

NISO Operating Procedures

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Pending ANSI Review

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1 NISO Membership and Program Structure

1.1 NISO Program Structure

- 1.1.1 NISO recognizes that it needs a flexible membership and program structure to represent the needs of its diverse communities and members. The NISO Bylaws define who may become a NISO member and the process of becoming a member. These operating procedures define how NISO members and others participate within NISO and the committee structure that NISO uses to manage its standards program and to develop its standards.
- 1.1.2 The NISO Board of Directors is responsible for defining the NISO standards program structure. The Board works through the program structure of an Architecture Committee, Topic Committees, and Working Groups, as illustrated in Figure 1, to direct NISO's standards programs and the development of and maintenance of specific standards.
- 1.1.3 The responsibilities of the Board of Directors are described in NISO's Bylaws. The Architecture Committee (see Section 1.3) and Topic Committees (see Section 1.4) share the responsibility of managing NISO's standards program. These leadership committees report to the Board. Working Groups (see Section 1.5) are appointed to accomplish particular tasks. They report to either the Architecture Committee or a Topic Committee.

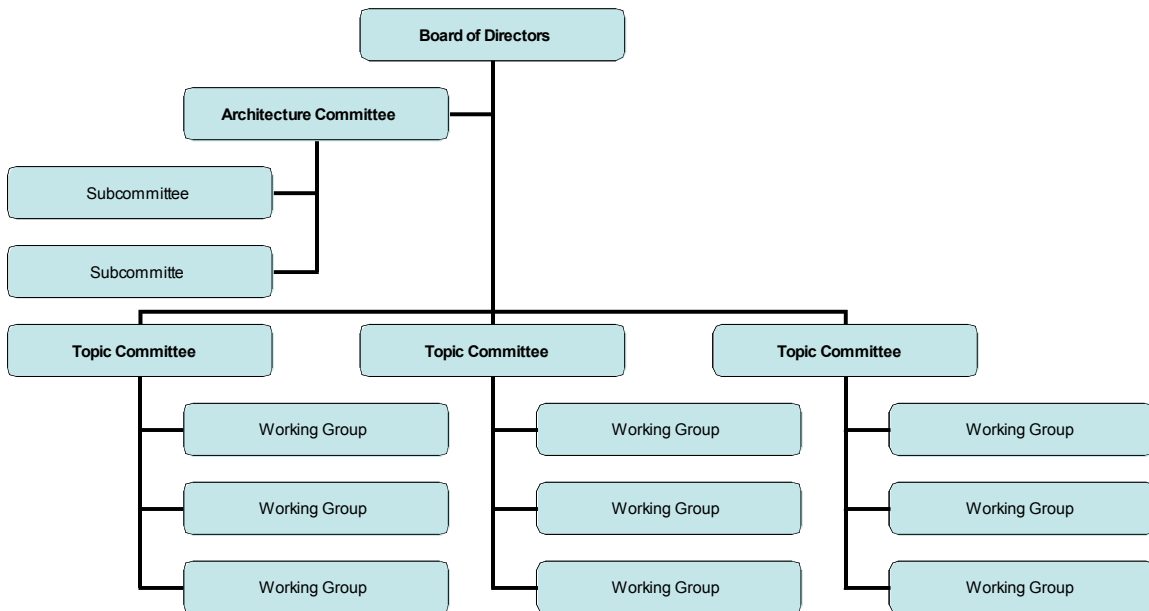


Figure 1: NISO's program structure

1.2 Principles and Practices

- 1.2.1 NISO will always seek to achieve a balance of interests and organization types in its membership. The criterion for balance is that no single interest category constitutes a majority of the membership.
- 1.2.2 NISO will always seek to achieve a balance of interests and organization types when appointing Committees and Working Groups. Criteria for balance are that no single

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interest category constitutes a two-thirds majority of the membership of a committee and that each of the three interest categories described in Section 1.2.3 be represented.

- 1.2.3 NISO uses the interest categories of producer, user, and general interest in balancing its Voting Pools, committees, and Working Groups. These are defined as following:
- a. **Producer**
Members in the Producer interest category may be content or service providers. A content provider is an organization that produces intellectual content in any media for distribution or sale. A content provider generally will own the intellectual rights (or in the case of a reseller, the resale rights) to the content and the right to license the content to service providers or end users. Examples: Publisher, A&I organization, content aggregator, industry or trade organization that represents content providers. A service provider is an organization that offers products (other than content), technology (hardware or software), or services that relate to, use, or incorporate NISO standards or recommendations. Examples: ILS vendor, metasearch software vendor, application service provider, industry or trade organization that represents service providers, seller of library supplies and materials (other than content), a consultant that recommends products or services.
 - b. **User**
The user or consumer of products, systems, or services that relate to, use, or incorporate NISO standards or recommendations. The user may be an intermediary between the product/service and the ultimate end user, e.g., a library. Examples: Libraries, library consortia, professional organizations that represent users,
 - c. **General Interest**
An organization that on its own encompasses two or more of the above categories or includes a membership of diverse interests. Examples: a professional or trade organization that represents both content/service providers and users; a company that provides both content and services (that are both related to the standard in question); a government agency with dual roles as a content provider and user.

1.3 Architecture Committee

1.3.1 Description

The Architecture Committee directs NISO's standards work at a strategic level.

1.3.2 Responsibilities

- **Strategic Planning:**
The Architecture Committee develops and maintains the NISO Strategic Framework. The Strategic Framework document helps shape the scope, content, and priorities of NISO's programs. As part of this work, the Architecture Committee is responsible for obtaining appropriate input from the NISO membership, the community it serves, and from other external organizations and experts.
- **Directing the Standards Program:**
 - The Architecture Committee uses the Framework to identify strategically important areas of work for NISO. When appropriate, it recommends that the Board create Topic Committees and to manage work in a specific area. This recommendation includes a suggested charter and scope of work. The Architecture Committee also recommends that the Board dissolve a Topic Committee if that area is no longer of sufficient strategic interest to NISO.

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- The Architecture Committee oversees the work of the Topic Committees and ensures the integration of the programs managed by the Topic Committees. The Architecture Committee may also establish its own Working Groups to accomplish its work.
- The Architecture Committee manages changes to the NISO Operating Procedures following procedures described in Section 10.

