Practices and Technical Reports may only be made by and with the consensus approval of the Standards Board. Request for interpretations are forwarded to the AIIM Standards Department. The Standards Department informs the Standards Board of the request for interpretation and the group selected to provide the response. The Standards Board is allowed an opportunity to provide comments and express concern with the recommended handling of the request. In the process of using any Standard, it is possible for questions to arise. There is a need therefore, for a uniform approach to the responsibility for developing and disseminating interpretations to such standards. The procedure for processing such requests is:

- (1) All requests for interpretation or clarification are routed to the AIIM Standards Department (hereafter called Standards Department) for central registry and review before action by any subgroup is initiated.
- (2) Simple requests for information about a standard may be answered by the Standards Department, in consultation with the relevant committee Chairperson, as appropriate, or by the committee Chairperson in consultation with the relevant committee, as appropriate.
- (3) Other requests may be forwarded by the Standards Department to the Chairperson of the committee which developed the Standard. If that committee or its successor is no longer active, the Standards Department requests not less than four members or former members of the originating committee or other available experts to serve as an ad hoc advisory group to consider (usually by correspondence) the request. In either event, the Standards Department issues an interim acknowledgment of the inquiry within 30 days of receipt.
- (4) The committee Chairperson immediately takes the following actions on the request: schedule the request on the agenda for the next meeting of the committee or schedules an emergency meeting and invites the originator to the meeting at which the inquiry will be discussed. Through the use of electronic processes, effort will be made to circulate the request and draft a response to the members before the meeting.
- (5) After appropriate discussion, approval of the technical recommended response is by formal motion. This committee motion must be approved by at least two-thirds of the committee, taken on a roll-call (recorded) vote.
- (6) The committee Chairperson expeditiously returns the recommended response to the Standards Department with the following documentation: transmittal letter summarizing the committee review, debate, if any (including minority views), and resulting motion; draft response to the technical question(s); and a record of the vote of each member.
- (7) The Standards Department reviews the draft and response and classifies it into one of the following classes, based on the nature of the draft response:

Class A --Response indicates the answer is found at one or several references in the published standard.

Class B --Response acknowledges a typographical error in the published standard which could be interpreted to change the meaning of the standard and may cite committee documents (i.e., earlier drafts, minutes, etc.) as the basis for the intent of the standard.

Class C --Response contains the committee interpretation, by analysis of the standards content and the committee interpolation or extrapolation.

- 8) The Standards Department verifies the classification with the committee chair and takes the following action:

Class A -- Forward a response to the inquirer.

Class B & C --Issue a 30 day letter ballot to the Standards Board for approval of the response. (The committee documentation is included. The necessary votes for approval and procedures for resolution of negative votes are the same as for approval of a proposed Standard.)

Upon completion of the previous step, the Standards Department appends the qualifying notice of the status of interpretations, and transmits a copy to the originator. The Standards Staff publishes the interpretation to the general public through the AIIM or industry publication and/or magazine.

## Appendix G

### Participation Fee Waiver Policy

AIIM requires end user participants in standards committees to be associate members of AIIM as a minimum. AIIM requires committee chairs to be individual members of AIIM. Solution provider companies are required to be company/trade/ATM members of AIIM. This requirement has the effect of increasing the probability that members have:

- Some knowledge of the industry
- Some knowledge of the subject matter
- A motivation to actually be interested in progressing the proposed activity

