

# INCITS RD-1

## Policies and Guidelines

Version: 2012.01.01



### Revision History

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Previous versions of this document, including a “red-lined” version of this document showing changes from the previous version, may be found in the “Reference Documents” section of the INCITS web site.

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## Introduction

*INCITS/RD-1, Policies and Guidelines*, lists (a) external and internal policies that affect INCITS and (b) guidelines established to assist INCITS and its Subgroups in their programs of work. These policies and guidelines have been developed and approved either by the Information Technology Industry Council (ITI), the American National Standards Institute (ANSI) or INCITS. *INCITS/RD-1* should be used in conjunction with *INCITS/RD-2, Organization, Rules and Procedures of INCITS*, since a number of established INCITS procedures refer the reader back to this document.

The Information Technology Industry Council (ITI) is the Secretariat for INCITS. ITI is a trade association that represents the 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>.

Suggestions and errata for this document should be forwarded to the Director, INCITS Secretariat, c/o ITI.

## 1.0 Committee Management

### 1.1 Financial policies

#### 1.1.1 Policy for Collection and Accounting of Subgroup Funds

INCITS Subgroups often collect funds to pay for services to progress the work of the Subgroup. This section sets forth the policies used to establish, collect, disburse, maintain and account for such funds.

##### 1.1.1.1 Approved Uses of Subgroup Funds

Funds collected under this policy are restricted to the following use(s) for meetings of the subgroup:

- a. meeting room rental;
- b. meeting refreshments;
- c. current meeting document reproduction;
- d. audio-visual, computer and/or office equipment rental; and
- e. contracting for a professional meeting planner.

Additionally, funds may be collected for the following expenses:

- a. bonding fees, if needed, for the Subgroup Chair or Treasurer; and
- b. purchase of durable goods associated with the conduct of subgroup meetings or business (e.g. printers, LANs, routers). The use of all durable goods is restricted to subgroup use only. The current inventory of all durable goods shall be included in the Subgroup annual report.

The acquisition of other services or purchases not listed above which require Subgroup funding (for example, external editing services for specifications) shall be approved by the INCITS Secretariat prior to any funds being collected. Domestic Subgroup funding of approved U.S.-hosted ISO/TC and ISO/IEC JTC 1/SC plenary meetings

requires the advance approval of the INCITS Executive Board before invitations are offered or funds are collected.

#### **1.1.1.2**            *Establishment of the Subgroup Fee*

A Subgroup shall only establish a Subgroup fee by issuing a 30-day letter ballot that explains the need for and use of a fee, along with the initial fee to be charged. The letter ballot establishing the fund shall also document the Subgroup procedures for collecting, disbursing and administering these funds; these Subgroup procedures must be consistent with the policies described below. The letter ballot shall pass by a two-thirds vote for the Subgroup fee to be established.

#### **1.1.1.3**            *Allocation of Fees*

When Subgroup 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 for all principal and alternate members desiring to participate in a meeting, 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" clause of the *INCITS/RD-2, Organization and Procedures*. The Subgroup may grant exceptions to this policy by Subgroup vote.

All subgroups 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 Subgroup 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.

#### **1.1.1.4**            *Changes to the Fee*

Changes to an approved fee amount shall be further approved by a majority vote of the Subgroup at least thirty calendar days in advance of the assessment of any revised fee.

#### **1.1.1.5**            *Subgroup Fund Administration*

##### **1.1.1.5.1**           *Treasurer Appointment*

Any Subgroup establishing a Subgroup fee shall have a Chair-appointed Treasurer. The Chair shall not serve as the Treasurer. The Treasurer shall be a representative of an organization that is a voting member in good standing.

##### **1.1.1.5.2**           *Treasurer Duties*

The Treasurer shall be responsible for the following:

- a. collection, disbursement and accounting of the Subgroup funds;
- b. maintain a file of all receipts, bank statements, invoices, interest and other pertinent documents. The period of retention for this file shall be in accordance with the INCITS file retention policies; and after the period of retention these records shall be transferred to the INCITS Secretariat. The file will be made available for inspection by any member of the Subgroup or the INCITS Secretariat upon request.

- c. control of all durable goods purchased on behalf of the Subgroup, including maintaining an inventory of durable goods and reporting the inventory to the Secretariat.

### **1.1.1.5.3 Reporting Requirements**

#### **1.1.1.5.3.1 Subgroup Reporting**

The Treasurer shall prepare a report following each meeting to be distributed with the minutes of that meeting. This report also shall be a standing agenda item of the Subgroup.

This report shall include:

- a. names of individual Subgroup 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. the current balance of the Fund.

#### **1.1.1.5.3.2 Annual Report**

As part of its Annual Report, the Subgroup 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. the current inventory of durable goods.

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

### **1.1.1.5.4 Account Management**

- a. Bank accounts shall be established for accrued funds that exceed \$500.00. Note: 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.
- b. All subgroup bank accounts shall be established and maintained by ITI at a full service bank that is federally insured by the FDIC.
- c. Subgroup fund balances shall not exceed \$25,000.00, except when the expected expenses for a planned subgroup meeting may 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 Treasurer or Subgroup Chair.
- d. Bank accounts shall have ITI, the Treasurer and an elected officer as signatory authorities. Unless otherwise required by Subgroup resolution, only one signature is required for check signatures.
- e. Bank accounts being established shall use the ITI tax ID number for the account.

