# Society of American Archivists
## Council Meeting
## January 25 - 27, 2012
## Chicago, Illinois

## Standards Committee:  Request for
## Revision of Charge and Procedures
(Prepared by:  Cory Nimer and Marcy Flynn, Co-chairs)

### BACKGROUND

The SAA Council approved a new charge and procedures for the Standards Committee in February 2010.  This included some substantial revisions in how the Committee operates, providing the Committee with broad latitude for establishing development and review teams and managing the standards development process.  However, based on feedback from SAA staff and our own observations, it became clear that some changes were needed to align our work with SAA procedures and to provide opportunities for greater oversight to the SAA Council.  Based on a request from the SAA President, the Standards Committee created a draft revision of the Committee's charge and procedures.

A draft of the revised documents is appended (**Appendix A**).  Proposed changes are marked in blue, with deleted text shown in strikethrough and additions underlined. The most significant changes to the documents are as follows:

- Standards Committee Charge:
  - Replacement of single chair with a staggered co-chair arrangement.
  - Reduction in list of *ex-officio* members of the Committee, which we hope to have managed in a separate list to simplify management and revisions.
  - Placing authority for the creation and disbanding of technical subcommittees and development and review teams with the SAA Council instead of the Standards Committee.
  - Reduction in the breadth of development and review team functions, tying them to specific standard development efforts.
  - Transfer of language from the Standards Development and Review document regarding the relationship of representatives and the Standards Committee.
- Standards Development and Review:
  - Reduction of information on responsibilities, with information on the relationship of representatives and the Standards Committee moved to the charge document.
  - Removal of separate guidelines for the development/adoption of best practices, leaving them included in the general guidelines for standards development.
- Procedures for Review and Approval of an SAA-Developed Standard:

- o Removal of reference to the Standards Committee log (I.B).
- o Explicit inclusion of the Council liaison in the review process for standards development proposals (I.B.2).
- o Inclusion of procedures for the development of a charge and a recommendation for development and review team membership by the Standards Committee (II.E).
- o Addition of a form to be used for submission of a standard's documentation (III.B.1).
- o Addition of information about the use of the Standards Portal (V.A.4).
- o Inclusion of procedures for the development of a charge and a recommendation for technical subcommittee membership by Standards (V.C.1).
- Procedures for SAA Endorsement of an External Standard:
  - o Removal of reference to the Standards Committee log (I.B).
  - o Addition of information about the use of the Standards Portal (II.C).

## DISCUSSION

Revising the Standard Committee's charge and procedures will better align the documentation with the actual workings of the Committee. This includes provisions for issuing formal appointments to development and review teams by the Vice President, providing additional Council review for standards initiatives, and including the new Standards Portal as the central distribution point for information on archival standards.

Although these changes are important, they will increase the Council's involvement with the Committee's activities. They may also limit the ability of the Committee to take initiative in encouraging SAA component groups to undertake standards-related projects.

## RECOMMENDATION

**THAT the revised charge and procedures for the Standards Committee, as provided in Appendix A, be adopted.**

**Support Statement:** Revision of the Standards Committee charge and procedures will align the documents with the current work of the Committee and will provide the Council with greater oversight of the Committee's activities.

**Impact on Strategic Priorities:** The proposed changes do not change the Committee's current contributions to SAA's strategic priorities.

**Fiscal Impact:** No anticipated direct costs associated with the changes.

**Appendix A: Revised Draft of Standards Committee Charge and Procedures**

# Standards Committee

Member Roster

Official Email Discussion List

**Group Web Page:** http://www.archivists.org/saagroups/standards/

**Established: 1990**

**I. Purpose**

The Standards Committee is responsible for initiating and facilitating the development of standards*; providing review and comment on standards that are relevant to archival theory and practice; educating the archives community about the value and role of standards; and partnering with related information management professional organizations on standards of mutual concern and interest.

* For the purposes of this document, the term "standards" includes standards, technical standards, conventions, rules, guidelines, and best practices. See *Standards Development and Review* for more information.

**II. Committee Selection, Size, and Length of Term**

The Standards Committee consists of nine appointed members ~~who serve~~ (including two co-chairs) appointed by the SAA Vice President for staggered three-year terms~~, one of whom shall serve as chair~~. The Committee also shall include *ex officio* members, including chairs of all technical subcommittees and development and review teams that report to the Standards Committee, representatives of other SAA groups whose interests and activities closely interact with those of the Standards Committee, and members who serve as SAA's representatives to external organizations that deal with matters within the Committee's area of concern. *Ex officio* members shall include:

- The immediate past co-chair of the Standards Committee, who shall serve as an *ex officio* member for one year;
- SAA representatives appointed *to* standards-developing organizations [Include link to list of representatives];
- ~~SAA's representative *to* the American Library Association's Committee on Machine Readable Recording of Bibliographic Information (ALA-MARBI), responsible for maintaining MARC21;~~
- ~~SAA's representative *to* the Association for Information and Image Management (AIIM);~~

