

# INCITS

## Policies and Procedures

### For

# USNC TAG to ISO/IEC JTC 1 SC

Approved by INCITS Executive Board

Month 2020

Approved by USNC Technical Management Committee

Month 2020



*Where IT all begins*

*InterNational Committee for  
Information Technology Standards*

### Revision History

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## Policies and Procedures for USNC Technical Advisory Group (TAG) to ISO/IEC JTC 1 SC

### 1. General

These procedures for USNC Technical Advisory Group to ISO/IEC JTC 1 SC under ISO/IEC Joint Technical Committee 1 (JTC 1) meet the requirements for due process and coordination in the development of U.S. positions for ISO and IEC activities as given in ANSI “Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC” (ANNEX B). These procedures are only applicable to ISO/IEC JTC 1 SCs that are under the management of IEC and where INCITS is serving as the TAG administrator. Refer to INCITS Organization, Policies and Procedures for the ISO/IEC JTC 1 SCs that are under the management of ISO. A USNC TAG to ISO/IEC JTC 1 Subcommittee consists of its Technical Advisor (TA) who may also be the chair, its members, and its TAG Secretary.

The Information Technology Industry Council (ITI) sponsors INCITS—the InterNational Committee for Information Technology Standards and serves as the INCITS Secretariat. INCITS serves as the U.S. Technical Advisory Group (TAG) to ISO/IEC JTC 1, the standards development environment where experts come together to develop worldwide Information and Communication Technology (ICT) standards for business and consumer applications. INCITS is accredited by the American National Standards Institute (ANSI) as an ANSI-Accredited Standards Developer.

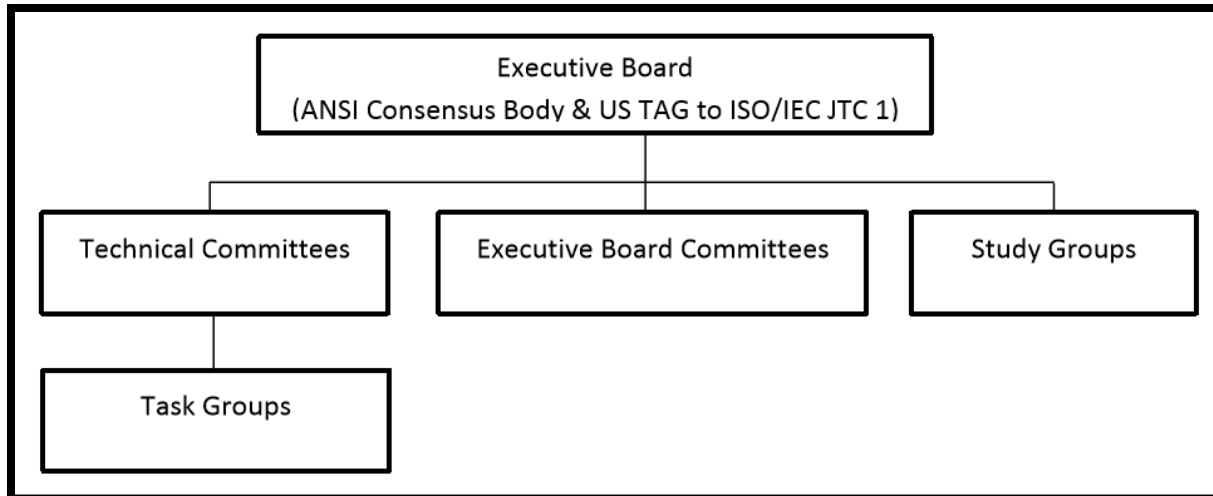
The technical work of INCITS is distributed among the Executive Board which serves as the US TAG to ISO/IEC JTC 1 and its subordinate groups:

- Executive Board Committees
- Technical Committees (TCs)

Note: All work of the TCs is advisory to and subject to approval of the Executive Board. A TC participates technically on behalf of the Executive Board on related international standards activity, particularly within the corresponding subcommittee of JTC 1 and other relevant international technical committees.

Subgroups (Task Force and Ad Hoc) of USNC TAGs or separate USNC TAG may be formed to relate to working groups of an ISO/IEC JTC 1 Sub Committee. Where the USNC TAG to an ISO/IEC working group is not independently recognized, the degree of independent authority to take actions shall be defined in writing (as part of the USNC TAG procedures, or as a policy or agreement) and shall be approved by the parent USNC TAG, and a copy provided to the INCITS Executive Board and USNC Technical Management Committee (hereafter referred to as TMC). In certain circumstances, the TMC may authorize the establishment of USNC TAGs for Working Groups (WGs), Maintenance Teams (MTs), or Project Teams (PTs). In these cases, the relationship between these USNC TAGs and the parent TC or SC must be clearly documented.

The organization of INCITS is shown below:



There are several responsibilities that may be shared among the Technical Committee Technical Advisor (TA)/Chair, the Deputy Technical Advisor (DTA)/Vice-Chair, and the TAG Secretary. These leaders shall have an agreement on who has the primary responsibility for each.

The official language of USNC TAGs is English.

From time to time, U.S.-domiciled Standards Developing Organizations (SDOs) may enter into various types of agreements with ISO and IEC, such as Category D Liaisons and Dual Logo or Joint Development Agreements. In such cases, the SDO is encouraged to advise the related USNC TAG in advance of its intent to submit a standard for consideration as an IEC Standard. In such instances, it is expected that the USNC TAG will raise any concerns related to the proposed IEC standard during its development cycle so that, if the standard is subsequently balloted for approval at the IEC level, the U.S. position will be to support its approval. For this reason, it is also strongly encouraged that the U.S.-based participants in the SDO actively participate as voting members of the related USNC TAG.

Suggestions and errata for this document should be forwarded to the Vice President, INCITS Secretariat, c/o Information Technology Industry Council, 700 K Street NW, Suite 600, Washington, DC 20001, 202-737-8888, incits@itic.org. Formal interpretation of this document may be obtained upon request to the INCITS Secretariat.

## 1.2 Acronyms

<b>ANSI</b>	American National Standards Institute
<b>ASD</b>	ANSI-Accredited Standards Developer (ANSI)
<b>CD</b>	Committee Draft (ISO/IEC)
<b>DIS</b>	Draft International Standard (ISO/IEC)
<b>FDIS</b>	Final Draft International Standard (ISO/IEC)
<b>HoD</b>	Head of Delegation
<b>ICMS</b>	INCITS Committee Management System
<b>ICT</b>	Information and Communication Technology
<b>IOE</b>	INCITS Organizational Entity



<b>IEC</b>	International Electrotechnical Commission
<b>IR</b>	International Representative
<b>IS</b>	International Standard
<b>ISO</b>	International Organization for Standardization
<b>ITI</b>	Information Technology Industry Council
<b>ITTF</b>	ISO/IEC Information Technology Task Force
<b>JTC 1</b>	Joint Technical Committee 1 (ISO/IEC)
<b>LB</b>	Letter Ballot
<b>MOU</b>	Memorandum of Understanding
<b>NB</b>	National Body (JTC 1)
<b>NP</b>	New Work Item Proposal (ISO/IEC)
<b>OWG</b>	Other Working Group (JTC 1)
<b>O-member</b>	Observer Member (ISO/IEC)
<b>P-member</b>	Participating Member (ISO/IEC)
<b>SC</b>	Subcommittee (ISO/IEC)
<b>SDO</b>	Standards Development Organization
<b>SG</b>	Study Group
<b>SWG</b>	Special Working Group (JTC 1)
<b>TAG</b>	Technical Advisory Group
<b>TC</b>	Technical Committee (ISO/IEC)
<b>TG</b>	Task Group
<b>TIB</b>	Technical Information Bulletin
<b>TR</b>	Technical Report
<b>WD</b>	Working Document (ISO/IEC)
<b>WG</b>	Working Group (ISO/IEC)

### 1.3 Useful References

A useful list of acronyms and a glossary are found in 1.2, Acronyms, and 1.4, Glossary.

The following documents may be useful references for the understanding of these procedures:

The [\*USNC Tool Box\*](#):

- USNC Statutes
- USNC Rules of Procedure
- USNC Statutes for Sample Quorum Definitions

- TMC Reference Doc
- IEC Reference Documents

*ANNEX A – Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees*

*ANNEX B – Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC*

*ANNEX C – USNC Policy on Distribution of Free Copies of IEC Standards and Working Documents for Use in USNC Standards Development Activities*

ISO/IEC JTC 1 (<http://www.jtc1.org>)

- ISO/IEC Directives, Part 1: Procedures for the technical work
- Consolidated JTC 1 Supplement
- ISO/IEC Directives, Part 2: Rules for the structure and drafting of International Standards
- ISO/IEC Directives, IEC Supplement: Procedures specific to IEC
- ISO/IEC JTC 1 Standing Documents
- ISO/IEC Document Authoring Tools

ANSI Procedures found in the ANSI Public Document Library under “Standards Activities/Domestic Programs/Procedures, Guides and Forms” (<http://www.ansi.org>)

- Essential Requirements: Due process requirements for American National Standards
- Procedures for the Registration of Technical Reports with ANSI
- ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards
- ANSI Procedures for U.S. Participation in the International Standards Activities of the ISO
- Guide for U.S. Delegates to Meetings of the IEC and ISO Meetings

INCITS Documents and Templates (<http://www.incits.org>)

- Organization, Policies and Procedures
- [Antitrust Guidelines](#)
- Patent Policy
- [INCITS Privacy Policy](#)
- [INCITS Membership Agreement](#)

[ISO/IEC/CEN/CENELEC electronic balloting commenting template \(Latest Version\) for comments](#)

*Robert’s Rules of Order Newly Revised (Da Capo Press, A Member of the Perseus Books Group; Current edition)*

[ANSI's Conflict of Interest Policy](#)

[Code of Conduct](#)

## 1.4 Glossary

**Technical Advisor (TA)/Chair** – Single point of technical contact for a USNC TAG appointed by the INCITS Executive Board and TMC. The TA typically serves as Chair of the USNC TAG.

**Deputy Technical Advisor (DTA)/Vice-Chair** – Serves as Deputy/Vice-Chair for the TA/Chair and performs other functions as defined by the USNC TAG

**USNC TAG Administrator/Secretariat** – Organization that is assigned by the TMC to provide administrative support for a USNC TAG.

Note: These procedures only applies to USNC TAGs where INCITS is serving as the TAG administrator.

**USNC TAG Secretary** – Individual who is appointed by a USNC TAG Administrator to provide day-to-day administrative support for a USNC TAG.

**U.S. National Interested Party** – One of the following entities directly and materially affected by the relevant standards activity:

1. an individual representing a corporation or an organization domiciled in the U.S. (including U.S. branch offices of foreign companies authorized to do business in one or more states as defined by the relevant state's corporation law within the U.S.);
2. an individual representing a U.S. federal, state, or local government entity; or
3. A U.S. citizen or permanent resident.

**Consensus** – General agreement, characterized by the absence of sustained opposition to substantial issues by any part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments

NOTE Consensus need not imply unanimity.

Source – [ISO/IEC Directives Part 1 + IEC Supplement](#)

**Committee Draft (CD)** - The first public form of a proposed international standard, registered at the ITTF so that an ISO, IEC or ISO/IEC JTC 1 CD number has been allocated.

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

**Committee Draft for Vote (CDV)** - A CD that has received substantial support from the P-members of a JTC 1 or ISO SC and has been registered at the ITTF for distribution to National Bodies for approval as an International Standard.

**Fast Track** - An ISO/IEC procedure that allows for national body members and Category A Liaisons to propose an existing standard from any source for approval as an International Standard.

**Good Standing** - The member has executed the INCITS Membership Agreement, met the requirements for attendance, participation, and payment of any fees (USNC and INCITS).

**ICMS** - The INCITS Committee Management System, which manages membership, invoicing, meeting and other key information at INCITS.

**In Writing** - A phrase used to denote written communication of any form including U.S. mail, electronic mail or facsimile.

**INCITS** - the InterNational Committee for Information Technology Standards is a leading U.S. standards organization dedicated to creating technology standards for the next generation of information technology innovation. INCITS members bring together their extensive expertise to create the building blocks for globally transformative technologies. In diverse technological areas including cloud computing, communications, biometrics, cybersecurity, etc., INCITS is where innovation begins.

**INCITS Organizational Entity (IOE)** - Any entity (Executive Board, committee, board, group, TC, TG, Ad Hoc, etc.) operating at any level under the auspices of INCITS. INCITS/IoT is considered as INCITS IOE.

**Information Technology Industry Council (ITI)** - ITI is a trade association that represents leading U.S. providers of information technology products and services. ITI promotes understanding of the digital world and the global competitiveness of leading technology companies by advancing the policies identified on the ITI web site at <http://www.itic.org>. ITI sponsors INCITS and serves as the INCITS Secretariat.

**Information Technology Task Force (ITTF)** - A joint group formed by the IEC Central Office and the ISO Central Secretariat to provide joint support from the staffs of both organizations for the activities of ISO/IEC JTC 1.

**International Standard (IS)**- A document that has been approved in accordance with the ISO/IEC Directives and accepted for publication by ISO/IEC.

**International Representative (IR)** - an International Representative position may be created to manage the ongoing interface between the TAG and its international counterpart. International Representatives for all TAGs are appointed by the Chair of the parent body.

**Joint Technical Committee 1 (JTC 1)** - The Joint Technical Committee of the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC), formed to work in the area of Information Technology.

**National Body (NB)** - A Member Body of ISO and/or a National Committee of IEC that is a registered member of JTC 1 (one per country).

**New Work Item Proposal (NP)** - A proposal distributed by the Secretariat of JTC 1 or an SC to P-members for balloting on inclusion of the work item in the program of work.

**Organization (For the purposes of membership and voting)** - Corporations, Federal or military departments or agencies, partnerships or associations, self-employed or self-financed individuals, or any other legal or commercial entities.

**Other Working Group (OWG)** - A group established by the JTC 1 or its SCs to undertake specific tasks, generally between meetings and on a non-permanent basis. The group's tasks are defined by the parent body.

**Procedures Board Committee (PBC)** - The advisory subcommittee of the Executive Board on matters of procedures and policy.

**Stakeholder Category** - One of the ISO/IEC categories<sup>1</sup> that describes the general work area of an expert participating in a Working Group.

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<sup>1</sup> ISO/IEC currently use the following categories:

a) Industry and Commerce b) Government c) Consumers d) Labour e) Academic and Research Bodies f) Standards Application g) Non-governmental Organization (NGO)

**Subcommittee (SC)** - The JTC 1 subordinate organization responsible for international standards development for a specific area of information processing.

**Subsidiary TAG** - The term used in the U.S. to collectively refer to Subcommittee, Working Group and project TAGs.

**Task Group (TG)** - An organization established under a Technical Committee to deal with a specific segment or segments of the work assigned to that Technical Committee.

**Technical Committee (TC)** – An INCITS committee established under the Executive Board that is responsible for serving as a USNC TAG upon assignment by the INCITS Executive Board and USNC TMC. For Example, INCITS IOE, INCITS/IoT is a Technical Committee established under the INCITS Executive Board and approved and assigned by the INCITS Executive Board and USNC TMC to serve as a USNC TAG to ISO/IEC JTC 1 SC 41.

**Technical Report (TR)** - A document that is not ready or suitable for publication as an IS but for which publication in the interests of standardization is justified; further, they do not contain matter implying that they are normative. Also, it may consist of data of a different kind from that which is normally published as an International Standard (this may include, for example, data obtained from a survey, data on work in other organizations or data on the "state of the art" in relation to standards on a particular subject).

**U.S. Technical Advisory Group to Joint Technical Committee 1 (U.S. TAG to JTC 1)** - A group consisting of any interested or materially affected parties that serves as the U.S. Technical Advisory Group to ANSI for the JTC 1 Activities. The INCITS Executive Board is the U.S. TAG to JTC 1.

**U.S. Technical Advisory Group Administrator to Joint Technical Committee 1 (U.S. TAG to JTC 1 Administrator)** - The organization or individual responsible to ANSI for the administration of the JTC 1 Technical Advisory Group. The U.S. TAG to JTC 1 Administrator is the Information Technology Industry Council (ITI). The Information Technology Industry Council (ITI) sponsors INCITS—the InterNational Committee for Information Technology Standards and serves as the INCITS Secretariat.

**Working Draft (WD)** - A document pertaining to a work item distributed by the Secretariat of JTC 1 or any of its SCs, or by the Convener or Secretariat of a WG, to its members, with a view to the subsequent preparation of a CD.

**Working Groups (WG)** - A group established by JTC 1 or an ISO TC, or one of their SCs to undertake specific technical tasks. These tasks are defined by the parent body.

## **1.5 Executive Board**

The Executive Board is the INCITS Consensus Body and has the ultimate responsibility for all standards developed and approved by INCITS. It is responsible for ensuring accreditation, advancing the interests of the ICT sector and maintaining a viable, level playing field for furthering information technology.

The Executive Board oversees the operation of INCITS and has financial oversight of the organization. The Executive Board has final approval authority for recommendations from the Executive Board Committees, Technical Committees and all other IOEs. The Executive Board is responsible for establishing and maintaining INCITS policies and procedures.

### **1.5.1 Executive Board Membership**

Membership is by organization<sup>2</sup> and the member organization will appoint its principal representative and one or more alternates. Membership in the Executive Board is required for participation in all Executive Board Committees. Also see Section 8.13, Limits on Voting Membership.

Voting membership in the Executive Board is open to organizations directly and materially affected by the scope of INCITS' work that are willing to participate regularly and that have paid the designated service fee.

No representative shall have more than one vote except in the case where two or more organizations appoint the same individual to represent them (as principal or alternate representative). An individual so designated may cast a separate vote for each organization represented. Each organization shall confirm in writing to the INCITS Secretariat that it is aware of the multiple roles held by the individual and will accept the results of the arrangement. Representation of more than one organization by the same individual shall require the approval of the Executive Board, using a 14-day LB or meeting vote, with the 2/3 Voting Rule.

There are no voting or attendance requirements for retention of voting rights for the Executive Board, Executive Board Committees or Executive Board Study Groups.

### **1.5.2 Executive Board Officers**

#### **1.5.2.1 Executive Board Chair**

The Chair of the Executive Board is an elected position from the principal or alternate representatives of voting members on the Executive Board. The Executive Board Chair may not serve for more than two consecutive terms, each term consisting of 3 years. If a member's representative is elected as Executive Board Chair, that member may not provide another elected officer on the Executive Board.

#### **1.5.2.2 Executive Board Vice-Chair**

The Vice-Chair of the Executive Board is an elected position from the principal or alternate representatives of voting members on the Executive Board. The Executive Board Vice-Chair may serve an unlimited number of 3-year terms. If a member's representative is elected as Executive Board Vice-Chair, that member may not provide another elected officer on the Executive Board.

#### **1.5.2.3 Executive Board Secretary**

The Secretary of the Executive Board is appointed by the INCITS Secretariat.

### **1.5.3 Executive Board Committees**

Executive Board Committees have responsibility for key INCITS management activities and may hold U.S. TAG assignments; they make recommendations directly to the Executive Board.

Participation in Executive Board Committees is only open to representatives of Executive Board member organizations. Voting rights are achieved at the start of the first meeting attended.

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<sup>2</sup> See the definition of "organization" in 8.2, Glossary.

Except for the JAG TAG (JTC 1 Advisory Group), Chairs for these committees are elected by the Executive Board from the principal or alternate representatives of voting members on the Executive Board. Officers of Executive Board Committees may serve an unlimited number of three-year terms.

Except for the JAG TAG, the Executive Board Chair and Executive Board Vice-chair may not serve as a chair of these Executive Board Committees.

#### **1.5.3.1 Finance Board Committee (FBC)**

The Finance Board Committee is responsible for making recommendations to the Executive Board on all matters pertaining to INCITS finances.

#### **1.5.3.2 Procedures Board Committee (PBC)**

The Procedures Board Committee is responsible for making recommendations to the Executive Board on all matters pertaining to INCITS procedural documentation.

