

INCITS

Organization, Policies and Procedures

Version: ~~YYY.MM.DD~~ 2017.06.01



Where IT all begins

*InterNational Committee for
Information Technology Standards*

www.incits.org

Revision History

Doc Number	Version Date	Notes/Letter Ballots
eb-2014-00803	2014.12.01	Complete revision based on prior RD-1 and RD-2 material, and other contributions. INCITS LB 3881.
eb-2015-00125	2015.02.24	Revision to Section 4.11.1, Copyright Policy Revision to Section 6.1.4, Milestone 4, Initial Public Review
eb-2016-00238	2017.06.01	Revision to Section 2, Useful References Revision to Section, 3.2.3, Executive Board Committees Revision to Section, 3.8.3.1, Advisory Members Revision to Section, 3.8.3.2, Liaisons from Other Organizations Revision to Section, 3.8.3.4, Emeritus Members Revision to Section, 3.8.4.2, Termination of Membership, TCs, TGs and SGs Revision to Section, 3.11, Document Access and Membership Benefits Revision to Section, 4.1.4, Dissolution of the Fund Revision to Section, 4.2, File Retention Revision to Section 4.3, Policy Regarding the U.S. Funding of International Structures Revision to Section 4.7, Training Revision to Section 4.9, Use of Metric Standards Revision to Section, 4.10, Commercial Terms and Conditions Revision to Section, 4.11, Copyright, Patent and Antitrust Policies Revision to Section, 4.11.2, Patent Policy Revision to Section, 5.1.2, Meeting Notice and Draft Agenda Revision to Section 5.2.1.3, Letter Ballots Revision to Section, 5.2.1.4, Executive Board Letter Ballot Resolution Procedure Revision to Section, 5.4.1, Appeals Policy Revision to Section, 5.6, Process for Amending INCITS Organization, Policies and Procedures Revision to Section, 6.1, Processing Projects to Develop ANS, ANSI TRs and INCITS TRs Revision to Section 6.1.1, Milestone 1 – Approval of the Project Proposal Revision to Section 6.1.4, Milestone 4 – Initial Public Review Revision to Section 6.1.5, Milestone 5 – Executive Board Approval Revision to Section 6.2.4 – 6.2.5, Defect Management Revision to Section 6.2.6, Stabilized Standards Revision to Section 6.4, INCITS and ANSI Technical Reports Revision to Section 7.4.1, Distribution of JTC 1 and ISO Working Group Documents Revision to Section, 7.11, INCITS Initiation of the JTC 1 Fast Track Process Revision to Section, 7.15.1, Participation in International working Groups and Study Groups Revision to Section, 8.3 Executive Board Voting Methods and Approval Criteria Revision to Section, 8.5/Note 1, Task Group voting Methods and Approval Criteria

Contents

1. Introduction 1

2. Useful References..... 1

3. Organization and Structure 2

3.1 General..... 2

3.2 Executive Board..... 3

3.2.1 Executive Board Membership..... 3

3.2.2 Executive Board Officers..... 3

3.2.2.1 Executive Board Chair 3

3.2.2.2 Executive Board Vice-Chair 3

3.2.2.3 Executive Board Secretary 3

3.2.3 Executive Board Committees..... 4

3.2.3.1 Finance Board Committee (FBC) 4

3.2.3.2 Procedures Board Committee (PBC) 4

3.2.4 Executive Board Study Groups (SG) 4

3.2.5 Executive Board Executive Session 4

3.3 Technical Committees (TC) 5

3.3.1 Program of Work 5

3.3.2 Establishment/Disbandment 5

3.3.3 Task Groups (TG)..... 5

3.3.4 Technical Committee and Task Group Officers 6

3.3.4.1 Chair 6

3.3.4.2 Vice-chair 6

3.3.4.3 Secretary 6

3.3.4.4 International Representative (IR)..... 6

3.3.4.5 Liaison to other organizations..... 6

3.4 Ad Hocs 6

3.5 Officer Appointments..... 7

3.5.1 General Procedures 7

3.5.2 TC, TG, and SG Officer Appointments..... 7

3.6 Participation in INCITS..... 8

3.7 Application for Membership 8

3.7.1 Executive Board 8

3.7.2 TCs, TGs and SGs 9

3.8 Categories of Membership..... 10

3.8.1 Voting Members 10

3.8.1.1 Executive Board 10

3.8.1.2 Executive Board Committees 10

3.8.1.3 TCs, TGs, and SGs 10

3.8.2 Limits on Voting Membership..... 11

3.8.2.1	Government	11
3.8.2.2	Academic Institutions.....	11
3.8.2.3	SDOs, Consortia.....	11
3.8.2.4	All Other Organizations.....	11
3.8.3	Non-voting Members.....	11
3.8.3.1	Advisory Members	11
3.8.3.2	Liaisons from Other Organizations.....	12
3.8.3.3	Ex-officio Members	12
3.8.3.4	Emeritus Members.....	12
3.8.4	Termination of Membership.....	13
3.8.4.1	Executive Board.....	13
3.8.4.2	TCs, TGs and SGs	13
3.8.5	Resignation of Membership.....	13
3.9	Membership Fees.....	13
3.10	U.S. National Interested Parties.....	14
3.11	Document Access and Membership Benefits	14
4.	Policies	17
4.1	Policy for Funds.....	17
4.1.1	Approved Uses of Funds	17
4.1.2	Establishment of a Fund	17
4.1.2.1	Allocation of Fees.....	17
4.1.2.2	Changes to the Fund Fee.....	18
4.1.3	Fund Administration	18
4.1.3.1	Treasurer Appointment	18
4.1.3.2	Fund Reporting.....	18
4.1.3.3	Account Management.....	18
4.1.4	Dissolution of the Fund.....	19
4.2	Policy for Record Retention	19
4.2.1	General Policy	19
4.2.2	File Retention.....	20
4.2.3	Record Retention Guidelines	20
4.2.3.1	Finance Records	20
4.2.3.2	Standards and U.S. TAG Documents and Records	20
4.3	Policy Regarding the U.S. Funding of New International Structures (NIS)	20
4.3.1	NIS International Structure Funding Framework	21
4.3.2	NIS International Structure Funding Procedures	22
4.4	Web Privacy Statement.....	23
4.5	Adoption of ISO/IEC JTC 1 and ISO Standards as American National Standards.....	23
4.6	Executive Board Approval of INCITS Positions Statements.....	24
4.7	Training	25

4.8	Parliamentary Procedures	25
4.9	Use of Metric Standards.....	25
4.10	Commercial Terms and Conditions	25
4.11	Copyright, Patent and Antitrust Policies	25
4.11.1	Copyright Policy	25
4.11.2	Patent Policy	26
4.11.3	Use of the ISO/IEC/ITU Patent Statement and Licensing Declaration Form.....	26
4.11.4	Use of INCITS Patent Slides.....	26
4.11.5	Inclusion of Patent Statements in INCITS Standards	27
4.11.6	Antitrust Guidelines	27
4.12	INCITS Awards and Recognition Program	28
4.12.1	Service Awards.....	28
4.12.1.1	Officer Appointment	28
4.12.1.2	Officer Training	28
4.12.1.3	Officer Retirement	28
4.12.1.4	Member Retirement	28
4.12.1.5	National Standard Approval.....	28
4.12.2	Achievement Awards.....	28
4.12.2.1	INCITS Chairman’s Annual Award	29
4.12.2.2	INCITS Merit Award.....	29
4.12.2.3	INCITS Service Award	29
4.12.2.4	The INCITS Gene Milligan Award for Effective Committee Management	29
4.12.2.5	INCITS Technical Excellence Award.....	29
4.12.2.6	INCITS Award for Exceptional International Leadership	29
4.12.2.7	INCITS Team Award.....	30
4.12.2.8	INCITS Lifetime Achievement Award	30
5.	Procedures	30
5.1	Meetings	30
5.1.1	Schedule of Meetings	30
5.1.2	Meeting Notice and Draft Agenda	31
5.1.3	Documents for Action (Two-Week Rule)	31
5.1.4	Quorum.....	31
5.1.5	Minutes.....	32
5.2	Voting.....	32
5.2.1	Voting Practice.....	33
5.2.1.1	Types of Voting Positions	33
5.2.1.2	Methods of Voting and Criteria for Approval	33
5.2.1.3	Letter Ballots (LB)	33
5.2.1.4	Executive Board Letter Ballot Resolution Procedure	34
5.2.1.4.1	Ballots Concerning International Standards Processing and Other Items.....	35
5.2.1.4.2	Ballots Concerning American National Standard Processing.....	35
5.2.1.5	Default Ballots.....	36
5.2.1.6	Accelerated Letter Ballots	36