- SAA's representative *to* the ARMA International Standards Development Committee (ARMA-SDC);
- SAA's representative *to* the International Council on Archives Subcommittee on Archival Description (ICA-SAD);
- SAA's representative *to* the National Information Standards Organization (NISO);
- A representative *from* the Canadian Council of Archives' Canadian Committee on Archival Description (CCA-CCAD);
- A representative *from* the International Council on Archives Committee on Best Practices and Standards (ICA-CBPS);
- SAA representatives appointed *from* standards-developing organizations [Include link to list of representatives];
- Other SAA representatives appointed to standards-developing organizations; and
- Those Chairs of each technical subcommittee and development and review team who are not appointed members of the Standards Committee.

The SAA Vice President annually appoints three members based on recommendations from Standards Committee co-chairs, whose terms begin at the end of the Annual Meeting. The Vice President biennially appoints the chair. The chair shall serve a two-year term after serving for at least one year on the Standards Committee. The co-chairs are appointed for staggered two-year terms, and are normally appointed based on the recommendation of the co-chairs by the Vice President from among the current and previous members of who have served one year on the committee. Following the co-chair's two-year appointment, the co-chair shall become an *ex officio* member for one year.

***Technical subcommittees***. The Standards Committee may recommend that the SAA Council form (and disband) technical subcommittees. The Committee SAA Council will may charge a these technical subcommittees to oversee all SAA adopteddeveloped standards. Technical subcommittees are responsible for the maintenance and review of the assigned standard (which requires that they monitor all feedback and calls for revision of the standard) and for promoting the standard and educating appropriate communities about it. Technical subcommittee chairs serve as regular or *ex officio* members of the Standards Committee.

With the recommendations of the Standards Committee co-chairs, the SAA Vice President appoints technical subcommittee chairs and members. Technical subcommittee members must have expertise related to the standard that they are responsible for maintaining. Technical subcommittees may be disbanded by the Standards Committee if the standard for which they are responsible is not scheduled for review. Technical subcommittees are ongoing as long as the adopted standard remains in use. Technical subcommittee chairs serve as regular or *ex officio* members of the Standards Committee.

***Development and review teams***. The Standards Committee may recommend that SAA Council form (and disband) development and review teams around a project to research and develop a specific standard, review a specific standard, study the need for a standard, or address a particular topic (such as description or preservation). All groups that are

~~researching and developing a standard are given the development and review team designation. When the Standards Committee identifies areas that require specialized or technical expertise in which the number of standards, the degree of technical expertise required, and the speed of change in the standards landscape are such that the Standards Committee by itself could not keep pace, it appoints a development and review team to monitor and review these standards. Development and review teams might also be built around a particular topic to study the need for standards in that area.~~ Development and review teams are *ad hoc* and will be charged for an appropriate period of time as determined by the Council in consultation with the Standards Committee, not to exceed three years~~,~~ and with the possibility of renewal.

~~For all approved standards development projects, the Standards Committee assigns a development and review team to be responsible for developing the standard, which will most often be the group that proposed the original project. Development and review team chairs shall be appointed by the SAA Vice President and~~ With the recommendations of the Standards Committee co-chairs, the SAA Vice President appoints development and review team chairs and members. Development and review team members must have expertise related to the topic being addressed, and will most often be from the group that proposed the original project. Development and review team chairs serve as regular or *ex officio* members of the Standards Committee.

## III. Reporting Procedures

The ~~chair prepares an annual report and submits it to the Council in accordance with established procedures~~ Standards Committee reports to the Council, providing a formal written report annually and reporting on special initiatives as necessary or requested. The co-chair~~s~~ ~~is~~ are responsible for coordinating the formulation and evaluation of the annual report and other planning documents as needed, in consultation with Standards Committee members. The chair of each current technical subcommittee and development and review team is responsible for preparing and submitting an annual report of the group's activities to the Standards Committee co-chair~~s.~~.

## IV. Duties and Responsibilities

To fulfill its mission as described above, the Standards Committee is specifically charged to:

- Oversee the process of standards development by identifying standards needs; ~~establishing~~ recommending to the Council the establishment of technical subcommittees or development and review teams, as necessary, to research, prepare, monitor, and review standards; and recommending action on proposed standards to the SAA Council.
- Develop, implement, and periodically review a profession-wide plan to address all standards needs across all the core competencies of the profession.
- Monitor and review, and recommend for endorsement when appropriate, other national and international standards that affect archival practice.