#### **1.5.3.3 JTC 1 Advisory Group (JAG) TAG**

The JAG TAG is responsible for establishing US positions on all matters pertaining to the JAG. The JAG TAG is also responsible for making recommendations to the Executive Board on all JTC 1 ballots originating from the JAG as well as JAG related JTC 1 Plenary agenda items. The JAG TAG shall be the US TAG to the JAG. The Chair of the JAG TAG shall be the Executive Board Chair, the Executive Board Vice Chair or someone appointed by the Executive Board Chair.

#### **1.5.3.4 Executive Board Study Groups (SG)**

The Executive Board may establish an Executive Board Study Group to investigate a general sub-area of information processing technology, to assess trends and relationships, and to provide advisory study reports. An SG may also be established to conduct a study of a proposal for an INCITS standards development project, or group of related projects, or for similar projects leading to INCITS or ANSI TRs.

SGs have responsibility for specific areas described in their charter and may hold TAG assignments; they may make recommendations directly to the Executive Board.

Only the Executive Board may assign a TAG responsibility to an SG. When an SG serves as a U.S. TAG, the procedures in Section 10, International Standards Development Procedures, shall be followed.

Upon completion of its assignment, the group is disbanded.

Unless otherwise specified in the SG charter, SG Chairs are elected by the Executive Board and may serve an unlimited number of three-year terms.

#### **1.5.3.5 Executive Board Executive Session**

Representatives of INCITS Executive Board members and invitees of the Executive Board in attendance at executive sessions are required to maintain the confidentiality of the discussion. They may share the discussion with their INCITS Executive Board representatives, and if necessary appropriate others in their organization (e.g. management, legal counsel, and subject matter experts).

Entering into executive session can be done by a declaration from the chair or by motion.

There shall be no minutes, unless otherwise determined by the INCITS Executive Board.

#### 1.5.4 Executive Board Membership

Applications for Executive Board membership shall be made in writing to the INCITS Secretariat. Applicants shall state their reasons for interest and their organization's interest category, using the list defined below.

Applications for membership in an Executive Board Committee (and notifications of membership changes, such as the designation of representatives or interest categories) shall be made either in writing to the INCITS Secretariat and the Executive Board Chair, or through the INCITS Committee Management System (ICMS).

ANSI accreditation requires that the consensus body (the Executive Board) not be dominated by any single interest category, individual or organization. No test for dominance in the Executive Board is required unless it is claimed in writing by a directly and materially affected party that a single interest category, individual or organization dominated the standards development process.

ANSI accreditation requires the standards development process to have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance. If a consensus body lacks balance in accordance with the historical criteria for balance<sup>3</sup>, and no specific alternative formulation of balance was approved by the ANSI Executive Standards Council, outreach to achieve balance shall be undertaken.

Membership Interest Categories are defined below and each applicant for Executive Board membership shall declare an appropriate category at the time they apply for membership.

- **Producer – Hardware**  
This category primarily produces hardware products for the Information and Communications Technology (ICT) marketplace.
- **Producer – Software**  
This category primarily produces software products for the ICT marketplace.
- **Producer – General**  
This category is for organizations that produce both hardware and software products for the ICT marketplace.
- **Distributor**  
This category is for distributors, resellers or retailers of products/services in the ICT marketplace.
- **Service Provider**  
This category provides design, documentation, testing, training or other services to the ICT marketplace.
- **User**  
This category includes entities that primarily rely on standards in the use of products/services, as opposed to producing or distributing products/services.
- **Consultants**  
This category is for organizations whose principal activity is in providing consulting services to other organizations.

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<sup>3</sup> See ANSI Essential Requirements, 2.3 “Balance”: *Historically, the criteria for balance are that a) no single interest category constitutes more than one-third of the membership of a consensus body dealing with safety-related standards or b) no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards.*



- **Government**  
This category includes any government agency or subdivision (whether at the municipal, local, state or federal level).
- **Standards Development Organizations and Consortia**
  - **“Major”**  
an SDO or Consortia that holds one or more Subcommittee (SC) TAG assignments, or
  - **“Minor”**  
an SDO or Consortia that (a) holds no TAG assignments; or (b) holds no SC TAG assignments but does hold one or more Work Group (WG) or other subsidiary TAG assignments.
- **Academic Institution**  
This category is for organizations that include educational institutions, higher education schools or research programs.
- **General Interest**  
This category includes all organizations that do not meet the criteria defined in one of the other interest categories.

A table of current fees for Executive Board membership is located at:  
<http://www.incits.org/participation/membership-info>.

## 2. Task Group and Ad Hoc

### 2.1.1 Task Groups (TG)

TCs may establish TGs as required to deal with specific segments of work. The TC may form a TG to develop one or more related standards and/or technical reports, or a portion of one standard, or to collect data or study a particular problem to facilitate decisions.

Establishment of a TG is approved by vote of the TC with notification to the Executive Board.

All reports of establishment of TGs must include the proposed scope and program of work for the TG when it is forwarded to the Executive Board.

Upon approval of its parent TC and written notification to the INCITS Secretariat, a TG may be delegated complete responsibility for its projects internationally and be assigned corresponding TAG assignments. In these cases, the TG may input directly to the international SC or WG with notification to its parent TC. These TGs shall follow 9.3.3.3, Task Group Voting Methods and Approval Criteria, in all instances.

### 2.1.2 Ad Hoc

An Ad Hoc may be established by the Chair of the Executive Board, a Technical Committee, or a Task Group for one or more specific short-term tasks. Its function is to do a specific job and report back to the parent body.

Membership in an Ad Hoc is limited to members of the parent body, unless approved by the Chair of the parent body. Ad Hoc Chairs are appointed by the Chair of the parent body.

At each meeting of the parent body which constituted the Ad Hoc, an existing Ad Hoc shall either be reconstituted or dissolved.

The minutes of each parent body meeting shall include a section listing all created or reconstituted ad hocs that exist as of the end of the meeting. For each ad hoc shown, the minutes shall include a list of all

individual ad hoc members, and further indicate whether the individuals are members of the parent body or not.

Since an Ad Hoc is limited in duration and scope, its business may be conducted less formally than that of INCITS Organizational Entities (IOEs). The principal record-keeping effort should be the documentation of its meeting report. Meeting notices and agendas for Ad Hoc shall be distributed in advance of meetings on a schedule suitable for Ad Hoc planning.

## **3 Officer Appointments**

### **3.1.1 General Procedures**

At the time an IOE elected officer position becomes vacant or within six months prior to an incumbent officer's term expiring, a call for volunteers for candidates to fill the officer position shall be issued to the IOE.

In the event of two or more officer positions from an IOE being filled at the same time, the INCITS Secretariat shall stagger the IOE officer appointment process for those offices (i.e., conclude one election before closing the call for another position) in order to allow candidates to apply for more than one vacancy.

When a new IOE is formed, the INCITS Secretariat shall appoint a convenor and issue a call for volunteers for candidates to fill the officer positions. Until a Chair has been elected, the convenor shall perform the duties of the Chair.

Each volunteer candidate, whether for appointment or reappointment, must submit to the INCITS Secretariat the following documentation in support of their candidacy:

- a statement of experience, indicating the volunteer's expertise in the IOE's program of work, voluntary standards efforts, committee experience, and leadership abilities;
- a statement of management support acknowledging the additional workload, financial resources, and duties required of an officer over and above that of a technical participant; and
- a statement as to whether or not the candidate is a representative of a U.S. National Interested Party.

Elected officers of IOEs with U.S. TAG responsibilities shall be a U.S. National Interested Party. Statements of management support on behalf of officer candidates must be submitted from those organizations that are affected by the additional workload and financial resources required. Letters of management support should indicate a commitment for at least one year, although commitment for the full term of office is preferred.

### **3.1.2 TC, TG, and SG Officer Appointments**

The Executive Board and USNC TMC is the officer appointment body for Chair positions in all TCs, TGs and SGs. When qualified candidate(s) apply for the position, the INCITS Secretariat shall issue a TC, TG or SG advisory fourteen-day letter ballot (LB). This LB shall contain the names of all qualified candidates with a request to indicate the candidate that the member prefers to fill the vacant position; or in the case of a single candidate, whether that candidate should fill the position. The results of TC, TG or SG LBs

are confidential and are provided only as advisory information to the Executive Board in the appointment process.

The Secretariat shall furnish the Executive Board the documentation provided by the candidates and the summary of the results of the advisory TC, TG or SG LB and the Executive Board shall take final appointment action.

When Executive Board appointment action is completed, the information should be forwarded to USNC Office for final approval. Once approved by USNC TMC, the INCITS Secretariat shall advise the TC, TG or SG and the candidates. The individual appointed shall assume the officer position upon completion of the term of the incumbent, or, if the officer position is vacant or the incumbent's term has expired, the individual appointed shall assume the officer position immediately.

#### **4. INCITS Technical Committee and Task Group Technical Advisor (TA)/Chair and Deputy Technical Advisor (DTA)/Vice-Chair**

TC and TG Chairs shall be representatives of voting members of the respective Technical Committee or Task Group, nominated by the INCITS Executive Board and approved by USNC TMC, and may serve an indefinite number of three-year terms subject to approval by INCITS Executive Board and USNC TMC. Chairs may vote and participate according to membership rules. The TA may serve as Chair of the USNC TAG and Co-TAs may also be appointed where appropriate.

Upon recommendation of the USNC TAG, or TA, if so authorized by the INCITS Executive Board, one or more Deputy Technical Advisors (DTAs) may be appointed by the TMC. The DTA shall work with the TA in accordance with any agreement reached between them. The DTA may attend meetings of the TMC and shall have the privilege of the floor. The term of office for the DTA should be concurrent with that of the TA and he/she may be reappointed. The USNC Office shall notify all members of the USNC of each appointment.

INCITS Executive Board and TMC shall make all decisions concerning the appointment of TAs and DTAs, including their continuation, reappointment, and, if necessary, withdrawal for cause.

Candidates for TA and DTA, submitted to the USNC Office, shall include:

- a) a nomination confirming the endorsement by INCITS Executive Board;
- b) complete contact information of the candidate(s) (i.e. affiliation, mailing address, phone, fax, and email information);
- c) a brief biographical sketch (curriculum vitae); and
- d) a statement of support from the candidate's employer.

##### **4.1 Qualifications of TAs and DTAs**

The following are essential attributes that make somebody suitable for appointment to a TA or DTA position. An appointed TA or DTA no longer qualified as defined in this paragraph may no longer serve as a TA or DTA.

- a) technical expertise in the subject area
- b) knowledge of and recognition by the concerned part(s) of the U.S. industry sector

- c) negotiating skills
- d) financial and administrative support for travel and activities
- e) ability to conduct business electronically
- f) understanding of the ISO and IEC, specifically JTC 1 standards development process
- g) Voting membership in INCITS TCs and TGs

Candidates for a TA or DTA position that do not possess a particular attribute will need specific support from specified members of the INCITS Executive Board or the INCITS Secretariat in those deficient areas.

## 4.2 Responsibilities of TAs/Chairs

A TA is responsible for presiding at meetings and ensuring that the program of work for that body is carried out in a prompt, efficient, and effective manner in accordance with objectives and these procedures. A TA will perform the following functions and fulfill the following responsibilities: *(Note: A number of these responsibilities may be carried out by the TA, the DTA, the International Representative, Treasurer, Project Editor for each project, Liaisons, others (Ad hoc Group Chair), the Head of Delegation to an ISO/IEC JTC 1 SC meeting, or the INCITS Secretariat.)*

- a) Recommend an initial roster of a newly formed USNC TAG which shall be subject to approval by the INCITS Secretariat and USNC Office.
- b) Guide the USNC TAG in selecting qualified delegates to international meetings.
- c) Arrange for the distribution of ISO/IEC JTC 1 documents to USNC TAG members and identified national interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the INCITS Executive Board and USNC Office, to the IEC Central Office when such documents are necessary or desirable. When requested by a WG expert, arrange for distribution of appropriate WG documents to the USNC TAG for collection and preparation of suitable documents for transmission through the WG expert.
- d) In collaboration with the INCITS Secretariat:
  - i. Post documents in ICMS and distribute to the committee, record meeting attendance in ICMS, and review the ICMS action items as appropriate
  - ii. Prepare or cause the preparation of a draft U.S. position (comments or votes) on issues being considered in ISO/IEC JTC 1 Sub-committee for deliberation within the USNC TAG
  - iii. Encourage such deliberations so as to come to a USNC TAG consensus position on each issue
- e) Make certain that the USNC TAG consensus position is forwarded to the USNC Office for transmission to IEC in a timely manner (i.e. typically one week in advance of the IEC deadlines so as to allow for the USNC Office processing, IEC Central Office processing, and to provide some safety margin to accommodate unforeseen events such as miscommunications).
- f) Initiate action by the USNC TAG to identify U.S. experts who can participate on desired Working Groups (WG), Maintenance Teams (MT), and Project Teams (PT).
- g) Arrange for existing U.S. national standards to be used as initial discussion drafts in related ISO/IEC committees, wherever appropriate and with the authorization of the standards developing organization.

- h) Maintain liaison with other TAs and INCITS Technical Committee Chairs where required for consistency in U.S. positions for agreement on basic policies, or where they have mutual interests.
- i) Anticipate future programs of JTC 1 SC to permit the maximum possible time for establishing a U.S. consensus.
- j) Monitor IEC organizational changes and recommend the necessary steps to acquire additional Secretariats and other leadership roles (Chairs, Vice Chairs, Convenors, etc.) for the U.S to INCITS Executive Board.
- k) Keep all U.S. participants acquainted with the work and the disposition of their recommendations, nominations, determinations, proposals, and positions.
- l) Provide for the continuity of U.S. participation.
- m) Assure that a U.S. position is presented for each agenda item at a given meeting of a ISO/IEC JTC 1 SC.
- n) Assure that the consensus of the USNC TAG is represented in U.S. positions and in oral opinions expressed by the USNC delegations to JTC 1 SC meetings.
- o) Keep INCITS Executive Board and USNC TMC informed about significant issues related to the JTC 1 SC's work at the IEC level or within the USNC TAG. It is especially important that the TA consult with the INCITS Executive Board and TMC on:
  - i. Matters involving the proper organization and operation of the USNC TAG.
  - ii. Difficulties in finding delegates to international meetings or in obtaining financial support for such delegates.
  - iii. The U.S. response to "Questions of Principle" shown on reports of the TC/SC.
  - iv. Proposals for:
    - a. Committee Secretariat and possible USNC acceptance
    - b. Committee Chairs
    - c. Hosting of Committee meetings in the U.S.
- p) Ensure compliance with the USNC TAG's procedures and the USNC's Statutes and Rules of Procedure, in concert with the INCITS Secretariat.
- q) Report to the USNC TAG on the status, progress and outcome of USNC TAG submissions to IEC in a timely manner.
- r) Agree to advance USNC TAG positions in ISO/IEC JTC 1.
- s) Send timely jeopardy notices on endangered memberships
- t) . Represent the committee to other INCITS committees and external organizations.
- u) Prepare and forward to the INCITS Secretariat press releases and other publicity material about the committee's 'Program of Work' and actively promote the work
- v) Noting that responsibilities may be delegated and redistributed, the Chair appoints:
  - o Vice Chair
  - o Secretary

- International Representative
  - Treasurer
  - Project Editor(s) for each project, as appropriate
  - Liaisons
  - Head of Delegation for each international meeting
  - Other (e.g., ad hoc group Chair)
- w) Schedule subgroup meetings as far in advance as possible, ideally for a full calendar year; ensure administrative meeting arrangements are addressed; and update the INCITS Committee Management System (ICMS) Calendar
- x) Attend all required training session and ensure all officers attend required training sessions (e.g., INCITS Committee Management System (ICMS), officer tutorial)
- y) Ensure any subsidiary USNC TAGs developed internal procedures (proposed or revised) are submitted to the Secretariat for review and approval by the Executive Board and USNC TMC prior to implementation
- z) Prepare the Annual Report:
- a) The Annual Report is prepared in accordance with the template and should include a financial statement, if applicable.
  - b) Attend the annual officer's symposium. This responsibility may be delegated to another committee officer, if necessary.

#### **4.3 Responsibilities of DTA/Vice-Chair**

1. In the absence of the Chair, perform the duties of the Chair.
2. Act as committee administrator (unless otherwise assigned) and be responsible for administrative duties.
  - a) Register and distribute documents related to committee work using ICMS.
  - b) Prepare and distribute meeting notices and agendas in accordance with the procedures, in consultation with the Chair.
  - c) Record attendance in ICMS and notify the Chair of any individual requiring membership jeopardy notice.
  - d) Notify the INCITS Secretariat of changes in the committee membership.
3. May review documents prior to posting in ICMS for legibility, clarity, accuracy, and appropriateness.
4. Reviews the ICMS Action Items and coordinates action with the Chair and the International Representative.
5. Attend required training sessions.

#### **4.4 Officer Recall Procedures**

When circumstances require, it is the responsibility of the Executive Board to provide a recommendation to USNC Office to recall a USNC TAG Officer. The following procedures apply:

- Formal consideration of corrective action or recall begins with a written communication between a concerned party and the INCITS Secretariat. The matter is discussed in executive session at the next Executive Board meeting, and at that time the Executive Board shall decide whether sufficient grounds exist to investigate it.
- If it is decided to investigate the matter, the INCITS Secretariat shall notify in writing the officer involved. An Executive Board member is designated to follow up on the original communication to the INCITS Secretariat, discuss the matter with the officer involved, gather other information and opinions, as appropriate, and make a report in executive session at the next Executive Board meeting. At that time, the Executive Board decides whether to take no further action, to continue its investigation or to recall the officer involved. In any case, the officer involved is notified in writing. The Executive Board decision should be reported to USNC Office for final decision.

## **5. USNC Technical Advisory Groups (USNC TAGs)**

### **5.1 Criteria for Viability**

A viable USNC TAG is defined as one that has:

- a) an appointed USNC TAG Administrator that is an ANSI Member (organization, company, or government agency) or that pays the equivalent fee;
- b) an appointed TA/chair;
- c) an appointed USNC TAG Secretary;
- d) Four (4) or more Voting Members, including those who have paid requisite fees and those with approved waivers (such as Resource Experts and Consumer Advocates); and
- e) TMC-endorsed USNC TAG Operating Procedures (MOPs or Unique).

### **5.2 USNC TAG Validation Process**

Each USNC TAG must either formally adopt USNC Model Operating Procedures or formally adopt Unique Operating Procedures developed by the INCITS Procedures Board Committee (PBC). Newly established USNC TAGs must have approved USNC TAG Operating Procedures prior to the third USNC TAG meeting.

The criteria for any USNC TAG -developed Unique Operating Procedures is that all subjects addressed in these Model Operating Procedures shall be addressed in the USNC TAG -developed Unique Operating Procedures. In addition, their requirements shall be the same as or more stringent than those in these Model Operating Procedures.

The USNC TAG's approved Unique Operating Procedures must be submitted to the USNC Office in writing for consideration and endorsement by the Subcommittee on Operating Procedures prior to submission to the TMC for approval.

The following USNC TAG Operating Procedures Submittal Package of Information shall be provided by the INCITS Secretariat to the USNC Office electronically:

The INCITS Secretariat's assertion that either:

- a) the Model Operating Procedures are used by the USNC TAG, or
- b) Unique Operating Procedures are used by the USNC TAG;

- a. A copy of the INCITS Executive Board minutes or vote results that shows the USNC TAG's approval of the Operating Procedures being used; and
- b. When Unique Operating Procedures are used, a copy of such Procedures including, on the title page, the title and numerical designation of the related USNC TAG to ISO/IEC JTC 1 Subcommittee.

### 5.3 USNC TAG Revalidation Process

Revalidation is required if the USNC TAG no longer utilizes the Model Operating Procedures and develops Unique Operating Procedures. USNC TAGs that have been certified under Unique Operating Procedures must be revalidated when and if those Procedures are revised substantively.

Revalidation is also required for all USNC TAGs upon significant revision of USNC Model Operating Procedures. Sufficient time will be provided to revalidate.

*Note:* It is anticipated that INCITS Secretariat will be reminded annually of their obligations to revalidate by the USNC office.