1.3.3 Establishment

The Architecture Committee is a committee of the Board.

1.3.4 Composition

The Architecture Committee has a minimum of ten (10) members and a maximum of sixteen (16) members, including Topic Committee Chairs, which are ex-officio members of the Architecture Committee. The Architecture Committee composition shall consist of a simple majority of Voting Members or member affiliates.

The Board Chair appoints the Chair or Co-chairs with the advice of the NISO Managing Director and with the approval of the Board. The Board Chair also appoints all members with the advice of the NISO Managing Director and the Architecture Committee Chair, and with the approval of the Board.

The Managing Director may appoint interim members to Architecture Committee if positions become vacant, pending final Board approval at the next regularly scheduled Board meeting.

1.3.5 Term of Membership

Chairs serve a two-year term as chair. Chairs may serve an additional two-year term as chair.

All other committee members serve staggered three-year terms. The Board Chair may make initial appointments and interim appointments for less than three years to retain staggered terms. Members may serve an additional term.

1.4 Topic Committees

1.4.1 Description

Topic Committees manage a discrete area of standards work.

1.4.2 Responsibilities

- **Topic Area Plans:**
Each Topic Committee works with the community it serves to develop and maintain the plans necessary to sustain an active standards program for its area. This may include a research and learning plan, a standards development plan, and an implementation plan for its area of work. It then manages the work necessary to carry out those plans.
- **Standards Development:**
Topic Committees may establish Working Groups to develop a NISO standard or to accomplish some other piece of work. The Topic Committee monitors the progress of all Working Groups it establishes to ensure work is progressing according to plan.

Topic Committees may convene meetings to advance understanding in the area that they manage or to explore need for further standards development.

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- **Managing Approval Process:**
A Topic Committee approves moving final Working Group documents developed under its direction to ballot. It may also approve the publication of a Working Group's deliverable as another type of NISO document.
- **Maintenance Agencies:**
Topic Committees identify and recommend the selection of Maintenance Agencies or Standing Committees for standards within their area, and monitor the work of the appointed Maintenance Agencies and Standing Committees.

1.4.3 Establishment

The Board of Directors establishes Topic Committees based on the recommendation and charters provided by the Architecture Committee.

Topic Committees may be merged, divided, or dissolved at the discretion of the Board and with the recommendation of the Architecture Committee

1.4.4 Composition

Topic committees will have a minimum of five (5) members and a maximum of twelve (12) members. Topic Committee composition shall consist of a simple majority of Voting Members or member affiliates.

The Board Chair appoints Topic Committee Chairs with the advice of the Managing Director and the Architecture Committee Chair, and with the approval of the Board.

The Board Chair appoints all Topic Committee members with the advice of the Managing Director, the Architecture Committee Chair, and the Topic Committee Chair, and with the approval of the Board.

The Managing Director may appoint interim members to Topic Committees if positions become vacant, pending final Board approval at the next regularly scheduled Board meeting.

1.4.5 Term of Membership

Chairs serve a two-year term as chair. Chairs may serve an additional two-year term as Chair.

All other committee members serve staggered three-year terms. The Board Chair may make initial appointments and interim appointments for less than three years to retain staggered terms. Members may serve an additional three-year term.

1.5 Working Groups

1.5.1 Description

Working groups are convened to accomplish a specific mission or task with designated deliverables, milestones, and timeframes. Section 4 on Standards Development defines the processes used to develop a NISO standard. Topic Committees may also establish Working Groups to represent NISO's constituency interests in standards being developed outside NISO, to investigate a new area of work, or to accomplish another task associated with the work of the Topic Committee.

1.5.2 Responsibilities

- The Working Group establishes a work plan and budget to accomplish its mission or task. This must include a plan for gathering appropriate input from the membership and the community.

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- The Working Group provides quarterly reports to its parent committee(s) on its progress.
- The Working Group uses the NISO website to provide access to the current work plan, committee minutes, and working documents available for public comment. The work plan, approved committee minutes, and reviewed working documents must be available on the web site for public review.
- The Working Group works with the NISO Office to keep the membership and community aware of its progress.
- The Working Group reviews all comments made from the NISO membership and any public comments received from ANSI Public Review on all its work.
- The Working Group recommends that it be disbanded when its work is complete, if it determines that it cannot complete its work in a timely fashion, or if it determines that its work no longer fits NISO's standards program. In the case of discontinuance of a standards project, a written justification for such an action shall be sent to the Topic Committee and NISO Office so that, upon receipt of any written request received by the NISO Office within sixty (60) days of the date of the final action, said justification will be made available to the requestor.

1.5.3 Establishment

The Architecture Committee and Topic Committees establish Working Groups as needed. The chartering committee provides an initial charter that is structured so that the Working Group can complete its work within six to eighteen months. The Working Group may suggest an alternative charter after it completes its initial review of the charter if it determines that the work cannot be accomplished within the timeframe.

Two or more Topic Committees may co-charter a Working Group if the Working Group's mission crosses the work areas of multiple Topic Committees. Topic Committees may also charter multiple Working Groups to address different aspects of an issue.

The parent Topic Committee may disband a Working Group if the Topic Committee decides the work is no longer relevant to NISO standards program or if the Working Group fails to meet the timeframes laid out in its charge.

1.5.4 Composition

Working Groups have a minimum of three (3) members representatives or affiliates.

The Topic Committee appoints the Working Group Chair or Co-chair for the duration of the specific charter of the Working Group.

The Working Group Chair conducts a "call for members," works with the Topic Committee and the NISO Office to identify qualified committee members, and obtains Topic Committee approval of the final committee roster. The Topic Committee may appoint additional members later at the request of the Working Group Chair.

The Working Group Chair and the Topic Committee will include representation from those constituencies directly and materially affected by the action of the Working Group. Voting members may nominate qualified candidates. The committee may include members from outside the NISO Voting Membership.

The Managing Director may appoint interim members to Working Groups if positions become vacant, pending final Topic Committee approval at the next regularly scheduled Topic Committee meeting.

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2 Managing NISO Committees

2.1 Open Process

NISO intends these procedures to provide an open process that allows its members and the communities they support to have confidence in NISO standards.

2.2 Applicability

Except where noted, these procedures apply to all NISO committees: the Architecture Committee, Topic Committees, Working Groups, and Voting Pools.