- Implement a process for the periodic review of all standards that are relevant to archival theory and practice.
- Conduct maintenance reviews of SAA-adopted standards in accordance with established review cycles.
- Publicize and promote standards-related news and information to the archives community.
- Work in concert with the Program and Education committees and SAA staff to endorse and develop workshops, conference programs, and other educational opportunities related to archives standards.
- Collaborate with international and national associations on standards development projects, with an understanding that the SAA Council must approve in advance all contractual and financial obligations.
- Coordinate the work of SAA representatives to standards organizations [Include link to list],
- Investigate for all SAA-developed standards the feasibility of adoption by the American National Standards Institute as a national standard.

## VI. Meetings

The Standards Committee meets once per year at the SAA Annual Meeting. Depending on operational need and contingent on SAA Council funding, the Committee or subgroups of it may meet midyear. Periodic conference call meetings may be scheduled as needed. Although regular meetings are open to any SAA member who wishes to attend, the Committee shall also hold public meetings as needed at the SAA Annual Meeting to report on the progress of ongoing standards development or to review projects and to receive questions and suggestions.

*Approved by the SAA Council: June 1991 (for a period of three years); June 1992, extended to June 1995*
*Revised: June 1998, February 2010, January 2011, January 2012*

# Standards Development and Review

Back to Standards Committee

**Responsibilities of the Standards Committee**

The SAA Standards Committee, created by the Council of the Society of American Archivists in 1990, is responsible for initiating and facilitating the development of standards; providing review and comment on standards that are relevant to archival theory and practice; educating the archives community about the value and role of standards; and partnering with related information management professional organizations on standards of mutual concern and interest.

A primary responsibility of the Standards Committee is to establish, with Council approval, procedures for oversee the process of initiating, developing, reviewing, and approving all standards developed by the Society of American Archivists through its subgroups, as well as procedures for reviewing standards submitted by external groups to SAA for its endorsement.

The Standards Committee works with groups on standards and standards-related projects from the initiation of the proposal, through development or review, to submission of the standard to the SAA Council for final approval.

The Standards Committee also coordinates the work of SAA representatives to standards organizations, including the National Information Standards Organization (NISO), the Association for Information and Image Management (AIIM), the American Library Association (ALA), the American Institute for the Conservation of Historic and Artistic Works (AIC), and ARMA International (per a 2008 Memorandum of Understanding for Standards Development between ARMA and SAA).

For additional information about Standards Committee procedures:

- Procedures for Review and Approval of an SAA-Developed Standard
- Procedures for SAA Endorsement of an External Standard

**Standards**

The SAA Standards Committee defines a "standard" to be an industry agreement that establishes qualities or practices that make possible sharing of information, development of common vocabularies and practices, and more effective interaction among archivists, librarians, records managers, information managers, preservation administrators, historians,

and other allied professionals. SAA standards must be approved by the SAA Council and they are maintained and periodically reviewed by professionals in the community.

Standards of many types are now central to archival practice. This document will generally use the term "standards" to refer to all of these types, including standards used in automated information systems, in preservation management, and in other technical areas, as well as standards and guidelines relating to professional practice.

Standards can take many forms:

- The most exacting are *technical standards* (e.g., Z39.50, the standard for intersystem data searching and retrieval) which, if applied correctly, can be expected to produce uniform and consistent results.
- *Conventions* or *rules* are more flexible and can accommodate more variation in local practice (e.g., *Describing Archives: A Content Standard [DACS]*). They will produce similar, but not necessarily identical, results when applied consistently.
- *Guidelines* provide models of preferred practices and/or serve as criteria against which to measure products or programs (e.g., *Archival and Special Collections Facilities Guidelines for Archivists, Librarians, Architects, and Engineers*).
- *Best practices* are procedures ~~and guidelines~~ based on experience and research that demonstrate that they are optimal and efficient means to produce a desired result.[1] ~~Although best practices will not be considered to be official SAA standards, they~~ Best practices represent consensus on archival practice ~~within the Society~~.

The Standards Committee will not be concerned with the creation and maintenance of *thesauri*.

~~**Best Practices**~~

~~SAA is involved in developing best practices, which may be drafted by the Society's committees, sections, roundtables, or other designated groups. Best practices are procedures and guidelines based on experience and research that demonstrate that they are optimal and efficient means to produce a desired result. In contrast to standards, best practices:~~

- ~~Generally are developed in emerging areas,~~
- ~~May eventually become formal standards if they become widely accepted and used, and~~
- ~~Are monitored periodically, but are not subject to a formal and regular review and maintenance cycle.~~

~~The procedures for best practice development and review are less formal than those for other standards' development and review. The developing group submits a completed best practice document along with a proposal form to the Standards Committee for consideration. The Standards Committee votes on the proposed project and, if it is approved, the chair of the Standards Committee forwards the documentation to the SAA Council for official endorsement. The Standards Committee posts all SAA-adopted best practices to the~~

standards webpage on the SAA website.

**Developing Standards within SAA**

The Society of American Archivists recognizes the central importance of consensus to the development of standards. However, consensus on a specific standard may not always equate with unanimous and unqualified approval by all concerned, for in most cases this will be difficult to achieve.