### 5.4 Amendments to USNC TAG Operating Procedures

The Executive Board may change these policies and procedures or adopt additional policies and procedures at any time (hereinafter "Amendment"), subject to the following.

Any Amendment to these procedures shall be originated by the PBC. Prior to submitting the Amendment to the Executive Board for consideration, the PBC shall initiate a notice and comment period of not less than 30 days to PBC and USNC TAG, and shall consider any comments received in its proposal that it submits to the Executive Board; the Executive Board shall then vote by a 14-day LB using the 2/3 Voting Rule.

If the Executive Board votes to approve the proposed Amendment, the Executive Board shall submit the Amendment to USNC TMC for approval. If USNC approves the proposed Amendment, the Executive Board shall provide Members with a notice period of not less than fourteen (14) days before the Amendment will go into effect.

No such duly adopted Amendment shall have any retroactive effect. In the event that the Member does not wish to be bound by any such Amendment, it may terminate its membership in the manner set forth in the Membership Agreement.

## 6. USNC TAG Functions and Responsibilities

Any entity designated as a USNC TAG for an ISO/IEC JTC 1 Subcommittee, Working Group or Project shall be responsible for all U.S. matters relating to the corresponding international group, except as provided for in these procedures.

For all votes, recommendations, comments, and contributions (including contributions and comments from individual experts nominated by the U.S. to participate in Working Groups) the procedures for developing a U.S. position and submitting documents shall be in accordance with these procedures.

In collaboration with INCITS Executive Board, the responsibilities of a USNC TAG are the following:

- a) Nominate a Technical Advisor (TA)/Chair or Co-Technical Advisors, and Deputy Technical Advisor(s) as appropriate.



- b) Recommend registration of the USNC as a participating (“P”) member of an ISO/IEC JTC 1SC, or recommend a change in membership status.
- c) Approve U.S. new work item proposal (NP) and Maintenance Items for submittal to ISO/IEC JTC 1SC for consideration.
- d) Establish the U.S. consensus positions on an IEC Document for Comment (DC), New Work Item Proposal (NP), Committee Draft (CD), and Committee Draft for Vote (CDV), Final Draft International Standard (FDIS), and other appropriate IEC documents.
- e) Identify USNC TAG members to become U.S. delegates to ISO/IEC JTC 1SC meetings, confirm Head of Delegations or designate alternate Heads of Delegations and members of the delegations.
- f) Determine U.S. consensus positions on agenda items of ISO/IEC JTC 1 SC meetings and advise the U.S. delegation to represent these positions and of any flexibility that may exist concerning them.
- g) Appoint experts to MTs, PTs, WGs, and AHGs who act in a personal capacity and not as the official representative of the U.S. It is recommended they keep close contact with the applicable USNC TAG in order to inform them and receive feedback about the progress of the work and of the various opinions in the working group at the earliest possible stage.
- h) Appoint U.S. Experts, nominate Project Leaders and Conveners to serve on IEC SC working groups and similar groups<sup>4</sup>.
- i) Provide assistance to U.S. Secretaries of ISO/IEC JTC 1SCs, upon request, including resolving comments on DCs, NPs, WDs, CDs, CDVs, and FDISs.
- j) Identify and establish close liaison with other USNC TAGs in related fields, or identify ISO or IEC activities that may overlap the USNC TAG’s scope. *(See ANNEX A – Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees)*
- k) Recommend to USNC the acceptance of Secretariats for ISO/IEC JTC 1SCs after considering the obligations and responsibilities that include individuals with related expertise and source of secretarial services with funding.
- l) Recommend that USNC invite ISO/IEC JTC 1 SCs to meet in the U.S. after considering the obligations and responsibilities, which include available facilities and funding.
- m) Recommend to USNC, U.S. candidates for Chairs of IEC SCs, or SyCs after considering the obligations and responsibilities of that office and whether a candidate has the experience, time, and funding.
- n) For an existing USNC TAG, when the need for a new USNC TAG Administrator arises, the USNC TAG may recommend an entity to INCITS Executive Board and the TMC.
- o) Appropriate liaisons shall be maintained among TAGs on related activities.

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<sup>4</sup> When the USNC has the opportunity to appoint Conveners or Experts to IEC WGs, PTs, MTs, etc. it is the responsibility of the related USTAG to select the best qualified individual(s) for the position. Such individuals shall be adequately supported to accomplish their mission. The names and addresses of the nominees are submitted by the TA/USTAG Secretary to the USNC office, which in turn officially makes the appointment in the Expert Management System (EMS). Changes in U.S. Experts on these groups shall be processed by the USNC office.

## 7. USNC TAG Administrator / USNC TAG Secretary

### 7.1 USNC TAG Administrator

The USNC TAG shall be administered by INCITS Secretariat appointed by the INCITS Executive Board and USNC/TMC.

*Note:* When a new IEC Technical Committee, Subcommittee, or Systems Committee is established on which the USNC is registered as a Participating Member or when a currently assigned USNC TAG Administrator/Secretariat is relinquishing that responsibility, the USNC Office will invite, via ANSI's *Standards Action* publication, expressions of interest in this assignment from qualified entities.

### 7.2 USNC TAG Secretary

The INCITS Secretariat shall appoint a USNC TAG Secretary, an individual who is responsible for the day-to-day administration of the USNC TAG.

Neither the INCITS Secretariat nor the USNC TAG Secretary has veto power over the decisions of the USNC TAG.

Among the responsibilities of the USNC TAG Secretary are the following:

- a) Support the TA/chair in organizing and maintaining the USNC TAG.
- b) Provide for administrative services, including arrangements for USNC TAG meetings, timely preparation and distribution of documents related to the work of the USNC TAG, and maintenance of appropriate records, including USNC TAG rosters, minutes of meetings and voting results.<sup>5</sup> Requires full electronic document handling and communication capability to meet USNC and ISO/IEC JTC 1 requirements.
- c) In accordance with ISO/IEC JTC 1, USNC, and its own approved procedures, arrange for the distribution of IEC documents to USNC TAG members, identified interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the USNC Office, to the IEC Central Office when such documents are necessary or desirable. When requested by a U.S.-Appointed Expert, arrange for distribution of appropriate MT, PT, and WG documents to the USNC TAG for preparation of suitable comments for the Expert.
- d) Transmittal of U.S. positions on relevant ISO/IEC JTC 1 SC issues and votes to the USNC Office.
- e) Work to maintain the viability of the USNC TAG as part of the USNC TAG Participation Fee Program.
- f) Ensure compliance with the USNC TAG's Procedures and the USNC's Statutes and Rules of Procedures, in concert with the TA.
- g) Transcribe meeting minutes in consultation with the Chair and Vice-Chair.

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<sup>5</sup> As of the date of approval of these Procedures, the ANSI recommended records retention guideline is as follows: "Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised, or reaffirmed IEC Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal."

- h) Submit minutes to the INCITS Secretariat for review and approval within two weeks of the meeting. Minutes shall be approved by the INCITS Secretariat prior to distribution to the committee.
- i) Attend required training sessions.

### **7.3. Officers**

There shall be a Chair, who may be the TA, and other Officers if desired, appointed by the TA from the individual members of the USNC TAG, subject to voting rules outlined in Section 9. Each will serve until a successor is selected and ready to serve.

## **8. Membership**

Membership shall be open to all U.S. national interested parties who indicate that they are directly and materially affected by the activity of the USNC TAG, after being informed concerning the USNC TAG's working procedures and scope of activities. Only U.S. National Interested Parties shall have voting membership on USNC TAG. Prospective members may attend one meeting of a USNC TAG before requesting membership. In that meeting, the prospective member shall not be entitled to vote or exercise other benefits of INCITS membership.

There shall be no undue financial barriers to participation. The USNC and INCITS assesses an Individual Participation Fee annually. Some categories of membership are exempt from this fee, e.g. Resource Experts, USNC Honorary Life Members, Consumer Advocates, etc. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

INCITS membership fees are not refundable.

Any organization believing there is justification to obtain a full or partial waiver of the INCITS Secretariat service fee may apply in writing to the INCITS Secretariat. The requester should provide documentation that would enable the INCITS Secretariat to make a recommendation to the President of ITI for final action. Waiver requests shall be handled in strict confidence. Results of the request are conveyed directly to the requester and are not reported to any other individual or group.

### **8.1 Maintenance of Rosters**

The USNC Office shall be the office of record for USNC TAG membership rosters with assistance from INCITS Secretariat. An individual becomes a USNC TAG member only upon completion of the requirements below, payment of any fees, and upon addition to the USNC Roster.

### **8.2 Application**

The [online membership application](#) found in ICMS may be used for SG, TC and TG membership applications. An organization may be a member of a particular TC or a TG without regard to membership in any other IOE. Voting membership in TCs, TGs, and SGs is open to all directly and materially affected parties that meet attendance and voting requirements and pay the designated service fee(s).

The definition of "organization" for membership and voting purposes is specified in Glossary.

An INCITS Membership agreement shall be signed and returned by an authorized individual or legal counsel of the organization prior to your membership request being processed.

A representative of a prospective voting member shall initially attend a meeting without voting privileges and reaffirm interest in the work of INCITS. Voting privileges for the organization become effective immediately with execution of the INCITS Membership Agreement, attendance by designated representatives at one of the next two successive meetings and upon receipt by the Secretariat of applicable fees for the membership year. Failure to attend one of those two successive meetings constitutes suspension of the application for voting membership. To resume the process, the organization must attend two of three sequential meetings to obtain voting membership.

Note: Applicants are expected to understand and abide by the ANSI conflict of interest policy, this document, INCITS policies, INCITS anti-trust guidelines, INCITS patent policy, and INCITS patent declaration form.

### **8.3 Recommendation**

The TA / INCITS Secretariat shall consider:

- a) the appropriateness of the involvement of each interest in the work of the USNC TAG
- b) the potential for dominance by a single interest
- c) the extent of interest expressed by the applicant, and the applicant's willingness to participate actively

### **8.4 Diverse Interests**

The policy of "One Organization, One Vote" applies. If, however, representatives from distinct entities of an organization can demonstrate independent interests and authority to make independent decisions in the area of the activity of the USNC TAG, each may apply for membership.

### **8.5 Combined Interests**

When appropriate, INCITS Secretariat may recommend that the applicant seek representation through an organization that is already represented by a member who represents the same or similar interests.

### **8.6 Resource Expert**

A USNC TAG shall be allowed to designate, each year, one individual as a "Resource Expert" (RE). If a USNC TAG wishes to nominate an additional RE, justification must be submitted to the INCITS Executive Board and USNC Office. The RE should be an individual whose knowledge and expertise are deemed vital for the USNC TAG's work and is unable to obtain the needed funding for USNC TAG membership from their employer or other sources. This RE shall be exempt from paying the applicable annual USNC TAG Participation Fee. The USNC TAG RE shall be nominated by the TA, elected by vote of the USNC TAG and INCITS Executive Board, and confirmed by the USNC Office for a period of one year. The RE shall count towards the minimum number of USNC TAG participants required to establish a viable USNC TAG.

### **8.7 Participation in International Working Groups and Study Groups**

All U.S. experts who participate in international WGs and SGs shall be:

- representatives of voting or advisory members in Good Standing of the appropriate USNC TAG;
- individual experts who are not members of the TAG; however, all persons participating in this capacity shall not participate for more than a single 6-month period; or

- Emeritus Members of the appropriate U.S. TAG, if approved by the Executive Board to participate in the WG or SG.

Such individuals are expected to conduct themselves in a professional manner. A USNC TAG member wishing to be appointed by the U.S. as an expert to a particular MT/PT/WG shall submit a request to the INCITS Secretariat accompanied by:

- a) A Curriculum Vitae (CV) highlighting experience in the specific technical area
- b) A letter from the applicant's employer confirming support for the participation

The INCITS Secretariat shall circulate a ballot to the USNC TAG along with a copy of the CV to confirm support for the U.S. appointment. The ballot should highlight the following areas for consideration by USNC TAG members:

- a) Experts should have significant experience in the subject, as technical expertise in the subject of the Maintenance Team, Project Team, or Working Group is critical
- b) Experts should be involved in national standardization for the subject
- c) Experts should represent personal knowledge, not company or national position
- d) Experts should have strong communication skills
- e) Experts should be able to travel and participate in meetings
- f) Experts are expected to actively participate in the development of U.S. comments
- g) Multiple experts from the same company division, product line, or service line should be avoided except when transitioning from one expert to another, such as due to an impending retirement
- h) Balance between interest groups such as those shown below is desirable, but may not be practical:
  - i. **Producer** - Individuals who are involved in the production, manufacture, or distribution of the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG. This includes individuals involved in the design, engineering support, manufacturing, testing, and/or marketing of the type of product or system; or who are employed by or represent a producer, manufacturer, or distribution of the type of product or system.
  - ii. **User** - Individuals who are involved in using the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG, but who are not involved with the production, manufacture or distribution of that type of product or system.
  - iii. **Testing / Certification** - Individuals who represent organizations that provide testing, assessment and/or certification of the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG.
  - iv. **Regulatory / Inspection** - Individuals who represent governmental entities having regulatory or inspection interest in or influence over the type of product or system that is included in the Scope of the standard(s) under the purview of the MT/PT/WG.

- v. **Special Expert** - Individuals who have expertise in an aspect of the type of product or system that are not covered by another interest group.

After a positive vote of the USNC TAG, the INCITS Secretariat will notify the USNC Office of the proposed appointment using the designated USNC Expert Appointment form. The USNC Office will then confirm USNC TAG membership. The official appointment will be made in the IEC Expert Management System.

The INCITS Secretariat maintains a list of approved experts along with the appropriate ISO/IEC Stakeholder Categories for each expert and shall coordinate updates to the expert list with USNC. This information shall be entered into the IEC Expert Management System in order for the expert to be considered a member of the international group, attend meetings and receive documents. There are no national body delegations in international WG and SG meetings.

A U.S. person who holds an international officer position as Chair or Convenor of a Working Group or Study Group shall not act as U.S. Head of Delegation or chief spokesperson to that group or to its parent.

No U.S. persons are permitted at an international meeting unless they are approved U.S. experts to the WG or SG, officers of the WG or SG, or designated representatives of other organizations participating in the meeting.

### **8.8 Appointed Delegates to ISO/IEC JTC 1 SC Meetings**

All delegates to ISO/IEC JTC 1 SC meetings shall be members of the USNC TAG. Such delegates are expected to conduct themselves in a professional manner. Observers to JTC 1 SC meetings need not be members of the USNC TAG but shall be approved by the USNC TAG.

### **8.9 Consumer Advocate**

Annually, a USNC TAG can nominate one Consumer Advocate to the USNC Office and, with the endorsement of the INCITS Executive Board and USNC TMC in accordance with the related Fee Waiver Procedure, the annual USNC TAG Individual Participation Fee can be waived. An authorized Consumer Advocate shall count towards the minimum number of USNC TAG participants required to establish a viable USNC TAG.

### **8.10 Representation of Interests**

All directly and materially affected U.S. national interested parties shall have the opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase “without dominance by any single interest” normally will be satisfied if a reasonable balance among interests can be achieved.

Unless it is claimed by a directly and materially affected person that a single interest dominated the standards activity, to the exclusion of fair and equitable consideration of other viewpoints, no test for dominance is required.

### **8.11 Membership Roster**

The INCITS Secretariat shall maintain a roster of USNC TAG participants:

The roster shall include the following:

- a) title and designation of the USNC TAG
- b) Technical Advisor(s)
- c) Deputy Technical Advisor(s) (same as for TA)
- d) USNC TAG Administrator/Secretariat
- e) Other USNC TAG Officers (if applicable)
- f) Voting Members, including USNC Honorary Life Members, Resource Experts, and Consumer Advocates and each individual's designated category
- g) U.S. Conveners and Experts
- h) Non-Voting Participants including:
  - i. Advisory Members
  - ii. Emeritus Members
  - iii. USNC TAG-appointed Liaisons
  - iv. Observers
  - v. Ex-officio Participants

The TA or INCITS Secretariat shall submit updates to the USNC Office ([USNC@ansi.org](mailto:USNC@ansi.org)) when changes occur. The roster shall include the affiliation, mailing, phone, and email information of each participant.

## **8.12 Membership Obligations**

Members are expected to participate actively by fulfilling attendance, voting, correspondence, paying dues and any other obligations. Members are expected to conduct themselves in a professional manner.

## **8.13 Limits on Voting Membership**

The following criteria apply to Voting Members.

### **8.13.1 Government**

There shall be only one voting membership for separate government subdivision or agency. A separate government subdivision or agency is defined as an entity that reports to its parent executive, legislative, or judicial branch of government.

Note: On TCs, TGs, and SGs, the U.S. Department of Defense (DoD) is allowed a maximum of four votes from separate and unrelated entities such as the Department of Army, Department of Navy, Department of Air Force, Defense Logistics Agency, Defense Mapping Agency, etc. This exception is due to the unique nature of the DoD and is, therefore, not considered a precedent for any further exceptions.

### **8.13.2 Academic Institutions**

There shall be only one voting membership for each separate educational institution. A separate educational institution is defined as an entity that has a controlling body, such as a Board of Regents.

### **8.13.3 SDOs, Consortia**

There shall be only one voting membership for each separate organization. For these entities, their principal and alternate representatives may be employed by other organizations that have voting memberships.

#### **8.13.4 All Other Organizations**

This category shall include Producer-General, Producer-Hardware, Producer-Software, Distributor, Service Provider, Users, Consultants and Other Organizations.

There shall be only one voting membership for each separate business entity or consultant.

For membership on the Executive Board, a business entity will not be considered separate if it is under the Control of another business entity. "Control" means direct or indirect beneficial ownership of or the right to exercise (i) greater than fifty percent (50%) of the voting stock of that entity, or (ii) greater than fifty percent (50%) of the ownership interest representing the right to make the decisions for that entity in the event that there is no voting stock or equity.

In order to be in the voting member category, consultant organizations shall declare that their participation is not being funded by any organization already having voting membership or by an organization that is not eligible for membership.

#### **8.13.5 Non-voting Members**

##### **8.13.5.1 Advisory Members**

All advisory memberships are non-voting memberships.

Any party that pays the designated service fee can be an advisory member of a TC, TG or SG; there are no Advisory Members of the Executive Board.

A party with advisory membership shall appoint one and only one principal representative and may appoint one or more alternate representatives.

##### **8.13.5.2 Emeritus Members**

The Emeritus Member title recognizes individuals for their extensive contribution to standards activities and enables INCITS to call on their extensive history and talent for continuity following their retirement from the ICT industry.

A nomination for appointment as an Emeritus Member shall be made either by resolution of the sponsoring TC, TG or SG; or by the INCITS Secretariat. The recommendation may be proposed once the individual meets the following requirements:

- must not be a representative of a dues-paying member of the committee;
- shall have served on an INCITS TC, TG or SG for a minimum of 10 years; and
- shall have made significant contributions to standards efforts.

The nomination shall include the following details:

- the time of service on the committee (dates);
- the organizational affiliation at the time of last participation on the committee;
- a history of the contribution made by the individual; and
- the date of retirement from the ICT industry.

Such recommendations shall be submitted to the INCITS Secretariat and forwarded to the Executive Board for consideration in a meeting.

Emeritus Members hold non-voting, non-dues-paying memberships in relation to a specific TC, TG or SG.



Individuals appointed as Emeritus Member shall continue to hold their Emeritus Member title as long as all requirements noted above are met. Emeritus Members may resign their position as described in Section 8.14, Resignation of Membership.

Emeritus Members shall not count in any calculations for quorum or voting in the TC, TG or SG. The TC, TG or SG's membership roster and Annual Report shall identify Emeritus Members.

### **8.13.5.3 Observers**

Prospective members may attend one meeting of an INCITS Organizational Entity (IOE) before requesting membership. In that meeting, the prospective member shall not be entitled to vote or exercise other benefits of INCITS membership.