5.2.1.7	Report of Final Letter Ballot Results.....	36
5.2.2	Definition of Criteria for Approval	36
5.2.2.1	Majority Rule.....	36
5.2.2.2	2/3 Voting Rule	36
5.2.3	Actions Requiring Specific Voting Methods and the Criteria for Approval	36
5.3	Reports and Review	37
5.3.1	Technical Activity Annual Reports	37
5.3.2	Head of Delegation Reports.....	37
5.3.3	TAG Administrator Reports to ANSI.....	37
5.4	Appeals Procedures.....	37
5.4.1	Right of Appeal	37
5.4.2	Appeals Principles.....	38
5.4.3	Appeals Considered at INCITS.....	38
5.4.4	Appeals to ANSI	39
5.5	Officer Recall Procedures	39
5.6	Process for Amending INCITS Organization, Policies and Procedures	40
6.	Domestic Standards Development Procedures.....	40
6.1	Processing Projects to Develop ANS, ANSI TRs, and INCITS TRs	40
6.1.1	Milestone 1 – Approval of the Project Proposal	40
6.1.2	Milestone 2 – Notification to the Public	41
6.1.3	Milestone 3 – Technical Development	42
6.1.4	Milestone 4 – Initial Public Review	43
6.1.5	Milestone 5 – Executive Board Approval	44
6.1.6	Milestone 6 – ANSI Approval	45
6.1.7	Milestone 7 – Publication	45
6.2	Maintenance of American National Standards, ANSI TRs and INCITS TRs	46
6.2.1	Revision.....	46
6.2.2	Reaffirmation/Withdrawal.....	46
6.2.3	Amendments and Supplements.....	47
6.2.4	Defect Management	47
6.2.4.1	Erratum	48
6.2.4.2	Amendment	48
6.2.4.3	Interpretation.....	48
6.2.5	Circulation and Consideration of a Report of an Alleged Defect	48
6.2.5.1	Action by INCITS Secretariat.....	48
6.2.5.2	Action by TC	48
6.2.5.3	Processing of Responses	49
6.2.5.4	ISO/IEC or ISO Standards.....	49
6.2.5.5	Erratum	49
6.2.5.6	Amendment	49
6.2.5.7	Interpretation.....	49
6.2.6	Stabilized Standards.....	50

6.3	INCITS Fast Track Process	51
6.4	INCITS and ANSI Technical Reports	51
7.	International Standards Development Procedures	52
7.1	General.....	52
7.2	TAG Assignment	52
7.3	General TAG Responsibilities	53
7.4	Flow of International Documents	53
7.5	JTC 1 and ISO Participation	55
7.6	U.S. Initiation of New Work Item Proposals (NP)	55
7.7	Processing of NP Ballots.....	55
7.7.1	Votes on NP Ballots raised at the SC Level	55
7.7.2	Votes on NP Ballots raised at the JTC 1 Level	56
7.8	Creation of Liaison Projects within INCITS	56
7.9	Processing of JTC 1 and ISO CD Ballots.....	56
7.10	Processing of DIS, FDIS, Fast Track, JTC 1 Publicly Available Specification (PAS) and Other Ballots.....	56
7.10.1	Processing of DIS Ballots	56
7.10.2	Processing of FDIS Ballots	56
7.10.3	Processing of Fast Track, PAS and Other Ballots.....	57
7.11	INCITS Initiation of the JTC 1 Fast Track Process.....	57
7.12	U.S. Hosting of International Meetings	58
7.13	Nomination of U.S. Candidates to Serve as ISO TC and JTC 1 Officers.....	59
7.14	U.S. Project Editors.....	59
7.15	Delegates for International Plenary Meetings	59
7.15.1	Participation in International Working Groups and Study Groups	59
7.15.2	Delegates for International Meetings other than Working Groups & Study Groups	60
7.15.2.1	Head of Delegation (HoD)	60
7.15.2.2	Selection of Delegates.....	60
7.15.2.3	Participation.....	61
8.	Other.....	61
8.1	Acronyms.....	61
8.2	Glossary.....	62
8.3	Executive Board Voting Methods and Approval Criteria	67
8.4	Technical Committee Voting Methods and Approval Criteria.....	68
8.5	Task Group Voting Methods and Approval Criteria.....	70

1. Introduction

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 is accredited by the American National Standards Institute (ANSI) as an ANSI-Accredited Standards Developer.

INCITS also serves as the U.S. Technical Advisory Group (TAG) to ISO/IEC Joint Technical Committee 1 (JTC 1), the standards development environment where experts come together to develop worldwide Information and Communication Technology (ICT) standards for business and consumer applications.

The Information Technology Industry Council (ITI) sponsors INCITS and serves as the INCITS Secretariat. 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>.

Suggestions and errata for this document should be forwarded to the Director, INCITS Secretariat, c/o Information Technology Industry Council, 1101 K Street NW, Suite 610, Washington, DC 20005, 202-737-8888, incits@itic.org. Formal interpretation of this document may be obtained upon request to the INCITS Secretariat.

2. Useful References

A useful list of acronyms and a glossary are found in 8.1, ~~Acronyms~~~~Acronyms~~~~Acronyms~~, and 8.2, Glossary.

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

- 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 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 (this document)

- 40 ○ Antitrust Guidelines
- 41 ○ Officers Guide
- 42 ○ Project Proposal Template
- 43 ○ [TC Annual Report Template](#)
- 44 ○ [Social Media Guide](#)
- 45 ● The current edition of Robert's Rules of Order Newly Revised (Da Capo Press, A Member of the
- 46 Perseus Books Group; Current edition)

3. Organization and Structure

3.1 General

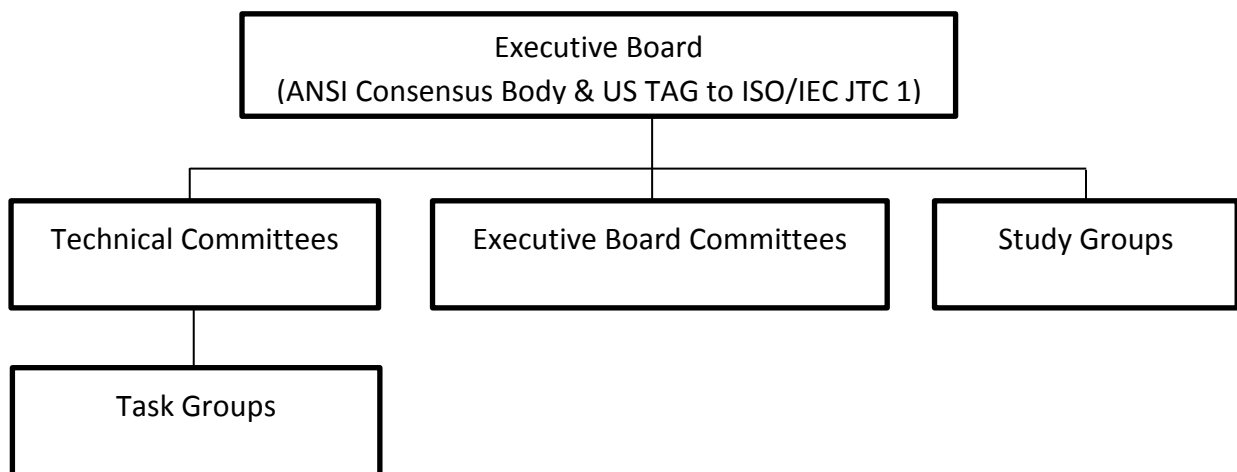
INCITS develops standards in the field of Information and Communications Technology (ICT), and also serves as ANSI's Technical Advisory Group (TAG) to ISO/IEC Joint Technical Committee 1 (JTC 1). JTC 1 is responsible for International standardization in the field of Information and Communications Technology.

