
AIIM Standards Development for ANSI Approved Documents

Policies and Operating
Procedures

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Foreword

These procedures, approved by the AIIM Standards Board, provide a mechanism for the management and coordination of the development of standards in the AIIM standards program. The AIIM 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.

AIIM membership includes individuals and organizations, both public and private, representing consumers, manufacturers, service organizations and government interests. This diverse membership allows AIIM 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.

AIIM 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.

AIIM participates in standardization activities in three areas:

- In the U.S., AIIM 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, AIIM 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/AIIM standards ensures a consensus of affected interests. The AIIM National Standards Council (NSC) is balloted while the AIIM membership is afforded the opportunity to comment on each standard. NSC ballots and all comments receive consideration before a standard is approved. (See Section 10)

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 terms and their 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 Mission

To drive the development and adoption of standards and best practices to help organizations survive and thrive in the era of information chaos by helping them to solve the problems of risk, automating content intensive business processes, engaging and collaborating better and gaining insight from the information organizations have. .

1.3 Vision

AIIM's Standards Program is the internationally recognized authority for developing and promoting market relevant information management best practices, standards, and guidelines that guide the industry and enable organizations to effectively use information.

1.5 Operating Principles

1. New Information management technologies are merging and emerging.
2. AIIM Standards supports standards throughout their life cycle.
3. AIIM Standards will be economically and organizationally sustainable.

1.4 Goals

1. Provide a development atmosphere that fosters collaboration and support of the technical work conducted by the subject experts.
2. Increase the membership and participation of the membership through word-of-mouth marketing.
3. Support all stages of the development of AIIM standards, ANSI approved standards, ISO approved standards and best practices, technical reports, etc through their development life cycle.
4. Increase and sustain relationships with other standards development, standards setting

- organizations, analysts and others of influence in the industry to harmonize the efforts needed.
5. Support the acceptance and adoption of AIIM Standards throughout the industry.
 6. Ensure the hallmarks of standards development of openness, due process and consensus as well as financial standing of the program are sustained.

2 AIIM Standards Program Structure

2.1 Structure

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

2.2 Membership

Membership in the standards committees, consensus body (NSC) and standards board is contingent on active participation. If a member misses two (2) consecutive meetings or fails to vote on two (2) consecutive ballots, this failure in participation may result in dismissal from Standards Board or consensus body (NSC) or a change in status at the committee level to a non-voting observer. The committee chair or AIIM Headquarters will inform 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 or Alternate member and regain voting privileges by attending one committee meeting either face-to-face or virtual meeting. 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 or alternate member.

Annually, the committee chair may issue a request to the committee membership of active participation interest and commitment to participate in reviewing and returning ballots. This activity determines the committee member to receive ballots and is shared with the AIIM Standards Department.

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- or Co-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 writing via email.

Standards committee members are not required to be members of AIIM but it is recommended that they at least be registered with AIIM. Standards committee chairpersons are recommended to be members of AIIM.

Committee members are responsible for their own travel, lodging, postage, and other personal

expenses incurred while participating in committee activities.

2.3 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 Part 2, Section 9.2),
- ANSI Approved Standard Recommended Practices (SRPs) (See Part 2, Section 9.3),
- ANSI Approved Technical Reports (TRs) (See Part 2, Section 9.4),
- AIIM Recommended Practices (ARPs) (See Part 2, Annex),
- AIIM Best Practices,
- AIIM Application Notes, and
- AIIM Toolkits (How To Guides).

The first three involve the formal consensus review and balloting required under ANSI Rules (See Section 4.4). AIIM Recommended Practices, AIIM Best Practices and AIIM Application Notes require consensus approval of the authoring committee and the Standards Board. AIIM Toolkits (How to Guides) require consensus of a peer review committee. These last four items 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 Program is assigned to several committees.

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

2.4 Program Responsibilities

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.

2.5 Essential requirements for standards development

2.5.1 General

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.

2.5.2 Due process

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, coordination and harmonization, notification of standards development, consideration of views and objections, consensus vote, appeals, written procedures and compliance with normative American National Standards policies and administrative procedures.

2.5.3 Openness

Participation in AIIM Standards committees 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 AIIM, 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, recommended practice or technical report and the establishment of a new consensus body shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information. The member's name (or if membership is by organization, the name of the organization with a point of contact), affiliation, and interest category of each member of the consensus body shall be made available to interested parties upon request.