- f. Subgroups 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 subgroup meeting minutes.

#### **1.1.1.5 Bonding**

Any persons with signature authority over a Subgroup bank account shall be bonded in the minimum amount of \$25,000.00 each; a higher limit may be required if the Subgroup must accumulate a higher level of funds for planned meetings. Subgroups not using bank accounts may also have their Treasurer bonded. Bonding shall be obtained through ITI prior to the collection of any funds. Bonding fees shall be reimbursed from the subgroup funds.

#### **1.1.1.6 Dissolution of the Subgroup Fund**

A fund shall be dissolved in one of three ways:

- a. by a Subgroup Letter Ballot receiving two-thirds approval;
- b. disbandment of the Subgroup; or
- c. Subgroup status is changed to maintenance.

In any case, a final financial statement shall be distributed to the Subgroup members and the INCITS Secretariat. Any remaining balance in the fund shall be transferred to ITI by the Subgroup Chair and/or Treasurer for deposit into the INCITS equity account.

If any durable goods are held by the Subgroup at the time the subgroup fund is dissolved, the Treasurer or an elected TC officer shall transfer them to the INCITS Secretariat; however, if the Subgroup 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 Subgroup, it may offer the goods for use by other INCITS Subgroups, or it may dispose of the goods as it sees fit and deposit any proceeds into the INCITS equity account.

#### **1.1.2 INCITS Equity Account**

The INCITS equity account was established to serve as a financial fund into which excess revenues (derived primarily from Secretariat Dues and Fees) over expenses could be deposited. Periodic review of the account is done through reports by the INCITS Secretariat to INCITS and ITI management.

The funds held in this account are to be used for such purposes as meeting expenses when such expenses exceed revenues in any given fiscal year(s), funding the INCITS Secretariat for a period of time in the event of INCITS's loss of sponsorship or items not anticipated within the current fiscal year budget. Use of the INCITS Equity Account funds shall require prior approval by INCITS and ITI management.

No set figure is required to be maintained within the INCITS equity account, however, if the account exceeds six months of INCITS Secretariat operating expenses or the account is depleted to a balance below two month's operating expenses, the equity account should be re-examined by INCITS in light of the current Secretariat Service Fees.



### 1.1.3 JTC 1 Reserve Account

The JTC 1 Reserve Account is a special asset account which holds funds used to support US-held Secretariats in JTC 1. Further information on the history of this account may be found in in060759, "History of the JTC 1 Reserve Account".

### 1.1.4 INCITS Sponsorship of Special INCITS Subgroup Activities and Events

#### 1.1.4.1 *Format of Business Plan to Obtain Approval of INCITS Sponsorship of Special INCITS Subgroup Activities and Events*

In order for the INCITS Secretariat to provide its recommendation and for INCITS to evaluate and grant its sponsorship of an INCITS Subgroup special activity/event, please provide a business plan answering the following questions.

1. Sponsoring INCITS Subgroup:
  - a. Other INCITS Subgroup(s) to be involved:
2. Title of the activity/event:
3. Activity/Event date:
4. Activity/Event location:
5. Type of activity/event (e.g., symposium, conference, publication, database):
6. Description and purpose of the activity/event:
7. Type and number of participants anticipated:
8. Expected benefits to participants:
9. Expected benefits to INCITS in sponsoring this activity/event:
10. What benefits/opportunities may be missed if INCITS does not sponsor/authorize this activity/event:
11. Who will oversee the planning of the activity/event:
12. Is this a single (one-time) or anticipated recurring event? (Note: A separate business plan and approval will be required for each occurrence)
13. Financial and Staffing Considerations
  - a. What expenses are anticipated for this activity/event:
  - b. Will this be a profit, loss or break-even event:
  - c. Who will fund the costs for this activity/event: (i.e., How much of the costs will be borne by the participants and how did you calculate this number? Do you request Secretariat funding? Do you have other funding?)
  - d. Is INCITS Secretariat time and personnel necessary for the activity/event:
  - e. If "YES", provide rationale for staff involvement (include estimate of staff time and travel expense):
  - f. Are there any provisions to cancel activity/event due to lack of interest:
  - g. If proceedings are published, what is the publication plan? (i.e., Who will print them? Who will sell them? Who will hold the copyright?)