The work of INCITS is divided among the Executive Board and its subordinate groups:

- Executive Board Committees
- Technical Committees (TC) and their subordinate Task Groups (TG)
- Study Groups (SG)

The INCITS program of work is segmented into “projects”, each related to the development of a specific standard, technical report (TR), or study, and may be delegated to an INCITS Organizational Entity (IOE) by the Executive Board. Many IOEs have also been authorized to act as U.S. TAGs for the development of U.S. positions that are submitted through proper channels to JTC 1 or its subcommittees, ISO Technical Committees and their subcommittees, or to other organizations.

The organization of INCITS is shown below:



INCITS has the responsibility to:

- Identify and create methods for the rapid development and adoption of ICT standards
- Find, facilitate and promote opportunities for international collaborative ICT standardization activities that enhance ICT interests

- 76 • Monitor and determine impact of relevant global policies
- 77 • Define and implement methods for collaboration on technology policy issues
- 78 • Identify and determine how to form international alliances, partnerships, joint projects, etc.
- 79 • Create a coexistence strategy with consortia and other SDOs
- 80 • As the U.S. TAG to ISO/IEC JTC 1, its subgroups and to ISO TCs, as assigned, the Executive Board
- 81 has three primary responsibilities relative to the United States participation:
- 82 ○ position formulation
- 83 ○ coordination, management and oversight
- 84 ○ technical participation

85 **3.2 Executive Board**

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

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

93 **3.2.1 Executive Board Membership**

94 Membership is by organization¹ and the member organization will appoint its principal representative
95 and one or more alternates. Membership in the Executive Board is required for participation in all
96 Executive Board Committees. Also see Section 3.8.2, Limits on Voting Membership.

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

99 **3.2.2 Executive Board Officers**

100 **3.2.2.1 Executive Board Chair**

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

105 **3.2.2.2 Executive Board Vice-Chair**

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

110 **3.2.2.3 Executive Board Secretary**

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

¹ See the definition of "organization" in 8.2, Glossary.

112 3.2.3 Executive Board Committees

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

115 Participation in Executive Board Committees is only open to representatives of Executive Board member
116 organizations.

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

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

122 3.2.3.1 Finance Board Committee (FBC)

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

125 3.2.3.2 Procedures Board Committee (PBC)

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

128 3.2.3.3 JTC 1 Advisory Group (JAG) TAG

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

134 3.2.4 Executive Board Study Groups (SG)

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

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

141 Only the Executive Board may assign a TAG responsibility to an SG. When an SG serves as a U.S. TAG, the
142 procedures in Section 7, International Standards Development Procedures, shall be followed.

143 Upon completion of its assignment, the group is disbanded.

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

146 3.2.5 Executive Board Executive Session

147 For those matters considered by the Executive Board which require consideration in executive session,
148 participation in an executive session is limited to the Executive Board membership plus anyone invited by
149 the Executive Board.

150 **3.3 Technical Committees (TC)**

151 The technical work of INCITS is distributed among a number of TCs. All work of the TCs is advisory to and
152 subject to approval of the Executive Board.

153 The scope of each TC is approved by the Executive Board. A TC may also develop proposals for new
154 INCITS projects within its scope.

155 A TC may serve as a TAG, representing the U.S. in its corresponding international programs of work. U.S.
156 TAGs shall follow the procedures in Section 7, International Standards Development Procedures.

157 **3.3.1 Program of Work**

158 The work of a TC falls in one or both of two main categories:

- 159 • US Domestic-only Work – Submit project proposals, develop draft proposed American National
160 Standards (dpANS) and TRs; and
- 161 • International Work – Participate technically on behalf of the Executive Board on related
162 international standards activity, particularly within the corresponding subcommittee of JTC 1 and
163 other relevant international technical committees.

164 **3.3.2 Establishment/Disbandment**

165 New TCs are established by the Executive Board. A TC's status will be reviewed, and the TC may be
166 disbanded by the Executive Board if:

- 167 a. The voting membership of the TC is not sufficient to meet quorum requirements
- 168 b. After two calls for officer candidates, no candidate has been identified
- 169 c. The TC program of work has been eliminated, or
- 170 d. Any other condition that preclude the effective functioning of the TC.

171 If any projects of the TC are transferred to another TC, members in Good Standing who maintain an
172 interest in the projects may apply for membership in the TC accepting the transferred projects. Voting
173 privileges begin with the first meeting attended, providing that the member attends one of the next two
174 meetings of the TC. The member will be credited with any dues paid for membership in the disbanded
175 TC.

176 When a TC has completed all of its standards development and standards revision projects, these
177 projects become maintenance projects as defined in Section 6.2, Maintenance of American National
178 Standards, ANSI TRs and INCITS TRs. If all projects within a TC are in maintenance status and there is no
179 active U.S. TAG activity, the TC may vote to disband. All completed projects are transferred to the
180 Executive Board who will carry out any associated national five-year maintenance or systematic review
181 actions.

182 **3.3.3 Task Groups (TG)**

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

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

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

189 Upon approval of its parent TC and written notification to the INCITS Secretariat, a TG may be delegated
190 complete responsibility for its projects, nationally and/or internationally, and be assigned corresponding
191 TAG assignments. In these cases, the TG may input directly to the international SC or WG with
192 notification to its parent TC. These TGs shall follow 8.5, Task Group Voting Methods and Approval
193 Criteria, in all instances.

194 **3.3.4 Technical Committee and Task Group Officers**

195 The following sections apply to each INCITS TC and TG.

196 **3.3.4.1 Chair**

197 There shall be a Chair, who is responsible for presiding at meetings and ensuring that the program of
198 work for that body is carried out in a prompt, efficient, and effective manner.

199 TC and TG Chairs shall be representatives of voting members of the respective Technical Committee or
200 Task Group, elected by the Executive Board, and may serve an indefinite number of three-year terms.
201 Chairs may vote and participate according to membership rules.

202 **3.3.4.2 Vice-chair**

203 The Vice-chair (if one exists) performs the duties of the Chair, in the absence of the Chair. Vice-chairs
204 may vote and participate according to membership rules. A Vice-chair is the chief administrative officer
205 and is responsible for administrative duties.

206 The Vice-chair is appointed by the Chair of the parent body.

207 **3.3.4.3 Secretary**

208 The Secretary is responsible for the recording and transcribing of meeting minutes. The Secretary is
209 appointed by the Chair of the parent body, and may also be responsible for other administrative duties.

210 **3.3.4.4 International Representative (IR)**

211 For groups that hold a TAG assignment, an International Representative position may be created to
212 manage the ongoing interface between the group and its international counterpart. International
213 Representatives for all such groups are appointed by the Chair of the parent body.

214 **3.3.4.5 Liaison to other organizations**

215 The Liaison is responsible for monitoring the activities of the liaison organization, and disseminating
216 relevant information from or about the liaison organization.