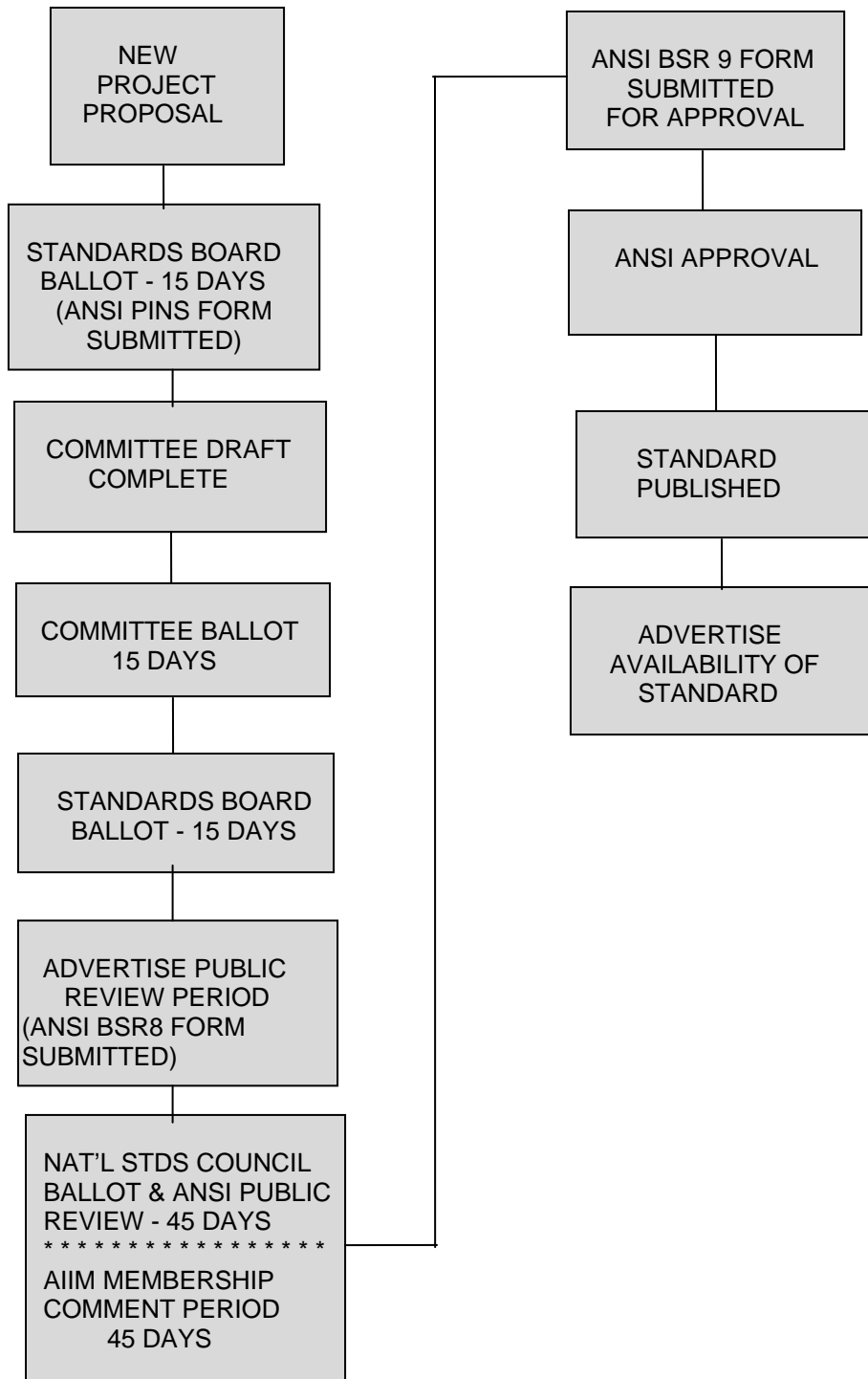
A non-member may request permission from the Standards Board to be permitted to participate as a voting member of one single AIIM Standards Committee with the following provisos:

1. The individual shall state in writing providing reasons as to why fulfilling the membership requirement would be a financial hardship
2. There exist committee consensus that the participation of the individual would be beneficial based on knowledge of and a demonstrable interest in the committee's subject matter

A non-member who wishes to participate in an AIIM standards project may send the request to the AIIM Secretariat who working with the Standards Board will review the request. The request should include the reasons why the individual wants to participate and information on criteria items 1 and 2 above.

AIIM may also charge trade and ATM members a participation fee to participate in the development of Standards, Recommended Practices, and/or Technical Reports. A trade or ATM member who wishes to participate in an AIIM standards project but finds the participation fee requirement a financial hardship will forward to the AIIM Secretariat a request including reasons why the fee would be a hardship and the contributions the company would make toward the development of the standard to have the fee waived. The AIIM Secretariat working with the Standards Board will review the request and provide a response back to the requester.

**Appendix H**  
**Standards Development Flowchart**



## **Appendix I**

### **Draft Standards for Trial Use**

AllIM will follow the ANSI Procedures for Draft American National Standards for Trial Use as specified in the ANSI Essential Requirements: Due Process Requirements for American National Standards.

## **Appendix J**

### **Technical Reports for Registration with ANSI**

AllIM will follow the ANSI Procedures for Technical Reports for Registration with ANSI.