#### 1.1.4.2 *Sample Business Plan*

INCITS Sponsorship of Special INCITS Subgroup Activities and Events

1. **Sponsoring INCITS Subgroup:** INCITS Data Base Study Group

- a. Other INCITS Subgroup(s) to be involved:  
Other TCs having an interest in object-oriented systems standards. The Chairs of INCITSH2, Database, and X3T3, ODP, have indicated that their TCs are planning to participate.
2. **Title of the activity/event:** Objects in Data Management
3. **Activity/Event date:** January 14-15, 1991
4. **Activity/Event location:** Grand Hotel, Anaheim, CA
5. **Type of activity/event (e.g., symposium, conference, publication, database):** Conference
6. **Description and purpose of the activity/event:**  
The conference will bring together representatives of technical committees, other standards groups and developers of object-oriented database management systems. Through formal presentations of input papers, general discussion sessions and ad hoc groups, the participants will compare the directions of the various standards bodies relative to technological advances. Areas of potential divergence will be investigated and recommended actions will be identified.
7. **Type and number of participants anticipated:**  
Approximately 100 standards developers, implementers and users of object-oriented database systems.
8. **Expected benefits to participants:**  
The conference will provide the opportunity for individuals to present their contributions on object-oriented database technology and standardization, provide a forum for exchange of information and generally raise the participants awareness of current and planned standardization activities.
9. **Expected benefits to INCITS in sponsoring this activity/event:**  
In addition to the benefit of having INCITS's name associated with this conference, the conference will bring together various technical committee representatives (both from INCITS and other groups) to share plans, etc.
10. **What benefits/opportunities may be missed if INCITS does not sponsor/authorize this activity/event:**  
As the conference is intended to investigate areas of potential conflict among standards developing groups, this information, which could help avoid future problems in the standards approval process, would not otherwise be available.
11. **Who will oversee the planning of the activity/event:**  
The XYZ Corporation has volunteered to oversee the planning which includes making hotel arrangements, providing a conference coordinator prior to and during the conference, handling registration, processing input papers and publishing the proceedings of the conference. A letter from XYZ Corporation indicating their sponsorship of this event is attached.
12. **Is this a single (one-time) or anticipated recurring event?**  
(Note: A separate business plan and approval will be required for each occurrence)  
This is a one-time event. Future conferences may be planned on related or other topics based on the success of this conference. It is understood that separate business plans and approval will be required for any future events.
13. **Financial and Staffing Considerations**
  - a. *What expenses are anticipated for this activity/event:*  
The cost of meeting rooms, refreshments and copying at the meeting are the anticipated expenses. XYZ Corporation has agreed to cover other associated costs, e.g. conference coordinator, publication of proceedings, etc.
  - b. *Will this be a profit, loss or break-even event:*  
The event is intended to be break-even; however, subsequent sales of the proceedings could generate a profit. (See 13g.)
  - c. *Who will fund the costs for this activity/event: (i.e., How much of the costs will be borne by the participants and how did you calculate this number? Do you request Secretariat funding? Do you have other funding?)*

The meeting expenses are intended to be covered by a registration fee. The meeting expenses will be negotiated so that they can be covered by a registration fee of not more than \$100. The exact fee will be determined at the hotel registration cut-off date approximately two months prior to the event.

- d. *Is INCITS Secretariat time and personnel necessary for the activity/event:*  
No; however, arrangements will need to be made for the on-going sale of the proceedings after the conference.
- e. *If "YES", provide rationale for staff involvement (include estimate of staff time and travel expense):* Not applicable
- f. *Are there any provisions to cancel activity/event due to lack of interest:*  
At the time of the hotel registration cut-off date, a final decision will be made on holding the conference. The hotel will be made aware of this during arrangement negotiations.
- g. *If proceedings are published, what is the publication plan? (i.e., Who will print them? Who will sell them? Who will hold the copyright?)*  
XYZ Corporation will print the proceedings. It is anticipated that INCITS will hold the copyright and handle the sale and distribution of the proceedings through a currently utilized (or new) service bureau. The Secretariat should determine the best means for handling the sales and distribution.

## 1.2 Policy for Record Retention

### 1.2.1 General Policy

1. The purpose of this policy statement is to allow the InterNational Committee for Information Technology Standards (hereinafter "INCITS" or the "Company") to identify, retain, store, and dispose of the Company's records in an appropriate, legally sound, and orderly manner.
2. Except as otherwise indicated, documents shall be retained for the number of years indicated in Section 1.2.2. Once any such time period is complete, those records are to be destroyed.
3. Irrespective of the retention periods specified in Section 1.2.2, upon (i) receiving notice of a lawsuit, government investigation, or other legal action against or involving the Company, 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
4. 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 contemplation of any such matter.
5. INCITS will maintain complete, accurate and high-quality records in local, damage-proof storage for the duration of the time periods provided for in this policy. The INCITS Secretariat (not INCITS Officers, at the TC or any other level) shall be responsible for authorizing, overseeing, and ensuring that records maintained by INCITS are destroyed pursuant to this policy.
6. This policy is effective as of June 1, 2011 ("Effective Date"). For documents in existence prior to the Effective Date, the base date for calculating the retention period is the Effective Date of this policy. Otherwise, for documents created on or after the Effective Date, the Submission Date in ICMS is the base date used to calculate the retention period.

- 7. Record retention shall mean the retention of a complete record including all attachments.
- 8. Upon termination of any group, the documents/records of the group shall be passed on to their INCITS Secretariat for record retention.

**1.2.2 Record Retention Guidelines**

**1.2.2.1 Finance Records (if the INCITS organizational unit holds financial records)**

Type of Record	Retention Period
Bank Records, including: Bank reconciliations; Deposit and withdrawal records; Bank account statements; Cancelled checks; Check register	6 years; 1 year for check register
Annual Report Financial Statement (see RD1 requirements)	20 years

**1.2.2.2 E-Mail and Other Correspondence that does not involve standards and/or U.S. TAG activity**

Type of Record	Retention Period
E-mail and Any Files Attached Thereto (unless other provisions of this policy apply)	90 days
Routine Correspondence (no acknowledgment or follow-up required)	1 year
Interdepartmental or Other Company Correspondence Where Another Copy of Same Correspondence Kept in Originating Department’s File	1 year
General Inquiries and Replies Which Complete a Cycle of Correspondence and Have No Value After Possible Reference From Correspondent Within a Reasonable Time	1 year
Correspondence Requesting Specific Action Which Has No Further Value After Changes are Made or Action Has Been Taken	1 year
Correspondence Pertaining to Inconsequential Subject Matters or Which Definitely Close Correspondence and No Further Reference is Necessary	1 year
Chronological Correspondence Files	1 year

**1.2.2.3 Standards and U.S. TAG Documents and Records**

Type of Record	Retention Period
Intellectual Property related documents/records (e.g.	Permanently

licensing statements, disclosure statements, legal opinions, correspondence)	
Documents/Records retained in ICMS, see below for list of examples. (unless subject to other retention period in this section)	20 years
Final Approved ANS Documents	Permanently
ANSI Accreditation Documents	Permanently
ANSI Audit Documents	Permanently
Email and 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.