217 Outbound Liaisons are appointed by their respective Chairs.

218 **3.4 Ad Hocs**

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

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

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

226 The minutes of each parent body meeting shall include a section listing all created or reconstituted ad
227 hocs that exist as of the end of the meeting. For each ad hoc shown, the minutes shall include a list of all
228 individual ad hoc members, and further indicate whether the individuals are members of the parent
229 body or not.

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

234 **3.5 Officer Appointments**

235 **3.5.1 General Procedures**

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

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

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

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

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

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

259 **3.5.2 TC, TG, and SG Officer Appointments**

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

264 candidate, whether that candidate should fill the position. The results of TC, TG or SG LBs are
265 confidential and are provided only as advisory information to the Executive Board in the appointment
266 process.

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

270 When Executive Board appointment action is completed, the INCITS Secretariat shall advise the TC, TG
271 or SG and the candidates. The individual appointed shall assume the officer position upon completion of
272 the term of the incumbent, or, if the officer position is vacant or the incumbent's term has expired, the
273 individual appointed shall assume the officer position immediately.

274 **3.6 Participation in INCITS**

275 All directly and materially affected parties shall have the opportunity for fair and equitable participation
276 in INCITS. In order to comply with ANSI requirements, while all parties may participate in the discussion,
277 only those organizations that are U.S. National Interested Parties in the U.S. may vote to establish a U.S.
278 position on TAG matters.

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

282 **3.7 Application for Membership**

283 **3.7.1 Executive Board**

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

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

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

295 ANSI accreditation requires the standards development process to have a balance of interests.
296 Participants from diverse interest categories shall be sought with the objective of achieving balance. If a
297 consensus body lacks balance in accordance with the historical criteria for balance², and no specific

² 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.*

298 alternative formulation of balance was approved by the ANSI Executive Standards Council, outreach to
299 achieve balance shall be undertaken.

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

302 • **Producer – Hardware**

303 This category primarily produces hardware products for the Information and Communications
304 Technology (ICT) marketplace.

305 • **Producer – Software**

306 This category primarily produces software products for the ICT marketplace.

307 • **Producer – General**

308 This category is for organizations that produce both hardware and software products for the ICT
309 marketplace.

310 • **Distributor**

311 This category is for distributors, resellers or retailers of products/services in the ICT
312 marketplace.

313 • **Service Provider**

314 This category provides design, documentation, testing, training or other services to the ICT
315 marketplace.

316 • **User**

317 This category includes entities that primarily rely on standards in the use of products/services,
318 as opposed to producing or distributing products/services.

319 • **Consultants**

320 This category is for organizations whose principal activity is in providing consulting services to
321 other organizations.

322 • **Government**

323 This category includes any government agency or subdivision (whether at the municipal, local,
324 state or federal level).

325 • **Standards Development Organizations and Consortia**

326 ○ **“Major”**

327 an SDO or Consortia that holds one or more Subcommittee (SC) TAG assignments, or

328 ○ **“Minor”**

329 an SDO or Consortia that (a) holds no TAG assignments; or (b) holds no SC TAG assignments,
330 but does hold one or more Work Group (WG) or other subsidiary TAG assignments.

331 • **Academic Institution**

332 This category is for organizations that include educational institutions, higher education schools
333 or research programs.

334 • **General Interest**

335 This category includes all organizations that do not meet the criteria defined in one of the other
336 interest categories.

337 A table of current fees for Executive Board membership is located at:

338 <http://www.incits.org/participation/membership-info>.

339 3.7.2 TCs, TGs and SGs

340 The online membership application found in ICMS may be used for SG, TC and TG membership
341 applications.

342 **3.8 Categories of Membership**

343 **3.8.1 Voting Members**

344 **3.8.1.1 Executive Board**

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

348 The definition of "organization" for membership and voting purposes is specified in Section 8.2,
349 Glossary.

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

357 Membership on the Executive Board is by organization and an organization with voting membership shall
358 appoint one and only one principal representative and may appoint one or more alternate
359 representatives.

360 No representative shall have more than one vote except in the case where two or more organizations
361 appoint the same individual to represent them (as principal or alternate representative). An individual so
362 designated may cast a separate vote for each organization represented. Each organization shall confirm
363 in writing to the INCITS Secretariat that it is aware of the multiple roles held by the individual and will
364 accept the results of the arrangement. Representation of more than one organization by the same
365 individual shall require the approval of the Executive Board, using a 14-day LB or meeting vote, with the
366 2/3 Voting Rule.

367 **3.8.1.2 Executive Board Committees**

368 Voting rights are achieved at the start of the first meeting attended.

369 **3.8.1.3 TCs, TGs, and SGs**

370 An organization may be a member of a particular TC or a TG without regard to membership in any other
371 IOE.

372 Voting membership in TCs, TGs, and SGs is open to all directly and materially affected parties that meet
373 attendance and voting requirements and pay the designated service fee(s).

374 A representative of a prospective voting member shall initially attend a meeting of the TC, TG, or SG
375 without voting privileges and reaffirm interest in the work of the TC, TG, or SG. Voting privileges become
376 effective with attendance at one of the next two successive meetings and receipt by the Secretariat of
377 the applicable fees for the membership year. For a new TC, TG, or SG, all attendees at the formation
378 meeting or second meeting shall be considered voting members, subject to the rules in Section 3.8.2,
379 Limits on Voting Membership.

380 An organization with voting membership shall appoint one and only one principal representative and
381 may appoint one or more alternate representatives.

382 In order to comply with ANSI requirements, while all parties may participate in a discussion of U.S.
383 positions, only those organizations which are a U.S. National Interested Party may vote to establish a U.S.
384 position on TAG matters.

385 **3.8.2 Limits on Voting Membership**

386 The following criteria apply to Voting Members.

387 **3.8.2.1 Government**

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

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

395 **3.8.2.2 Academic Institutions**

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

398 **3.8.2.3 SDOs, Consortia**

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

402 **3.8.2.4 All Other Organizations**

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

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

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

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

414 **3.8.3 Non-voting Members**

415 **3.8.3.1 Advisory Members**

416 All advisory memberships are non-voting memberships. ~~Advisory members may attend meetings, speak,~~
417 ~~and submit contributions. Advisory members shall receive all electronically available documents,~~
418 ~~including meeting notices, draft agendas and minutes. Other documents are not required to be~~
419 ~~distributed to advisory members.~~

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

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

424 **3.8.3.2 Liaisons from Other Organizations**

425 Liaison members are responsible for monitoring the activities of the liaison organization, and
426 disseminating relevant information from or about the liaison organization.

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

429 ~~Liaison members may participate and have access as specified in 3.11, Document Access and~~
430 ~~Membership Benefits.~~

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

433 **3.8.3.3 Ex-officio Members**

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

436 **3.8.3.4 Emeritus Members**

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

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

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

446 The nomination shall include the following details:

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

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

453 Emeritus Members hold non-voting, non-dues-paying memberships in relation to a specific TC, TG or SG.
454 ~~Emeritus Members may receive documents, attend meetings, speak, and submit contributions as an~~
455 ~~individual subject matter expert. Emeritus Members shall not have the right to hold any office in INCITS~~
456 ~~or to participate in Executive Board activities. If approved by the Executive Board, Emeritus Members~~
457 ~~may be permitted to serve on delegations to international meetings, but shall not serve as a U.S. Head of~~
458 ~~Delegation (HoD) or hold any international office.~~

459 Individuals appointed as Emeritus Member shall continue to hold their Emeritus Member title as long as
460 all requirements noted above are met. Emeritus Members may resign their position as described in
461 Section 3.8.5, Resignation of Membership.