2.5.4 Notification of standards development

AIIM will announce standard activity in many ways including any magazine or e-newsletter AIIM may have as well as on AIIM's website and through social networking tools such as blogs, wikis, microblogs, (i.e., Twitter), and other similar tools to demonstrate the opportunity for participation by all directly and materially affected persons.

AIIM will notify ANSI at the initiation of a project to develop or revise an American National Standard. Notification will be transmitted to ANSI using the Project Initiation Notification System (PINS) form or its equivalent for announcement in Standards Action.

2.5.5 Lack of dominance

The Standards development process shall not be dominated by any single interest category, individual or

organization.

Dominance means a position or exercise of dominance authority, leadership, or influence by reason of superior leverage, strength, or representation to the exclusion of fair and equitable consideration of other viewpoints.

Unless it is claimed in writing (including electronic communications) by a directly and materially affected party that a single interest category, individual or organization dominated the standards development process, no test for dominance is required.

2.5.6 Balance

Balance of interests is an accepted concept of standards work. The AIIM Standards Development process strives to have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance. If a consensus body lacks balance in accordance with the historical criteria for balance, and no specific alternative formulation of balance was approved by the ANSI Executive Standards Council, outreach to achieve balance 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 shall be undertaken. 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 as an American National Standard or adoption at the national level.

The criteria for balance are that no single interest category constitutes a majority of the membership of a consensus body.

The interest categories for AIIM Standards are identified and defined as:

(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 are a representative that provides services to the document or content management industry.

The NSC is AIIM's consensus body. The NSC membership roster is available upon request and includes contact information for the individual representative or point of contact for an organization that belongs to the consensus body.

2.5.7 Coordination and harmonization

AIIM will make good faith efforts to resolve potential conflicts between and among existing standards and candidate standards.

2.5.7.1 Definition of conflict

Conflict within the standards development process refers to a situation where, viewed from the perspective of a future implementer, the terms of one standard are inconsistent or incompatible with the terms of another standard such that implementation of one standard under terms allowable under that standard would preclude proper implementation of the other standard in accordance with its terms.

2.5.7.2 Coordination/Harmonization

AIIM will make good faith efforts to resolve potential conflicts between and among standards developers and AIIM standards committees. A "good faith" effort will require substantial, thorough and comprehensive efforts to harmonize a candidate standard, recommended practice, and technical report and existing standards, recommended practices, and technical reports. Such efforts will include, at a minimum, compliance with AIIM's procedures. AIIM will retain evidence of such efforts in order to demonstrate compliance with this requirement.

2.5.7.3 Consideration of views and objections

AIIM Standards and its standards committees will give prompt consideration to the written views and objections of all participants, including those commenting on AIIM announcements, membership comments and ballots as well as ANSI announcements, including PINS announcement or public comment listing in *Standards Action* and other public comment listings.

2.5.7.4 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. Consensus is achieved in the National Standards Council (NSC) and will be documented.

2.6 Appeals

AIIM will make available an appeals mechanism with documented procedures for the impartial handling of procedural appeals regarding any action or inaction. Procedural appeals include whether a technical issue was afforded due process.

2.7 Written Procedures

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

2.8 Policies

2.8.1 Patent Policy

AIIM will comply with the ANSI patent policy as specified in the ANSI Essential Requirements: Due Process Requirements for American National Standards.

There is no objection in principle to drafting an American National Standard in terms that include the use of an essential patented claim, one whose use would be required for compliance with the standard, if it is considered that technical reasons justify this approach.

2.8.2 Commercial terms and conditions

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

2.8.3 Antitrust Policy

AIIM standards, Recommended Practices, Technical Reports and Best Practices will be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop American National Standards are to be conducted in accordance with these laws.

2.8.4 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.

2.8.5 Interpretations policy

Official interpretations of AIIM developed Standards, Recommended Practices and Technical Reports may only be made by and with the consensus approval of the Standards Board. Upon receipt of a

request for interpretation, AIIM Standards will acknowledge the request and review it to determine the correct committee to ask for assistance in providing a response to the interpretations request. AIIM does not view a request for a recommendation of a standard or a question that may be answered from a standard to be considered interpretations.