### **8.13.5.4 Ex-Officio Participants**

USNC TAGs may include Ex-Officio participants by virtue of their office. These contacts are exempt from the USNC TAG Individual Participation Fee and do not vote. They include the following:

- a) U.S. Chair or Vice Chair of related ISO/IEC JTC 1 and ISO/IEC JTC 1 SCs
- b) U.S. Secretaries or Assistant Secretaries of related ISO/IEC JTC 1 and ISO/IEC JTC 1 SCs

Note: The INCITS Secretariat and ANSI JTC 1 Secretariat are ex officio non-voting members of the Executive Board.

### **8.13.5.5 Liaison Participants**

The Liaison is responsible for monitoring the activities of the liaison organization and disseminating relevant information from or about the liaison organization. USNC TAGs may designate Liaison participants from other bodies with which ongoing contact is desired.

Liaison relationships nominated by another organization shall be approved by the IOE. If specified in the Ad Hoc terms of reference, Liaisons may participate in Ad Hocs for that IOE.

There are no liaison members to the Executive Board or to the Executive Board Committees. If specified in the SG terms of reference, Liaisons may participate in SGs.

These contacts are exempt from the USNC TAG Individual Participation Fee and do not vote. They include the following:

- a) desired contacts for all Full IEC Members of FINCA (Forum of the IEC National Committees of the Americas), subject to the authorization of the related USNC TAG(s)
- b) entities with which the USNC TAG desires to maintain technical liaison

leadership for USNC TAG for ISO/IEC JTC 1 SC participating in the INCITS Executive Board, and the Leadership for the USNC TAG of the Executive Board participating in the USNC TAGs for the ISO/IEC JTC 1 SCs. This reciprocal relationship is highly recommended.

## **8.14 Resignation of Membership**

Resignation of membership in USNC TAG should be made by correspondence to the INCITS Secretariat and the TAG TA/Chair.

## **8.15 Termination of Membership**

### **8.15.1 Executive Board**

Members of the Executive Board shall be terminated by the INCITS Secretariat for failure to pay appropriate service fees within the time specified by the INCITS Secretariat.

### **8.15.2 TCs, TGs and SGs**

Voting Members of the TCs, TGs and SGs shall be warned in writing that their organizations' voting status is in jeopardy upon failure of the organization to:

1. attend two out of three successive meetings. If they are not represented at the next meeting, the organization is converted to Advisory status; or
2. return two out of three successive non accelerated LBs. If the next non accelerated LB (identified by LB number) after the warning is not returned, the organization is converted to Advisory status.

For Task Groups that do not have direct TAG authority, ballot jeopardy does not apply.

Jeopardy notices shall be issued to the member organization within two weeks of the second meeting missed or within two weeks of the second non-accelerated ballot not returned.

Voting and advisory memberships shall be canceled by the INCITS Secretariat for failure to pay appropriate service fees within the time specified by the INCITS Secretariat.

An organization that has had its voting membership converted to Advisory status or terminated may re-establish membership. If this membership is re-established within the same billing period and the organization has paid its fee, no new service fee shall be assessed by INCITS.

## **8.16 Review of Membership**

The INCITS Secretariat shall review the membership list annually. Members are expected to participate actively by fulfilling attendance, voting, correspondence, and other obligations. Where a member is found in default of these obligations, INCITS Secretariat and USNC Office may take an action in accordance with Section 8.15, Termination of Membership. The USNC Office and INCITS Secretariat shall coordinate the reconciliation of USNC TAG rosters on an annual basis.

## **8.17 Document Access and Membership Benefits**

Access to INCITS internal information shall be managed to facilitate the work of the committees, to enhance the value of INCITS membership, to maintain compliance with the INCITS IPR policy and to mitigate liabilities to the INCITS organization. Committees shall nominally make certain document types and membership benefits available according to the lists below.

By default, separate document registers are created for each TC and any TGs in that TC. Access is limited to the member of that INCITS TC or TG (or extended via the "public access" model described below). Alternatively, by a TC majority vote, the TC may choose one of two other access models:

- Separate registers are maintained for the TC and its subordinate TGs, but all members of the TC and its subordinate TGs have access to all document registers within the TC and TGs; or
- A single document register is maintained for the TC and all its subordinate TGs, and all members of the TC and its subordinate TGs have access to this one register.

Except for the document types listed as “Public”, all other document types are for internal INCITS use only and shall not be distributed to non-Members.

- a. Public (the following document types may be distributed to the general public)
  - i. Organization structure
  - ii. Program of work
  - iii. Membership list (by organization only)
  - iv. Press releases
  - v. Notification of new work, when approved
  - vi. Public TC home pages
  - vii. Meeting Calendar
  - viii. Meeting Notices and Agendas (posted/linked documents shall not be included)
- b. Executive Board Members
  - i. Appointed Principal and Alternate representatives have access to the Executive Board document register and documents that are shared with the committee. Principal and Alternate members may distribute INCITS documents within their member organization to the extent necessary to perform their INCITS roles and responsibilities.
  - ii. Eligible to attend or participate at meetings
  - iii. Representatives of voting members may serve as delegates to international meetings
  - iv. Representatives of voting members may hold national and international offices
- c. TC, TG and SG Members
  - i. Appointed Principal and Alternate representatives have access to the document register for their specific committees and documents that are shared with the committee. Principal and Alternate members may distribute INCITS documents within their member organization to the extent necessary to perform their INCITS roles and responsibilities.
  - ii. Eligible to attend or participate at meetings
  - iii. Representatives of voting members may serve as delegates to international meetings
  - iv. Representatives of voting members may hold national and international offices
- d. Advisory Members
  - i. Advisory members have access to the document register for their specific committees and documents that are shared with the committee. Advisory members may distribute INCITS documents within their member organization to the extent necessary to perform their INCITS roles and responsibilities.
  - ii. Eligible to attend or participate at meetings
- e. Liaisons from other Organizations
  - i. Liaisons have access to the document register for their specific committees and documents that are shared with the committee. Liaisons may distribute INCITS documents within their

- member organization to the extent necessary to perform their INCITS roles and responsibilities.
- ii. Eligible to attend or participate at meetings
- f. Ex-officio Members
- i. Ex-officio members have access to the document register for their specific committees and documents that are shared with the committee.
  - ii. Eligible to attend or participate at meetings
- g. Emeritus Members
- i. Emeritus members have access to the document register for their specific committees and documents that are shared with the committee.
  - ii. Eligible to attend or participate at meetings
  - iii. If approved by the Executive Board, Emeritus Members may be permitted to serve on delegations to international meetings but shall not serve as a U.S. Head of Delegation (HoD) or hold any international office.
  - iv. Emeritus Members shall not have the right to hold any office in INCITS or to participate in Executive Board activities.

By a 2/3 vote of the committee, TCs and their subgroups have the option, of making all documents available to the public, with the following exceptions:

- Confidential liaison reports and confidential documents from liaison organizations;
- Documents regarding personnel issues;
- ISO/IEC JTC 1 documents that are not publicly available; or
- International position documents.

By a 2/3 vote of the committee, a TC and its TGs may rescind its decision to utilize public access at any time. TCs and their TGs which choose to provide or rescind public access must notify the INCITS Secretariat within 30 days of their decision.

When documents normally restricted to members are made available to the public via access to the website or via participation in a reflector, the TC or TG shall ensure that a notification is accepted by the person seeking access (the “user”) before access is granted. The notification, which will be provided by the INCITS Secretariat, shall reference the INCITS Patent Policy, the INCITS Copyright Policy, and the INCITS Antitrust Guidelines as well as other pertinent Policies and Procedures. By accepting the notification, the user:

- Agrees that user has read the INCITS Patent Policy, INCITS Copyright Policy and the INCITS Antitrust Guidelines;
- Acknowledges that the activities of the committee are governed by the INCITS policies and procedures and USNC TAG policies and procedures for TAGs under USNC as specified in the reference documents available at [www.incits.org](http://www.incits.org); and
- Acknowledges that draft documents may change at any time, without notice.

When adopting this public access model, the TC or TG may allow short-term guest attendance at committee meetings in order to facilitate the work of the committee and to encourage membership growth. The committee shall require guest attendees to sign in and to acknowledge they have read the INCITS Patent Policy, the INCITS Copyright Policy and the INCITS Antitrust Guidelines, and that they

agree to follow INCITS policies and procedures. For meetings held electronically (such as teleconferences, webinars, etc.) a scan or a fax of the sign-in form from the guest prior to the start of the meeting shall be provided.

The Executive Board may at any time take actions which could include eliminating the use of public access by a TC, TG or assessing an increased fee for members of a committee that has chosen public access.

## 9. Meetings

### 9.1 Schedule of Meetings

USNC TAG shall meet at least twice a year, either by teleconference, face to face meetings, or combination of the two. Meetings of the USNC TAG shall be open to all members. USNC TAG members are responsible to fund their own participation at USNC TAG meetings. The USNC TAG Administrator is not required to fund any participation costs.

A duly called meeting is one for which the meeting notice and draft agenda are issued in accordance with Section 8.2, Meeting Notice and Draft Agenda. A duly called IOE meeting may be called by any of the following methods:

- The majority vote of those present at a prior meeting;
- The Chair;
- The INCITS Secretariat; or
- Written request to the Chair from a quorum of the voting members of the INCITS Organization Entity.

Each agenda should include a standing item for review and confirmation of the date and location of the next meeting(s).

For TCs, TGs and SGs, a duly called meeting shall count in determining the member's attendance record. In exceptional cases, TCs, TGs and SGs may vote to continue the voting membership despite failure of the member to comply with the attendance criteria.

When a quorum is not met at such a duly called meeting or when there are fewer voting members present than the number of voting members required to approve an action, the members present may draft proposed actions for submission to the entire membership for LB or action at the next meeting. They may conduct all business not requiring voting action.

When the number of voting members in a TC/TG is insufficient to hold a quorate meeting, and when necessary to meet short-term international deadlines or similar special circumstances, the INCITS Secretariat may obtain and submit recommendations to the Executive Board for review and approval. This process shall only be used until the TC/TG regains the minimum number of voting members to hold a quorate meeting.

### 9.2 Meeting Notice and Draft Agenda

Meeting notices for USNC TAG, except Ad Hocs, shall be distributed no later than four weeks prior to face-to-face meetings and no later than two weeks prior to electronic meetings. All meeting notices shall be posted and distributed using the committee calendar in ICMS.

### 9.3 Document for Action (Two-Week Rule)

Documents for consideration at a meeting should be distributed at least two weeks prior to the meeting. Other documents sent later may be considered, but final action may only be taken in the absence of objection by any voting member present; otherwise, they must be acted upon by LB or deferred until the next meeting.

Documents may be revised during the meeting and still be considered to have met the Two-Week rule if the original document met this requirement. This provision provides a means for discussing the document and advancing the progress of the work and is not intended to permit the introduction of new or unrelated material.

The Two-Week Rule provisions shall not be applied to actions required to meet International processing deadlines and the application of the rule would result in the TAG responsibilities not being fulfilled.

### 9.4 Quorum

Quorum for IOEs is defined as:

- For the Executive Board, quorum is a majority of the voting membership;
- For SGs, there is no quorum required to establish a valid meeting unless they are acting as a U.S. TAG, in which case the following rule for all other IOEs shall be used; or
- For all other IOEs, quorum is one-third of the voting membership with at least four voting members present. Should the IOE have only three voting members, these members may request the Executive Board to approve a quorum of three members; the Executive Board shall vote on this request by a 14-day LB or meeting vote, using the 2/3 Voting Rule.

### 9.5 Minutes

All IOEs, except Ad Hocs, are required to produce minutes of their meetings and shall submit such minutes to the INCITS Secretariat within two weeks after the meeting is adjourned. IOE draft minutes shall be reviewed and accepted by the INCITS Secretariat prior to distribution to the committee. Accepted IOE draft minutes shall be distributed to the committee within four weeks after the meeting is adjourned.

Results of Ad Hoc meetings shall be reported in accordance with Section 2.1.2, Ad Hocs.

The required contents of minutes are as follows:

1. Date(s), location(s), Chair, Secretary, time of opening and adjournment.
2. Reference/link to the INCITS Anti-Trust Guidelines and Patent Policy.
3. Summary of significant actions taken.
4. Membership information, to include:
  - a. List of attendees, organization and role (e.g. Primary, Alternate, Advisory);
  - b. Documentation of membership changes since the last meeting, (new or terminated membership, establishment or loss of voting rights, prospective memberships);
  - c. Membership jeopardy information (failure to attend meetings or respond to non-accelerated LBs); and
  - d. Total number of voting members.

5. List of all created or reconstituted ad hocs that exist as of the end of the meeting, including the scope of the ad hoc and a list of all individual ad hoc members, showing whether those ad hoc members are members of the parent body or not.
6. Approved agenda (or approved changes to draft agenda).
7. Approval of previous meeting minutes.
8. Each motion seconded and not withdrawn, identifying maker of the motion, the fact of a second, and the voting results.
9. Future meeting schedule.
10. List of action items assigned to members.

IOEs are encouraged to use the INCITS minutes template to produce their meeting minutes.

Individual remarks or detailed transcripts need not be recorded; however, any specific statement should be recorded when requested by the Chair, group, or a member. Records of discussions and actions taken pertaining to any topic for which attendance is restricted shall not be included in the minutes, except to record that a position was developed.

## 10. International Standards Development Procedures

### 10.1 General

For the purposes of these procedures, the term "Standards Projects" includes documents related to the development and approval of international standards, technical reports, and defect reports.

This section covers the processing of ISO/IEC JTC 1 standards projects within INCITS when an IOE serves as the USNC TAG. The processing of ISO/IEC JTC 1 standards projects within ISO/IEC JTC 1 is covered by the Consolidated ISO/IEC JTC 1 Supplement, and the processing of other ISO/IEC TC standards projects is covered by the ISO/IEC Directives, Part 1, Procedures for the technical work.

These procedures shall be used in conjunction with Annex B. Those organizations seeking and accepting any U.S. TAG administration assignments shall agree to follow these procedures.

### 10.2 TAG Assignment

The need for INCITS to establish a new TAG assignment may arise when one of the following occurs:

- JTC 1 approves a New Work Item Proposal (NP);
- JTC 1 creates a new subordinate group; or
- INCITS receives a request from an organization having an established area of expertise relative to the work of JTC 1.

Recommendations for TAG assignments shall be considered by the Executive Board, which shall forward its recommendation to USNC for committees under IEC management for approval. The Executive Board shall ensure that an appropriate TAG assignment is established and that all administrative responsibilities necessary to coordinate the work have been established. These responsibilities must be specific enough to permit the INCITS Secretariat to identify which organizations are responsible for specific areas of work.

The administrators for U.S. TAGs to JTC 1 subgroups shall be responsible for defining the administrative responsibilities necessary to coordinate the work among all appropriate TAGs. The U.S. TAG administrators may make recommendations on TAG assignments to the Executive Board. The following list shows specific responsibilities of each U.S. TAG administrator:

- The INCITS Secretariat, as the administrator for the U.S. TAG to JTC 1, is responsible for coordinating the work of U.S. JTC 1 SC TAGs;
- The administrators for the U.S. TAGs to JTC 1 SCs are responsible for coordinating the work of the U.S. TAGs within that SC;
- The administrators for the U.S. TAGs to JTC 1 WGs are responsible for coordinating the work of the project U.S. TAGs within that WG; and
- The administrators for the U.S. TAGs to ISO/IEC TCs are responsible for coordinating the work of the U.S. SC TAGs within that TC.

Any recommendation to USNC by the Executive Board regarding a TAG assignment may be appealed by an affected party directly to ANSI.

In order to ensure appropriate coordination, organizations holding TAG assignments shall be voting members of the Executive Board. If an organization holding a TAG assignment wishes to relinquish that assignment, the organization shall inform the INCITS Secretariat with at least twelve months' notice and shall maintain its membership on the Executive Board for that twelve-month period.

### **10.2.1 International Representative (IR)**

The duties of International Representative include:

1. Receive and review documents of the relevant JTC 1/SC committee and ensure distribution of the documents to the committee.
2. Review JTC 1 and JTC 1/SC meeting resolutions and documents that may require committee action.
3. Report status of international work at each meeting and ensures timely coordination with the Vice Chair and Chair on the agenda of needed actions.
4. Review ICMS Action Items and coordinates action with the Vice Chair and the Chair.
5. Prepare all comments, responses and contributions using the ISO/IEC Comments Template.
6. In conjunction with the Head of Delegation, ensure that the U.S. delegations are approved, and delegation accreditation forms are completed with the required information, considering the following:
  - a) The call for delegates
  - b) The sufficiency of proposed delegation with respect to the meeting agenda (e.g. technical knowledge, committee experience, international experience, negotiating skill, the training of new delegates).
7. Serve as Head of Delegation (if appointed by the Chair) to the U.S. delegation to JTC 1/SC meeting.
8. Provides input to the US delegation to JTC1 SC Plenaries as requested by the INCITS Secretariat.
9. Attend required training sessions.

### **10.3 Flow of International Documents**

U.S. documents are those developed and approved by the appropriate USNC TAG. U.S. documents submission to USNC shall be in accordance with Section 11.5. All documents from ISO/IEC JTC 1 SCs shall



enter the U.S. through USNC. The term 'documents' used in this section includes all numbered documents, ballots, comments, contributions, letters and recommended responses submitted in between international meetings; it shall not apply to documents that are created at an international meeting.

All contributions, comments, and draft technical corrigenda submitted by an IOE acting as a U.S. TAG shall be approved by a 14-day LB or meeting vote, using the 2/3 Voting Rule. All votes on a JTC 1 N-numbered document, other than an NP, DTR or otherwise specified in these Procedures, shall be approved by a 14-day LB or meeting vote, using the Majority Rule.

The INCITS Secretariat coordinates with USNC to provide all relevant JTC 1 SC documents to the Executive Board members and to the appropriate subsidiary U.S. TAG and its subgroups, and that documents sent JTC1 arrive at the proper group. The subsidiary U.S. TAG Administrators shall further distribute the documents to the membership of the subsidiary U.S. TAG. The INCITS Secretariat shall be responsible for distribution to their USNC TAG membership in accordance with these procedures.

All documents that are developed by a USNC TAG for submission to the appropriate SC shall be forwarded by the USNC TAG IR or other designee as instructed by the INCITS Secretariat.

Documents that are developed by U.S. individual experts may be directly forwarded to the WG or directly posted to the WG web site, should that WG permit those practices.

Documents that are developed by U.S. individual experts (as distinguished from USNC TAG-developed documents) shall be clearly labeled as "Individual Expert Contribution". Such documents include documents developed between meetings of the ISO or JTC 1 organization and do not require review or approval by the USNC TAG or USNC TAG officers. In no case shall the USNC TAG communicate a U.S. position or send an international document directly to a TC or SC Secretariat or any TC, SC or WG Officer.

Should a USNC TAG-proposed document appear to go beyond the charter of an INCITS approved project or specific INCITS instructions, the INCITS Secretariat shall send the document to the Executive Board for approval to complete the submission.

### **10.3.1 Distribution of JTC 1 and ISO Working Group Documents**

IOE's may, at their option, make documents for a JTC 1 SC available through ICMS or other means provided that only authorized US experts for that WG can access documents designated in JTC 1 Standing Document 23 as Defined-Access (electronic access limited to participants in the ISO/IEC System).

Officers of IOE's that provide such alternative mechanisms shall make reasonable efforts to ensure that:

- Only US experts recorded in the IEC Expert Management System for that WG are able to access the Defined Access WG documents, and
- Access to WG documents continues to meet the requirements outlined in these procedures

To avoid this complexity, Officers should consider downloading into ICMS (or providing access by other means) only those WG documents that are specified in JTC 1 Standing Document 23 as Open (no restrictions or passwords required for electronic access). US experts authorized to participate in JTC 1 SC WGs are entered into the IEC Expert Management System, giving them direct access to all WG documents including those specified in JTC 1 Standing Document 23 as Defined-Access.

#### **10.4 JTC 1 SC Participation**

JTC 1 SC documents shall be obtained from USNC. The INCITS Secretariat shall redistribute those documents to the members of the Executive Board, with information distribution to IOEs as required. If action is required, the IOE or INCITS Secretariat shall send a recommendation to the Executive Board. When there is no relevant U.S. TAG assignment, the Executive Board shall take action.