The Standards Committee procedures for standards development within SAA mandate broad review of any proposed standard by all groups, both inside and outside of SAA, that have an interest in the standard. Important features of the review process are:

* Establishment of the need for the standard through a formal "request for initiation of a standards project";"
* Publication of notices in appropriate SAA media about initiation and ongoing progress in standards development projects;
* Publication and/or distribution of full texts of proposed standards by the SAA office; and
* Formal invitations to representatives from outside organizations to participate in the development and/or review of drafts of proposed standards.

The Standards Committee is concerned both with the development of new standards and with the process of standards maintenance and review.

The best possible effort will be made to ensure that all reasonable opinions are considered in the development process and that most disputes are resolved before a document is deemed ready for consideration by the Council as an SAA standard. Responsibility for the content of a standard rests both with the group that is developing or revising the document and with existing subgroups within SAA that are developing a standard.

Final adoption of a document as an SAA standard rests with the Officers and Council of the Society of American Archivists.

Once a standard is adopted, an ongoing technical subcommittee of the Standards Committee is assigned maintenance responsibilities to ensure that the document is promulgated widely, monitored in its application, and reviewed (and, if necessary, revised) on a regular schedule.

The Standards Committee has prepared detailed procedures for standards development and review.

SAA also plays an important role as a participant in work undertaken by other organizations that develop technical standards, such as the National Information Standards Organization (NISO) and the Association for Information and Image Management (AIIM) that develop technical standards.

**For Information or Assistance**

The Standards Committee is ready to assist any SAA subgroup or outside organization to devise a strategy for developing a new standard or for reviewing and/or revising an existing document so that it can be considered for formal adoption as an SAA standard. Please contact the co-chairs of the Standards Committee for further information. [Member Roster]

*Approved by SAA Council: June 1995*
*Revised: February 2010, January 2012*

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[1] The Standards Committee has modified the best practice definition from: A Glossary of Archival and Records Terminology. Retrieved May 26, 2009, from:
http://www.archivists.org/glossary/term_details.asp?DefinitionKey=1770

# Procedures for Review and Approval of an SAA-Developed Standard

Back to Standards Committee

**I. Submission of a Proposal for a Project to Create, Revise, or Review an SAA-Developed Standard**

Proposals must be submitted by official groups within the SAA. Individuals interested in the development of a standard may consult with the Standards Committee about groups that are appropriate for submission of a standards proposal.

*I.A. The proposing group shall:*

I.A.1. Download a blank PROPOSAL FORM from the Standards Committee webpage.

I.A.2. Complete the PROPOSAL FORM and submit it to the Standards Committee. The form which shall include:

- Name of sponsoring group and name of individual to contact;
- Concise statement of identified need for standard;
- Expected effect/impact on individuals and institutions;
- Scope of coverage/application;
- Anticipated format and content of the standard;
- Known existing standards that are closely related to or affected by the proposed standard;
- List of other SAA subgroups, outside organizations, and experts who will be consulted during the development or will be asked to review the standard before it is submitted for adoption by the SAA Council;
- Time table for development process; and
- Budgetary implications for SAA, including direct costs for meetings, travel, copying, and postage as well as indirect costs for SAA staff time.

Refer to [link] for application instructions on the Standards Committee webpage.

I.A.3. File the PROPOSAL FORM with the Standards Committee.

*I.B. The Standards Committee co-chairs shall:*

I.B.1. Enter receipt of the PROPOSAL FORM in the STANDARDS PROJECT LOG on the

~~Standards Committee webpage and send acknowledgement of receipt to the proposing body.~~ Acknowledge receipt of the PROPOSAL FORM to the proposing body and notify the Standards Committee of the proposal submission.

I.B.2. Distribute copies of the PROPOSAL FORM to the other members of the Standards Committee, including the subgroup chairs and the SAA Council liaison. Subgroup chairs may distribute the proposal to their technical subcommittee or development and review team for comment. ~~The chair may also distribute copies of the proposal form to technical subcommittees or development and review teams for comment.~~

I.B.3. Collect comments and suggestions from members of the Standards Committee and other subgroups to which the proposal was distributed.

I.B.4.  If comments warrant further discussion, arrange for additional communications  to determine if there is a consensus to endorse the proposal.

## II. Standards Committee Action in Response to Proposal

The Standards Committee will take a formal vote in response to the proposal, and will take one of the following actions in response to a proposal, as appropriate:

### II.A. Return for revision

The Standards Committee will return to the proposing group a PROPOSAL FORM that is incomplete or that requires revision and request that it be revised and resubmitted.