#### 1.2.2.4 *Examples of Documents/Records retained in ICMS*

1. Activity Reports and Annual Reports
2. Ballots (including votes, comments, summaries/tables, and dispositions)
3. Call for delegates
4. Call for officer
5. Comments from reviews (internal and external)
6. Contributions
7. Correspondence and email archives related to a project or standard
8. Document Register
9. Draft Proposed American National Standards
10. Final Text Submitted for IS, AMD, TR, ISP or COR Publication
11. Information from Secretariats, ISO, IEC, or ITTF
12. Instructions to Editor
13. Management Report
14. Management Review documents
15. Meeting Agenda
16. Meeting Announcement
17. Meeting Minutes
18. Notice of Publication
19. Notification of appointment of officer
20. Participant information
21. Press Release
22. Program Extension Document
23. Program of Work
24. Published or Working Draft Text Amendment
25. Published or Working Draft Text for International Standard
26. Published or Working Draft Text Technical Report
27. Published Technical Corrigendum
28. Request for comments
29. Request for Periodic Review
30. Resolutions
31. Revised DCOR text for NB review

32. Revised DIS/DAM text for review (Fast Track/PAS document)
33. Revised DTR text for NB review
34. Secretariat Report
35. Standing Document
36. U.S. Contributions/Submissions
37. Vote on officer nomination

### **1.3 Policy Regarding Formal Interpretation of the INCITS Procedures (INCITS/RD-2)**

Formal interpretation of the standing document on Organization, Rules and Procedures of INCITS ([INCITS/RD-2](#)) will be made by the Policy and Procedures Committee (PPC). Procedures for obtaining interpretations can be found in that standing document.

### **1.4 Policy Regarding INCITS Awards and Recognition Program**

#### **1.4.1 General Policy**

The purpose of this program is to provide recognition to the INCITS participants for their contributions to national and/or international standards work. There are two distinct types of awards classifications intended to fulfill distinct needs:

Tier 1 awards - provide recognition to INCITS participants throughout the year as applicable. These awards are for:

- Officer Appointment
- Officer Training
- Officer Retirement
- Member Retirement
- Standard Adoption

Tier 2 awards - recognize those INCITS participants making exemplary contribution to the INCITS organization. The award categories are:

- INCITS Merit Award
- INCITS Service Award
- INCITS Gene Milligan Award
- INCITS Technical Excellence Award
- INCITS Award for Exceptional International Leadership
- INCITS Team Award
- INCITS Lifetime Achievement Award

Tier 2 awards are presented annually, at the INCITS Symposium.

An INCITS Awards Selection Ad Hoc shall manage this program. This Ad Hoc is established by the INCITS Executive Board and comprised of the INCITS Chair, INCITS Vice-Chair, and volunteer members of the INCITS Executive Board. A representative from the INCITS Secretariat staff will serve as a non-voting member.

Responsibilities of this committee include:

- Establish procedures for managing the program.
- Ensure that a "call for nominations" is distributed to INCITS participants.
- Review nominations and make final selections of award recipients.
- Ensure that awards are prepared and ready for presentation.
- Coordinate the presentation of the awards at the INCITS Symposium.

**1.4.2 Recognition and Awards Structure**

**1.4.1.1 Tier 1 Awards**

Recognition	Criteria	Type and number of Awards	Presented
Officer Appointment	Election to office	Letter and Certificate	As applicable
Officer Training	Successful completion of training	Certificate	As applicable
Officer Retirement	Carried out responsibilities in an ongoing professional manner. Served one term or less	Letter and certificate	As applicable
	Served two or more full terms	Certificate on Plaque	As applicable
Member Retirement	Long standing (10+ years) member of INCITS and/ or INCITS subgroup	Letter and Certificate on Plaque	As applicable
Standard Adoption	Committee has successfully adopted a standard in a timely fashion	Letter to all Principals and Alternates. The Project Editor will receive a special letter and a certificate	As applicable

**1.4.1.2 Tier 2 Awards**

Award descriptions:

- **INCITS Chairman's Annual Award:**  
This is an honorary award normally presented to one INCITS participant who has provided outstanding service to the INCITS organization through committee work or duties assigned by the INCITS Chair. This individual is selected by the INCITS Chair. The award is presented at the annual meeting by the INCITS Chair.
- **INCITS Merit Award:**  
This is an honorary award normally presented to no more than four participants who have demonstrated continuous support for the work of INCITS.