All IOE recommendations shall be forwarded by the IOE IR or other designee to the INCITS Secretariat. The recommendation shall then be distributed to or balloted by the Executive Board.

#### **10.5 U.S. Initiation of New Work Item Proposals (NP)**

The responsible USNC TAG to any JTC 1 SC shall submit a proposed New Work Item to the INCITS Secretariat. This proposal shall include a recommendation on assignment as well as an identification of other U.S. TAGs having a concern for subject matter related to the proposal.

The INCITS Secretariat shall ballot the recommendation to the Executive Board. Once approved by the Executive Board, the proposal may be submitted to USNC as a U.S. proposal to JTC 1 SC for an NP ballot.

For all IOEs, a U.S. proposal to JTC 1 SC for an NP shall be approved by the Executive Board, except in the case where a U.S. proposal is based on an established INCITS development or maintenance project.

#### **10.6 Processing of NP Ballots**

NP ballots (which include the prescribed NP form describing all aspects of the proposed work) may be processed in JTC 1 at two levels: (a) within a JTC 1 SC, typically when the development work will be performed by a WG within that SC; and (b) directly at the JTC 1 level, when the work will be performed by a WG reporting directly to JTC 1.

In the first case, the NP form will be issued under two numbers: an SC number, for the SC ballot, and a JTC 1 number for the JTC 1 ballot.

##### **10.6.1 Votes on NP Ballots raised at the SC Level**

The USNC TAG shall distribute the NP ballot (issued under an SC number) to its committee members and shall take into consideration any objections received when responding to the SC ballot.

A copy of the SC-level NP is also issued as a JTC 1 document (using a JTC 1 number) to all JTC 1 P-Members for concurrent review; this document shall be sent to the Executive Board and any comments received will be provided to the SC Secretariat and the USNC TAG.

In the absence of an objection from the Executive Board on the JTC 1 document, the responsible USNC TAGs shall submit a U.S. position (answers to the NP ballot questions) to the INCITS Secretariat for submission through USNC to the international TC or SC.

In addition, should the Executive Board determine that the new work would be better placed elsewhere within JTC 1, Annex JA.2.1 of the Consolidated JTC 1 Supplement provides for the possibility of a JTC 1-level decision to assign the work item to a different JTC 1 SC or WG than that named in the NP.

##### **10.6.2 Votes on NP Ballots raised at the JTC 1 Level**

NP ballots raised at the JTC 1 level shall be circulated to the Executive Board by the INCITS Secretariat for review and comment. A copy of the NP shall also be simultaneously sent to all concerned U.S. TAG Administrators for review and comment within a time frame which shall permit consideration of such comments by the Executive Board.

If a U.S. TAG exists for the named JTC 1 WG, the U.S. TAG shall review any comments and provide the recommended responses to the NP questions for Executive Board approval; otherwise, an Executive Board ad hoc shall be established to review any comments and develop the recommended responses to the NP questions for Executive Board approval.

### **10.7 Creation of Liaison Projects within INCITS**

For IOEs, when a JTC 1 project is approved and if there is not already an existing INCITS project, the INCITS Secretariat shall establish an INCITS liaison project. The liaison project shall be assigned to the appropriate IOE.

### **10.8 Processing of JTC 1 CD Ballots**

The USNC TAG shall distribute the CD ballot to its committee members.

The responsible TAG, in determining a recommended U.S. position, shall take into account comments from all other TAGs and sources and shall make a concerted effort to resolve differences. Responsible U.S. TAGs shall forward the recommended U.S. position to the INCITS Secretariat for submission through USNC to the international TC or SC.

The USNC TAG shall develop a position on the CD in time to meet the required international deadline.

### **10.9 Processing of CDV and FDIS**

#### **10.9.1 Processing of CDV Ballots**

When the INCITS Secretariat receives a Committee Draft for Vote (CDV) ballot and text from USNC, the ballot shall be distributed to the USNC TAG for a recommendation to the Executive Board.

The responsible TAG, in determining a recommended U.S. position, shall take into account comments from other TAGs and sources and shall make a concerted effort to resolve differences prior to making a recommendation to the Executive Board. Any unresolved comments, all attempts at resolution, and a recommended U.S. position shall be forwarded to the INCITS Secretariat who shall initiate an Executive Board ballot of the recommended U.S. position.

#### **10.9.2 Processing of FDIS Ballots**

When the INCITS Secretariat receives a Final Draft International Standard (FDIS) ballot and text from USNC, the ballot shall be distributed to the USNC TAG for a recommendation to the Executive Board.

The responsible USNC TAG shall submit a recommendation on the U.S. voting position to the Executive Board. Once the U.S. position is approved by the Executive Board, it shall be submitted to USNC for transmission to JTC 1 SC.

For IOEs, if there are no substantive changes to the DAM or CDV ballot position that has been previously submitted by the U.S. then the USNC TAG Chair or IR may return the previous DAM/CDV position as the proposed FDAM/FDIS position for the Executive Board approval without the requirement for confirmation vote of the previous DAM/CDV position.

Any substantively new FDAM/FDIS recommendation or comments shall be approved by the USNC TAG at a meeting or by LB. The INCITS Secretariat shall then distribute the FDAM/FDIS recommendation to the Executive Board for approval.

All USNC TAGs shall meet the established JTC 1 deadlines.

## **10.10 INCITS Initiation of the JTC 1 Fast Track Process**

The following information is needed by INCITS Secretariat to initiate the JTC 1 Fast Track process. The submission shall include:

- The proposed Standard, Technical Report or Technical Specification;
- The Explanatory Report as described in JTC 1 Standing Document 9;
- the name of the project editor;
- a recommendation on the JTC 1 SC assignment, if applicable; and
- identification of other U.S. TAGs having a concern for subject matter related to the proposed Fast Track document.

The INCITS Secretariat shall circulate the submission for 30-day review to any concerned SC, WG or Project TAG and shall initiate a concurrent announcement in the ANSI Standards Action with a subsequent ballot by the Executive Board. Once approved by the Executive Board, the materials may be submitted by ANSI to JTC 1.

An IOE may decide that an approved American National Standard developed by INCITS is suitable as a candidate for JTC 1 Fast Track processing. If an IOE initiates a request for Fast Track processing of an approved, INCITS developed standard, then this recommendation shall be forwarded by the INCITS Secretariat to the Executive Board for ballot.

A Fast Track Submitter may decide that an approved American National Standard developed by the Fast Track Submitter's organization and processed by INCITS as specified in Section 6.3, INCITS Fast Track Process of INCITS Organization, Policies and Procedures, is suitable as a candidate for JTC 1 Fast Track processing. If a Fast Track Submitter initiates a request for Fast Track processing of an approved standard, then this recommendation shall be forwarded by the INCITS Secretariat to the Executive Board for ballot.

## **10.11 U.S. Hosting of International Meetings**

All JTC 1 related meetings held in the U.S. shall be at the invitation of and shall be hosted by the U.S. National Committee. Invitations to host international meetings at any level require prior approval of the appropriate TAG. Tentative offers for the U.S. to host a future JTC 1-related meeting may be made at a meeting by the appropriate U.S. Head of Delegation, contingent upon subsequent approval by the appropriate USNC TAG followed by submission of a formal invitation from USNC.

INCITS TC Chairmen and subsidiary TAG Administrators shall submit U.S. offers (including required documentation) to host JTC 1 Sub-committee meetings to the INCITS Secretariat not less than 8 months prior to the international meeting, for approval by the Executive Board.

The INCITS Secretariat shall be responsible for reviewing and approving requests to host international Working Group meetings in the U.S for which the INCITS holds the TAG assignment. TAG Administrators shall oversee this activity, and they shall assure financial support for the meeting and appropriate social events based on current practice. Conduct of such WG meetings shall be in accordance with the Consolidated JTC 1 Directives.

The INCITS Secretariat shall maintain a seven-year calendar that lists a schedule for hosting international meetings.

Prior to approval of hosting any international meeting, the organization hosting the meeting shall provide the TAG Administrator a statement of management commitment that the following provisions will be met:

- meeting rooms;
- confirmation that no U.S.-hosted meeting shall be held where the attendance or presence of U.S. or international delegate could be questioned or challenged for any reason, e.g., by a security sensitive host;
- internet access for all participants;
- refreshments;
- a reserved block of rooms at a hotel, or a listing of hotels in the area and their telephone numbers;
- an information package that includes transportation to and from the airport, local transportation, local restaurants, accessibility information, etc.; and
- the contact person's name, address, telephone number and email.

### **10.12 Nomination of U.S. Candidates to Serve as JTC 1 SC Officers (Chair, Committee Manager, Assistant Committee Manager)**

The Executive Board is responsible for making recommendations to USNC on U.S. Candidates to serve as JTC 1 SC officers. Candidate appointments shall be considered through a nomination process.

Where the U.S. intends to nominate a U.S. candidate for an international officer position, the following steps shall be used:

1. The INCITS Secretariat issues a call for candidates.
2. The call goes out to:
  - a) Executive Board members; and
  - b) members of the corresponding USNC TAG.
3. A statement of experience, indicating the candidate's expertise in the assigned program of work and in voluntary standards efforts; the candidate's committee experience and leadership experience; a statement of management support acknowledging the additional workload, financial resources and duties required of an officer over and above that of a participant; and a statement that the candidate is a U.S. National Interested Party.
4. Upon the close of the call, the INCITS Secretariat submits the slate of candidates to the appropriate USNC TAG for its endorsement, which is then forwarded to the INCITS Secretariat.
5. The INCITS Secretariat issues an Executive Board LB with all of the candidates listed along with the results from the USNC TAG ballot.
6. Prior to the completion of the process detailed above, USNC TAGs shall not make a commitment to provide a candidate. They may, if appropriate, accept invitations to provide a candidate at a later date.
7. USNC shall be requested to provide information on the expiration of terms of office or of any vacancies as they arise. It should be noted that the responsible USNC TAGs should inform the INCITS Secretariat in a "timely" fashion of pending expirations, vacancies, resignations, potential new offices, etc. for which the U.S. should consider a nomination or endorsement.
8. Nominees for Chair positions shall be representatives of voting members in Good Standing of the appropriate USNC TAG.

### **10.13 U.S. Project Editors**

U.S. persons accepting an international project editor assignment shall be a representative of a voting member of the appropriate TAG for the duration of that assignment. The duties of Project Editor include:

- Collaborates with the JTC 1/SC, ITTF, and IEC Central Office for editing and publication.
- Maintain and provide document in the electronic format(s) required.
- Prepare documents according to the most recent edition of the ISO/IEC Directives, Part 2.
- Report the status of the document and meet all established deadlines at each committee meeting at which the document will be discussed.
- Attend any required training sessions.

### **10.14 Delegates for International Plenary Meetings**

#### **10.14.1 Delegates for International Meetings other than JTC 1 Working Groups & Study Groups**

##### **10.14.1.1 Head of Delegation (HoD)**

For groups that serve as USNC TAGs to international meetings other than JTC 1 Working Groups or Study Groups, the HoD serves as chief spokesperson for the U.S. and is responsible for coordinating the activities of the U.S. delegation. A U.S. person who holds an international officer position as Chair, Chair-Elect or Convenor of a group shall not also act as U.S. Head of Delegation or chief spokesperson to that group or to its parent.

HoDs are appointed by the respective USNC TAG chair; this does not preclude the USNC TAG chair from being the U.S. HoD. The HoD's term includes the time required by the USNC TAG to prepare U.S. positions before the international meeting, as well as the time for the HoD to prepare the HoD Report and report the results of the meeting.

The duties of Head of Delegation (HoD) to ISO/IEC JTC 1 SC plenary meeting are:

1. Introduce U.S. Delegation and serve as chief spokesperson for the U.S. at international meetings.
2. Maintain working knowledge of applicable international issues and U.S. positions.
3. Ensure that committee members have provided input to the U.S. Delegation. As a best practice, delegate instructions may be prepared.
4. Arrange for and conduct delegation caucuses.
5. Provide delegation assignments prior to and during meetings. Lead delegates should be assigned for each plenary agenda item and may serve as experts on their assigned topics.
6. Maintain working knowledge of applicable international procedures (e.g., JTC 1 Supplement, ISO/IEC Directives and international protocol).
7. Develop rapport with other National Committee delegations.
8. Prepare the Head of Delegation (HoD) Report for submission to the INCITS Secretariat within thirty days of the adjournment of the international SC plenary meeting.

9. Ensure that U.S. offers to host international meetings comply with INCITS requirements.
10. In cases where the HoD is not the IR, provide to the IR copies of all meeting documents that require action and advise the IR of any subsequent communications addressed to the HoD.
11. Ensure all delegates are aware of the requirements in these procedures to be familiar with US positions and to promote them at the plenary.

#### **10.14.1.2 Selection of Delegates**

U.S. delegates to all international meetings other than JTC 1 WG and SG shall be approved by the responsible USNC TAG and be:

- representatives of voting or advisory members in Good Standing of appropriate U.S. TAGs;
- individual experts who are not members of the TAG and serve on U.S. delegations at the invitation of the TAG; however, all persons attending in this capacity shall not attend more than one international meeting without prior approval by the Executive Board; or
- Emeritus Members of the appropriate U.S. TAG, and if approved by the Executive Board to participate in the meeting.

Voting on delegate lists shall be in accordance with these procedures. In the context of this section, "Appropriate USNC TAG" shall mean:

- For an SC meeting, the specific organization with the SC TAG assignment, or a WG or project TAG assignment within that SC;
- For a WG meeting, the specific organization with the WG TAG assignment; and
- For an Other Working Group (OWG) meeting (see JTC 1 Standing Document 10), the specific organization with the TAG assignment covering the project.

No U.S. persons shall be permitted at an international meeting unless they are there in an official capacity, i.e., members of a U.S. delegation, officers of the standards group that is meeting, or designated representatives of other organizations participating in the meeting.

The Head of Delegation shall identify the presence of unauthorized U.S. persons to the Chairman or Convenor of the meeting. Following the meeting, the Head of Delegation shall report unauthorized U.S. persons (and their affiliations, if known) to the appropriate U.S. TAG and the Executive Board for subsequent corrective action.

#### **10.14.1.3 Participation**

Unless excused by the Head of Delegation, designated U.S. delegates shall attend

- all caucuses called by the Head of Delegation, whether before or during the international meeting;
- all USNC TAG meetings where relevant U.S. positions and assignments are developed; and
- all international meeting sessions.

At the JTC 1 SC Plenary levels, all official U.S. positions shall be supported by all U.S. delegates.

All U.S. delegates shall follow the provisions of Section 10.3, Flow of International Documents. Lead delegates will be assigned to each plenary agenda item and are expected to serve as experts on their assigned topics.

The INCITS Secretariat shall forward a list to USNC of U.S. delegates to international meetings other than JTC 1 WG or SG.

## 11. Voting

All voting members of a USNC TAG shall be a member in good standing. There shall be only one voting membership per organization (see Section 8.13, Limits on Voting Membership). An alternate representative may vote only if the principal representative fails to vote.

Voting by proxy shall not be permitted. A written vote on an issue to be acted upon at the meeting may be submitted by correspondence by an absent voting member provided it is received by the Chair prior to the point when the issue is brought to a vote.

### 11.1 Voting Practice

#### 11.1.1 Types of Voting Positions

Three types of voting positions are allowed:

- Affirmative;
- Negative; or
- Abstention.

Note 1: "Abstain," in the context of the IEC/ISO voting process, indicates that the U.S. has chosen not to participate in the decision process for the inquiry in question. The decision to submit a vote of "ABSTAIN" can arise from a variety of circumstances, including the following:

- a) Inability of the USNC TAG to achieve consensus on a compromise position by any means possible within the time constraints of the ISO/IEC JTC 1 process
- b) Decision by the USNC TAG to neither support nor oppose a particular ISO/IEC JTC 1 proposal based on political considerations
- c) TA/USNC TAG/INCITS Secretariat did not submit a vote on time
- d) Insufficient USNC TAG members respond to meet quorum requirements

The USNC TAG is advised to consider, when attempting to reach consensus, that the international community may interpret a vote to "ABSTAIN" as follows:

- a) The U.S. does not have a stake in the ISO/IEC JTC 1 SC proposal under consideration;
- b) The U.S. does not wish to take a position because of certain considerations;
- c) The U.S. did not make the effort to submit a position; or
- d) The U.S. could not reach a conclusion.

Note 2: See Annex B.6 for an explanation of the criteria suggested for determining whether to vote "AFFIRMATIVE," "NEGATIVE," or "ABSTAIN."

#### 11.1.2 Method of Voting and Criteria for Approval

Five voting methods are permitted. These are:

- LB;
- Roll call vote;
- Show of hands;
- Voice vote; and
- Unanimous consent.



With the exception of LBs, all of the above votes are taken at a meeting.

Actions that shall be approved with a LB and actions that may be approved either with a LB or with a meeting vote are found in Section 9.3.3, Actions Requiring Specific Voting Methods and the Criteria for Approval. Those tables also contain the criteria for approval of these actions. Any actions not listed in Section 9.3.3 may be approved using the Majority Rule; the Chair may select which voting Method to use from the above list. The method of meeting votes is at the discretion of the Chair unless otherwise specified in this document.

LB votes may be taken on issues other than those required in Section 9.3.3. Such LBs are authorized by any of the following methods:

- Majority vote of those present at a meeting;
- The TA/Chair;
- The INCITS Secretariat;
- This document; or
- Written request to the Chair from five or more voting members of the INCITS Organizational Entity.

## **11.2 Letter Ballots (LB)**

Affirmative votes may include comments.

Each Negative vote shall include reasons for the Negative position and, if possible, recommend specific modifications necessary to change the Negative position to an affirmative position.

Each abstention vote shall include the reason for not taking a position.

The voting period for LBs depends on the action being considered. The duration period for some actions is contained in the tables of Section 9.3.3, Actions Requiring Specific Voting Methods and the Criteria for Approval. For actions not listed there, the duration period is fourteen days unless otherwise directed by the INCITS Secretariat. The duration period for all LBs commences on the date of issue of the LB. An extension may be granted by the INCITS Secretariat when warranted and when the extension does not cause undue problems, such as failure to submit an international vote on time.

All LB, with the exception of default ballots and multiple candidate personnel ballots, shall be issued using the ICMS ballot tool.

### **11.2.1 Executive Board Letter Ballot Resolution Procedure**

The purpose of the Executive Board LB resolution procedure is to resolve any comments submitted with “Negative” votes in response to Executive Board LBs, such that those “Negative” votes might become “Affirmative” votes and indicate greater consensus with an Executive Board decision. The results of personnel ballots relating to appointments and similar actions are confidential and shall not be addressed by this process.

If any “Negative” votes are submitted for an Executive Board LB:

1. The Secretariat shall notify the INCITS Executive Board Chair and Vice-Chair of any Negative votes upon close of a LB. A Resolution Meeting (RM) Chair shall be chosen by the INCITS Executive Board Chair and Vice-Chair, and the RM Chair will convene the RM to discuss the “Negative” vote(s).
2. Should any “Negative” vote contain non-substantive or non-actionable comments that could not be resolved at a Resolution Meeting, then such “Negative” vote shall not require a Resolution Meeting. In such cases, a combined agreement between the INCITS Chair, INCITS Vice-Chair and

INCITS Secretariat concerning such non-substantive or non-actionable comments shall be required; in addition, the “Negative” voter must agree that it would not be appropriate to hold the Resolution Meeting. In addition, the Executive Board shall be notified that a RM was not held, indicating the concurrence of the “Negative” voter with this action.