### II.B. Decline proposal

The Standards Committee may decline to ~~approve~~ recommend undertaking a standards project because

1. A similar standard already exists;
2. The proposed standard is in direct conflict with an SAA-adopted standard or policy;
3. Another group is already working on a similar standard (in which case the Standards Committee will suggest that the two parties work together toward common ends);
4. There is insufficient demand or potential benefit to SAA members to warrant the expense of its development;
5. ~~The proposed standard does not fall within the scope of the Standards Committee.~~;
6. ~~The proposed standard would be more appropriate as a best practice (in which case the Standards Committee will advise the proposing group to follow the procedures for developing a best practice).~~

The Standards Committee will forward all declined proposals to the SAA Council along with the reason why the Standards Committee does not recommend ~~declined~~ the proposal.

The proposing group may file an appeal with the SAA Council within 60 days of notification by the Committee.

**II.C. Submit request for Council approval to undertake project** *(when necessary)*

Some proposals may require significant financial support from SAA (e.g., creation of an ad hoc task force). If the Standards Committee agrees that the proposal has merit but may require significant SAA funding is satisfied with the proposal, it will be submitted with a recommendation by the committee to the Council for final approval. The Standards Committee will send the PROPOSAL FORM and any accompanying correspondence or other documentation to the SAA Council for approval to undertake the project. The Council's Executive Committee may be able to grant approval in order to expedite the process.

***II.D. Approve proposal and announce intention to initiate project***

If the Standards Committee the SAA Council agrees that the proposal has merit (and any necessary Council approval to undertake the project has been granted) approves the project, the following actions shall occur:

II C.1 Announcement of standards project.

it The Standards Committee will publish a "Notice of Intention to Initiate a Standards Development Project" via all appropriate SAA media. This step is taken to notify the membership that a project will soon be under way and to solicit comments and participation from interested parties. Official project approval will be granted automatically 30 days after publication of the "Notice" unless the comments received by the Standards Committee co-chairs are such that the proposal warrants reconsideration, in which case the Committee will refer the proposal and comments back to the proposing group for review and response.

*II.E.* II C.2 Make assignment to primary group for development

For approved standards development projects, the Standards Committee co-chairs will assign a prepare a draft charge for the development and review team to be responsible for developing the standard and make recommendations for its membership. In most cases, the members of the proposing group will become the members be included in the recommendation for membership of the development and review team. The charge must then be approved by the SAA Council before the SAA Vice President appoints the chair(s) and members of the development and review team. In some cases, the Council may create an ad hoc task force or working group to take responsibility for the development process. Once the standard is adopted, the Standards Committee will assign the team will be disbanded by the SAA Council and the Council will create a technical subcommittee to maintain and review the adopted standard (see V.C.1.). In all cases, the SAA Vice President will appoint the chairs of the development and review teams and technical subcommittees.

### III. Standards Development Process

In the course of developing a new standard, development and review teams shall complete the following actions:

### *III.A. Consultation with other SAA subgroups and external organizations*

The ~~developing group (either a~~ development and review team ~~or a task force)~~ will engage in extensive consultation with interested parties inside and outside of SAA that are essential to the development of standards, and must submit to the Standards Committee evidence that such consultation has taken place. The ~~developing group~~ development and review team must address all written comments sent to the group and all comments made at an SAA open meeting. The Standards Committee will assist the ~~developing group~~ development and review team in publicizing the project and identifying consultants.

Consultation should be pursued through several means, such as:

III.A.1. Letters sent at the beginning of the project to heads of organizations known to have an interest in the standard under development, inviting their comments and/or participation in the development process, as appropriate.

III.A.2. Publication of notices in the newsletters or on the websites of these organizations about the intention to develop the standard and, later, providing updates on the progress of the development project.

III.A.3. Publication of the draft standard in appropriate SAA media.

III.A.4. Publication of the draft standard in external publications and/or circulation of the draft standard to heads of interested organizations.

III.A.5. Circulation of the draft standard to groups and individuals, inside and outside of SAA, with particular interest or expertise in the topic, including posting on electronic networks.

III.A.6. Joint meetings with interested organizations to discuss common concerns. These meetings could occur at the outset of the project or after circulation of a draft standard.

III.A.7. Open forums or hearings at the SAA annual meeting.

### *III.B. Preparation of the package containing the final draft of the standard and supporting documentation*

Once it has completed the consultation process and prepared the final draft of the standard, the ~~developing group~~ development and review team will compile a package to forward to the Standards Committee for its review. This package will include: /p>

III.B.1. Completed STANDARD APPROVAL APPLICATION FORM.

III.B.2. Full text of the proposed standard.

III.B.3. Introductory narrative.