2.8.6 Participation waiver fee policy

AIIM requires end user participants in standards committees to be registered with AIIM (provide their email address) as a minimum. AIIM strongly recommends committee chairs to be individual members of AIIM. Solution provider companies should be company/trade/ATM (Advisory Trade Member) members of AIIM. This recommendation 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.

3 Technical reports for registration with ANSI

AIIM will comply with the ANSI Procedures for Technical Reports for Registration with ANSI.

4 Standards Board

4.1 Purpose and Responsibilities

The Standards Board is established as the advisory body to the AIIM Standards Program 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 is not focused on the substantive information included in the documents produced by the program.

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) Review, comment on, 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- or co-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.

4.2 Membership

The AIIM Standards Board consists of members and committee chairmen not to exceed a total of 21. The committee chairmen are ex officio members of the Standards Board with voting privileges.

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. 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 in concert with their term as chair of the U.S. TAG.

Membership includes the Chairperson and all ex-officio member(s).

Members of the Standards Board are professional 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.

4.3 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).

4.4 Meetings

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

4.5 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 and others as

specified by the Standards Board.

4.6 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) Review and comment on 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 simple majority of voting members. A simple majority of 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).

4.7 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.

5 National Standards Council (NSC)

5.1 Purpose and Responsibility

The National Standards Council (NSC) is established to provide industry related balance for the AIIM Standards Program. It serves 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.

The NSC is AIIM's consensus body.

5.2 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 may be 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 is determined by the Standards Board.

5.3 Membership

The goal of the NSC is to have a membership in each NSC that 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, willingness to participate actively and the interest category they represent. 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. Members may be 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 NSC membership roster is available upon request and shall include 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. If representing an organization, a

point of contact shall be identified. 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 as 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.

5.4 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 3.3 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.

5.5 Meetings

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

5.6 Voting

AIIM's Standards Department prepares and distributes draft documents and ballots to the NSC after initial review and approval by the Standards Committees. Votes may be concurrent with the AIIM membership comment period and ANSI public review.

6 Standards Committees

6.1 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 10;
- (4) Maintain the standards developed by the committee in accordance with Section 14.

6.2 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 or watermark 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 or co-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.

6.3 Membership

Standards committees comply with the requirements of membership as described earlier and the

following.

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 elected by the committee and appointed by the Standards Board for a term of two (2) years. The incumbent standards committee chairperson may stand for re-election if they wish. 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- or co-chairperson is elected by the committee. The name of the vice- or co-chairperson is forwarded to the Standards Board for approval. The vice- or co-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. A project leader is assigned by the committee for each project in the program of work. The committee should also appoint a secretary or rapporteur to record and distribute the meeting notes. Notification of these assignments is submitted to the AIIM Standards Department.

6.4 Balance

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

6.5 Meetings

Notice of a monthly, quarterly, or annual meeting should be provided with as much advanced notice as possible to allow participants ample time to prepare for the meeting. 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, wiki, or other social networking 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.

6.6 Minutes

A record of each meeting (committee and subcommittee meeting minutes) is required with a copy being forwarded to the AIIM Standards Department. At the subcommittee level, a summary and revised draft document is sufficient. Minutes of meetings should be distributed to the members as quickly as possible but not longer than 45 days following the meeting.

6.7 Voting

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" which requires a majority of the voting members return ballots and two-thirds (2/3) of those voting approve.

6.8 Committee Formation

The decision to establish a committee is confirmed by the Standards Board. In the case of a new committee, the proposal shall contain sufficient information to determine the relevance and purpose of the committee. The Standards Department will, via an AIIM or industry publication or using social networking tools such as blogs and microblogs, 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.

6.9 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.

6.10 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 14.2).

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

7 Ad Hoc Groups (AHG)

7.1 *Purpose and Responsibility*

Ad hoc groups (AHG) may be established by standards committees, the Standards Board or AIIM staff to accomplish tasks or projects. An established standards committee is responsible for the activities of the AHG they establish.

7.2 *Principles of Operation*

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

7.3 *Membership*

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

7.4 *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.

7.5 *Meetings*

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

7.6 *Minutes*

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

sufficient.

7.7 Voting

Ad hoc groups are traditionally not decision-making bodies and have no final approval responsibilities but may review and provide recommendations on developed projects. Their work is reported to the sponsoring committee Chairperson for vote by the sponsoring committee.