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

464 **3.8.4 Termination of Membership**

465 **3.8.4.1 Executive Board**

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

468 **3.8.4.2 TCs, TGs and SGs**

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

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

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

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

480 An organization that has had its voting membership converted to Advisory status or terminated may re-
481 establish membership in accordance with Sections 3.7, Application for Membership, and 3.8, Categories
482 of Membership. If this membership is re-established within the same billing period and the organization
483 has paid its fee, no new service fee shall be assessed.

484 **3.8.5 Resignation of Membership**

485 Resignation of membership in any IOE should be made by correspondence to the INCITS Secretariat and
486 the Committee Chair.

487 **3.9 Membership Fees**

488 INCITS membership fees are not refundable.

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

494 3.10 U.S. National Interested Parties

495 The ANSI *Procedures for U.S. Participation in the International Standards Activities of the ISO* makes U.S.
496 TAG membership open to U.S. National Interested Parties. Therefore, INCITS does not allow the
497 participation of non-U.S. domiciled organizations in U.S. TAG activities.

498 A U.S. National Interested Party is one of the following entities directly and materially affected by the
499 relevant standards activity:

- 500 • an individual representing a corporation or an organization domiciled in the U.S. (including U.S.
501 branch offices of foreign companies authorized to do business in one or more states as defined
502 by the relevant U.S. State's Corporation law);
- 503 • an individual representing a U.S. federal, state or local government entity; or
- 504 • a U.S. citizen or permanent resident.

505 3.11 Document Access and Membership Benefits

506 ~~For the purpose of access to INCITS internal information, the following access categories are available:~~

- 507 ~~• INCITS Member Organization~~
- 508 ~~• Public — any organization not an INCITS Member Organization~~

509 Access to INCITS internal information shall be managed to facilitate the work of the committees, to
510 enhance the value of INCITS membership, to maintain compliance with the INCITS IPR policy and to
511 mitigate liabilities to the INCITS organization. Committees shall nominally make certain document types
512 and membership benefits available according to the lists below. ~~Except as specified in this section,~~
513 ~~document types not shown in this list are for internal INCITS use only and shall not be distributed to~~
514 ~~non-Members.~~

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

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

523
524 Except for the document types listed as “Public” — as specified in this section, all other document types
525 not shown in this list are for internal INCITS use only and shall not be distributed to non-Members.

526 a. Public (the following document types may be distributed to the general public)

- 527 i. Organization structure
- 528 ii. Program of work
- 529 iii. Membership list (by organization only)
- 530 iv. Press releases
- 531 v. Notification of new work, when approved
- 532 vi. Public TC home pages

- 533 vii. Meeting Calendar
- 534 viii. Meeting Notices and Agendas (posted/linked documents shall not be included)
- 535 ix. dpANS (only during the Public Review and Comment Period, as distributed by the INCITS
- 536 Secretariat)
- 537 b. Executive Board Members
- 538 i. Appointed Principal and Alternate representatives have access to the Executive Board
- 539 document register and documents that are shared with the committee. Principal and
- 540 Alternate members may distribute INCITS documents within their member organization to
- 541 the extent necessary to perform their INCITS roles and responsibilities.
- 542 ~~i. Access to all documents and information for their specific committees~~
- 543 ii. Eligible to attend or participate at meetings
- 544 iii. Representatives of voting members may serve as delegates to international meetings
- 545 iv. Representatives of voting members may hold national and international offices
- 546 c. TC, TG and SG Members
- 547 i. Appointed Principal and Alternate representatives have access to the document register for
- 548 their specific committees and documents that are shared with the committee. Principal and
- 549 Alternate members may distribute INCITS documents within their member organization to
- 550 the extent necessary to perform their INCITS roles and responsibilities.
- 551 ii. Eligible to attend or participate at meetings
- 552 iii. Representatives of voting members may serve as delegates to international meetings
- 553 iv. Representatives of voting members may hold national and international offices
- 554 d. Advisory Members
- 555 i. Advisory members have access to the document register for their specific committees and
- 556 documents that are shared with the committee. ~~Advisory members may distribute INCITS~~
- 557 documents within their member organization to the extent necessary to perform their
- 558 INCITS roles and responsibilities.
- 559 ii. Eligible to attend or participate at meetings
- 560 e. Liaisons from other Organizations
- 561 i. Liaisons have access to the document register for their specific committees and documents
- 562 that are shared with the committee. ~~Liaisons may distribute INCITS documents within their~~
- 563 member organization to the extent necessary to perform their INCITS roles and
- 564 responsibilities.
- 565 ii. Eligible to attend or participate at meetings
- 566 f. Ex-officio Members
- 567 i. Ex-officio members have access to the document register for their specific committees and
- 568 documents that are shared with the committee.
- 569 ii. Eligible to attend or participate at meetings

570 g. Emeritus Members571 i. Emeritus members have access to the document register for their specific committees and
572 documents that are shared with the committee.573 ii. Eligible to attend or participate at meetings574 iii. If approved by the Executive Board, Emeritus Members may be permitted to serve on
575 delegations to international meetings, but shall not serve as a U.S. Head of Delegation (HoD)
576 or hold any international office.577 iv. Emeritus Members shall not have the right to hold any office in INCITS or to participate in
578 Executive Board activities.579 ~~e.—~~580 By a 2/3 vote of the committee, TCs and their subgroups have the option, of making all documents
581 available to the public, with the following exceptions:

- 582
- draft proposed American National Standards (dpANS);
 - Confidential liaison reports and confidential documents from liaison organizations;
 - Documents regarding personnel issues;
 - ISO or ISO/IEC JTC 1 documents that are not publicly available; or
 - International position documents.

587 By a 2/3 vote of the committee, a TC and its TGs may rescind its decision to utilize public access at any
588 time. TCs and their TGs which choose to provide or rescind public access must notify the INCITS
589 Secretariat within 30 days of their decision.590 When documents normally restricted to members are made available to the public via access to the
591 website or via participation in a reflector, the TC or TG shall ensure that a notification is accepted by the
592 person seeking access (the “user”) before access is granted. The notification, which will be provided by
593 the INCITS Secretariat, shall reference the INCITS Patent Policy, the INCITS Copyright Policy, and the
594 INCITS Antitrust Guidelines as well as other pertinent Policies and Procedures. By accepting the
595 notification, the user:

- 596
- Agrees that he or she has read the INCITS Patent Policy, INCITS Copyright Policy and the INCITS
597 Antitrust Guidelines;
 - Acknowledges that the activities of the committee are governed by the INCITS policies and
598 procedures as specified in the reference documents available at www.incits.org; and
 - Acknowledges that draft documents may change at any time, without notice.

601 When adopting this public access model, the TC or TG may allow short-term guest attendance at
602 committee meetings in order to facilitate the work of the committee and to encourage membership
603 growth. The committee shall require guest attendees to sign in and to acknowledge they have read the
604 INCITS Patent Policy, the INCITS Copyright Policy and the INCITS Antitrust Guidelines, and that they
605 agree to follow INCITS policies and procedures. For meetings held electronically (such as
606 teleconferences, webinars, etc.) a scan or a fax of the sign-in form from the guest prior to the start of
607 the meeting shall be provided.608 The Executive Board may at any time take actions which could include eliminating the use of public
609 access by a TC or TG, or assessing an increased fee for members of a committee that has chosen public
610 access.

~~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 above). Alternatively, by a TC majority vote, the TC may choose one of the 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.~~

618 4. Policies

619 4.1 Policy for Funds

620 IOEs may establish funds to pay for services to progress the work of the IOE. This section sets forth the
621 policies used to manage such funds.

622 4.1.1 Approved Uses of Funds

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

- 624 • meeting room rental, including internet access;
- 625 • meeting refreshments;
- 626 • current meeting document reproduction;
- 627 • audio-visual, computer and/or office equipment rental; and
- 628 • contracting for a professional meeting planner.