This section must include the scope of application, in particular:

- The purpose or objective of the proposed standard and
- The specific audiences, circumstances, or techniques to which it is directed.
- It should also contain background and other supplementary information, as necessary, that can provide a context for understanding how the standard was developed and when and how it will be used, including:
  - The purpose or objective of the proposed standard and
  - The specific audiences, circumstances, or techniques to which it is directed.
  - It should also contain background or other supplementary information, as necessary, that can provide a context for understanding how the standard was developed and when and how it will be used, including
  - Brief history and methodology of its development,
  - Participants in the development process,
  - Relationship to predecessor documents,
  - Significant changes from earlier versions,
  - Glossary or definitions of terms, if necessary,
  - Illustrations or examples of how the standard can be applied, and
  - Bibliography, if necessary.

III.B.4. Documentation of the consultation process.

The ~~developing group~~ development and review team must submit documentation that the consultation process has taken place and that a reasonable agreement has been reached on the contents and intent of the proposed standard. This evidence may take the form of:

- Copies of correspondence from other organizations supporting the proposed standard;
- Clippings from publications and/or websites that publicized the development project or published drafts of the standard;
- Copies of correspondence discussing areas of dispute in the proposed standard;
- In case of unresolved disputes, explanations from the group responsible for development of efforts made to accommodate the expressed concerns and/or justification for approving the standard in the absence of universal agreement.

III.B.4. Maintenance and review plan.

The ~~developing group~~ development and review team must recommend a plan for maintenance and review of the standard it has developed. ~~All adopted SAA S~~standards developed by the SAA will be assigned to an SAA component group, such as a technical

subcommittee, for necessary maintenance and review. Each will be assigned to a review cycle of no more than five years, at which time the SAA Council will be asked to reaffirm, revise, or rescind the standard.  The "Maintenance and Review Plan" will suggest the appropriate subgroup for assignment and length of the review cycle. (See V.C.)

### III.C. Notice of abandoned project.

In the event that the ~~developing group~~ development and review team fails to reach general agreement on a draft standard or, for whatever reason, chooses to discontinue its work on the proposed standard, it shall notify the Standards Committee that it has abandoned the project. The Standards Committee shall publish a notice in appropriate SAA media that the project has been discontinued.

### IV. Standards Committee Review of Draft Standard

Upon receiving the final draft package from the ~~developing group~~ development and review team, the Standards Committee will take the following actions:

### IV.A. Review package

The Standards Committee will review the package to ensure that it is complete and that adequate consultation and review have taken place. It may return the package to the ~~developing group~~ development and review team if significant elements are missing.

### IV.B. Notice of project completion/publication of revised draft standard

IV B.1. Notice of project completion.

When the final draft package is deemed complete, the Standards Committee will publish a notice in the appropriate SAA media announcing that the standards development project has been completed and the draft standard has been forwarded to the Council. (See IV.C.)

IV B.2. Publication of revised draft standard.

Based on the substance of the revisions, the potential breadth of impact, and any apparent remaining substantive conflicts on content, the Standards Committee may determine that the entire revised text should be published via an appropriate SAA medium in order to ensure the broadest possible participation in and awareness of the standards development process. The Standards Committee will accept written comments on the revised draft addressed to the Standards Committee co-chairs within 30 days of publication of the revised draft or notice of the availability of the revised draft.

If additional comments received after publication of the revision indicate widespread disagreement about the revised draft within the SAA membership, the Committee may determine that the draft should be referred back to the ~~developing group~~ development and review team for response. Substantive changes to the draft standard as a result of these

additional comments may require publication of a new "Notice of Completion" and notification or publication of a new revised draft.

The Standards Committee may determine that issues raised in the additional comments were already addressed adequately during the development and consultation process. The Standards Committee will then publish the notice of completion and forward the package to the SAA Council.

## IV.C. Recommendation to the SAA Council

At the conclusion of the development process, the Standards Committee will send to the SAA Council a report on the process and a recommendation.

IV.C.1. Recommendation to consider adoption.

When the Standards Committee is satisfied that the development and consultation process has been completed satisfactorily it will, after publication of the notice, forward the package to the SAA Council with a recommendation that the Council consider adopting the draft document as an official standard of the Society of American Archivists.

IV.C.2. Report on "irreconcilable differences."

After reviewing all documentation, the Standards Committee may determine that disagreements raised represent substantive irreconcilable differences of views or professional positions. In this situation, the Standards Committee will forward the package to the SAA Council with an explanation of the remaining problems and, depending on the type of standard and breadth of impact, may or may not recommend that the Council consider adopting the draft as an official standard of the Society of American Archivists.

## V. Promulgation, Maintenance, and Review of Adopted Standards

The Standards Committee shall ensure that the following actions are taken for each standard that is formally adopted by the SAA Council. Often the group that developed the standard will be actively involved in or have primary responsibility for these activities.

## V.A. Publication of the standard

V.A.1. Full text in the SAA newsletter.

The preferred method of publication will be to publish the full text of the adopted standard in the Society's newsletter and on the SAA website.

V.A.2. Notice of availability in newsletter.

Some standards may be too long to publish in the newsletter. For these, a notice of their approval and a summary of their contents will be published in the next SAA newsletter and/or on the SAA website, along with information about how to obtain a copy from the SAA website.