2.3 Conduct of Committee Members

- 2.3.1 The Committee or Working Group Chair is responsible for encouraging committee members to approach committee work in a collegial rather than adversarial fashion.
- 2.3.2 Members of all committees and Working Groups must sign and file the current set of agreements developed by the NISO Office clarifying their responsibilities and obligations as committee members within ninety (90) days of appointment. Failure to do so is grounds for dismissal from the committee. Violation of the terms of the agreements is also grounds for dismissal.
- 2.3.3 Members must attend meetings on a regular basis and contribute to the work of the committee. Failure to attend more than three consecutive meetings, failure to accept or complete assignments, and/or disruptive behavior are grounds for dismissal.
- 2.3.4 The Committee or Working Group Chair may ask the body responsible for appointing the group to dismiss a member for any of the grounds listed in Section 2.3.3. Before doing so, the Chair must work with the member to correct the problem. The Chair may ask the NISO Office to provide assistance in working with the member. If these efforts fail to resolve the problem, the Chair must notify the member in writing of specific reasons for seeking dismissal. The member has thirty (30) days to correct the situation.
- 2.3.5 The member may present a challenge to the dismissal to the appointing body.

2.4 Committee Business

- 2.4.1 NISO committees may use face-to-face meetings, telephone conference calls, and a variety of electronic tools to conduct business.
- 2.4.2 The NISO Office provides facilities for a website for the internal use of the committee and for public access to the committee's work.

2.5 Keeping Minutes

- 2.5.1 Committees must keep accurate, concise, and complete minutes of all meetings.
- 2.5.2 Minutes must include: a list of meeting participants, subjects discussed, actions taken, work assignments and deadlines, and results of recorded votes.
- 2.5.3 The Chair may appoint a Secretary or rotate the responsibility for minutes among the members.
- 2.5.4 The Secretary circulates the minutes to members and posts them to the Committee or Working Group website. The secretary posts them to the public website when approved by the committee.

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- 2.5.5 NISO may provide a consultant(s) to support the committee. This person may take minutes or prepare other documents. This person is not a member of the committee and may not participate in formal votes.

2.6 Formal Votes

- 2.6.1 The Committee Chair must take a formal vote as required in other sections of these procedures. Votes are recorded with only the number of votes cast for each position unless a member specifically asks to have his/her position recorded.
- 2.6.2 Unless the procedures call for a larger majority, all actions are approved by a simple majority of those voting.
- 2.6.3 Votes may be taken during a face-to-face meeting, a conference call, or via e-mail or other electronic means. Any votes taken by electronically must include a notice of the timeframe for the vote.
- 2.6.4 All votes must be made a part of the public record of the committee or Working Group.

2.7 Working Group Observers

- 2.7.1 A representative of a NISO Voting Member or another organization that has an expertise in the work of a NISO Working Group or that has a responsibility to monitor the work of that Working Group may ask to observe the work of a particular Working Group.
- 2.7.2 The representative must submit the request in writing to the NISO Office. The NISO Office confirms the observer and informs the Working Group Chair.
- 2.7.3 The Working Group Chair will include the observer in the distribution of meeting announcements and agendas, meeting minutes and reports, and draft documents.
- 2.7.4 Observers may attend meetings and conference calls. NISO encourages observers to comment on draft documents.
- 2.7.5 Observers may not vote on Working Group issues.
- 2.7.6 Observers are bound by the rules of conduct outlined in Section 2.3

3 NISO Standards Covered by These Procedures

3.1 Consensus Continuum

NISO develops standards and guidelines along a continuum of consensus. These procedures describe the procedures for developing documents with the highest level of consensus: ANSI/NISO Standards.

NISO maintains separate procedures for documents with lower levels of consensus.

3.2 Description of ANSI/NISO Standards

An ANSI/NISO Standard describes methods, materials, or practices with clear guidance on conformance. The standard identifies normative elements that must be followed to claim conformance. It may also identify non-normative elements that are discretionary.

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4 Developing ANSI/NISO Standards

4.1 Identifying the Need for a Standard

NISO recognizes that it may need multiple approaches to identify the need for a standard. These include the following.

- 4.1.1 NISO Topic Committees identify new areas of work as part of their regular portfolio plans.
- 4.1.2 Any individual or group may submit a suggested work item using the form available on the NISO website.
- 4.1.3 An existing group or initiative may request that NISO accept it as a NISO Working Group. The group must agree that it will follow NISO procedures and that it is open to including appropriate representatives to ensure a balance of interests.
- 4.1.4 Another standards body may request that NISO adopt an existing standard as a NISO standard. That body must agree to make the standard available as a NISO standard and following NISO's Operating Procedures for approval and maintenance.
- 4.1.5 The NISO Office is responsible for processing of requests or proposals from outside NISO's committee structure. It routes the requests to the appropriate Committee for review and monitors the request to ensure an appropriate response is made within ninety (90) days.

4.2 Establishing NISO Work Items and Working Groups

- 4.2.1 Topic Committees are responsible for preparing initial work items and proposing them to the NISO members.
- 4.2.2 A Committee may propose a work item if it determines that:
 - 1. the item is of sufficient value to warrant NISO's investment;
 - 2. it fits within NISO's standards program as defined by the NISO Framework;
 - 3. the standard is feasible from technical, economic, and political viewpoints,
 - 4. no conflicts exists with other standards inside or outside NISO; and
 - 5. a working draft can be completed within eighteen months.
- 4.2.3 The proposed work item includes a Working Group charter, a description of the proposed standard, a suggested timeframe for development, and a description of related standards.
- 4.2.4 The NISO Office circulates notice of the proposed work item to all NISO Voting Members. Members have thirty (30) days to vote to express interest in the work item. Members who express interest in the work item are automatically added to the Voting Pool (see Section 5.1) for any action that results from this work item. Voting Pool participation does not imply or prohibit participation in the Working Group. NISO will also announce the proposed work item in suitable media to alert interested parties outside the NISO membership.
- 4.2.5 Members may also nominate a representative to the Working Group.
- 4.2.6 If ten percent (10%) or more of the NISO Voting Members express interest in the work item, it can move forward. If the work item is approved, the NISO Office notifies ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for announcement in *Standards Action*. A member can opt into a Voting Pool at any time until ballot, and a 15% or higher member pool must be established at the time of ballot (see Section 5.2.2).