7.8 Formation/Disbandment

The decision to establish or disband an Ad Hoc Group is the prerogative of an established standards committee, the Standards Board or AIIM staff such action is reported to the Standards Board. The Standards Board will be notified of the action and a comment period will be allowed.

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.

8 U.S. Technical Advisory Group (TAG) to ISO Technical Committee (TC) 171 - Document Management Applications

8.1 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>

8.2 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 scope of TC 171.

AIIM 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 TC171'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 working groups.
- (13) Inform the Standards Board and others interested in specific subjects of development and advances learned of through participation in TC171 functions.

8.3 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.

8.4 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.

8.5 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. Standards 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 committee position. The Standards Committee positions are recommendations that the TAG accepts, modifies, or rejects.

8.6 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 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.

8.7 Minutes

The AIIM 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.

8.8 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.

Upon receipt of a document requiring a vote, AIIM Standards will request volunteers (may be a standards committee) to review and form a vote recommendation. The TAG will work with the identified volunteers to understand the proposed recommended vote. The vote recommendation will be circulated to the TAG for review.

Comments from requested volunteers and TAG members will be consolidated for review by the full TAG to determine the comments that will accompany the US vote. This may be done by a virtual meeting or

via an email thread.

8.9 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.

9 Liaisons

9.1 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.

9.2 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.

9.3 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.

9.4 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.

9.5 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.

9.6 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.

9.7 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.

10 Procedures for the Development of Standards Documents

10.1 Types of Documents

Four (4) types of documents developed by AIIM Standards Development Committees that are subject to these procedures:

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

Three (3) types of documents that may be developed by AIIM Standards Development Committees that are not subject to these procedures include:

- AIIM Best Practices and Guidelines,
- AIIM Application Notes, and

- AIIM Toolkits (How to and Guides).

10.2 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 a:

- (1) document containing a set of conditions to be fulfilled covering technical limitations and applications for items, vocabulary, materials, processes and methods;
- (2) document containing methods and procedures for performance and/or testing products, materials and processes;
- (3) 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 - Flow of Development. Upon completion of a Standard through the committee, it is submitted for a Standards Board ballot, an NSC ballot, an AIIM membership comment period and an ANSI 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 to ANSI for approval 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.

10.3 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 10 - Flow of Development. Upon completion of a Standard Recommended Practice through the committee it is submitted for a Standards Board ballot, an NSC ballot, an AIIM membership comment period and an ANSI 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 to ANSI for approval as "an ANSI/AIIM Standard" 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.

10.4 ANSI/AIIM Technical Reports

An ANSI/AIIM Technical Report is created to disseminate technical concepts or to provide tutorial information. Technical Reports are informative in nature and will not include any information implying it is a standard or recommended practice. 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. ANSI/AIIM Technical Reports will comply with the ANSI Patent Policy.

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 10 - Flow of Development. Upon completion of a Standards Board ballot and approval from ANSI, the Technical Report is published with an ANSI/AIIM TRX-YYYY designation. AIIM Technical Reports shall be submitted for ANSI approval as "an ANSI/AIIM Technical Report" using ANSI's Technical Report form allowing for an ANSI Public Review in Standards Action. Registered Technical Reports will bear the ANSI approval logo or the words "a Technical Report prepared by AIIM and registered with ANSI ", date of approval and designation.

10.5 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*.

When adopting an identical ISO standard, AIIM will comply with and make use of the *Expedited Procedures for the Identical Adoption of an ISO Standard as an American National Standard* as described 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 Standards Board ballot, an NSC ballot, an AIIM membership comment period and an ANSI 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 approval 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.

11 Flow of Development

11.1 General

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.

11.2 PINS

New projects begin as a new idea. As soon as an idea is documented as a project proposal and discussed with AIIM staff, the project proposal will be sent to the AIIM Standards Board for approval. Once a project proposal receives Standards Board approval, AIIM Standards Department will file a PINS form with ANSI.

In the event, written comments are received within 30 days from the publication date of a PINS announcement in ANSI's Standards Action, and said comments are asserting that a proposed standard duplicates or conflicts with an existing American National Standard or a candidate ANS that was

previously announced a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within 90 days from the comment deadline. Such a deliberation shall be organized by AIIM and the commenter and shall be concluded before AIIM may submit a proposed standard for public review. If the deliberation does not take place within the 90-day period and AIIM can demonstrate that it has made a good faith effort to schedule and otherwise organize the meeting, then AIIM will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project.