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

631 4.1.2 Establishment of a Fund

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

637 4.1.2.1 Allocation of Fees

638 When fund fees are instituted to support meeting-related expenses, the fees should be determined
639 based on the number of persons participating in the associated meeting. If a member has not paid all
640 such fees, the member can be considered to have failed to attend the meeting. The member's voting
641 privileges would then be subject to the “Termination of Membership” procedures (see Section 3.8.4).
642 The IOE may grant exceptions to this policy by resolution.

643 All IOEs establishing funds shall implement a transparent and equitable policy for assessed meeting fees;
644 in particular, the fees shall not be bundled with services not provided at the meeting, and the fees shall
645 be appropriate for the meeting services/facilities actually used.

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

649 **4.1.2.2 Changes to the Fund Fee**

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

652 **4.1.3 Fund Administration**

653 **4.1.3.1 Treasurer Appointment**

654 Any IOE establishing a fund shall have a Chair-appointed Treasurer. The Chair shall not serve as the
655 Treasurer. The Treasurer shall be a representative of an organization that is a voting member in good
656 standing.

657 **4.1.3.2 Fund Reporting**

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

661 This report shall include:

- 662 a. names of members (and any other applicable parties) who have or have not paid their assessed
663 fees;
- 664 b. all disbursements made, including the purpose of the disbursement and name of the
665 individual(s) and/or organization(s) receiving payments;
- 666 c. a statement of any changes in the durable goods inventory;
- 667 d. debts outstanding;
- 668 e. receivables outstanding; and
- 669 f. current balance of the Fund.

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

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

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

678 **4.1.3.3 Account Management**

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

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

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

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

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

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

695 4.1.4 Dissolution of the Fund

696 A fund shall be dissolved in one of ~~three~~two ways:

- 697 • by IOE LB using the 2/3 Voting Rule; or
- 698 • ~~disbandment of the IOE; or~~
- 699 • ~~IOE status is changed to "maintenance".~~

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

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

706 When the INCITS Secretariat obtains the durable goods from an IOE, it may offer the goods for use by
707 other IOEs, or it may dispose of the goods as it sees fit and deposit any proceeds into an INCITS account.

708 4.2 Policy for Record Retention

709 4.2.1 General Policy

710 Except as otherwise indicated, documents shall be retained for the number of years indicated in Section
711 4.2.3, Record Retention Guidelines. Once the specified time period has elapsed, those records should be
712 destroyed.

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

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

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

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

725 **4.2.2 File Retention**

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

731

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

733 **4.2.3 Record Retention Guidelines**

734 **4.2.3.1 Finance Records**

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

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

737 **4.2.3.2 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.

738 **4.3 Policy Regarding the U.S. Funding of ~~New-International Structures (NIS)~~**

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

744 Providing the ~~secretariat~~ Secretariat for these activities comes with some cost. The cost will vary
745 depending on the type of ~~NIS~~ International Structure and the level of activity. An initial commitment to
746 provide the ~~secretariat~~ Secretariat for 3 years and at least 12 months' termination notice is required;
747 two years after INCITS has assumed the ~~secretariat~~ Secretariat function, the Executive Board shall decide
748 whether to integrate support into the INCITS Operational Expense Budget or to continue to rely on the

~~2015-00125eb-20165-00334537-0021eb-2017-00238~~

749 ~~NIS International Structure~~ TAG Steering Committee (see section 4.3.1, ~~NIS International Structure~~
750 Funding Framework) for funding.

751 INCITS has the capability and interest in providing ~~secretariat~~ Secretariat services when there is
752 interest/expertise in the U.S., and if sufficient sources of funding can be found. For permanent
753 international structures, INCITS ~~must~~ shall identify new sources of funding to support the activity. For
754 short term structures such as Study Groups, INCITS may choose to allocate existing or reserve funding to
755 support them as a business development activity. It is recognized that INCITS will be taking some risks in
756 making international commitments at an early stage in order to gain roles that are helpful to the U.S.

757 **4.3.1 ~~NIS International Structure~~ Funding Framework**

758 INCITS will use the following framework ~~for funding these NIS International Structure funding:~~

- 759 a. Funding group (~~NIS International Structure~~ TAG Steering Committee):
- 760 i. A minimum of 3 INCITS members (with no maximum) are required to form the Steering
761 Committee for an International Structure ~~NIS~~-TAG. Should the number of steering
762 committee members drop below 3 at any time, the issue shall be brought to the attention of
763 the Executive Board for action.
- 764 ii. ~~NIS International Structure~~ TAG Steering Committee members agree to an initial fee
765 commitment each pay an equal fee to cover at least the annual Secretariat the total cost of
766 the IS International Structure expenses. These fees that will fund their members'
767 participation in the TAG, and Steering Committee members should provide a good faith
768 commitment to give must agree to give a one-year notice before to discontinuing their
769 funding. The aggregate fees must shall cover at least the annual secretariat Secretariat
770 costs.
- 771 iii. The members of the NIS International Structure TAG Steering Committee can resolve to
772 allocate distribute the fee responsibility disproportionately amongst themselves, provided
773 that in a different proportion as long as the total amount paid by such members is at least
774 equal to or greater to the expenses the annual Secretariat costs.
- 775 iv. Each member will have one vote in the management of the IS International Structure TAG
776 Steering Committee regardless of contribution level.
- 777 iii.v. IS The International Structure TAG Steering Committee will have the responsibility for
778 nominating the U.S. candidate for convener (WG/SWG) or chair (SC) of the new structure as
779 well as nominating the chair and International Representative (IR) for the U.S. TAG (in the
780 case of a newly formed IS International Structure).
- 781 iv.vi. By vote (using the 2/3 Voting Rule) at the last Executive Board meeting in the second
782 year of committee activity when INCITS performs the Secretariat services, the Executive
783 Board may integrate NIS International Structure funding support into the INCITS Operational
784 Budget starting at the end of the third year. In such a situation, the NIS International
785 Structure TAG Steering Committee will be disbanded at the end of the third year and NIS
786 International Structure TAG Steering Committee functions will be handled according to
787 INCITS procedures. Further, the INCITS Secretariat shall be responsible for planning and
788 carrying out the transition. Should the transition vote fail, the NIS International Structure
789 TAG Steering Committee will not be disbanded and the Executive Board may reconsider this
790 decision at any time in the future.

791 b. ~~NIS International Structure~~ TAG Steering Committee structure and decision making:

~~2015-00125eb-20165-00334537-0021eb-2017-00238~~

- 792 i. The NIS International Structure TAG Steering Committee will make decisions by majority
793 vote.
- 794 ii. The NIS International Structure TAG Steering Committee's nominations for convenor and
795 chair ~~and IR~~ positions will require ratification by the Executive Board.
- 796 ~~iii. The NIS TAG Steering Committee members will be voting members of the U.S. TAG, once the~~
797 ~~U.S. TAG is formed.~~
- 798 ~~iv.~~iii. The NIS International Structure TAG itself will be open to participation according to
799 INCITS and ANSI rules, and will determine U.S. positions and other matters according to
800 INCITS procedures.
- 801 c. Executive Board:
- 802 i. Makes the decision for INCITS to recommend to ANSI that the U.S. provide a ~~secretariat~~
803 Secretariat for the NIS International Structure (SWG/WG/SC).
- 804 ii. Requests a proposal for providing ~~secretariat~~ Secretariat services – giving the INCITS
805 Secretariat first opportunity and first right of refusal.
- 806 iii. Accepts a proposal for ~~secretariat~~ Secretariat services, in coordination with ANSI.
- 807 iv. Ratifies the pricing for the NIS International Structure TAG Steering Committee.
- 808 v. Ratifies candidates for convenor/chair ~~IR~~ positions.
- 809 vi. Makes the decision for INCITS to integrate ~~IS International Structure~~ funding support ~~of the~~
810 ~~NIS~~ into the INCITS Operational Budget at the end of the second year or later.
- 811 d. INCITS Secretariat:
- 812 i. Develops a proposal for providing ~~secretariat~~ Secretariat services for an NIS International
813 Structure (sets cost, manages resource).
- 814 ii. Solicits interest from throughout the INCITS/ANSI community for participating in ~~IS~~
815 International Structure funding ~~the NIS~~ (call for interest, optional second call).
- 816 iii. Collects payment ~~form from NIS International Structure~~ Steering Committee members and
817 determines when a firm commitment has been made.
- 818 iv. Plans for and manages the transition of funding models, should the Executive Board decide
819 to fund this activity in the INCITS Operational Budget.
- 820 v. Facilitates an annual Executive Board review of international secretariats held by the U.S.
821 through INCITS, referencing the ANSI performance criteria for international secretariats.