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- 4.2.7 If the NISO Office receives written comments within 30 days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, the NISO Office, in conjunction with the commenter(s) will organize a deliberation of representatives from the relevant stakeholder groups shall be held within ninety (90) days from the comment deadline, and shall be concluded before a draft standard is submitted for public review. The deliberation provides the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The NISO Office and commenter(s) will jointly submit, in writing, the outcome of the deliberation to the ANSI Board of Standards Review (BSR), including, ideally, consensus on whether and how the standards development project should proceed.
- 4.2.8 The NISO Office will work with the Topic Committee Chair and the Working Group Chair to assure balanced representation on the Working Group and in the Voting Pool using interest categories (See Section 1.2). The Topic Committee must withdraw the work item if it cannot establish a balanced representation. (See Section 1.5 for description of Working Groups.)

4.3 Creating Work Plans

- 4.3.1 The Working Group completes a work plan as the first step of work.
- 4.3.2 Work plans include a charge, description of the standard or other deliverable, scope of work, work approach, timeline (including proposed completion date), and budget.
- 4.3.3 Work plan timelines typically account for data gathering, development of initial draft, review of draft, trial use, ballot, ballot review, final editorial work, and the development of implementation and marketing plans.
- 4.3.4 Work should be scoped to fit development of a final standard for ballot or a draft standard for trial use within eighteen (18) months.
- 4.3.5 The Topic Committee approves the work plan.
- 4.3.6 The Topic Committee, in consultation with the NISO Office, must also approve any change to the charge, scope, proposed completion date, or budget.

4.4 Data Gathering

- 4.4.1 The Working Group must develop, as part of its work plan, a process for gathering the information necessary to develop a standard. The Working Group should structure this data gathering plan so that the actual work of data gathering can fit within a three to six month window.
- 4.4.2 The data gathering approach will vary according to the type of standard and the relative maturity of standards in the area. Potential methods may include, but are not limited to:
- Examining related standards to help understand how the proposed standard might interoperate with those standards or how its use might be affected by those standards.
 - Questionnaires, surveys, or other techniques that can identify who has an interest in a standard and how they might use it.
 - Interviews that can provide in-depth information from potential users.
 - Use cases or other usage scenarios that can identify patterns of usage important to use and implementation.

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- Working prototypes that can provide a way to identify a workable approach. This is most useful when the requirements are well understood.
- 4.4.3 The committee must publish its data gathering findings in a public forum and gather feedback before preparing the draft for ballot or trial use.
- 4.4.4 After reviewing feedback, the Working Group may continue work and move to drafting the standard or recommend an alternative approach if they determine that there is insufficient support or need for a full consensus standard.

4.5 Preparing the Working Draft

- 4.5.1 The Working Group is responsible for preparing the working draft of the standard.
- 4.5.2 The NISO Office may contract with a technical writer or an editor to draft or edit the standard.
- 4.5.3 The format must conform to the NISO Style Guide and use the template provided by the NISO Office.
- 4.5.4 SI (metric) units are the preferred unit of measurement for NISO American National Standards. Measurements must be expressed in both SI units and the U.S. Customary Unit (inches, feet, etc.).

4.6 Monitoring Work

- 4.6.1 All Working Groups must submit quarterly progress reports to the Topic Committee and the Architecture Committee.
- 4.6.2 Each progress report includes a comparison of work to date with the proposed timeline. A new timeline must be submitted if there is more than a 30-day delay beyond the current work target.
- 4.6.3 Topic Committees review all Working Group reports on a quarterly basis. A Topic Committee may disband any Working Group that fails to make continuous progress toward completion.

4.7 Progressing Work

- 4.7.1 Working Groups are responsible for moving a work item to the stage where a document is ready for ballot or for release as a Draft Standard for Trial Use.
- 4.7.2 The Working Group is responsible for ensuring that the Draft Standard for Trial Use complies with the ANSI Patent Policy.
- 4.7.3 The Working Group forwards the final standard draft to the Topic Committee with a recommendation that NISO release it as a Draft Standard for Trial Use or for ballot. This action requires that the Working Group take a recorded vote and that two-thirds of the Working Group approve the proposed action. The Working Group Chair must include any dissenting votes in the report to the Topic Committee.
- 4.7.4 The Topic Committee approves the release of the standard as a Draft Standard for Trial Use (see Section 4.8) or for ballot (see Section 5). This action requires that the Topic Committee take a recorded vote and that two-thirds of the Committee approve the proposed action.

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4.8 Draft Standard for Trial Use

- 4.8.1 The Working Group is responsible for recruiting usage of the proposed standard. The Topic Committee and the NISO Office will assist in raising awareness and helping to recruit trial users.
- 4.8.2 The Working Group is responsible for developing an explicit description of the commitment sought from Trial Users.
- 4.8.3 The Working Group is responsible for monitoring usage during the trial period and actively responding to requests for information and problem reports.
- 4.8.4 The Working Group recommends the length of the Trial Use to the Topic Committee, which may be from six (6) to eighteen (18) months.
- 4.8.5 The Topic Committee must approve issuance of the standard for trial use for the specified period. This action requires that the Topic Committee take a recorded vote and that two-thirds of the Committee approve the proposed action.
- 4.8.6 The Topic Committee posts the document to the NISO website as a Trial Use standard.
- 4.8.7 At the conclusion of the Trial Use period, the Working Group reviews and reports on trial results.
- 4.8.8 The Working Group must recommend one of the following actions to the Topic Committee within sixty (60) days of end of the Trial Use period.
 - Extend the Trial Use period with the current draft.
 - Release the current draft standard for ballot.
 - Revise the standard and re-release the revision for trial use or for ballot.
 - Release the document as a lower-level consensus document, e.g., a recommended practice or technical report.
 - Withdraw the document and disband the Working Group.

5 Approving NISO Standards

5.1 Voting Pools as Consensus Body

- 5.1.1 NISO recognizes that, given the diverse nature of its membership and the breadth of its standards program, many proposals will interest only a portion of its membership. For this reason, NISO establishes separate Voting Pools as the Consensus Body for each action.
- 5.1.2 Voting pools are created at the time a new standard work item is established (see Section 4.2) or when a standard is identified for a five-year review (see Section 7.5).