- **INCITS Service Award:**  
 This is an honorary award normally presented to no more than four participants who have provided outstanding service to the INCITS organization through committee work or duties.
- **The INCITS Gene Milligan Award for Effective Committee Management:**  
 This is an honorary award normally presented to no more than two INCITS members holding an officer position within INCITS Subgroups who have provided outstanding leadership to the subgroup in its national and/or international work, have demonstrated proficiency in achieving consensus in the national and/or international arenas, and have followed the approved procedures in an exemplary fashion.
- **INCITS Technical Excellence Award**  
 This is an honorary award normally presented to no more than four participants to recognize their technical contributions and dedication to the technical program of work. This award is presented with the concurrence of the TC officers.
- **INCITS Award for Exceptional International Leadership**  
 This is an honorary award normally presented to no more than two participants for their exceptional leadership of an international committee.
- **INCITS Team Award**  
 This is an honorary award normally presented to no more than two teams of participants who have provided outstanding service to the INCITS organization for work done on a single specification, standard, or other form of project, within on TC.
- **INCITS Lifetime Achievement Award:**  
 This is an honorary award normally presented to no more than one INCITS participant annually, who has demonstrated a long-time commitment to INCITS and its national and international standardization activities.

**Award criteria, type and number of awards**

Recognition	Criteria	Type and number of Awards
INCITS Chairman's Annual Award	Any INCITS participant meeting the following criteria is eligible for this award: <ul style="list-style-type: none"> <li>• Provided outstanding service to the INCITS organization through committee work or duties assigned by the INCITS Chair</li> <li>• Assisted the Chair in progressing the work of INCITS during the term of the Chair</li> </ul>	Letter and Certificate on plaque; Normally not more than 1



<p>INCITS Merit Award</p>	<p>Any INCITS participant meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Long-standing (10+ years) member of INCITS and/or INCITS Subgroup</li> <li>• Made a significant contribution to at least two international SCs or WGs in a technical contributor or leadership role.</li> <li>• Demonstrated continuous support for the work, goals, principles, policies and procedures of INCITS</li> <li>• Provided support to the Secretariat in progressing the administrative work of INCITS</li> </ul>	<p>Letter and Certificate on plaque; Normally not more than 4</p>
<p>INCITS Service Award</p>	<p>Any INCITS participant meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Provided outstanding service to the INCITS organization through committee work or duties during the past year</li> </ul>	<p>Letter and Certificate on plaque; Normally not more than 4</p>
<p>The INCITS Gene Milligan Award for Effective Committee Management</p>	<p>Any INCITS participant holding an officer position within an INCITS Subgroup and meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Provided leadership to the subgroup in its national and/or international activities</li> <li>• Demonstrated skill in achieving consensus in the national and/or international arenas</li> <li>• Followed the approved procedures in an exemplary fashion.</li> </ul>	<p>Letter and Certificate on Plaque; Normally not more than 2</p>
<p>INCITS Technical Excellence Award</p>	<p>Any INCITS participant meeting this following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Minimum of three years of participation in a TC</li> <li>• Visible significant technical contributions to the work of the TC, nationally or internationally</li> <li>• Concurrence of the TC officers.</li> </ul>	<p>Letter and Certificate on plaque; Normally not more than 4</p>
<p>INCITS Award for Exceptional International Leadership</p>	<p>Any INCITS participant meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• At least four years of continuous leadership of an international working group or subcommittee</li> <li>• Tangible results in the form of published International Standards or Technical Reports</li> <li>• Timely completion of projects</li> <li>• Chairing of meetings in which the views of National Bodies and their experts are given due consideration.</li> </ul>	<p>Letter and Certificate on plaque; Normally not more than 2</p>

<p>INCITS Team Award</p>	<p>Any INCITS participant meeting this following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Outstanding teamwork in rapidly progressing the subgroup's national and/or international activities around a single specification, standard or other form of project, and within one TC</li> <li>• Demonstrated skill in developing technically sound standards.</li> </ul>	<p>Letter and Certificate on plaque; Normally not more than 2 teams</p>
<p>INCITS Lifetime Achievement Award</p>	<p>Any INCITS participant meeting this following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Long-standing member of INCITS and/or INCITS Subgroup;</li> <li>• Demonstrated continuous and outstandingly effective support for the development of standards</li> <li>• Meeting two or more of the following requirements:                             <ul style="list-style-type: none"> <li>• Long-standing (10+ years) participation in INCITS as an officer of an INCITS board, TC, or TG;</li> <li>• Long standing participation (10+ years) in INCITS as a technical editor or key contributor;</li> <li>• Recipient of two or more INCITS awards;</li> <li>• Long-standing participation (10+ years) in international standards development.</li> </ul> </li> </ul>	<p>Letter and Certificate on plaque; Normally not more than 1</p>

### 1.5 Policy Regarding the US Funding of New International Structures

INCITS, as the US National Body representative to JTC 1, recognizes the benefit to the US of providing the secretariat for new international activities in JTC 1 where there is strong interest and expertise from stakeholders in the US. Funding for New International Structures (NIS) as described below includes Special Working Groups (SWG), Working Groups (WG) and Sub Committees (SC) – but not Study Groups (SG).

Providing the secretariat for these activities comes with some cost. The cost will vary depending on the type of NIS and the level of activity. A commitment to provide the secretariat for 3 years and at least 12 months termination notice is required. Study Groups are chartered for a single year with the possibility of a renewal of the charter.

INCITS has the capability and interest in providing secretariat services when there is interest/expertise in the US – if sufficient sources of funding can be found. For permanent international structures, INCITS must 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. It is

recognized that INCITS will be taking some risks in making international commitments at an early stage in order to gain roles that are helpful to the US.