V.A.3. Notice in the *American Archivist.*

Both SAA's journal of record, the *American Archivist*, and the SAA website carry official Council meeting minutes, which will record all formal approvals of SAA standards.

V.A.43. Added to Standards Committee Standards Portal webpage.

The Standards Committee SAA staff will post all formally adopted standards on the Standards Committee Standards Portal webpage with the following information: 1) the name of the standard, 2) a description of the standard, 3) a link to the full text of the standard or a description of where the standard can be obtained, 4) the date on which the standard was adopted, 5) next review date of the standard, 6) information about how comments and feedback for revision can be submitted, and 7) any additional supporting documents or information.

## V.B. Promotion of the standard

V.B.1. Notice to heads of allied professional organizations.

The President and/or Executive Director will send a letter and copy of the adopted standard to all interested outside organizations to notify them of SAA's action. The Standards Committee will assist the group that developed the standard in drafting the letter and identifying which groups to contact.

V.B.2. Press release to editors of professional journals and newsletters.

The Executive Director will, in cooperation with the Standards Committee and developing group development and review team, ensure that a press release is distributed to editors of allied professional journals and newsletters to announce the development and approval of the standard, providing its full text when possible.

V.B.3. Other publicity.

For standards of interest beyond professional circles, the Executive Director, Standards Committee, and developing group development and review team will determine how best to publicize their approval. Working in concert with the Program and Education Committees and the SAA staff, the Standards Committee will assist the subgroup in developing workshops, conference sessions, or public forums on the new standard.

## V.C. Maintenance of the standard

Immediately upon adoption of an SAA standard, the following actions shall occur:

V.C.1 ~~Subgroup~~ Technical Subcommittee responsible for maintenance and review assigned.

As part of the approval process, the SAA Council will assign the standard to an ongoing SAA component group for maintenance and review. ~~the Standards Committee will assign the standard to~~ An ~~ongoing~~ SAA technical subcommittee may be established for this maintenance and review. The Standards Committee co-chairs will prepare a draft charge for the subcommittee and make recommendations for its membership. In most cases, the ~~technical subcommittee will include~~ members of the development and review team who ~~that has been~~ were actively involved in ~~its~~ the development of the standard will be included in the recommendation for membership of the technical subcommittee. The charge must then be approved by SAA Council before the ~~chair will be appointed by the~~ SAA Vice President appoints the chair(s) and members of the subcommittee.

V.C.2. Review cycle set.

All adopted SAA standards will be assigned a review cycle of no more than ~~5~~ five years, with a formal review commencing no later than ~~3~~ three years following adoption or reaffirmation. However, comments and revisions to the standard and proposals to revise adopted standards may be submitted at any time. At the end of the review cycle, the SAA Council will be asked to reaffirm, agree to revise, or rescind the standard.

V.C.3. Monitoring and promulgating use begins.

The maintaining technical subcommittee will be responsible for promoting the proper and effective use of the standard and will regularly obtain comments and feedback on the standard for future review and revision.

### *V.D. Review of the standard*

At least two years before the review cycle expires, the Standards Committee will notify the maintaining technical subcommittee that it should initiate a formal review of the content and use of the standard. The following actions shall be taken:

V.D.1. Review plan prepared.

In consultation with the Standards Committee, the technical subcommittee will prepare a plan that will ensure consensus using the same kinds of broadly based consultation and review that occurred when the standard was originally developed. The plan may include:

- Other SAA subgroups and interested organizations outside of SAA that the technical subcommittee plans to consult;
- Proposed joint meetings with some of these subgroups and/or organizations to discuss proposed revisions;
- Proposed public hearings at the SAA annual meeting;

- Proposed publications, websites, or other communication media via which comments and proposed revisions will be submitted and be made publicly available; and
- Financial resources needed for review, such as travel or editorial support.

V.D.2. Standards Committee and SAA Council review plan.

The technical subcommittee will submit the plan to the Standards Committee, at which point the Standards Committee will decide whether the review process is adequate. If significant financial resources are required for review, the Standards Committee will forward the plan to the SAA Council with a recommendation for funding.

V.D.3. Recommendation to revise, reaffirm, or rescind the standard.

Once the review plan has been approved, the technical subcommittee ~~shall~~ will commence the formal review. When adequate consultation has taken place, the technical subcommittee ~~shall~~ will recommend one of the following:

*Revise the standard*: Revision will be necessary if substantial changes to the standard are required.

*Reaffirm the standard*: The technical subcommittee may decide that a standard does not need revision at this time if comments are relatively minor and the standard is still current and widely used. The technical subcommittee may also delay revision while awaiting the development or revision of another standard or project that may affect the standard under review.

*Rescind the standard*: The technical subcommittee may recommend rescinding the standard if the standard is no longer relevant or another standard has replaced it.