5.2 Voting Pool Actions and Size

- 5.2.1 Actions affecting a NISO standard that require the approval of a duly-constituted Voting Pool include initial approval, reaffirmation, revision, or withdrawal.
- 5.2.2 Approval requires that the Voting Pool include fifteen percent (15%) or more of the NISO membership. The NISO Office will set the required number each year based on the membership as of February 1.

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5.3 Joining a Voting Pool

- 5.3.1 NISO Voting Members – Any NISO Member may join the Voting Pool for any action until the NISO Office opens the ballot (see Section 5.5.1). To join, the designated representative of the Voting Member must provide the names of the primary and alternate voting representative for this Voting Pool.
- 5.3.2 If two or more members of the Voting Pool appoint the same individual to represent them, the NISO Office will ask the organizations to acknowledge in writing that they are aware that their designated representative to this Voting Pool also represents another Voting Member.
- 5.3.3 Outside Organizations – Organizations that do not wish to join NISO as a Voting Member may also join a Voting Pool until the Voting Pool closes (see Section 5.5.1).

NISO strives for representation of each of the various constituent groups in the supply chain of information: producers, suppliers, and users. However, as many NISO Voting Members may play different roles in different situations in the process of distributing information, upon joining a Voting Pool the Voting Member shall identify themselves for the purpose of the Voting Pool in questions as one of the following groups: “Producer”, “User”, or “General Interest”. The NISO Office shall work to ensure balance representation from these three constituencies in all ballots.

The person or organization must submit a request to the NISO Office with an indication of the organization’s direct and material interest in the proposed standard or revision. The organization must include the name, e-mail address, and physical address of the representative who will be the Voting Representative in the designated Voting Pool.

The NISO Office will invoice the organization for the required fees. Fees will be consistent with those paid by NISO Voting Members. The NISO Office adds the organization to the Voting Pool when it receives the fee.

5.4 Authorizing the Ballot

- 5.4.1 The NISO Office issues a standard ballot when it receives authorization from one of the following:
- Two-thirds vote of a Topic Committee.
 - Two-thirds vote of the Architecture Committee.
 - Majority vote of the NISO Board of Directors.
 - Direction of the Managing Director.
 - Petition of five (5) or more NISO Voting Members.
- 5.4.2 The authorizing group must provide a resolution that clearly indicates the action that they wish the Voting Pool to approve and a draft of the proposed standard.

5.5 Notification of Ballot, Closing the Voting Pool and Disseminating the Ballot

- 5.5.1 Once it receives authorization, The NISO Office distributes the text of the resolution along with the proposed standard to the designated representatives of all Voting Members with the notification that they have fifteen (15) days to join the Voting Pool.
- 5.5.2 At the same time, The NISO Office will also submit the appropriate document to ANSI directing ANSI to conduct a concurrent public review of the proposed draft to run concurrently with the NISO ballot. ANSI public review may extend a) a minimum of thirty (30) days if the full text of the revision(s) can be published in ANSI’s *Standards Action*

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publication; b) a minimum of forty-five days (45) if the document is available in an electronic format, deliverable within one day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or c) a minimum of sixty days, if neither of the aforementioned options is applicable. During this public review period, any interested party may obtain a copy of the draft from the NISO Office. The NISO Office will also announce the upcoming ballot in suitable media to notify interested parties outside the voting membership of the upcoming ballot.

- 5.5.3 If at the end of the fifteen days, the Voting Pool is of insufficient size for approval (see Section 5.2), the NISO Office will notify the Committee managing the ballot that it cannot circulate the ballot.
- 5.5.4 If at the end of the fifteen (15) days, the Voting Pool is of sufficient size (see Section 5.2), the NISO Office will declare the Voting Pool closed.
- 5.5.5 Within fifteen (15) days of closing the Voting Pool, the NISO Office will distribute the text of the resolution along with the proposed standard to all designated Voting Pool representatives. This will include notice that all negative ballots must include comments and that any negative votes without comments will be recorded as “negative without comments.”

5.6 Voting Procedures

- 5.6.1 Each member of the Voting Pool has only one (1) vote.
- 5.6.2 If an individual in a Voting Pool represents two or more Voting Members (see Section 5.3.2), that individual must cast a separate vote for each organization represented.
- 5.6.3 The NISO Office will provide multiple mechanisms for casting “written” ballots, which may include but are not limited to: online forms, e-mail, fax, or paper mail. The voting representative may cast a vote by telephone to the NISO Office provided that it is cast by the closing date and is followed within three (3) business days by an official ballot by one of the approved mechanisms.
- 5.6.4 If the NISO Office receives a ballot from both the primary Voting Pool representative and the alternate, it will record the vote of the primary representative.
- 5.6.5 If the NISO Office receives two or more votes from a voting representative, it will record the last one.

5.7 Voting Positions

- 5.7.1 Voting Members must use one of the following positions when voting:
 - **Affirmative**
The Voting Member supports approval of the proposed standard without substantive change. The member may provide comments, however, acceptance of comments is not a prerequisite to the affirmative vote.
 - **Negative, with Comment**
The Voting Member does not support approval of the proposal. The member must provide reasons for a negative vote. If possible, the comments should include specific wording or actions that, if accepted, would resolve the objection and result in the vote being changed to an affirmative or abstain.

If the member casts a negative vote and fails to provide comments, the NISO Office will record the vote as “negative without comments”. The NISO Office will report the no vote as “negative without comments” when making the final submittal to ANSI.

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- Abstain, with Reasons
The Voting Member chooses not to record a voting position. Members should provide the reason(s) for abstaining. Possible reasons include but are not limited to: a perceived conflict of interest, the inability to reach internal consensus, or a lack of interest or expertise to evaluate areas addressed by the draft.

5.8 Ballot Period

- 5.8.1 The ballot extends for a minimum of thirty (30) and up to forty-five (45) days from the date the ballot is issued to the Voting Pool representatives.
- 5.8.2 The NISO Office sends a notice to all members of the Voting Pool who have not returned a ballot two weeks before the ballot closes.
- 5.8.3 If the ballot receives insufficient votes, the NISO Managing Director, the Topic Committee managing the proposed standard, or the Board of Directors may extend the ballot for up to another forty-five (45) days. The NISO Office will notify all members of the Voting Pool of the new closing date. If the ballot fails to receive sufficient votes after this period, the NISO Office will notify the Committee managing the ballot, the NISO membership, designated voting representatives for the Voting Pool, and all who commented that the ballot failed.