### 1.5.1 NIS Funding Framework

INCITS will use the following framework for funding these NIS:

- a) Funding group (NIS TAG Steering Committee):
  - A minimum of 3 INCITS members (with no maximum) are required to form the Steering Committee for a NIS TAG.
  - NIS TAG Steering Committee members each pay an equal fee that will in total at least cover the annual cost of the secretariat and will also cover their participation in the TAG, and members must agree to give a one year notice to discontinue funding.
  - NIS TAG Steering Committee will have the responsibility for nominating the US candidate for convener (WG/SWG) or chair (SC) of the new structure as well as nominating the chair and IR for the US TAG.
- b) NIS TAG Steering Committee structure and decision making:
  - The NIS TAG Steering Committee will make decisions by majority vote.
  - The NIS TAG Steering Committee's nominations for convenor, chair and IR positions will require ratification by the INCITS EB.
  - The NIS TAG Steering Committee members will be members of the US TAG, once the US TAG is formed.
  - The NIS TAG itself will be open to participation according to INCITS and ANSI rules, and will determine US positions and other matters according to INCITS procedures.
- c) INCITS Executive Board:
  - Makes the decision for INCITS to recommend to ANSI that the US provide a secretariat for the NIS (SWG/WG/SC).
  - Requests a proposal for providing secretariat services – giving the INCITS Secretariat first opportunity and first right of refusal.
  - Accepts a proposal for secretariat services, in coordination with ANSI.
  - Ratifies the pricing for the NIS TAG Steering Committee.
  - Ratifies candidates for convenor/chair/IR positions.
- d) INCITS Secretariat:
  - Develops a proposal for providing secretariat services for an NIS (sets cost, manages resource).
  - Solicits interest from throughout the INCITS/ANSI community for participating in funding the NIS (call for interest, optional second call).
  - Collects payment from NIS Steering Committee members and determines when a firm commitment has been made.

### 1.5.2 Funding Procedures

The following procedures are used to establish the NIS Steering Committee prior to establishing the TAG:

1. INCITS EB resolves that the US would like to consider providing the secretariat for an NIS, and the recommendation is submitted to ANSI.
2. INCITS EB requests a proposal for providing secretariat services from the INCITS Secretariat.
3. INCITS Secretariat develops proposal and provides this to the EB.
4. If proposal is accepted by the EB, the INCITS Secretariat issues a first call for participation in the NIS Steering Committee.
5. When at least 3 members have committed to participate in the NIS Steering Committee, the INCITS Secretariat issues a second call for participation which includes identification of the members committed to participate.
6. After a commitment from 3 members has been achieved, INCITS is able to make a commitment to ANSI to provide the secretariat for the NIS.
7. After close of the second call for participation in the NIS Steering Committee, a meeting of the Steering Committee will be held to select the candidates for the NIS convener/chair, TAG chair, and TAG IR.
8. INCITS EB ratifies the Steering Committee recommendations for NIS convener/chair, TAG chair and TAG IR.
9. The name of the NIS convener/chair candidate can be communicated to JTC 1.
10. INCITS Secretariat forms the TAG and collects payment from Steering Committee members and TAG members any time after commitments have been made.

## 2. Membership

### 2.1 Policy Regarding Determination of U.S. Domiciled Organizations

The ANSI *Procedures for U.S. Participation in the International Standards Activities of the ISO* (approved March 26, 1990) makes U.S. TAG membership open to "U.S. national persons (organizations, companies, government agencies, etc.)". Therefore, the *INCITS/RD-2, Organization & Procedures*, restricts the participation of non-U.S. domiciled organizations in certain INCITS activities devoted to U.S. TAG activities. In determining whether an organization is domiciled in the U.S., the Subgroup Chair should attempt to determine if the organization in question meets any of the following criteria:

- a. is the organization incorporated within the U.S. or its territories;
- b. is the organization headquartered in the U.S. or its territories; or
- c. is the organization's principal place of business within the U.S. or its territories.

If the organization does not meet at least one of these criteria, the organization is not U.S. domiciled and therefore ineligible to participate in the TAG portion of a Subgroup meeting (or the entire meeting if exclusively devoted to TAG business).

If the Chair's decision is challenged, the Chair shall allow the organization to attend and participate according to the rules of their membership status (e.g., member, observer, etc.). Upon completion of the meeting, the Chair shall immediately forward to PPC the challenge via the Director of the INCITS Secretariat. Statements supporting each position shall be included in order to assist PPC in rendering a decision.

Upon notification of a decision by PPC, the Director of the INCITS Secretariat will inform in writing the concerned parties regarding the outcome of the challenge. The Subgroup Chair shall announce the PPC decision and include the announcement in the minutes of the next scheduled meeting.

The PPC decision may be appealed directly to INCITS by requesting in writing that the issue be reviewed at INCITS's next scheduled meeting.

## 2.2 Policy Regarding Document Access and Membership Benefits

For the purpose of access to INCITS internal information, the following three access categories are defined as of December 1, 2007:

- a. INCITS Member Organization
- b. "Friends of the Committee" (FoC) – any non-INCITS Member organization as defined and approved by an INCITS Technical Committee
- c. Public – any organization not in the above two categories

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. Committee shall nominally make certain document types and membership benefits available according to the list below. Except as specified in this sub-clause, document types not shown in this list are for internal INCITS use only and shall not be distributed to non-Members.