3. A RM may take place via teleconference, email, or in person, and should be scheduled within 3-5 days of the ballot closing date. The availability of the organization(s) casting any “Negative” votes will be accommodated as a priority when scheduling the RM.
4. When arranging the time for the RM with each “Negative” voter, the INCITS Secretariat may accept written instructions to change a recorded “Negative” vote from “Negative” to “Affirmative”, as desired by the voter, regardless of the comments received with the “Negative” vote. If all “Negative” voters desire to change their votes in such a fashion, the INCITS Secretariat will notify the Executive Board in writing that the Resolution Meeting will not be held to resolve comments and provide the final tally.
5. The INCITS Secretariat shall issue the RM notification to the Executive Board, including those members that did not return a vote, and the notification shall include the LB results and all comments. The Chair of the appropriate INCITS technical committee, the Fast Track submitter, the SC TAG representative, or other appropriate parties will be invited to the RM to address their interests.
6. The RM may deal with comments raised against either (a) the text in the ballot motion, or (b) the balloted text/document referenced by the motion. Any vote comments may be accepted in whole or in part. Email discussion of the issues, including positions advocating or denying the vote comments, is encouraged prior to the RM.
7. Those Executive Board member organizations casting “Negative” votes are expected to attend the RM; all other Executive Board members are strongly encouraged to participate.
8. For RMs dealing with International and Other Ballots, the procedures shown in Section 9.2.2, Ballots Concerning International Standards Processing and Other Items apply.
9. For each RM, the RM chair shall prepare a RM meeting Report showing the attendees, a summary of the actions of the RM and the attempts at disposition of all vote comments considered. The report will be distributed in writing by the Secretariat to the Executive Board.

#### **11.2.1.1 Ballots Concerning International Standards Processing and Other Items**

If the Resolution Meeting develops changes by RM consensus to either (a) the text in the ballot motion, or (b) the balloted text/document referenced by the motion, the meeting attendees shall further determine by consensus if the changes are substantive or non-substantive. The RM chair shall determine consensus.

- If the proposed changes are non-substantive, the revised ballot motion or revised text/document may be approved by action of the RM, provided that the current ballot is successful (following any changes in recorded voting positions on the current ballot, as requested by voters).
- Where proposed changes are substantive or the current ballot is not successful, the current ballot may be set aside, and a new LB containing the revised text and the RM Meeting Report may be issued to the Executive Board. Further resolution action under this section may occur as a result of voting on this ballot. Executive Board Members are requested to take into consideration any international deadlines if subsequent ballots or RMs are required.

### **11.2.2 Default Ballots**

Default ballots are used when lack of objection presumes approval. A default ballot fails in the presence of any objections. The voting period for default ballots is fourteen days unless otherwise specified on the ballot.

### **11.2.3 Accelerated Letter Ballots**

The INCITS Secretariat may approve an accelerated LB with a voting period of less than fourteen days.

### **11.2.4 Report of Final Letter Ballot Results**

The final result of voting on LBs shall be made available to the membership of the committee that conducted the ballot immediately upon completion of the LB action. Although Negative votes without comments are not counted in determining whether the ballot passed, these votes shall be recorded in the results. During the balloting period, all votes shall be held in confidence between the Chair and whoever is tallying the votes.

The report of voting on personnel ballots shall only state that the candidate has (or has not) received the required approval. No tallies shall be given, and no resolution meetings shall be conducted.

Notification of the approval for all procedural changes is sent to the INCITS membership upon close of the ballot.

## **11.3 Definition of Criteria for Approval**

The following definitions apply to all IOEs.

### **11.3.1 Majority Rule**

For meeting votes, a majority is defined as approval by more than half of the members voting; abstentions are excluded when determining whether a majority has been satisfied. For LB votes, a majority is defined as approval by more than half of the members eligible to vote, excluding abstentions.

### **11.3.2 2/3 Voting Rule**

The 2/3 voting rule is defined as:

- approval by at least 2/3 of those voting YES or NO; and
- approval by a majority of the voting membership. This threshold is not affected by the number of members present at the meeting for a meeting vote.

### **11.3.3 Actions Requiring Specific Voting Methods and the Criteria for Approval**

Actions not listed in the following sections may be approved using the Majority Rule; the Chair may select the appropriate voting method from the list in 9.1.2, Methods of Voting and Criteria for Approval:

### 11.3.3.1 Executive Board

Executive Board Action	Voting Method	Approval
<b>Organization</b>		
Establishment of TC	14-day LB or meeting vote	2/3 voting
Establishment of SG	14-day LB or meeting vote	Majority
Disbandment of TC	14-day LB or meeting vote	2/3 voting
Change in U.S. TAG to JTC 1 scope or Termination of U.S. TAG to JTC 1	14-day LB or meeting vote	2/3 voting
Appointment of officers	14-day LB	Majority
Recall of officers	30-day LB	2/3 voting
Approval of the INCITS Policies and Procedures/USNC TAG to ISO/IEC JTC 1 SC/WG Policies and Procedures or its content	14-day LB	2/3 voting
Approval of an INCITS Position Statement provided to the public and/or government entities	LB or Meeting Vote	2/3 voting <i>Note 1</i>
Establish a quorum of three members for an IOE	LB or Meeting Vote	2/3 voting
<b>International</b>		
U.S. position and vote on JTC 1 Level document (USNB vote on SC Document in agreement with default position on JTC 1 Document)	14-day Review	Default
U.S. position and vote on JTC 1 Level document (USNB vote on SC Document NOT in agreement with default position on JTC 1 Document)	14-day LB or meeting vote	2/3 voting
U.S. position and vote on JTC 1 Level ballots, NP, DTR, DIS, DAM, Directives, etc.	14-day LB or meeting vote	2/3 voting
U.S. position and vote on JTC 1 Level ballots FDIS, FDAM	14-day LB or meeting vote	2/3 voting
Recommendation to ANSI and USNC on international officer positions (e.g., SC Chairmen, WG Conveners)	14-day LB or meeting vote	2/3 voting
Proposal for U.S. submission of NP, Fast Track Candidate	14-day LB or meeting vote	2/3 voting
Recommendation to ANSI or USNC on acquisition of a JTC 1 Subgroup Secretariat	14-day LB or meeting vote	2/3 voting
Recommendation to ANSI or USNC on relinquishment of a JTC 1 Subgroup Secretariat	14-day LB or meeting vote	Majority
Approval for U.S. position regarding a Fast Track ballots, PAS Submitter Application or Transposition ballots	30-day review	Default

Approval for U.S. position regarding a Fast Track ballots, PAS Submitter Application or Transposition ballots (when comments received)	14-day LB or meeting vote	2/3 voting
Vote on USNB Contributions, Comments	14-day LB or meeting vote	2/3 voting

*Note 1: See section 16.5, Adoption of ISO/IEC JTC 1 Standards as American National Standards, for expedited processing of INCITS Position Statements.*

### 11.3.3.2 Technical Committee

This clause also applies to those INCITS TGs and SGs holding TAG responsibilities.

Technical Committee Action	Voting Method	Approval
<b>Organization</b>		
Establishment of a TG	14-day LB or meeting vote	Majority
Recommendations on Officer appointments, Chair	14-day LB	<i>Note 1</i>
Establishment of a Fund Fee	14-day LB or meeting vote	2/3 voting
Change to a Fund Fee	14-day LB or meeting vote	2/3 voting
<b>International - Organization/Administrative</b>		
Vote on U.S. Delegation	14-day LB or meeting vote	Majority
Nomination of Project Editors	14-day LB or meeting vote	2/3 voting
Recommendation on Nomination for WG Convenor, SC Chair	14-day LB	<i>Note 1</i>
<b>International - Standards Processing</b>		
Vote on Contributions, Comments	14-day LB or meeting vote	2/3 voting
Vote on SC NP (Answers to seven questions)	14-day LB or meeting vote	2/3 voting
Vote on JTC 1 N document (Other than NP or DTR)	14-day LB or meeting vote	Majority
Vote on CD, PDTR, FPDTR	14-day LB or meeting vote	2/3 voting
Vote on Draft Technical Corrigenda	14-day LB or meeting vote	2/3 voting
Recommendation to Executive Board on NP, DTR, DTS, DIS, DAM, FDIS, FDAM	14-day LB or meeting vote	2/3 voting

Submittal of American National Standard to Executive Board as Candidate for JTC 1 Fast Track Procedures	14-day LB or meeting vote	2/3 voting
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*Note 1: There is no concept of "approval" or "disapproval" in this case. LB results are advisory to the Executive Board in carrying out their officer appointment and endorsement responsibilities.*

### 11.3.3.3 Task Group

<b>Task Group Action</b> [Note 1 Applies to entire Table]	<b>Voting Method</b>	<b>Approval</b>
<b>Organization</b>		
Establishment of a Fund Fee	14-day LB or meeting vote	2/3 voting
Change to a Fund Fee	14-day LB or meeting vote	2/3 voting
<b>International - Organization/Administrative</b>		
Recommendation to TC on Vote for U.S. Delegation	14-day LB or meeting vote	Majority
Recommendation to TC on Nomination of Project Editors	14-day LB or meeting vote	Majority
Recommendation on Nomination for Convenor	14-day LB	Note 2
<b>International - Standards Processing</b>		
Recommendation to TC on Vote on Contributions, Comments	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on SC NP (Answers to seven questions)	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on JTC 1 N document (Other than NP or DTR)	14-day LB or meeting vote	2/3 voting
Recommendation to TC on CD, PDTR, FPDTR	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on Draft Technical Corrigenda	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on NP, DTR, DIS, DAM, FDIS, FDAM	14-day LB or meeting vote	2/3 voting
Recommendation to TC on submittal of American National Standard as candidate for JTC 1 Fast Track procedures	14-day LB or meeting vote	2/3 voting

*Note 1: For TGs that have been delegated complete responsibility for their projects, internationally, acting as U.S. TAGS to ISO/TC/SC/WG or JTC 1/SC/WG, etc., see 2.1.1, Task Groups, and Section 10, International Standards Development Procedures. 11.3.3.2, Technical Committee Voting Methods and Approval Criteria, shall be used in all instances.*

*Note 2: There is no concept of "approval" or "disapproval" in this case. LB results are advisory to the Executive Board in carrying out their officer appointment and endorsement responsibilities*

#### **11.4 Consideration on Views and Objections to Ballots**

The TA, in cooperation with Chair and Secretary of the USNC TAG, shall determine whether the expressed views and objections shall be considered by telephone, correspondence, or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on a Final Draft International Standard (FDIS) listed in ANSI's *Standards Action* publication. A concerted effort to resolve all expressed objections shall be made and each objector shall be advised of the disposition of the objection and the reasons therefore.

Comments, including objections or differing views, shall be reported to the USNC TAG members to afford all members an opportunity, with appropriate time limits, to object to the submittal of comments to the INCITS Executive Board and USNC Office.

If a consensus position cannot be determined for some differing views, neither view shall be presented. If the differing view is with regard to voting yes or no, an abstention shall be submitted.

#### **11.5 Submittal of U.S. Positions**

U.S. positions shall be processed as follows:

##### **11.5.1 Responsibility for Submission**

Upon completion of the procedures for voting, consideration of views and objections, and appeals, the U.S. position shall be submitted to the USNC Office by INCITS Secretariat in electronic format and utilizing the required ISO/IEC/CEN/CENELEC electronic balloting [commenting template](#) for comments. All votes and comments shall be submitted to [USNC@ansi.org](mailto:USNC@ansi.org) email address.

Some back-up mechanism among the USNC TAG Officers must be identified in the event of unusual circumstances for filing ballots that are required to maintain "P" member status for the USNC. If a USNC TAG's recommended vote/comments are not received by the USNC Office by the required deadline, typically one week before the IEC deadline, a "STAFF ABSTENTION" will be submitted and those involved will be so notified.

The USNC Office, representing the U.S. IEC member body, is responsible for providing all official U.S. positions to IEC.

##### **11.5.2 Information to be Submitted**

By the designated deadline, normally one week prior to the announced ISO/IEC JTC 1 SC deadline, INCITS Secretariat shall transmit to the USNC Office:

- a) title and designation of the document
- b) recommended votes and/or comments, proposals, documents, or other informational material suggesting the course of action to be followed on matters before the international committee
- c) status of any appeal action related to approval of the proposed U.S. position
- d) identification of all unresolved views and objectives, names of the objector(s), and a report of attempts toward resolution

The INCITS Secretariat shall ensure transmittal of the recommendations, positions, and related reasons to the members of the USNC TAG.

The USNC Office shall transmit to the IEC Central Office or TC/SC/SyC Committee Manager votes, comments, proposals, or informational material for consideration by the international Technical Committees or Subcommittees.

*Note: When a national standard is recommended as a New Work Item Proposal, the authorization of the standard's originating organization must be obtained prior to submittal.*

## **11.6 Conflict of Interest**

In the event of a potential or apparent conflict of interest between the USNC TAG consensus position (comments or votes) and that of the TA, the issue shall be resolved in a USNC TAG meeting to the satisfaction of the USNC TAG, such that the USNC TAG has confidence that the USNC TAG's consensus position and its interests in that subject will be advanced and championed in ISO/IEC JTC 1 SC.

The intent of this resolution is to reconcile any USNC TAG/TA differences. Should resolution between the USNC TAG and TA not be possible, other provisions or actions must be made.

International Chairpersons and Conveners are officers of their parent body committees (ISO/IEC JTC 1 SCs). In their capacity as SC Chairpersons and WG Conveners, they operate under the relevant procedures established by ISO/IEC JTC 1.

In their capacity as officers of SCs, SC Chairpersons and WG Conveners nominated or endorsed by the U.S. shall maintain an international point of view and shall not represent and advocate U.S. positions or positions of the organizations that employ them.

SC Chairpersons and WG Conveners nominated and endorsed by the U.S. shall:

- Not serve concurrently as members or HoD of US Delegations, or US appointed experts to the SC or WG that they chair.
- Not serve concurrently as US appointed experts to any WG or other subgroup (e.g., Ballot Resolution Meeting) of the SC or WG that they chair.
- Represent voting member organizations of the counterpart USNC TAG, although they need not be Principal or Alternate representatives.

## **12. Termination of USNC TAG**

Failure to meet the requirements of Criteria for Viability, voting membership of TC not sufficient to meet quorum requirements or TC Program of work has been eliminated, are reasons for termination of the USNC TAG (by the INCITS Executive Board and TMC).

Any directly and materially affected interested party may propose to terminate a USNC TAG. The proposal shall be submitted in writing to the INCITS Secretariat shall include the reasons why the USNC TAG should be terminated. The INCITS Executive Board shall take action in accordance with 9.3.3.1. Based on the results of the vote and concurrence of the TMC, the INCITS Secretariat and USNC Office shall take action promptly to change the USNC's ISO/IEC JTC 1 SC registration accordingly.

In the event that the U.S. holds the secretariat for an ISO/IEC JTC 1 SC for which the USNC TAG is considering termination, INCITS Secretariat shall submit their position regarding termination of the USNC TAG to the USNC Office.



Should termination of the USNC TAG be approved, notification of such action shall be announced in ANSI's *Standards Action* publication. The announcement shall note that dissolution of the USNC TAG will result in the U.S. relinquishing its participating ("P") status in the international activity. Also, if the U.S. serves as international Secretariat, the announcement shall state that the U.S. will resign this position. The appropriate notification(s) shall be sent to the IEC Central Office regarding the change in status, and the relinquishment of the Secretariat, if applicable.

## 13. Communications

The primary form of USNC TAG communications shall be via electronic means through INCITS ICMS. Written correspondence of the USNC TAG, its Officers, and Secretary should preferably be on "USNC TAG correspondence" letterhead. If not, correspondence should clearly show in the title/subject that it concerns USNC TAG matters. E-mail correspondence should indicate in the subject field that it is USNC TAG business.

External communications such as inquiries relating to the USNC TAG should be directed to the TA and/or the TAG Secretary, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the TA/chair or INCITS Secretariat.

## 14 Reports and Review

### 14.1 Technical Activity Annual Reports

In order to maintain the management continuity of the entire INCITS program and to keep the Executive Board informed on matters pertaining to the overall organization, membership, management, and policy, TC Chairs and SG Chairs reporting to the Executive Board shall submit an annual report. This report shall use the procedures and instructions contained in the TC Annual Report Template and shall be delivered to the Executive Board for review on a time schedule developed by the Executive Board.

These reports should contain information regarding the progress of the work program and identify any significant problems that are impacting the work program's objectives.

Chairs or other designated officers of TCs and SGs reporting to the Executive Board shall attend the meeting at which the annual report is presented and reviewed.

The annual report shall identify any TC/TG/SG internal procedures, or changes to such internal procedures, to the parent body for approval through inclusion in the annual report. At other times and prior to implementation, TC/TG/SG internal procedure revisions shall be submitted to the INCITS Secretariat for approval by the Executive Board and if it is a USNC TAG, approval by TMC.

### 14.2 Head of Delegation Reports

Within four weeks of an international meeting, all IOE HoDs are required to submit their HoD reports to the INCITS Secretariat for Executive Board review. The INCITS Secretariat shall submit all HoD reports to ANSI and for USNC TAGs to USNC. Meeting reports shall include the attendance and resolutions from the meeting. Meeting reports are not required for WG, Ad Hocs, or Task Force meetings.

## 15. Appeals Procedure

### **15.1 Right of Appeal**

U.S. National Interested Parties who have directly and materially affected interests and who believe they have been or will be adversely affected by any procedural action or inaction relative thereto and within the INCITS jurisdiction shall have the right to appeal.

### **15.2 Appeals Principles**

The following general criteria are adopted:

- Appeals shall be addressed promptly, and a decision made expeditiously;
- The right of the involved parties to present their cases shall not be denied;
- These procedures shall provide for participation by all parties concerned without imposing an undue burden on them;
- Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed; and
- Records of appeals shall be kept and made available upon request. The INCITS Secretariat may levy a nominal charge to cover the cost of reproduction, handling and distribution for requests received from other than the involved parties.
- INCITS will not hear technical appeals. Comments of a technical nature should be forwarded to the appropriate INCITS Technical Committee.

### **15.3 Complaint**

The appellant shall file a written complaint with the INCITS Secretariat within fifteen calendar days after the date of notification of the action being appealed or at any time with respect to inaction or omissions. The complaint shall state the nature of the objections(s) including any adverse effects, the section(s) of these procedures of the specific actions or omissions that are 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 shall be noted.

### **15.4 Response**

Within thirty calendar days after receipt of the complaint, the INCITS Secretariat shall respond by correspondence to the appellant, specifically addressing each allegation of fact in the complaint.

### **15.5 Hearing**

If the appellant and the INCITS Secretariat are unable to resolve the complaint informally in a manner consistent with these procedures within fifteen calendar days from receipt of the INCITS correspondence, the INCITS Secretariat shall schedule a hearing with an appeals panel on a date agreeable to all participants but within forty-five calendar days from receipt of the INCITS correspondence, giving at least ten calendar days' notice. If there is not a mutually agreeable date, the Secretariat shall set the date and time for the appeal hearing. Should any party of interest not be present at the meeting, the decision of the appeals panel shall be based on the written submissions and any presentations made by the parties.

### **15.6 Appeals Panel**

The appeals panel shall consist of three individuals who have not been directly involved in the matter in dispute. At least two members shall be acceptable to the appellant and at least two shall be acceptable to the INCITS Secretariat. The appeals panel members shall be selected as follows:

- The appellant selects one;

- The INCITS Secretariat selects one; and
- The appellant and the INCITS Secretariat mutually agree on one.

In the event the appellant does not wish to select a panelist or a third panelist cannot be agreed upon, the INCITS Secretariat shall appoint these individuals to the panel in order to hold a hearing.

The appeals panel shall convene at the INCITS Secretariat office unless another mutually agreed site is selected.

### **15.7 Conduct of the Hearing**

The appellant has the burden of demonstrating adverse effects, improper procedural actions or inaction, and the efficacy of the requested remedial action. The INCITS Secretariat has the burden of demonstrating that INCITS and the INCITS Secretariat took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to either party. *Robert's Rules of Order Newly Revised* shall apply to questions of parliamentary procedure not covered herein for the hearing.

### **15.8 Decision**

The appeals panel shall render its decision to all participants in writing within thirty calendar days of the appeals panel meeting, stating findings of fact and conclusions, with reasons therefore, based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:

- Finding for the appellant, remanding the action to the Executive Board or the INCITS Secretariat with a specific statement of the issues and facts in regard to that fair and equitable action was not taken;
- Finding for the INCITS Secretariat with a specific statement of the facts that demonstrate fair and suitable treatment of the appellant and the appellant's objections; and
- Finding that new, substantive evidence has been introduced, and remanding the entire action to the Executive Board or the INCITS Secretariat for appropriate reconsideration.