5.9 Openness of Ballots

- 5.9.1 Voting Members' ballot positions are part of the public record.
- 5.9.2 All comments from Voting Members and other interested parties become part of the public record unless the submitter specifically requests confidentiality at the time the comments are submitted.
- 5.9.3 All ballots and associated comments are open to review and validation by ANSI.

5.10 Ballot Reports

When any ballot closes, the NISO Office sends a ballot report and all comments including those resulting from the ANSI Public Review, to the members of the Working Group, Voting Pool representatives, Voting Members, and all members of the public who submitted comments.

5.11 Approval Requirement and Responding to Ballots

ANSI/NISO standards represent the highest level of consensus, and thus authority. For this reason, NISO requires that Working Groups respond to all comments and make serious efforts to resolve any negative votes even if the proposal has received enough votes for approval. This section defines the minimal approval level and steps required to respond to comments and to attempt to resolve negative votes before NISO publishes the standard and or forwards it to ANSI for approval.

- 5.11.1 Approval requires an affirmative vote by a majority of the members of a Voting Pool and at least two-thirds of the ballots cast of those voting, less abstentions and "negative without comments" votes.

For example: If the total Voting Pool is 70 and the final balloting result is:

- 42 affirmatives,
- 3 negatives (with comments),
- 1 negative without comments,

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- 5 abstentions,
- and 19 non-responses,

the motion is approved. The Voting Pool has a total of 51 votes (70 Voting Members – 19 non-responses). There were 42 affirmative votes, which represents a majority of the Voting Pool (42 is greater than 34.5), and which is greater than two-thirds of the number of ballots cast less abstentions and negative without comment (42 is greater than 2/3 of 45).

- 5.11.2 If the ballot fails to meet this level of approval, the NISO Office will declare that the ballot failed and return the proposed standard to the Topic Committee managing the proposal. After consulting with the Working Group, the Topic Committee may:
- Ask the Working Group to revise the proposed standard based on comments and initiate a new ballot (see Section 5.4).
 - Withdraw the work item.
 - Release the proposed standard as a lower-level or non-consensus document.
 - Issue the standard as a Draft Standard for Trial Use.
- 5.11.3 If the ballot meets this level of approval and has no negative votes, the Working Group must respond to any comments received during the ballot and from the ANSI Public Review. See Section 5.13 for procedures for responding to comments.
- 5.11.4 If the ballot meets this level of approval but receives negative votes, the Working Group must work to resolve the negative votes (see Section 5.12) in addition to responding to other comments received (see Section 5.13).
- 5.11.5 If the committee makes a substantive change to the standard as part of response to any comments or for any other reason, it must re-ballot the changed portion of the standard (see Section 5.14).
- 5.11.6 If the Working Group and managing Topic Committee wish to have only a NISO designation for the standard, the standard must meet the approval requirement and the Working Group must attempt to resolve any negative votes. The Working Group may ask the NISO Office to publish the standard as a NISO standard after the Working Group has made good faith efforts to resolve all negative votes. Both the Working Group and the managing committee must approve publishing the standard despite the negative votes.
- 5.11.7 If the Working Group and managing Topic Committee wish to pursue ANSI approval for the standard, it must meet the approval requirement and either any negative votes must be resolved (See Section 5.12) or a Reconsideration Ballot (see Section 1) must be used in the case of unresolved negative votes.

5.12 Resolving Negative Votes

- 5.12.1 The Working Group must begin action to resolve negative votes within sixty (60) days of receiving the ballot report.
- 5.12.2 The Working Group must communicate with the Voting Pool representative who cast the negative vote and must seek both to understand the objection and to negotiate a resolution. The Voting Pool representative must also be open to negotiation of a resolution.
- 5.12.3 The Working Group Chair is responsible for managing this communication. The Chair may seek the assistance of the Topic Committee Chair and the NISO Office. The Working Group Chair will present the Working Group's understanding of the objection and its initial response as the first step in the process.

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- 5.12.4 A Voting Pool representative may agree to change the vote to Affirmative or Abstain with Comments, either with no change to the text or if the Working Group and the Voting Pool representative agree to a non-substantive change to the text. Any changed votes must be made in writing.
- 5.12.5 If the Working Group and the Voting Pool representative agree to a substantive change (see Section 1), the NISO Office must issue a re-ballot along with an explanation of the reason for the change. The NISO Office must also submit a request form to ANSI directing ANSI to conduct a concurrent 60-day public review of the revised draft. During this public review period, any interested party may obtain a copy of the revised draft from the NISO Office.
- 5.12.6 If the Working Group and the Voting Pool representative cannot resolve the negative vote, the Working Group and the Topic Committee may choose to:
- Use a Reconsideration Ballot (see Section 1) to move the item forward.
 - Issue the proposed standard as a Draft Standard for Trial Use (see Section 4.8) to obtain further testing.
 - Release the proposed standard as a lower-level or non-consensus document.
 - Withdraw the standard from further consideration.

5.13 Responding to Other Comments

The Working Group must consider and respond in writing within ninety (90) days to all comments received by the close of the ballot period, including comments that result from the ANSI Public Review. Any comments submitted with a vote that are not related to the proposal under consideration are taken to the Topic Committee as a new proposal for consideration and potential action. If the Working Group makes substantive changes in response to comments (see Section 1), it must ask the Topic Committee to approve a re-ballot of the proposed standard.

5.14 Second (and Subsequent) Ballot

- 5.14.1 If the Working Group makes substantive changes to the draft document for any reason following ballot or cannot resolve all negative votes or public review comments and the managing Topic Committee agrees to proceed with the standard, the NISO Office issues a subsequent or reconsideration ballot.
- 5.14.2 The Chair of the managing Topic Committee is responsible for deciding if a change is substantive or editorial.

A substantive change is any change in a proposed standard that directly or materially affects those who will use the standard or guideline. Substantive changes include:

1. Changing a requirement level, such as “may” to “must” or “must” to “should”.
2. Adding or deleting text that materially affects the meaning.
3. Changing any of the technical content or requirements.