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

While the outcome is not binding, unless binding provisions are agreed to by AIIM, participants are encouraged to develop a consensus on whether and how the standards development project should proceed..

11.3 Proposals

A proposal for developing a new Standard or forming a new committee 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 proposer is encouraged to participate in the development of the project.

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

- (1) Title (of the proposed work or committee) No trademarks or service marks owned by AIIM may be used. The title is subject to the approval of AIIM;
- (2) Date of submission;
- (3) Statement of purpose, including a description of the problem to be addressed;
- (4) List of deliverables with milestones;

- (5) Anticipated audience;
- (6) Coordination with other standards development activities if this is similar to an existing project a description as to why the proposed work is necessary should be included;
- (7) Resources (minimum of 3 committee participants is required for approval and potential funding);
- (8) Identification of proposed first meeting (meeting date, time, location, mode (in person, conference/web, etc.)) and projected ongoing meeting schedule
- (9) Proposed Project Leader or Committee Chairperson (preference is given to AIIM Professional and Basic Members)

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 the proposal available to the Standards Board for approval and may make the proposal available to the NSC for comment. If information is missing, the proposal will be returned to the proposer with the missing information identified.

The Standards Board reviews the proposal and provides comments. At the conclusion of the review period, comments will be sent to the proposer for review. The proposer responds to the comments and returns the responses to AIIM. Comments and resolutions will follow the comment process. When comments have been satisfactorily resolved and the proposal approved, the Standards Department will create the workspace and announce the new project or committee, submit a PINS form to ANSI for standards and recommended practices and announce the new project via the AIIM Community and communication pathways.

Standards committees will make a decision to reaffirm, revise or withdraw a standard or recommended practice prior to its fifth anniversary.

11.4 Draft Document Preparation

To develop a draft, the 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. 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) The committee roster of primary and alternates showing the names and affiliations. Persons in observer status who wish to become primary should meet the membership requirements of attending one meeting, voting on ballots and requesting a change in status from Observer to Primary.

All draft documents will be forwarded in electronic format (revisable and reference files) to AIIM Standards for approval processing. Committee approved drafts will include a list of individuals who participated in the development of the document.

11.5 Editing

The AIIM Standards Department is responsible for the grammatical/copy editing of the draft.

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

11.6 AIIM Balloting

11.6.1 Voting Principles

All documents approved for acceptance as ANSI Standards, Standard Recommended Practices, Nationally Adopted International Standards or Technical Reports 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.

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 via ballot system).

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.

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 the individual) located in the U.S., including "U.S. branch offices" of foreign companies may attend that portion of the meeting and vote.

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.

The 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. 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.

The Standards Board may return a Standard, Standard Recommended Practice, Nationally Adopted International Standard 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 identified through the consensus process.

To approve a standard, standard recommended practice, Nationally Adopted International Standard or Technical Report requires a majority of the consensus body return a ballot and two-thirds of those voting approve. In the instance of a vote taken at a meeting, approval of a standard or standard recommended practice requires a majority of those in attendance at the meeting and two-thirds of those voting approve. Those not in attendance at the meeting will be given an opportunity to vote.

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

The Standards Board operates and votes using consensus for all its actions.

Committee and subcommittee ballots may be conducted concurrently. Standards ballots may be simultaneously balloted to the NSC and sent for ANSI Public Review and AIIM Membership comment. The availability of the Standard for review will be advertised in an AIIM or industry publication or on AIIM's Community.

Chairpersons may not change a vote unless instructed to do so by the voter. The voter will submit the change in writing (including email) to the committee chair. The committee chair will provide written confirmation (including email) of the specified vote change to the voter. All unresolved negative votes will be recorded and reported as unresolved objections. 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.

11.6.2 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 and acknowledged in writing (including email) by the committee chair to the full committee and the Standards Department. Comments will be submitted using the comment form provided by the committee chair and will be as detailed as possible offering recommended text to resolve the issue being identified. Prompt consideration will be given to the written views and objections of all participants. To this extend, attempts 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 five (5) days before the ballot closes. The committee chairperson will promptly acknowledge the comments in writing (including email) to the submitter. The committee will make attempts at resolution of all negative votes and address all comments resulting from NSC ballot and/or

ANSI Public Review. Unresolved objections from the NSC ballot and/or ANSI Public Review along with attempts at resolution will be provided to the entire NSC to afford them the opportunity to respond, reaffirm or change their vote.