822 4.3.2 NIS International Structure Funding Procedures

823 The following procedures are used to establish the NIS International Structure Steering Committee. In
824 the case of a newly formed IS International Structure, the Steering Committee is formed before the TAG
825 is formed. prior to establishing the TAG:

- 826 1. INCITS Executive Board resolves that the U.S. would like to consider providing the ~~secretariat~~
827 Secretariat for an NIS International Structure, and the recommendation is submitted to ANSI.
- 828 2. INCITS Executive Board requests a proposal for providing ~~secretariat~~ Secretariat services from
829 the INCITS Secretariat.
- 830 3. INCITS Secretariat develops a proposal and provides this to the Executive Board.
- 831 4. If the proposal is accepted by the Executive Board, the INCITS Secretariat issues a first call for
832 participation in the NIS International Structure Steering Committee. If the proposal is not
833 accepted, no further action is taken.

- 834 5. When at least 3 members of INCITS have committed to participate in the ~~NIS~~ International
 835 Structure Steering Committee, the INCITS Secretariat issues a second call for participation which
 836 includes identification of the members committed to participate.
- 837 6. After a commitment from 3 members of INCITS has been achieved, INCITS is able to make a
 838 commitment to ANSI to provide the ~~secretariat~~ Secretariat for the ~~NIS~~ International Structure.
- 839 7. After close of the second call for participation in the ~~NIS~~ International Structure Steering
 840 Committee, a meeting of the Steering Committee will be held to select the candidates for the
 841 ~~NIS~~ International Structure convener/chair, ~~TAG chair~~, and TAG ~~IR~~ chair (in the case of a newly
 842 formed IS International Structure).
- 843 8. INCITS Executive Board ratifies the Steering Committee recommendations for ~~NIS~~ International
 844 Structure convener/chair and ~~TAG~~ chair (in the case of a newly formed IS International
 845 Structure) ~~and TAG IR~~.
- 846 9. The name of the ~~NIS~~ International Structure convener/chair candidate can be communicated to
 847 JTC 1.
- 848 10. INCITS Secretariat forms the ~~TAG and collects payment from~~ Steering Committee and collects
 849 payment from the Steering Committee members. In the case of a newly formed IS International
 850 Structure, the Secretariat also forms the TAG and collects dues from the ~~and~~ TAG members ~~any~~
 851 ~~time after commitments have been made~~.
- 852 ~~11. Two years after INCITS has assumed the secretariat of the New International Structure (NIS), the~~
 853 ~~INCITS Executive Board shall consider whether to integrate support for the NIS into the INCITS~~
 854 ~~budget.~~

855 4.4 Web Privacy Statement

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

860 4.5 Adoption of ISO/IEC JTC 1 and ISO Standards as American National Standards

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

863 Subject to the exceptions below, INCITS will adopt all ISO/IEC or ISO standards that fall within its
 864 program of work as “Identical”³ American National Standards in accordance with the ANSI “Expedited
 865 Procedures for the Identical Adoption of an ISO or IEC standard as an American National Standard”.
 866 Similarly, INCITS will withdraw any such adopted American National Standard that has been withdrawn
 867 as an ISO/IEC or ISO International Standard. Exceptions to this policy will be made, on a case by case
 868 basis, provided that a case for the exception has been demonstrated to INCITS.

³ 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”.

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

- 873 • This Adoption Process shall be used only for the identical adoption of ISO or IEC standards for
874 which the U.S. TAG voted or will vote in the affirmative on the international standard, and for
875 which no claims of conflict or duplication with an existing American National Standard have
876 been upheld.
- 877 • This Adoption Process shall be used only for instances where the U.S. TAG is an INCITS
878 Organizational Entity.
- 879 • If the U. S. TAG has declared, and the Executive Board has confirmed, that INCITS will not follow
880 this procedure for certain documents or work areas⁴, then this policy shall not apply to such
881 documents/areas.
- 882 • Unless the INCITS TAG has passed an “always adopt” policy concerning documents in their work
883 area, the INCITS Secretariat may provide at least a 90-day period to the TAG so that the TAG
884 could present reasons why adoption of a particular document should not occur. No other
885 public reviews or balloting may occur while the INCITS TAG considers this question. Such
886 reasons shall be approved by the Executive Board in order to stop the adoption process. The
887 INCITS Secretariat may extend this 90-day period if there is a reasonable request for more time
888 to conduct TC discussions. In cases where an adoption is intended to supersede a previously
889 adopted standard, the 90-day period is waived and the adoption of the new edition standard is
890 automatic.

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

897 **4.6 Executive Board Approval of INCITS Positions Statements**

898 When an INCITS Position Statement is needed to respond to an external organization or issue, and there
899 is not sufficient time for expedited approval of a LB on the topic or to call a special meeting of the
900 Executive Board, the following process shall be used:

- 901 a. The INCITS Officers may prepare a Draft INCITS Position Statement, which contains the
902 circumstances of the need and the level of consensus among the INCITS Officers to the draft
903 statement.
- 904 b. The Draft INCITS Position Statement shall be submitted to the Executive Board email list for a
905 48-hour review and comment by Executive Board members, before it and all comments are
906 considered for final approval.
- 907 c. The final INCITS Position Statement shall be approved by a majority of the Executive Board
908 Officers, and the INCITS Secretariat, prior to publication.

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

- 909 d. The INCITS Secretariat will report the approved INCITS Position Statement in the next regularly
910 scheduled Executive Board meeting.

911 **4.7 Training**

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

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

918 **4.8 Parliamentary Procedures**

919 On questions of parliamentary procedure not covered in these procedures, the current edition of
920 Robert's Rules of Order Newly Revised shall be used (see Section 2, Useful References). Note that
921 Robert's Rules are not used in international meetings.

922 **4.9 Use of Metric Standards**

923 INCITS follows the ~~current~~most recent version of the ANSI Metric Policy available from the ANSI website
924 and as shown in the ANSI Essential Requirements: "*International System of Units (SI) ~~are~~is the preferred*
925 *units of measurement in American National Standards*".

926 **4.10 Commercial Terms and Conditions**

927 IOEs adhere to the American National Standards Institute (ANSI) ~~current~~most recent version of the
928 policy for use of commercial terms and conditions (as prescribed in the ANSI Essential Requirements)
929 when developing American National Standards.