An editorial change is immaterial to the use of the standard. This includes changes such as correcting typographical errors and misspellings, or changing and adding wording or examples to clarify the meaning.

- 5.14.3 The NISO Office will structure the ballot so that voting addresses only those sections of the proposed standard that are revised or new. In the case of unresolved negative votes or public review comments, the NISO Office issues the reconsideration ballot along with

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the unresolved negative vote(s) and associated comments to the members of the original Voting Pool.

- 5.14.4 The NISO Office asks all members of the Voting Pool if they wish to change their vote based on the revised or new content or the negative vote(s).
 - 5.14.4.1 Concurrently, the NISO Office provides in writing information on the appeals process to all representatives who cast a negative vote on the previous ballot and to all those who commented.
- 5.14.5 Voting members have thirty (30) days to change their vote.
- 5.14.6 If Voting Members change any votes to negative but the proposal retains enough votes for approval as defined in Section 5.11, the NISO Office will refer the ballot to the Chair of the managing Topic Committee. After optional consultation with members of the Topic Committee and Working Group, the Chair may decide to:
 - Issue the standard despite the negative vote(s). Any votes that have been changed to negative will be alerted in writing of the right to appeal and requirements regarding alerting the NISO Office of the intent to appeal (see Section 8).
 - Issue the standard as a Draft Standard for Trial Use.
 - Release the proposed standard as a lower level or non-consensus document.
 - Withdraw the work item.
- 5.14.7 If the approval requirements in Section 5.11 have been met, the NISO Office will proceed with ANSI approval and publication of the standard.
 - 5.14.7.1 Concurrently, the NISO Office notifies representative(s) who cast original, unresolved negative vote(s) of NISO's intention to proceed with ANSI approval and publication of the standard.
 - 5.14.7.2 Concurrently, the NISO Office will also notify in writing all those with unresolved negative votes and all who submitted public review comments that are unresolved of the right of appeal and requirements regarding alerting the NISO Office of the intent to appeal (see Section 8.1.3).

6 Securing ANSI Approval and Publishing NISO Standards

6.1 ANSI Approval and Publishing

- 6.1.1 Once the membership has approved a standard, the NISO Office submits an ANSI BSR-9 Formal Submittal for Approval/Withdrawal as an American National Standard form to the ANSI Board of Standards review, along with required documentation.
- 6.1.2 Prior to ANSI approval, NISO may publish a pre-approval version of the standard. The standard will not include the ANSI designation and will be clearly marked as "NISO approved; ANSI approval pending."
- 6.1.3 The NISO Office publishes approved ANSI standards within three (3) months of ANSI approval.

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7 Maintaining NISO Standards and Guidelines

7.1 NISO Responsibility

- 7.1.1 After a standard is approved as an ANSI/NISO American National Standard, NISO assumes the responsibility for its maintenance.
- 7.1.2 NISO maintains all ANSI/NISO standards in accordance with ANSI maintenance options (see Section 7.5).

7.2 Maintenance Agencies/Standing Committees

- 7.2.1 A Maintenance Agency or a Standing Committee may be appointed by the Board at the recommendation of the managing Topic Committee for standards that require ongoing maintenance activities.
- 7.2.2 A Maintenance Agency is appropriate if the standard requires a registration process or other supporting infrastructure that NISO cannot provide. Procedures for appointing a Maintenance Agency are provided in the National Information Standards Organization (Z39) Policy Governing Maintenance Agencies.
- 7.2.3 The Maintenance Agency must agree in writing to abide by the National Information Standards Organization (Z39) Policy Governing Maintenance Agencies.
- 7.2.4 Maintenance Agencies and Standing Committees report to a Topic Committee or to the Architecture Committee if there is no appropriate Topic Committee.

7.3 Requests for Change, Clarification, or Interpretation

- 7.3.1 Any interested party may request a change, clarification, or interpretation from the NISO Office. The NISO Office will route the request to the appropriate committee or Maintenance Agency and ensure that the request receives a timely response.

7.3.2 Responsibility for Response

Maintenance Agencies and Standing Committees handle requests for those standards that they manage.

Topic Committees handle requests for standards that they manage that have no appointed Maintenance Agency or Standing Committee. The Topic Committee may appoint an individual or a Working Group to review and respond.

The NISO Office manages all other requests. The NISO Office may appoint an individual or an existing committee to review and respond.

7.4 Issuing Responses

7.4.1 Clarification or Interpretations

If the response takes the form of a clarification or an interpretation, the Maintenance Agency, Standing Committee, or Topic Committee issues a response to the requester. If the clarification or interpretation is felt to be of general interest, it may be published on the NISO or Maintenance Agency website. Responses submitted in writing will be responded to in writing.

7.4.2 Defects or Other Changes

If the response indicates an error, omission, or defect in the standard, the response may take the form of a defect report, a proposal for an addendum, or a revision review of the standard. The Maintenance Agency, Standing Committee, or Topic Committee publishes

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defect reports on the Maintenance Agency or NISO website and notifies the requester that a response is available.

7.4.3 Revision

If the response indicates the need for a significant revision, the Topic Committee, Maintenance Agency, or Standing Committee may choose to:

- Recommend a standard revision process is initiated immediately.
- Save the change(s) for a revision at the time the standard is due for its next regular review or when a sufficient number of changes warrants a revision, whichever occurs sooner.