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. Negative ballots received without 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," may consider in a future revision and will not re-circulate the vote. 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.

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 revision. The committee chairperson and AIIM Staff will maintain a list of such proposed changes in the project folder. At the time the document is scheduled for review, the project folder will be reviewed and the change proposals will be discussed by the committee.

All negative votes shall be acknowledged in writing (including email).

- AIIM shall not change a vote unless instructed in writing (including email) to do so by the voter with confirmation of the change being sent to 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 attempt 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 unresolved negatives.

All unresolved and negative comments and attempts at resolution will be shared with the committee to allow committee members to respond, reaffirm or amend their ballots. The negative voter is given the opportunity to withdraw the negative vote or maintain the objection. Acknowledgement of negative votes and comments shall be made to the objector in writing (including email). All documentation involved with unresolved and negative comments and attempts at resolution will be forwarded to AIIM Standards Department to be filed.

The discussion and disposition of all comments (e.g., incorporated immediately, considered by the appropriate body, or incorporated during the next revision cycle) including negative votes, reasons and other comments and manner in which they are handled will be communicated in writing (including email) to the objector or comment provider, all committee members, and AIIM Standards Department including:

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

Unresolved objections from NSC ballots or ANSI public review along with attempts to resolve as provided to the objector will be provided to the committee, Standards Board and/or NSC members to allow them to respond, reaffirm or change their vote.

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.

Negative ballots shall not be changed unless instructed, in writing (including email), 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 (including email) 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 in writing (including email) of this action.

All unresolved objections will include the following reminder in written format (including email) of the right to appeal the decision specifying the time period (total of 15 business days) and providing an expiration date. For example, " With this message, we are informing you of your right to have 15 days to respond to the chairman regarding the response to your comments. This response should be in writing (including email) and AIIM should be copied on the message. The right to appeal expires on

[date] at the close of business."

A final draft is prepared which incorporates the resolution of objections 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 unresolved objections which cannot be resolved, then the draft standard and copies of the negative ballots are distributed with a reconsideration ballot. 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 and reported to ANSI BSR. Only one recirculation of comments is conducted to afford NSC members an opportunity to consider alternate views and respond, reaffirm, or change their vote. 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 email) as to the change and the rationale.

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.

11.7 ANSI Public Review and Approval

AIIM will request a public review 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. ANSI will announce the review period 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, AIIM will send the materials to ANSI for BSR review and approval of the Standard for publication.

The AIIM membership comment period, the NSC ballot and ANSI public review are run concurrently.

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

11.8 Document Publication

If and when the standard, standard recommended practice, Nationally Adopted International Standard, or Technical Report gains approval, its published form will show the names and affiliations of primary and alternate members. Persons presently in Observer status who wish to become primary members should meet the membership requirements of attending one meeting, conference call, video

conference, or Internet conference; returning ballots; and request 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.

The final document will be published no later than six months after approval as an American National Standard or request an extension. 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.

AIIM standards and recommended practices that are approved as an American National Standard will have the approval logo (furnished by ANSI) or the words "an American National Standard" on the cover and/or title page. A unique alphanumeric designation of ANSI/AIIM MSXXX-YYYY or ANSI/AIIM XXX-YYYY will be identified.

AIIM will publish those standards and recommended practices that have been approved as American National Standards.

A Technical Report that has been registered with ANSI shall have its cover or title page marked with the words "a Technical Report prepared by AIIM and registered with ANSI". The date of registration will also be included on the cover of the published technical report. A unique identifier will also be on the cover or title page which includes AIIM TR XX. The Foreword of the Technical Report will comply with the requirements of ANSI. Technical Reports registered with ANSI will be made available within 3 months after registration but not more than 6 months.

AIIM will publish those technical reports that have been registered with the American National Standards Institute.

12 Patent Procedures

If AIIM receives notice that a proposed or approved American National Standard may require the use of a patented invention, AIIM will comply with the ANSI patent procedure as specified in the ANSI Essential Requirements: Due Process Requirements for American National Standards.

13 Commercial terms and conditions

AIIM will comply with ANSI's Commercial Terms and Conditions policy and procedure as specified in the ANSI Essential Requirements: Due Process Requirements for American National Standards.