- a) Public
  1. Organization structure
  2. Program of work
  3. Membership list (by organization only)
  4. Press releases
  5. Notification of new work, when approved
  6. Public TC home pages
  7. Draft proposed American National Standards (dpANS) for purchase
  8. Meeting Calendar
  9. Meeting Notices and Agendas (posted/linked documents shall not be included)
- b) Friends of the Committee (for TC or TC outreach activity – it is not mandatory to establish any FoC)
  1. Draft proposed American National Standards (dpANS) to them at no charge (milestone 4, may be iterative)
  2. Notice of new work same time it is submitted to ANSI for Standards Action

3. Access to public information as described above
4. Information, as noted above (items B1 and B2), “pushed” from the TC chair or designee via the IT system’s reflector

c) Members

1. Access to all documents and information for their specific committees
2. Eligible to attend or participate at meetings
3. Representatives of voting members may serve as delegates to international meetings
4. Representatives of voting members may hold national and international offices

TCs or their subgroups wishing to identify any external organization as a FoC shall do so by a valid committee motion, recorded in the meeting minutes, and shall notify the INCITS Secretariat of any such action. There is no requirement for any committee to establish a FoC. TCs may begin to use this new FoC distribution mechanism as of December 1, 2007.

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

1. Final versions of draft proposed American National Standards (dpANS) as submitted for management Review (milestone 5)
2. Confidential liaison reports and confidential documents from liaison organizations
3. Documents regarding personnel issues
4. ISO or ISO/IEC JTC 1 documents
5. International position documents

When documents normally restricted to FoC or members are made available to the public via access to the website or via participation in a reflector, the TC or TC subgroup 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 Antitrust Guidelines and the INCITS RD-1 and RD-2. By accepting the notification, the user:

- Agrees that he or she has read the INCITS Patent Policy and the INCITS Antitrust Guidelines
- Acknowledges that the activities of the committee are governed by the INCITS policies and procedures as specified in the reference documents RD-1 and RD-2 available at [www.incits.org](http://www.incits.org).
- Acknowledges that draft documents may change at any time, without notice.

When adopting this public access model, the TC or TG subgroup may allow short-term guest attendance at committee meetings, 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 and the INCITS Antitrust Guidelines and that they agree to follow INCITS policies as specified in the RD-1 and RD-2. 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.

Only voting members of the TC or TC subgroup shall have the opportunity to vote, serve on US delegations or hold official positions in the TC or TC subgroup.

The INCITS Executive Board may at any time take steps which could include eliminating the use of public access by a TC or TC subgroup or the assessment of an increased fee for members of a committee that has chosen public access.

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

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 entity (or extended via the 'public access' model described above). Alternatively and by TC majority vote, the TC may choose one of the two other access models:

- a. 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
- b. 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.

### **3. Drafting of American National Standards, technical reports, etc.**

#### **3.1 Policy on the Use of Metric Standards**

INCITS follows the ANSI Metric Policy as shown in the ANSI Essential Requirements: "International System of Units (SI) are the preferred units of measurement in American National Standards".

#### **3.2 Commercial terms and conditions**

INCITS and its subgroups adhere to the American National Standards Institute (ANSI) policy for use of commercial terms and conditions (as prescribed in the ANSI Essential Requirements) when developing American National Standards.

### **4 Participation in international projects, TAG responsibilities**

#### **4.1 INCITS Sponsorship of SC Plenary Meetings**

INCITS does not fund SC Plenary meetings. For the INCITS procedures regarding the hosting of international meetings, see RD-2 Section 5.7.7.5, Hosting International Meetings.

#### **4.2 Policy Regarding Conflict of Interest in International Standards Activities**

In order to avoid conflicts of interest, a U.S. convenor of an International WG cannot also act as Head of Delegation or chief spokesperson to that WG or to its parent SC.

## 5 Intellectual Property Rights

### 5.1 Copyright Policy

INCITS uses the following 5-point Copyright Policy. Questions on this policy should be addressed to the Director, INCITS Secretariat, c/o ITI.

1. INCITS shall establish procedures that result in a valid copyright in its documents.
2. The copyright shall be held and administered by ITI on behalf of INCITS.
3. Copyright of all works created during the standards process shall be solely for INCITS's benefit.
4. Pre-existing works shall be submitted with a non-exclusive license permitting the work to be used in the standard development process, incorporated into a final standard, published, and copies in any medium or form of the standard may be sold or given away at INCITS's discretion.
5. TC participants may freely make copies of all works covered in 3 and 4 to carry out the standards development process but shall not make copies for any other purpose.

The following copyright statement is used on the INCITS web site:

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**Copyright © Information Technology Industry Council 1999 - 2008**  
**All rights reserved**

Unless specifically restricted, INCITS documents or parts thereof on this Web site may be reproduced, translated, distributed, and made available electronically on condition that this is not done for profit, that no changes are made to the documents, and that ITI's rights in the documents are acknowledged.

Technical specifications (standards, draft standards, and technical reports) are further restricted as noted in the INCITS Standards Copyright Policy.

Any requests to reproduce INCITS documents in a manner other than expressly granted, whether in whole or in part, should be submitted in writing to the Director, INCITS Secretariat, c/o ITI.