7.5 Periodic Review and Maintenance

- 7.5.1 NISO recognizes that its standards require regular review to remain effective. For ANSI/NISO standards this review is done in accordance to ANSI requirements for maintenance. For those ANSI/NISO standards under periodic maintenance, this must be completed not later than five (5) years after the ANSI approval date.
- 7.5.2 NISO manages reviews on a yearly cycle. In January of each year, the NISO Office assembles a list of standards up for review in the coming year.
- 7.5.3 The NISO Office notifies all Voting Members that it is forming Voting Pools for standards due for regular review. Members have forty-five (45) days to join the Voting Pool(s).
- 7.5.4 If for any standard less than ten percent (10%) of the Voting Members join the initial Voting Pool for review within forty-five (45) days, the Board may initiate procedures for an administrative withdrawal (see Section 7.6).
- 7.5.5 If ten percent (10%) or more of the membership joins the Voting Pool, the NISO Office asks the Maintenance Agency or Standing Committee for the standard (if one exists) or the Architecture Committee or a Topic Committee to manage the review, including preparing a recommendation for action. The Architecture or Topic Committee may appoint a Working Group to manage the review.
- 7.5.6 All review ballots must include a recommended action. The NISO Office issues a review ballot once it receives a recommended action from the group managing the review. If group fails to develop a recommended action by November 1st, the NISO Office will issue the review ballot with the recommended action of Reaffirm.
- 7.5.7 Recommended actions for a review ballot are:
- Reaffirm with no change.
 - Revise using revised version presented.
The ballot will include full text of the new revised version.
 - Revise.
The ballot includes a list of areas where revision is recommended. If approved, NISO will appoint a Working Group to develop the revised standard. The current version remains in effect until a revised version is approved.
 - Withdraw.
If this action is approved, the standard will be removed from the list of approved NISO standards. The standard will remain available as a withdrawn standard for five (5) years.
- 7.5.8 Balloting is done following the procedures in Section 5.

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7.6 Administrative Withdrawal

- 7.6.1 The Board may initiate an administrative withdrawal of a standard if it fails to receive a sufficient number of Voting Members joining the Voting Pool during a regular review (see Section 7.5).
- 7.6.2 The Board will notify ANSI and the Voting Members of the intent to administratively withdraw a standard due to insufficient use and interest.
- 7.6.3 Public review and comment on the proposed withdrawal will be conducted for a period of forty-five (45) days.
- 7.6.4 Following the public review period, the Board may choose to:
 - 1. Initiate a ballot for reaffirmation if sufficient use and interest has been shown.
 - 2. Refer the standard to the relevant Topic Committee to develop a revision if comments indicate one is warranted.
 - 3. Withdraw the standard with a two-thirds approval vote by the Board.
- 7.6.5 If the Board cannot agree on an action, the NISO Office will include the standard on the reaffirmation list in the next year.

8 The Appeals Process

8.1 Appeals to NISO

- 8.1.1 People or organizations with directly and materially affected interests who believe they have been or will be adversely affected by a consensus document within the jurisdiction of NISO, or by the lack thereof, have the right to appeal technical or procedural actions or inactions of NISO.
- 8.1.2 Final release of the standard that is the subject of the appeal is suspended until the appeals process is concluded.
- 8.1.3 Following a subsequent or reconsideration ballot (see Section 5.14) the NISO Office will notify in writing all those with unresolved negative votes and all who submitted unresolved public review comments of the right of appeal and requirements regarding alerting the NISO Office of the intent to appeal. All appellants have ten (10) days from the moment of notification of the right to appeal to in turn notify the NISO Office in writing (including electronic communications) of an intent to file an appeal.
- 8.1.4 The appellant must send a written complaint to the NISO Office within thirty (30) days after the date of notification of action or at any time with respect to inaction.
- 8.1.5 The appeal must state the nature of the objection(s), including any adverse effects; the section(s) of these procedures or the consensus document at issue; actions or inactions at issue; and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each must be noted.

8.2 NISO Response

The Chair of the NISO Board of Directors or designated representative must respond in writing (including electronic communications) to the appellant within thirty (30) days of receiving the written complaint, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

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8.3 Hearing

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, the Managing Director will schedule a hearing with an appeals panel (see Section 8.4) on a date agreeable to all participants, giving at least ten (10) working days notice.

8.4 Appeals Panel

The appeals panel must consist of three (3) individuals who have not been directly involved in the same matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute. At least two (2) members of the appeals panel must be acceptable to the appellant and at least two (2) must be acceptable to the respondent. The appeals panel selects one (1) of its members to act as Chair.

8.5 Conduct of Hearing

The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and/or the efficacy of the requested remedial action. The respondent has the burden of demonstrating that NISO took all actions in compliance with these procedures and/or that the requested remedial action would be ineffective or detrimental. Each party may present other pertinent arguments. Members of the appeals panel may address questions to individuals.

8.6 Decision of the Appeals Panel

- 8.6.1 The appeals panel must render its decision in writing within thirty (30) days of the hearing, stating findings of fact and conclusions, with reasons for the conclusions.
- 8.6.2 The appeals panel may consider the following positions, among others, in formulating the decision:
 - 1. Finding for the appellant, remanding the action to NISO with a specific statement of the issues and facts in regard to which fair and equitable action was not taken.
 - 2. Finding for the NISO respondent, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant's objection.
 - 3. Finding that new, substantive evidence has been introduced, and remanding the entire action to NISO for appropriate consideration.

8.7 Further Appeal to ANSI

If the appellant gives notice that further appeal to ANSI is intended, the NISO Office submits a full record of the complaint, response, hearing, and decision to ANSI.

9 NISO Archives and Records Retention

The NISO Office maintains documentation on the development of all NISO Standards, including committee records, correspondence, and meeting minutes, in the NISO Office and at the designated offsite NISO archives. These records are kept in compliance with ANSI's evidence of compliance policy in clause 3.3 of ANSI Essential Requirements.

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10 Patent and Commercial Terms & Conditions Policies

NISO Standards are developed and published in compliance with ANSI's Patent Policy and Commercial Terms & Conditions Policy.

11 Revising These Procedures

11.1 Monitoring Procedures

The Architecture Committee is responsible for monitoring the effectiveness of these procedures and recommending changes.

11.2 Initiating Changes

The NISO Office will publish proposed changes authorized by any one of the following on the NISO website:

- A majority vote of the Board of Directors
- A majority vote of the Architecture Committee
- A petition from five percent (5%) of the Voting Members

11.3 Comment Period

11.3.1 The NISO Office will notify all Voting Members of the proposed changes.

11.3.2 Voting Members have forty-five (45) days to comment.

11.3.3 After the 45-day period, the NISO Office will forward all comments to the group proposing the change.

11.3.4 The group proposing the change may revise the proposed changes based on comments. It may ask the NISO Office to offer another comment period.

11.4 Approval

11.4.1 The group proposing the change must forward the proposed changes to the Board of Directors with a summary of comments received for final approval.

11.4.2 Approval requires a two-thirds vote of the Board of Directors.

11.5 Notification of Changes

The NISO Office will notify all members when the procedures have changed and provide information on the accessibility of the revised procedures.