14 Maintenance of Standards, Recommend Practice and Technical Reports

14.1 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.

A PINS form is submitted to ANSI when the committee decides to revise a Standard. 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. Any Technical Report not reaffirmed, revised or withdrawn in 10 years is automatically withdrawn.

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.

14.2 Document Revision

When a document revision has been recommended, the procedures for flow of development are followed. (See Section 19).

14.3 Document Reaffirmation

An ANSI/AIIM Standard or Standard Recommended Practice is reviewed as noted. 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 or on AIIM's Community

platform;

- (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.
- (7) Reaffirmed standards or standard recommended practices may be identified by:
 - Republished with a designation that includes (R201X), i.e., the year of reaffirmation or,
 - Insert with reaffirmation notice that accompanies the standard, or
 - Notation on or in the document

An ANSI/AIIM Technical Report is reviewed as noted. 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.

14.4 Document Withdrawal

An ANSI/AIIM document is reviewed as noted. 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.

A standard, standard recommended practice or technical report may be withdrawn if the standard has not been revised or reaffirmed within five years following approval.

A standards project may be abandoned by a standards committee provided a written justification for abandoning the project is made available to AIIM Staff and documented in the committee's meeting minutes where the decision was made.

14.5 Standards Project Discontinuance

As an accredited standards developer, AIIM may abandon the processing of a proposed new or revised American National Standard or portion thereof. A written justification for such an action will be made available upon receipt of any written request. AIIM will contact ANSI via email when a project is abandoned so that the PINS form may be cancelled.

15 Appeals Procedure

15.1 General

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 of 15 days); appeals of inaction may be made at any time. 153.2 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.

15.3 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.

15.4 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.

15.5 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.

15.6 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.

15.7 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.

15.8 Decision

The appeals panel shall render its decision in writing within thirty (30) 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.

The appeals panel will provide the appellant with a written copy of the appeals panel decision at the time the decision is rendered.

16 Interpretations

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. Written requests (including email) 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. 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 in writing (including email) 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 that 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 committee discussion of the request, a technical response will be drafted by the committee. The technical response will be approved by a formal motion of the committee and approved by the members in attendance. The result and response will be documented in the committee meeting minutes and circulated to the committee with a request that those committee members not in attendance at the meeting may comment on the request response within 5 business days of the meeting. This committee motion must be approved by at least two-thirds of the committee, taken on a roll-call (recorded) vote. If the request response results in a revision to the standard or recommended practice, the change will be submitted to AIIM Standards for review and processing.
- (6) The committee Chairperson expeditiously returns in writing (including email) 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 that 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 -- Forwards a written 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 written copy to the originator. The Standards Staff publishes the interpretation to the general public through an AIIM or industry publication and on AIIM's Community platform.

17 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.

18 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.

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.

Annex A

Committee Scopes

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).

TERMINOLOGY

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

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.

ELECTRONIC IMAGING

Responsible for all aspects 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.

DOCUMENT MANAGEMENT TECHNOLOGIES

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

DIQP, Digital Image Quality and Preservation

Responsible for aspects of preserving and repurposing digital information.

GUIDELINES

Responsible for developing and maintaining the AIIM Recommended Practice ARP1 (Analysis, Selection, and Implementation Guidelines Associated with Electronic Document Management Systems (EDMS)).

PDF /ARCHIVE

Responsible for specifying the PDF tags for the archival or long-term preservation of electronic documents.

PDF/Engineering

Responsible for specifying the PDF tags for creating, viewing, and printing documents used in engineering workflows.

PDF/Universal Accessibility

Responsible for the development and maintenance of guidelines for creating accessible PDF files.

PDF Healthcare

Responsible for the development and maintenance of "Best Practices Guide" describing attributes of PDF to facilitate the capture, exchange, preservation and protection of healthcare information.

PDF Reference

Responsible for the development and maintenance of the PDF standard and representing the U.S. at International meetings.

StratML

Responsible for the development and maintenance of an XML vocabulary and schema for strategic and performance plans and reports.

Knowledge Management

(Betsy to insert from KM committee)

ANNEX B: Procedure for AIIM Recommended Practice (ARP)

INFORMATIVE

B1. Purpose

An AIIM ARP is a guideline document created to establish technical concepts or provide a best practice that is not initially intended for the ANSI or ISO program of work.