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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 Director, INCITS Secretariat, c/o ITI.

### 5.2 Web privacy statement

INCITS does not collect identifying information about people visiting this web site. Only summary information about the **number of visitors** to particular sections of our 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. See [http://www.INCITS.org/INCITS\\_privacy.htm](http://www.INCITS.org/INCITS_privacy.htm) for further information.

### 5.3 Reproduction of ISO/IEC Copyrighted Materials

Permission to reprint ISO/IEC publications must be obtained from ANSI. The INCITS Secretariat has permission to redistribute international documents with the following notices:



For DIS/FDIS etc.:

*"Permission is granted by ANSI to electronically reproduce this draft International Standard for the purpose of review and comment related to the preparation of the U.S. position, provided this notice is included. All other rights are reserved."*

For published standards:

*"Permission is granted by ANSI to reproduce this International Standard for the purpose of review and comment related to the preparation of a U.S. position, provided this notice is included. All other rights are reserved."*

#### **5.4 INCITS Patent Policy**

INCITS adheres to 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.

#### **5.5 Inclusion of Patent Statements in INCITS Standards**

Every INCITS Standard must carry text from one of the two options below.

##### **Option 1 (when notice and commitment to license exist):**

*CAUTION: The developers of this standard have requested that holders of patents that may be required for the implementation of the standard disclose such patents to the publisher. However, neither the developers nor the publisher have undertaken a patent search in order to identify which, if any, patents may apply to this standard.*

*As of the date of publication of this standard, following calls for the identification of patents that may be required for the implementation of the standard, notice of one or more such claims has been received.*

*By publication of this standard, no position is taken with respect to the validity of this claim or of any rights in connection therewith. The known patent holder(s) has (have), however, filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from the publisher.*

*No further patent search is conducted by the developer or publisher in respect to any standard it processes. No representation is made or implied that this is the only license that may be required to avoid infringement in the use of this standard.*

##### **Option 2 - (when neither the developer nor the publisher had notice at the time of publication)**

*CAUTION: The developers of this standard have requested that holders of patents that may be required for the implementation of the standard disclose such patents to the publisher. However, neither the developers nor the publisher have undertaken a patent search in order to identify which, if any, patents may apply to this standard.*

*As of the date of publication of this standard and following calls for the identification of patents that may be required for the implementation of the standard, no such claims have been made. No further patent search is*

*conducted by the developer or publisher in respect to any standard it processes. No representation is made or implied that licenses are not required to avoid infringement in the use of this standard.*

## **5.6 INCITS Policy on the Adoption of ISO/IEC JTC 1 and ISO Standards as American National Standards**

Most INCITS organizational entities hold 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. As noted in ANSI procedures<sup>1</sup>, INCITS and its technical committees perform the following key TAG functions on behalf of the U.S. National Body (please see the referenced document for the full list of duties):

- Recommend registration of ANSI as a P- or O-member on an ISO technical committee or subcommittee, recommend a change in ANSI membership status on an ISO technical committee or subcommittee or recommend termination of membership as a P- or O-member on an ISO technical committee or subcommittee
- Initiate and approve U.S. proposals for new work items for submission by ANSI for consideration by an ISO technical committee or subcommittee
- Initiate and approve U.S. working drafts for submission by ANSI to ISO technical committees or subcommittees (and, where appropriate, working groups) for consideration as committee drafts
- Determine the U.S. position on an ISO draft international standard, draft technical report, committee drafts, ISO questionnaires, draft reports of meetings, etc.

Given the responsibilities and the expenditures associated with U.S. participation in international standards activities, INCITS considers participation as a "P" member as a declaration of support for the international committee's technical work. Accordingly, INCITS will adopt as "Identical"<sup>2</sup> American National Standards all ISO/IEC or ISO standards that fall within its program of work. Similarly, INCITS will withdraw any such adopted American National Standard that has been withdrawn as an ISO/IEC or ISO International Standards. 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.

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<sup>1</sup> See "ANSI Procedures for U.S. Participation in the International Standards Activities of ISO", May 13, 2005

<sup>2</sup> See ISO/IEC Guide 21-1, 2005, "Regional or national adoption of International Standards and other International Deliverables — Part 1: Adoption of International Standards" for an explanation of "Identical"

To implement this policy, INCITS shall follow the “Expedited Procedures for the Identical Adoption of an ISO or IEC standard as an American National Standard”<sup>3</sup>.

Additional processing steps will be assigned to INCITS Secretariat, will initiate 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 US TAG voted or will vote in the affirmative, and for which no claims of conflict or duplication with an existing American National Standard have been made.
- This Adoption Process shall be used only for instances where the U.S. TAG is an INCITS Organizational Entity.
- If the INCITS TAG has declared, and the INCITS Executive Board has confirmed, that INCITS will not follow this procedure for certain documents or work areas<sup>4</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 shall 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 INCITS 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.

Subject to any further distribution restrictions imposed by ISO/IEC and/or ANSI, 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.

## **5.7 Policy on the Use of the ISO/IEC/ITU Patent Statement and Licensing Declaration Form**

In order to meet the declaration requirements described above 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” (found at [http://www.incits.org/patdec\\_form.doc](http://www.incits.org/patdec_form.doc)).

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<sup>3</sup> See Section 3.0 of “ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards”, January 2007

<sup>4</sup> See the <http://www.incits.org> home page for a list of such areas/documents.