## *V.E. Recommendation to the SAA Council*

V.E.1. The maintaining technical subcommittee will submit a package to the Standards Committee containing its recommendation to reaffirm, revise, or rescind the standard along with documentation about the review process (as in III.). If the technical subcommittee recommends revision, the technical subcommittee will also submit a completed proposal form (as in I.A.2.).

V.E.2. The Standards Committee will review the package to ensure that the review plan was adequate. Assuming that no procedural questions remain unresolved, it will forward the package to the Council with the recommendation to reaffirm, revise, or rescind.

V.E.3. The SAA Council votes on whether to reaffirm, revise, or rescind the standard.

If the Council votes to *revise* the standard, the technical subcommittee will continue the revision work. Once the revision has been completed, the technical subcommittee will

follow the same process for submission and approval of a new standard, as outlined in sections III.B. and later.

If the Council *reaffirms* the standard, a new review cycle will be set, which may be shorter than ~~5~~ five years. A new technical subcommittee may be appointed, if necessary. The technical subcommittee and the Standards Committee will inform all relevant parties that the standard has been reaffirmed and does not require revision at this time.

Should the Council vote to rescind the standard, the technical subcommittee and the Standards Committee will inform all relevant parties that the standard has been rescinded. The Standards Committee will then either remove the standard from the Standards Portal webpage or mark the standard as "rescinded."

V.F. Notice and publication of reaffirmed, revised, or rescinded standards.

An information dissemination process similar to that outlined under V.A. and V.B. for new standards will be followed to ensure broad awareness of SAA actions concerning reaffirmed, revised, and rescinded standards.

*Revised June 1995, February 2010, January 2012*

# Procedures for SAA Endorsement of an External Standard

**I. Submission of a Proposal to Endorse an External Standard**

Proposals must be submitted by official groups within the SAA. Individuals who are interested in submitting a proposal for the endorsement of an external standard may consult with the Standards Committee on appropriate groups to which they may wish to submit a proposal.

I.A. The proposing group shall:

I.A.1. Download a blank PROPOSAL FORM from the Standards Committee webpage on the SAA website.

I.A.2. Complete the PROPOSAL FORM and submit it to the Standards Committee. The form , which shall include:

- Name of the standard;
- Brief summary of the standard;
- Sponsoring organization;
- Location of the standard (website link, publication details, etc.);
- Effect/impact of the standard on archival practice;
- A discussion of how the standard is being used in the archives profession (Who is using it? How is it being used? Is it widely used?);
- Review and revision procedures of the standard (Who reviews the standard? How often is the standard reviewed? Is the review process open?); and
- Known existing standards that are closely related to or affected by the standard being proposed for endorsement.

Refer to [link] for application instructions on the Standards Committee webpage.

I.A.3. File the PROPOSAL FORM with the Standards Committee.

I.B. The Standards Committee co-chairs shall:

I.B.1. Enter receipt of the PROPOSAL FORM in the STANDARDS PROJECT LOG on the Standards Committee webpage and send acknowledgement of receipt to the proposing body. Acknowledge receipt of the PROPOSAL FORM to the proposing body and notify the Standards Committee of the proposal submission.

I.B.2. Distribute copies of the PROPOSAL FORM to the other members of the Standards Committee, including the subgroup chairs and the SAA Council liaison. Subgroup chairs may distribute the proposal to their technical subcommittee or development and review team for comment. The chair may also distribute copies of the proposal form to technical subcommittees or development and review teams for comment.

I.B.3. Collect comments and suggestions from members of the Standards Committee and other subgroups to which the proposal was distributed.

I.B.4. If comments warrant further discussion, aArrange for a discussion to determine whether there is a consensus to endorse the standard.

**II. Standards Committee Action in Response to Proposal**

The Standards Committee will take a formal vote in response to the proposal, and will take one of the following actions in response to a proposal, as appropriate:

II.A. Return for revision.

The Standards Committee will return to the submitting group a proposal form that is incomplete or that requires revision and request that it be revised and resubmitted.

II.B. Decline.

The Standards Committee may decline the endorsement of an external standard because:

> 1) the external standard is in direct conflict with an SAA-adopted standard or policy;
>
> 2) there is insufficient demand or potential benefit to SAA members;
>
> 3) the standard is not widely adopted or used in the archives field; or
>
> 4) the review process does not allow for SAA contribution or comment.

II.C. Endorse.

If the Standards Committee agrees that the external standard has benefit to the SAA community, it will recommend the standard to the SAA Council for endorsement. If the SAA Council endorses the standard, the Standards Committee It will then take the following actions:

> 1. Publish the full standard or link to the standard on the Sstandards webpage Portal along with the endorsement proposal.

2. Notify the SAA community about the endorsement through appropriate SAA media.

*Adopted by the SAA Council: February 2010, January 2012*