B2. Principles of Operation

The drafting committees should work principally by electronic means, hopefully utilizing an AIIM listserv or a workflow approach.

Members of the drafting committees do not have to be members of an AIIM standards committee or an AIIM member.

After the approval process is completed, the resulting standards or procedures should be published electronically and be available on the web for free distribution. Comments for future revision should be invited.

AIIM will own copyright on the standards.

B3. Standards Drafting and Approval Process

1. An organizer proposes to open a standardization project to the AIIM Standards Board. The organizer can be self-selected, but should generally be affiliated in some way with AIIM.
2. The project statement must contain a brief description and purpose of the project (charter), the timetable, and any exceptional production cost or logistics issues.
3. The project statement also must contain the name of the proposed chair and at least 5 members from different organizations. The project members preferably include both supplier/manufacturer/vendors and users. The project statement is circulated to the Standards Board. Board members, through the Secretariat, should respond within 30 days. The Standards Board and Secretariat checks for any project overlap with authorized (active) standards committee projects as part of the review process. Standards committee subject area overlap is not relevant. If there is any overlap or expertise from a standards committee available, the Chair and/or membership of that committee should be notified of the work at the time the WG is formed.
4. Upon the agreement of the Standards Board, a Working Group (WG) is formed and a number is assigned to the work item. The WG has an open membership. The Work statement (proposal) is posted on the AIIM web site. There will be a 30 day comment period. The WG may revise the charter taking into account any comments it receives. Comments may be submitted by any individual registering on the mailing list.
5. The WG shall make its decisions by consensus. Discussions should continue until consensus

agreement has been reached on all substantive issues. When the WG Chair determines that consensus has been reached, the chair should issue a last call for comments with a 15 day comment period. An attempt to reach consensus should be made at this point. If an issue remains on which consensus cannot be reached, the draft standard may be sent to the Standards Board for approval accompanied by a statement on the unresolved issue. The Standards Board shall determine whether the unresolved issue is of sufficient import to require the WG to continue its work on the draft, or whether the draft may be approved without resolving that particular issue.

6. The WG will produce drafts of the proposed standard. Drafts will be posted on the AIIM web site. Primary discussion and progress of the work will be by means of the mailing list (listserver). The chair may optionally call for a physical meeting during one of the AIIM Standards week, but consensus should be established via the mailing list.
7. After a draft is available that has the consensus of the drafting committee, the proposal should be circulated to committee chairs with technical competence in the subject area for their comments. These Chairs may query their committee or other individuals with the appropriate expertise. Response from the C-committee chairs should be within 15 days. If there is no response, then the WG chair should consider the lack of response as a positive vote and proceed. The Standards Board should be made aware of any standards committee comments or lack thereof.
8. The project WG will consider ballot comments and take action
9. After the above process reaches consensus the draft will be circulated to the Standards Board. The Standards Board ballots should be returned in 15 days. The results of the approval process should accompany the submission. The Standards Board will consider the merit of the draft standard and results of balloting. It either approves the draft for publication as an AIIM standard or returns it to the drafting WG.
10. The document editor (WG chair or other designated WG member) will ensure that the document is in the format specified by the Standards Board. The Standards Secretariat will provide a template and assistance required for formatting. Publication is accomplished by posting on the AIIM web site in a suitable format (WW7, RTF or PDF). Retrieval is at no charge.
11. After a project draft is approved as an AIIM Standard (ARP) the WG is disbanded. An AIIM standards committee or the TAG may decide to “adopt” the AIIM ARP and further process it to national or international status
12. An AIIM ARP should be valid for a 4 year period. The AIIM Secretariat will circulate to the Standards Board a proposal for reaffirmation, revision or withdrawal of the AIIM Standard six months prior to its 4 year anniversary. The same proposal will also be circulated to the members of the originating working group and/or other related industry groups as necessary to determine market and technical relevancy. A new WG will be formed to review the comments received as a result of the proposal of the standard for reaffirmation, revision or withdrawal. In the case where an AIIM ARP has been adopted by a standards committee, the standards committee shall be responsible for revisions.

Annex C

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.

Consensus Body

The group that approves the content of a standard and whose vote demonstrates evidence of consensus.

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.

Proxy

A written and signed document by which a voting member authorizes another person to vote in the member's stead.

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.