Records of appeals shall be kept and made available upon request. The INCITS Secretariat may levy a nominal charge to cover the cost of reproduction, handling and distribution for requests received from other than the involved parties. Any fees for appeals shall be predetermined, fixed and reasonable. It is INCITS' policy to waive or reduce fees for appeals upon submission of a justified request, with approval by the INCITS Secretariat.

### **15.9 Further Appeal**

If the appellant gives notice that further appeal to the USNC TMC is intended, a full record of the complaint, response, hearing, and decision shall be submitted by the INCITS Secretariat to the USNC Office. The ruling of the USNC TMC may be appealed to the USNC Council. USNC Council is to review and provide a decision on the appeal. Subsequent to the USNC Council ruling, a final appeal is possible, if appropriate, to the standing ANSI Appeals Board.

### **15.10 Informal Settlement**

INCITS and USNC encourages settlement of disputes at any time if the settlement is consistent with the objectives of these Procedures. Any settlement to which the parties agree in writing that is consistent with these procedures, or an agreement to withdraw the appeal, will terminate the appeal process.

### 15.11 International Appeals

All international appeals proposed by an INCITS IOE or the INCITS Secretariat shall be submitted to the Executive Board for consideration and approval at least 15 days prior to the international appeal deadline. This will permit the Executive Board to consider whether the appeal is appropriate on behalf of U.S. interests by holding an accelerated 7-day Executive Board LB and, if necessary, a Resolution Meeting.

### 15.12 Appeal of USNC TAG Administrator Imposed Fees

- a) In the case of the failure of INCITS Executive Board to resolve an issue regarding INCITS TAG fees, an appeal of the Executive Board decision to the TMC is the initial step in the appeals process (affected existing or prospective TAG members submits appeal).
  - i. USNC Office requests that the INCITS Secretariat submit to the USNC Office a written response to the allegations included in the complaint along with evidence of attempted resolution. The response should include an explanation, supported by relevant documentary evidence, of why the fees at issue do not constitute an undue financial barrier to participation, and if a fee waiver or reduction was requested, a brief explanation of how it was considered and the reason for its denial. A TMC appeal Ad Hoc, consisting of not less than 3 nor more than 5 TMC members, is established by the TMC to review the complaint and response. Membership may not include individuals who are part of the appellant, INCITS Executive Board and INCITS Staff.
  - ii. Within 1 month of the appeal submittal, the TMC Appeal Ad Hoc provides a proposed decision to the TMC for ratification.
- b) If the resulting decision of the TMC is appealed, then the USNC Council is the next to review the issue.
  - i. A USNC Council Appeal Ad Hoc, consisting of not less than 3 nor more than 5 Council members, is established to review the TMC decision and the fee justification documentation. Membership may not include individuals who are part of the appellant, INCITS Executive Board and INCITS Staff.
  - ii. Within 1 month of the request for Council appeal review, the USNC Council Appeal Ad Hoc provides a proposed decision to the USNC Council for ratification.
- c) If the decision of the USNC Council is appealed, the ANSI Appeals Board is next and last to review the issue.

## 16. Policies

### 16.1 Policy for Funds

USNC TAGs may establish funds to pay for services to progress the work. This section sets forth the policies used to manage such funds.

#### 16.1.1 Approved Uses of Funds

Monies collected under this policy are restricted to the following use(s) for meetings of the USNC TAG:

- meeting room rental, including internet access;
- meeting refreshments;

- current meeting document reproduction;
- audio-visual, computer and/or office equipment rental; and
- contracting for a professional meeting planner.

The INCITS Secretariat shall approve the acquisition of services or purchases not listed above prior to the disbursement of any fund assets.

### **16.1.2 Establishment of a Fund**

A USNC TAG shall only establish a fund by issuing a 14-day LB that explains the need for and use of the fund, along with the initial fee to be charged. The LB establishing the fund shall also document the USNC TAG procedures for collecting, disbursing and administering these fund assets; these procedures must be consistent with the policies described below. The LB shall pass by a 2/3 vote for the fund to be established.

#### **16.1.2.1 Allocation of Fees**

When fund fees are instituted to support meeting-related expenses, the fees should be determined based on the number of persons participating in the associated meeting. If a member has not paid all such fees, the member can be considered to have failed to attend the meeting. The member's voting privileges would then be subject to the "Termination of Membership" procedures (see Section 8.15). The USNC TAG may grant exceptions to this policy by resolution.

The USNC TAG establishing funds shall implement a transparent and equitable policy for assessed meeting fees; in particular, the fees shall not be bundled with services not provided at the meeting, and the fees shall be appropriate for the meeting services/facilities actually used.

If the fund fee is established specifically for the purchase of durable goods or bonding expenses, the fee shall be paid by all voting members. The total purchase amount should be divided equally among all voting members.

#### **16.1.2.2 Changes to the Fund Fee**

Changes to an approved fund fee amount shall be approved by a majority vote of the USNC TAG at least 14 calendar days in advance of the assessment of any such revised fee.

### **16.1.3 Fund Administration**

#### **16.1.3.1 Treasurer Appointment**

Any USNC TAG establishing a fund shall have a Chair-appointed Treasurer. The Chair shall not serve as the Treasurer. The Treasurer shall be a good standing TAG Member.

#### **16.1.3.2 Fund Reporting**

The Treasurer shall prepare a report following each meeting that involved the collection of fees, and the report shall be distributed with the minutes of that meeting. The review of such reports also shall be a standing agenda item of the USNC TAG.

This report shall include:

- a. names of members (and any other applicable parties) who have or have not paid their assessed fees;
- b. all disbursements made, including the purpose of the disbursement and name of the individual(s) and/or organization(s) receiving payments;
- c. a statement of any changes in the durable goods inventory;
- d. debts outstanding;

- e. receivables outstanding; and
- f. current balance of the Fund.

As part of its Annual Report, the USNC TAG shall include a financial statement containing the following items:

- a. total receipts;
- b. receivables outstanding;
- c. total disbursements;
- d. debts outstanding;
- e. current balance of the Fund; and
- f. current inventory of durable goods.

The Annual Report shall also include a copy of the procedures for administering the fund.

### **16.1.3.3 Account Management**

Bank accounts shall be established when accrued funds exceed \$500.00. If funds are collected for a one-time purchase of durable goods, this is not considered an accrual of funds, and establishing a bank account is not necessary.

All subgroup bank accounts shall be established and maintained by ITI at a full-service bank that is federally insured by the FDIC.

Fund balances shall not exceed \$25,000.00, except when the expected expenses for a planned meeting require a higher amount. In such cases, advance written permission to hold such higher balances shall be obtained from ITI, and further a higher bonding limit may be required by ITI for the USNC TAG Treasurer or Chair.

Bank accounts shall have ITI as the main signatory with the Treasurer and an elected officer as additional signatory authorities. Unless otherwise required by USNC TAG resolution, only one signature is required for check signatures.

Bank accounts being established shall use the ITI tax ID number for the account.

USNC TAG that are not required to establish a bank account shall institute procedures for handling any surplus funds remaining at the end of a meeting. The process for the distribution of excess funds arising from any meeting shall be included in the USNC TAG meeting minutes.

### **16.1.4 Dissolution of the Fund**

A fund shall be dissolved in one of two ways:

- by USNC TAG LB using the 2/3 Voting Rule; or
- disbandment of the USNC TAG.

In any case, a final financial statement shall be distributed to the USNC TAG members and to the INCITS Secretariat. Any remaining balance in the fund shall be transferred to ITI by the USNC TAG Chair and/or Treasurer.

If any durable goods are held by the USNC TAG at the time the fund is dissolved, the Treasurer or an elected TC officer shall transfer them to the INCITS Secretariat; however, if the USNC TAG dissolved the fund but did not disband, it may request approval from the INCITS Secretariat to retain the durable goods.

When the INCITS Secretariat obtains the durable goods from a USNC TAG, it may offer the goods for use by other USNC TAGs, or it may dispose of the goods as it sees fit and deposit any proceeds into an INCITS account.

## 16.2 Policy for Record Retention

### 16.2.1 General Policy

Except as otherwise indicated, documents shall be retained for the number of years indicated in Section 16.2.3, Record Retention Guidelines. Once the specified time period has elapsed, those records should be destroyed.

Irrespective of the retention periods specified, upon (i) receiving notice of a lawsuit, government investigation, or other legal action against or involving INCITS, or (ii) learning of circumstances likely to give rise to such an action, proceeding or investigation, all documents in any way relating to such matter shall be preserved and safeguarded

No officer, director, employee or agent of INCITS shall knowingly destroy a document with the intent to obstruct or influence the investigation or proper administration of any matter within the jurisdiction of any government department or agency or in relation to or in contemplation of any such matter.

The INCITS Secretariat shall be responsible for authorizing, overseeing, and ensuring that records maintained by INCITS are destroyed pursuant to this policy.

For documents in existence prior to June 1, 2011, the base date for calculating the retention period shall be June 1, 2011. Otherwise, for documents created at a later date, the Submission Date in ICMS is the base date used to calculate the retention period.

### 16.2.2 File Retention

Records concerning new, revised or reaffirmed standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal. Records related to stabilized standards shall be retained until the standard is reaffirmed, revised, or subsequently reviewed in connection with the stabilized maintenance of the standard as an ANS.

In all cases, records shall be retained at least for the retention period prescribed.

### 16.2.3 Record Retention Guidelines

#### 16.2.3.1 Finance Records

If the INCITS organizational entity holds bank records and financial statements, the following periods are used:

Type of Record	Retention Period
Bank Records	6 years; 1 year for check register
Annual Report Financial Statement	20 years

#### 16.2.3.2 Standards and U.S. TAG Documents and Records

Type of Record	Retention Period
Intellectual Property related documents/records (e.g. licensing statements, disclosure statements, legal opinions, correspondence)	Permanently

Final Approved American National Standard (ANS) Documents	Permanently
ANSI Accreditation Documents	Permanently
ANSI Audit Documents	Permanently
Correspondence	20 years, unless the subject matter of the email or correspondence falls within a category in this section that requires it be retained for a longer period of time.

### 16.3 Policy Regarding the U.S. Funding of International Structures

INCITS, as the U.S. National Body representative to JTC 1, recognizes the benefit to the U.S. of providing the Secretariat for new international activities in JTC 1 where there is strong interest and expertise from stakeholders in the U.S. Providing the Secretariat for these activities comes with some cost. The cost will vary depending on the type of International Structure and the level of activity. For permanent international structures, INCITS shall identify new sources of funding to support the activity. For short term structures, such as Study Groups, INCITS may choose to allocate existing or reserve funding to support them as a business development activity.

Funding for New International Structures is described below and includes funding for Special Working Groups (SWG), Working Groups (WG) and Sub Committees (SC) – but not for Study Groups (SG).

#### 16.3.1 International Structure Funding Framework

INCITS will use the following framework International Structure funding:

- a. Funding group (International Structure TAG Steering Committee):
  - i. A minimum of 3 INCITS members (with no maximum) are required to form the Steering Committee for an International Structure TAG. Should the number of steering committee members drop below 3 at any time, the issue shall be brought to the attention of the Executive Board for action.
  - ii. International Structure TAG Steering Committee members agree to an initial fee commitment, the aggregate of which shall cover at least the annual Secretariat cost of the International Structure expenses for 3 years. These fees will fund the members' participation in the TAG. Steering Committee members should provide a good faith commitment to give a one-year notice before discontinuing their funding.
  - iii. The members of the International Structure TAG Steering Committee can resolve to allocate the fee responsibility disproportionately amongst themselves, provided that the total amount paid by such members is at least equal to the annual Secretariat costs.
  - iv. Each member will have one vote in the management of the International Structure TAG Steering Committee regardless of contribution level.
  - v. The International Structure TAG Steering Committee will have the responsibility for nominating the U.S. candidate for convener (WG/SWG) or chair (SC) of the new structure as well as nominating the chair for the U.S. TAG (in the case of a newly formed International Structure).
  - vi. By vote (using the 2/3 Voting Rule) at the last Executive Board meeting in the second year of committee activity when INCITS performs the Secretariat services, the Executive Board may integrate International Structure funding support into the INCITS Operational Budget starting at the end of the third year. In such a situation, the International Structure TAG Steering Committee will be disbanded at the end of the third year and International



Structure TAG Steering Committee functions will be handled according to INCITS procedures. Further, the INCITS Secretariat shall be responsible for planning and carrying out the transition. Should the transition vote fail, the International Structure TAG Steering Committee will not be disbanded, and the Executive Board may reconsider this decision at any time in the future.

- b. International Structure TAG Steering Committee structure and decision making:
  - i. The International Structure TAG Steering Committee will make decisions by majority vote.
  - ii. The International Structure TAG Steering Committee's nominations for convenor and chair positions will require ratification by the Executive Board.
  - iii. The International Structure TAG itself will be open to participation according to INCITS and ANSI rules, and will determine U.S. positions and other matters according to INCITS procedures.
- c. Executive Board:
  - i. Makes the decision for INCITS to recommend to ANSI if the committee management is under ISO or USNC if the committee management is under IEC that the U.S. provide a Secretariat for the International Structure (SWG/WG/SC).
  - ii. Requests a proposal for providing Secretariat services – giving the INCITS Secretariat first opportunity and first right of refusal.
  - iii. Accepts a proposal for Secretariat services, in coordination with ANSI or USNC.
  - iv. Ratifies the pricing for the International Structure TAG Steering Committee.
  - v. Ratifies candidates for convenor/chair positions.
  - vi. Makes the decision for INCITS to integrate International Structure funding support into the INCITS Operational Budget at the end of the second year or later.
- d. INCITS Secretariat:
  - i. Develops a proposal for providing Secretariat services for an International Structure (sets cost, manages resource).
  - ii. Solicits interest from throughout the INCITS/ANSI community for participating in International Structure funding (call for interest, optional second call).
  - iii. Collects payment from International Structure Steering Committee members and determines when a firm commitment has been made.
  - iv. Plans for and manages the transition of funding models, should the Executive Board decide to fund this activity in the INCITS Operational Budget.
  - v. Facilitates an annual Executive Board review of international secretariats held by the U.S. through INCITS, referencing the ANSI performance criteria for international secretariats.

### **16.3.2 International Structure Funding Procedures**

The following procedures are used to establish the International Structure Steering Committee. In the case of a newly formed International Structure, the Steering Committee is formed before the TAG is formed.

11. INCITS Executive Board resolves that the U.S. would like to consider providing the Secretariat for an International Structure, and the recommendation is submitted to ANSI.
12. INCITS Executive Board requests a proposal for providing Secretariat services from the INCITS Secretariat.
13. INCITS Secretariat develops a proposal and provides this to the Executive Board.

14. If the proposal is accepted by the Executive Board, the INCITS Secretariat issues a first call for participation in the International Structure Steering Committee. If the proposal is not accepted, no further action is taken.
15. When at least 3 members of INCITS have committed to participate in the International Structure Steering Committee, the INCITS Secretariat issues a second call for participation which includes identification of the members committed to participate.
16. After a commitment from 3 members of INCITS has been achieved, INCITS is able to make a commitment to ANSI to provide the Secretariat for the International Structure.
17. After close of the second call for participation in the International Structure Steering Committee, a meeting of the Steering Committee will be held to select the candidates for the International Structure convener/chair and TAG chair (in the case of a newly formed International Structure).
18. INCITS Executive Board ratifies the Steering Committee recommendations for International Structure convener/chair and TAG chair (in the case of a newly formed International Structure).
19. The name of the International Structure convener/chair candidate can be communicated to JTC 1.
20. INCITS Secretariat forms the Steering Committee and collects payment from the Steering Committee members. In the case of a newly formed International Structure, the Secretariat also forms the TAG and collects dues from the TAG members.

#### **16.4 Web Privacy Statement**

INCITS does not collect identifying information about people visiting its web site. Only summary information about the number of visitors to particular sections of its web site is collected. If you decide to send personally identifiable information to the Webmaster, it will not be disclosed to third parties without your consent.

#### **16.5 Adoption of ISO/IEC JTC 1 Standards as American National Standards**

Most IOEs hold U. S. Technical Advisory Group (TAG) relationships to ISO/IEC JTC 1 subcommittees and working groups and, in addition, to some ISO technical committees, subcommittees and working groups.

Subject to the exceptions below, INCITS will adopt all ISO/IEC or ISO standards that fall within its program of work as “Identical”<sup>6</sup> American National Standards in accordance with the ANSI “Expedited Procedures for the Identical Adoption of an ISO or IEC standard as an American National Standard”. Similarly, INCITS will withdraw any such adopted American National Standard that has been withdrawn as an ISO/IEC or ISO International Standard. Exceptions to this policy will be made, on a case by case basis, provided that a case for the exception has been demonstrated to INCITS.

Additional processing steps will be assigned to INCITS Secretariat, who will initiate the Project Initiation Notification System (PINS) notices, the public reviews, respond to the commenters, and advise INCITS entities of the results. Technical comments will be forwarded to the TAGs for consideration in the development of future U.S. positions. The following provisions shall also apply:

- This Adoption Process shall be used only for the identical adoption of ISO or IEC standards for which the U.S. TAG voted or will vote in the affirmative on the international standard, and for

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<sup>6</sup> See ISO/IEC Guide 21-1, “*Regional or national adoption of International Standards and other International Deliverables — Part 1: Adoption of International Standards*” for an explanation of “Identical”.

which no claims of conflict or duplication with an existing American National Standard have been upheld.

- This Adoption Process shall be used only for instances where the U.S. TAG is an INCITS Organizational Entity.
- If the U. S. TAG has declared, and the Executive Board has confirmed, that INCITS will not follow this procedure for certain documents or work areas<sup>7</sup>, then this policy shall not apply to such documents/areas.
- Unless the INCITS TAG has passed an “always adopt” policy concerning documents in their work area, the INCITS Secretariat may provide at least a 90-day period to the TAG so that the TAG could present reasons why adoption of a particular document should not occur. No other public reviews or balloting may occur while the INCITS TAG considers this question. Such reasons shall be approved by the Executive Board in order to stop the adoption process. The INCITS Secretariat may extend this 90-day period if there is a reasonable request for more time to conduct TC discussions. In cases where an adoption is intended to supersede a previously adopted standard, the 90-day period is waived, and the adoption of the new edition standard is automatic.

Subject to any further distribution restrictions imposed by ISO/IEC and/or ANSI, upon request the INCITS Secretariat shall provide a copy of the referenced ISO/IEC International Standard (in source form) for review by the INCITS TAG during their 90-day review. Should an appropriate source document not be available, the INCITS Secretariat will ask ANSI/ITTF for a suitable comparison document which shows any differences between the final International Standard and the last version made available to the INCITS TAG.

## 16.6 Training

Chair, Vice-chair, and IR training for the Executive Board, Executive Board Committees, Technical Committees, Task Groups and Study Groups is mandatory within one year of appointment. In the case of new officers that have not previously held the officer position appointed or elected to, training shall be required within three months of approval or appointment. The INCITS Secretariat shall develop the training materials, schedule and provide the training sessions.

Prospective officers and other interested parties are also encouraged to attend these training sessions.

## 16.7 Parliamentary Procedures

On questions of parliamentary procedure not covered in these procedures, the current edition of Robert's Rules of Order Newly Revised shall be used. Note that Robert's Rules are not used in international meetings.

## 16.8 Copyright, Patent, and Antitrust Policies

The most recent version of the INCITS patent policy, patent slides, and the full antitrust guidelines can be found at <http://www.incits.org/standards-information/legal-info>.

### 16.8.1 Copyright Policy

All contributors to (including any participation in the drafting of) any INCITS deliverable must agree in writing (electronic or otherwise, including execution of the INCITS Membership Agreement) to the Copyright License Grant by Contributor:

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<sup>7</sup> See the <http://www.incits.org> for a list of such areas/documents.

### **Copyright License Grant by Contributor**

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Should any INCITS member or the public believe material has been published on the INCITS website which is not in accordance with the INCITS Copyright Policy, they should contact the INCITS Secretariat.

### **16.8.2 Patent Policy**

INCITS adheres to the most recent version of the ANSI Patent Policy (see the ANSI Essential Requirements found at <http://www.ansi.org/>). The “Guidelines for Implementation of the ANSI Patent Policy”, also found at the ANSI web site, may be referenced for additional information.

### **16.8.3 Use of the ISO/IEC/ITU Patent Statement and Licensing Declaration Form**

In order to meet the declaration requirements concerning patent declarations by a patent holder, INCITS shall use the approved ISO/IEC/ITU “Patent Statement and Licensing Declaration Form for ITU-T/ITU-R Recommendation | ISO/IEC Deliverable” (<http://www.incits.org/standards-information/legal-info>).

#### **16.8.4 Use of INCITS Patent Slides**

Early disclosure of patents claims which may be essential for the implementation of standards under development is encouraged.

Disclosures made of such patents claims may not be exhaustive of all patents that may be essential for the use of standards under development, and neither INCITS, an IOE, nor the IOE Chair shall ensure the accuracy or completeness of any disclosure or whether any disclosure is of a patent that, in fact, may be essential for the use of standards under development.

At each meeting of an IOE, excluding ad hocs, the Chair shall:

1. Show or refer to the INCITS patent policy slides (<http://www.incits.org/standards-information/legal-info>).
2. Provide no interpretation or explanation of the INCITS patent policy, nor allow committee members to do so. Questions about the policy shall be referred to the participant's legal counsel or the ANSI General Counsel.
3. Provide no interpretation or explanation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC, nor allow committee members to do so.
4. Instruct the IOE Secretary to record in the minutes of the relevant meeting that the foregoing advice was provided, and the patent policy slides were referred to.

#### **16.8.5 Antitrust Guidelines**

The INCITS Antitrust Guidelines are provided for the protection of INCITS and IOE members on antitrust issues. INCITS and IOE members shall follow the INCITS Antitrust Guidelines, which are located at <http://www.incits.org/standards-information/legal-info>.

At each meeting of an IOE, excluding ad hocs, the Chair shall:

1. Show or refer to the INCITS antitrust guidelines (<http://www.incits.org/standards-information/legal-info>).
2. Provide no interpretation or explanation of the INCITS antitrust guidelines, nor allow committee members to do so. Questions about the policy shall be referred to the participant's legal counsel or the ANSI General Counsel.
3. Instruct the IOE Secretary to record in the minutes of the relevant meeting that the foregoing advice was provided, and the antitrust guidelines were referred to.

## ANNEX A

### **Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees**

#### **Systems Approach**

The fundamental strength of the ISO/IEC over the decades has been the quality and market acceptance of its technology-based product standards and specifications, standards that also are the reference in the Commission's conformity assessment schemes. The need for such product or product family standards will continue for the foreseeable future and the ISO/IEC must maintain its efforts, and its reputation, in this traditional area of pre-eminence.

The multiplicity of technologies and their convergence in many new and emerging markets, however – particularly those involving large-scale infrastructure – now demand a top-down approach to standardization, starting at the system or system-architecture rather than at the product level. System standards are also increasingly required in sectors such as environment, safety, and health. Although the introduction of such processes in the ISO/IEC began some years ago, a major effort is now required to improve understanding of them and to widen their application. It will be necessary to take account of the implied need for increased cooperation with many other standards developing organizations, as well as with relevant non-standards bodies in the international arena. There will also be implications for the IEC's conformity assessment systems and processes.

#### **Process**

- a) When an IEC or national document is posted by the IEC Central Office on which a U.S. position is needed and it is of interest to two or more TCs/SCs, its availability will become known to those USNC TAG Officers and members of interested USNC TAGs, who sign up for notification by communication tools such as [IEC NEWDOCs](#) and MY IEC.

The INCITS Secretariat will inform the USNC Office of known interested committees.

- b) If a USNC TAG has an interest in a document for which it is not the primary, the primary USNC TAG shall be notified and asked to acknowledge and record the continuing interest of the other USNC TAG(s).
- c) A decision may be made by the USNC TAGs involved subject to approval by INCITS Executive Board to establish a Joint Task Force consisting of representatives of each of the USNC TAGs to develop a draft USNC position for the consideration and approval of the USNC TAGs within the required timeframe.
- d) The representatives of the interested USNC TAGs will be asked to send their comments on the document to the representative of the "primary" USNC TAG. That representative will consider and collate the comments, and taking them into account, will establish a proposed U.S. position on the subject matter. Copies of this proposed position will be sent to all the representatives who commented, and to the USNC Office. The representative of the primary committee will call a meeting of interested persons where this may be constructive.

- e) Any USNC TAG, having made substantive comments, that is not satisfied with the proposed position will promptly notify the USNC Office and the Joint Task Force who prepared the position, giving specific reasons for the objection.
- f) The USNC office will attempt to bring about resolution by correspondence or by meetings and, failing to do so, will promptly notify the President and the TMC of the USNC for necessary action.
- g) In the event a comment cannot be supported by a consensus of the USNC TAGs, it will be withdrawn. In the event a vote cannot be supported by a consensus of the USNC TAGs, the USNC will file an abstention.

*Note 1:* This procedure may also be utilized when coordination with USNC TAGs for ISO TCs/SCs is desired.

*Note 2:* If the USNC is not a Participating Member, contact the USNC Office for guidance.

*Note 3:* Communicate with the USNC Office for guidance when necessary.

## ANNEX B

### Criteria for the Development and Coordination of U.S. Positions In the International Standardization Activities of the ISO and IEC

*Note: To see the whole version of this document, please visit [ANSI Procedures for U.S. Participation in the International Standards Activities of ISO](#).*

Participation in international standards activities of interest to members of the American National Standards Institute (ANSI) requires membership in two international non-treaty standardization organizations, namely the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC). ANSI is the U.S. member body of ISO and the U.S. National Committee (USNC) of the IEC, a committee of ANSI, is the U.S. member of the IEC. To assure that positions presented to these international bodies are representative of U.S. interests a mechanism must exist for the development and coordination of such positions. This document outlines ANSI's criteria for an appropriate mechanism. This document does not supersede an ISO TAG's accredited procedures.

ANSI normally looks to the body that develops national standards in a particular standards area in order to determine the U.S. position in a similar international standardization activity. Such national consensus bodies are designated by ANSI as "U.S. TAGs" for specific ISO or IEC activities. Each accredited U.S. TAG to ISO shall be referred to as an "ANSI-Accredited U.S. TAG" (or alternately, "ANSI/ [SDO] TAG to ISO/TC XX" or the equivalent) in all communications with TAG members and other parties regarding TAG activities. Where no national standards group exists, or is available to serve, or where several separate national standards groups exist, special bodies may be established for this purpose. The makeup of U.S. TAGs may include participants from companies, technical and trade organizations, government agencies, academia, and individuals.

In addition to U.S. TAG activities, as appropriate and consistent with ANSI's mission to promote U.S.-based technology globally, ANSI may approve the establishment of Partnership Standards Developing Organization (PSDO) agreements with ISO. To coordinate both activities with the American National Standards process, ANSI also requires early notification by an ANSI-Accredited Standards Developer of its intent to submit a proposed American National Standard (ANS) for consideration for approval as an ISO or ISO/IEC JTC-1 standard. See ANSI Essential Requirements: Due process requirements for American National Standards. In such instances, it is expected that ANSI-Accredited U.S. TAGs will raise any concerns related to the proposed ANS during its development cycle so that if the standard is subsequently balloted for approval at the ISO or ISO/IEC JTC-1 level, the U.S. position will be to support its approval. For existing ANS, the PSDO is required to seek and obtain the approval of the applicable ANSI-Accredited U.S. TAG prior to its submission of a standard to ISO under a PSDO agreement.

#### **B1 – Applicability**

These requirements apply to the development and coordination of U.S. positions for ISO and IEC activities.

#### **B2 – International Requirements**

Operating procedures for the development of U.S. positions shall comply with the requirements imposed on members by the relevant international standards body. For example, time limits are imposed on all participating international members of the international body with regard to voting, commenting, and other related matters. Reasonable time extensions may be requested for good cause.



### **B3 – General**

The operating procedures of existing or newly established groups which develop U.S. positions for the standardization activities of ISO shall, at a minimum, meet the criteria for the organization, accreditation and operation of U.S. TAGs as provided herein. The operating procedures of existing or newly established groups which develop U.S. positions for the standardization activities of IEC shall, at a minimum, meet the criteria for the organization and operation of U.S. TAGs as provided for in the Rules of Procedure of the U.S. National Committee of the IEC.

### **B4 – Criteria for Organization**

The following minimum criteria shall be met in the organization of U.S. TAGs, which develop U.S. positions on international standards activities:

#### **B4.1 – Openness**

Participation shall be open to all U.S. national interested parties who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

Timely and adequate notice of the formation of new activities related to international standards shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information.

In addition, the member's name (or if membership is by organization, the name of the organization with a point of contact), affiliation and interest category of each member of the TAG shall be made available to interested parties upon request.

#### **B4.2 – Balance**

The process of developing U.S. positions shall provide an opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase "without dominance by any single interest" normally will be satisfied if a reasonable balance among interests can be achieved. Unless it is claimed by a directly and materially affected person (organization, company, government agency, individual, etc.) that a single interest category dominated the development of the U.S. position, no test for dominance is required.

Interest categories shall be discretely defined, cover all materially affected parties and differentiate each category from the other categories. Such definitions shall be available upon request. In defining the interest categories appropriate to a standards activity, consideration shall be given to at least the following: producer, user, general interest.

Where appropriate, more detailed subdivisions should be considered.

### **B5 – Criteria for Operation**

The following minimum criteria shall be met in the development of U.S. positions in international standards activities:

#### **B5.1 – Written Procedures**

Written procedures shall govern the methods used for the development of U.S. positions and shall be available to any interested party.

### **B5.2 – Listing in Standards Action**

Appropriate international standards activities shall be listed in Standards Action in order to provide an opportunity for public comment. The comment period shall be appropriate to the required timing for the action.

### **B5.3 – Consideration of Views and Objections**

Prompt consideration shall be given to the written views and objections of all participants including those commenting on the listing in Standards Action. A concerted effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefor.

Unresolved objections and any substantive change made to a proposed U.S. position shall be reported to the participants.

### **B5.4 – Records**

Records shall be prepared and maintained to provide evidence of compliance with these criteria. Records concerning new, revised, or reaffirmed ISO Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal.

### **B5.5 – Appeals**

The written procedures shall contain an identifiable, realistic, and readily available appeals mechanism for the impartial handling of substantive and procedural complaints regarding any action or inaction.

### **B5.6 – Antitrust Policy**

U.S. positions developed by ANSI-Accredited U.S. TAGS or USNC appointed U.S. TAGs shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop U.S. positions are to be conducted in accordance with these laws.

## **B6 – Guidelines for Determining a U.S. Voting Position**

The development of a U.S. position with regard to voting on international documents is a matter of great complexity. Firm rules for casting affirmative votes, negative votes, or abstentions would be presumptuous and unworkable in many cases. However, efforts should be made to achieve consistency in the perceived conduct of the United States as a participant in international, non-treaty standards development. Toward that end, guidelines for determining a voting position are included herein in order to provide direction toward a consistent voting policy. These guidelines cannot cover all of the factors that must be considered in determining the U.S. vote. They do, however, represent generally accepted principles that should be applied to normal situations.

### **B6.1 – Existing National Standard**

If there is an existing U.S. national standard (i.e., an American National Standard (ANS) or, in the absence of an ANS, another standard generally accepted within the United States) and:

If the national standard can be considered equivalent to the requirements in the international document, vote affirmative

If the international document includes different, additional, or more stringent requirements than are in the national standard and the U.S. consensus indicates that such requirements are:

- a) Acceptable, and should be considered for inclusion in the national standard (see section B7.2), vote affirmative, or
- b) Not acceptable, vote negative

If the national standard includes different, additional, or more stringent requirements than are in the international document and the U.S. consensus indicates that such requirements:

- a) Should be modified in accordance with the international document, (see section 7.2) vote affirmative, or
- b) Must be maintained, vote negative, or
- c) Must be maintained, but the proposed document is considered to represent the best agreement which can be attained at the present time from an international point of view, vote abstain with a statement that the U.S. cannot modify its national standard for stated reasons

### **B6.2 – No Existing National Standards**

If no national standard exists and

If U.S. consensus establishes that the international document is:

- a) Technically acceptable and could be used as the basis for the development of a national standard, vote affirmative, or
- b) Not technically acceptable, vote negative

If the international document is of little or no interest to the U.S., abstain

If the international document unnecessarily creates a barrier to domestic or international trade or impedes innovation or technical progress, vote negative

### **B6.3 – Abstain**

Regardless of whether or not a national standard exists, if no U.S. consensus has been established, abstain.

### **B6.4 – Negative**

The U.S. vote, if negative, must be accompanied by reasons and supporting information such as technical data and logical argument. Also, any known exceptions and/or additions that will be required to conform to U.S. safety practices or regulations shall be noted.

### **B6.5 – Exceptions**

Exceptions to the above stated voting guidelines should be carefully considered.

## **B7 – Criteria for Approval of U.S. Positions on International Standards Activities**

### **B7.1 – Introduction**

Implicit in the transmittal of U.S. positions on international standards activities to ANSI is the verification that the requirements of this document have been met and that consensus in support of the U.S. position has been established.

Consistent with ANSI's mission to promote U.S.-based technology globally, ANSI may approve a PSDO agreement. In all such instances, an ANSI-Accredited Standards Developer is required to provide public notice of its intent to submit a proposed American National Standard (ANS) for consideration for approval as an ISO or ISO/IEC JTC-1 standard. See ANSI Essential Requirements: Due process requirements for American National Standards. Further, in such instances, it is expected that ANSI-Accredited U.S. TAGs will raise any concerns related to the proposed ANS during its development cycle so that if the standard is subsequently balloted for approval at ISO, the U.S. position will be to support its approval. For existing ANS, the PSDO is required to seek and obtain the approval of the applicable ANSI-Accredited U.S. TAG prior to its submission of a standard to ISO under a PSDO agreement.

### **B7.2 – Consensus**

Consensus for a U.S. position is established when substantial agreement has been reached by the U.S. national interests that are directly and materially affected by the proposed international standard. Additionally, if the proposed U.S. position is based on giving consideration to changes in an existing U.S. national standard, the consensus process shall include U.S. national interests that are directly and materially affected by the U.S. national standard.

### **B7.3 – U.S. Proposals of Documents as the Basis for the Initiation of International Standards**

All U.S. proposals for the initiation of new work items for the development of international standards shall be approved by the appropriate U.S. TAG. Such proposals may be based on American National Standards (ANS), as appropriate. In the absence of ANS, other appropriate, generally accepted standards may be proposed. In all instances, permission from the sponsor to propose documents as the basis for the initiation of international standards shall be obtained. In the absence of either ANS or other appropriate, generally accepted standards, proposals may be based on a rationale, or a standard under development.

### **B7.4 – U.S. Proposals to Fast Track a National Standard**

The U.S. may submit a nationally accepted standard using the fast-track procedure approved by the ISO and IEC if the following criteria are met:

- a) The U.S. is a P-member of a concerned ISO committee
- b) The proposed standard must have the approval of both the originating organization and appropriate U.S. TAG

The procedures in B7.3 shall be used in determining U.S. support for the proposed standard.

### **B8 – Participation in the formulation of U.S. positions**

U.S. TAG Members and other contributors are expected to participate in good faith and in accordance with professional standards, respectful of the rules of the TAG and the authority given to the Officers of the TAG and TAG Administrator. As appropriate, the TAG and TAG Administrator may refer to Robert's Rules of Order, Disciplinary Procedures, for guidance.

### **B9 – Criteria for Appeals**

The provision of appeals is important for the protection of directly and materially affected interests and for the organizations involved in the development of U.S. positions in international activities and is required as a part of due process. This section provides for the right to appeal, indicates what may be appealed, and gives general criteria regarding the appeals mechanism.

#### **B9.1 – Right to Appeal**

Directly and materially affected U.S. national interested parties have the right to appeal any procedural action or inaction in the development of U.S. positions on international standards activities.

### **B9.2 – Appeals Mechanism**

The following general criteria shall apply to any appeals mechanism provided by the U.S. TAG pursuant to these procedures:

- a) Appeals shall be addressed promptly and a decision made expeditiously
- b) The right of the involved parties to present their cases shall not be denied
- c) Appeals procedures shall provide for participation by all parties concerned without imposing an undue burden on them
- d) Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed
- e) Records of appeals shall be kept and made available to the involved parties

### **B9.3 – Access**

Appeals shall be processed in accordance with the written procedures used by the U.S. TAG for the development of pertinent U.S. positions. (See B5) ANSI will not normally hear an appeal of an action or inaction until all other appeal procedures have been exhausted.

## ANNEX C

### **USNC POLICY ON DISTRIBUTION OF FREE COPIES OF IEC STANDARDS AND WORKING DOCUMENTS FOR USE IN USNC STANDARDS DEVELOPMENT ACTIVITIES**

#### **General**

IEC Standards and related working documents, such as technical publications, guides, advisory committee documents, working drafts, committee drafts, and final drafts (hereinafter “Working Documents”) are protected by IEC copyright. Under circumstances described in this policy, IEC Standards and Working Documents may be provided to authorized USNC TAG Members and certain third parties free of charge for use in standards development activities. Such documents remain copyright protected, however, and continue to be subject to certain other copying and redistribution limitations.

#### **Copies of IEC Standards and Working Documents for Use by USNC TAG Members**

IEC Standards and/or Working Documents provided under this policy shall be used by the USNC, its members, the members of the USNC TAG, US TAG to ISO/IEC JTC 1, TAs, Deputy TAs, USNC Experts, INCITS Secretariat, and others specifically identified by the INCITS Secretariat (“Authorized USNC TAG Members”) exclusively in the formation of U.S. positions on the development, national implementation, or maintenance of IEC Standards.

Authorized USNC TAG Members needing free copies of IEC Standards or Working Documents should obtain permission from the INCITS Secretariat for the subject USNC TAG.

An INCITS Secretariat may grant a request by Authorized USNC TAG Members for free copies of IEC Standards or Working Documents in circumstances where such Authorized USNC TAG Member has demonstrated a direct need for such documents in connection with the standards development, implementation, or maintenance activities of a USNC TAG. In making that determination the TAG Secretary may consult with the Technical Advisor (TA) or the USNC Office.

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#### **Copies of IEC Standards and Working Documents for Use by Certain Third Parties outside the USNC TAG**

On a limited-exception basis, and within the sole discretion of the INCITS Secretariat, particular IEC Standards or Working Documents may be shared with parties outside the USNC TAG if such disclosure is

required to ensure that the necessary expertise (representing broad U.S. interests) will be used in formulating decisions necessary to the standards development, implementation, or maintenance activities of a USNC TAG. If INCITS Secretariat determines that such disclosure is necessary, a single copy of the relevant document shall be provided to such third party who shall have no rights to further copy or distribute such document.

#### Watermarking of All Documents Made Available to Authorized USNC TAG Members or Third Parties

Whether made available in electronic or hard-copy format, all documents made available under this policy shall either be “watermarked” with the appropriate copyright statement in accordance with Attachment “A” or be accompanied by a cover page that includes the appropriate copyright statement. In either case, a typical “copyright” notice shall be placed in the document.

#### Announcements

These policies are to be announced broadly to the USNC’s constituency and will be included in the USNC’s Statutes and Rules of Procedure and the USNC TAG Model Operating Procedures.

### **ATTACHMENT A (TO ANNEX C)**

#### **REQUIRED STATEMENT FOR INCLUSION ON IEC STANDARDS OR WORKING DOCUMENTS PROVIDED FREE OF CHARGE FOR USE IN USNC TAG STANDARDS DEVELOPMENT ACTIVITIES**

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