930 **4.11 Copyright, Patent and Antitrust Policies**

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

933 **4.11.1 Copyright Policy**

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

937 **Copyright License Grant by Contributor**

938 *Except for works in the public domain, by making any written or oral contribution which is reduced to*
939 *writing to (including participation in the drafting of) any INCITS technical standard or technical*
940 *report or standard-related document ("Deliverable") the copyright owner grants to ITI an*
941 *irrevocable, non-exclusive, worldwide, transferable, sub-licensable, fully paid-up and royalty-free*
942 *copyright license to reproduce, prepare derivative works of, distribute, and publicly display and*
943 *perform the contributions (in their original and modified forms), solely for the purpose of developing*
944 *and publishing the Deliverable for which the contribution was made.*

945 *The copyright owners retain all rights in their contributions, subject only to the licenses set forth*
 946 *herein and to ITI's copyright ownership of the final Deliverable.*

947 *All copyrights in drafts of the Deliverables as well as the final Deliverable will be owned by ITI and*
 948 *may be sold or given away by ITI or its designees without any duty to compensate or account to the*
 949 *original copyright owners.*

950 *Except for Members that are federal agencies, no contribution(s) may be made unless the*
 951 *contributor(s) is/are, to the best of their knowledge, the exclusive copyright owner of the*
 952 *contribution or has sufficient rights under copyright from the owners to make the contribution under*
 953 *the terms of this license. Contributor must identify all other copyright owners in the contribution.*

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

955
 956 **Copyright © Information Technology Industry Council 1999 - 20xx**
 957 **All rights reserved**

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

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

964 *Any requests to reproduce INCITS documents in a manner other than expressly granted, whether in*
 965 *whole or in part, should be directed to the INCITS Secretariat.*

966
 967 Should any INCITS member or the public believe material has been published on the INCITS website
 968 which is not in accordance with the INCITS Copyright Policy, they should contact the INCITS Secretariat.

969 **4.11.2 Patent Policy**

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

973 **4.11.3 Use of the ISO/IEC/ITU Patent Statement and Licensing Declaration Form**

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

977 **4.11.4 Use of INCITS Patent Slides**

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

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

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

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

994 4.11.5 Inclusion of Patent Statements in INCITS Standards

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

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

997 *NOTE – The user's attention is called to the possibility that compliance with this standard may*
998 *require use of an invention covered by patent rights. As of the date of publication of this standard,*
999 *following calls for the identification of patents that may be required for the implementation of the*
1000 *standard, notice of one or more such claims has been received.*

1001 *By publication of this standard, no position is taken with respect to the validity of any such claim(s)*
1002 *or of any patent rights in connection therewith. If a patent holder has filed a statement of willingness*
1003 *to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to*
1004 *applicants desiring to obtain such a license, then details may be obtained from the standards*
1005 *developer.*

1006 Option 2 - (when neither the developer nor the publisher had notice at the time of publication)

1007 *NOTE – The user's attention is called to the possibility that compliance with this standard may*
1008 *require use of an invention covered by patent rights. As of the date of publication of this standard,*
1009 *following calls for the identification of patents that may be required for the implementation of the*
1010 *standard, no such claims has been received.*

1011 *By publication of this standard, no position is taken with respect to the validity of any such claim(s)*
1012 *or of any patent rights in connection therewith. If a patent holder has filed a statement of willingness*
1013 *to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to*
1014 *applicants desiring to obtain such a license, then details may be obtained from the standards*
1015 *developer.*

1016 4.11.6 Antitrust Guidelines

1017 The INCITS Antitrust Guidelines are provided for the protection of INCITS and IOE members on antitrust
1018 issues. INCITS and IOE members shall follow the INCITS Antitrust Guidelines, which are located at
1019 <http://www.incits.org/standards-information/legal-info>.

1020 At each meeting of an IOE, excluding ad hocs, the Chair shall:

- 1021 1. Show or refer to the INCITS antitrust guidelines ([http://www.incits.org/standards-](http://www.incits.org/standards-information/legal-info)
- 1022 [information/legal-info](http://www.incits.org/standards-information/legal-info)).

- 1023 2. Provide no interpretation or explanation of the INCITS antitrust guidelines, nor allow
1024 committee members to do so. Questions about the policy shall be referred to the participant's
1025 legal counsel or the ANSI General Counsel.
- 1026 3. Instruct the IOE Secretary to record in the minutes of the relevant meeting that the foregoing
1027 advice was provided and the antitrust guidelines were referred to.

1028 **4.12 INCITS Awards and Recognition Program**

1029 The purpose of this program is to provide recognition to the INCITS participants for their contributions
1030 to national and/or international standards work. There are two distinct types of awards classifications
1031 intended to fulfill distinct needs: Service awards and Achievement awards.

1032 **4.12.1 Service Awards**

1033 Service awards provide recognition to INCITS participants throughout the year as applicable. These
1034 awards may be initiated by the Executive Board, the INCITS Secretariat staff or by a TC Chairman.

1035 Awards should be presented as close to the congratulatory event as possible.

1036 **4.12.1.1 Officer Appointment**

1037 This award is issued to an officer once elected to office.

1038 **4.12.1.2 Officer Training**

1039 This award is issued by the INCITS Secretariat staff upon successful completion of training.

1040 **4.12.1.3 Officer Retirement**

1041 This award is issued to an officer upon retirement for carrying out their responsibilities in an ongoing
1042 professional manner. It may be issued by either the TC Officer for TC assigned roles or by the INCITS
1043 Executive Board Chair and INCITS Secretariat staff for INCITS and TC Chair roles.

1044 **4.12.1.4 Member Retirement**

1045 This award is issued to an IOE member who has been a member for 10 or more years. The award is
1046 issued to a member upon retirement. This may be issued by either the TC Officer for TC assigned roles
1047 or by the INCITS Executive Board Chair and INCITS Secretariat staff for INCITS and TC Chair roles.

1048 **4.12.1.5 National Standard Approval**

1049 This award is issued to all principals, alternates and the Project Editor of an INCITS committee upon
1050 successful approval of a new standard in a timely fashion. The award is presented by the TC Officer in
1051 conjunction with the INCITS Secretariat staff.

1052 **4.12.2 Achievement Awards**

1053 Achievement awards recognize those INCITS participants making exemplary contribution to the INCITS
1054 organization.

1055 These awards are managed by the Executive Board. An Awards Ad Hoc is established by the Executive
1056 Board and shall be comprised of the INCITS Chair, INCITS Vice-Chair, and volunteer members of the
1057 Executive Board. A representative from the INCITS Secretariat staff shall serve as a non-voting member.

1058 Responsibilities of this ad hoc include:

- 1059
- Establish procedures for managing the program;

- 1060
- 1061
- 1062
- 1063
- Ensure that a "call for nominations" is distributed to INCITS participants;
 - Review nominations and make final selections of award recipients;
 - Coordinate the presentation of the awards at the INCITS Symposium; and
 - Oversight of inputs or changes to the INCITS Awards and Recognition Program.

1064 The Achievement awards are presented annually at the INCITS Symposium.

1065 **4.12.2.1 INCITS Chairman's Annual Award**

1066 This is an award normally presented to one INCITS participant and is selected by the INCITS Chair. This
 1067 participant has provided outstanding service to the INCITS organization through committee work or
 1068 duties assigned by the INCITS Chair and/or assisted the Chair in progressing the work of INCITS during
 1069 the Chair's term.

1070 **4.12.2.2 INCITS Merit Award**

1071 This is an award normally presented to no more than four participants who have demonstrated
 1072 continuous support for the work of INCITS, the criteria of which consist of:

- 1073
- 1074
- 1075
- 1076
- 1077
- 1078
- Long-standing (10+ years) member of an IOE;
 - Made a significant contribution to at least two international SCs or WGs in a technical contributor or leadership role;
 - Demonstrated continuous support for the work, goals, principles, policies and procedures of INCITS; and
 - Provided support to the Secretariat in progressing the administrative work of INCITS.

1079 **4.12.2.3 INCITS Service Award**

1080 This is an award normally presented to no more than four participants who have provided outstanding
 1081 service to the INCITS organization through committee work or duties during the past year.

1082 **4.12.2.4 The INCITS Gene Milligan Award for Effective Committee Management**

1083 This is an award normally presented to no more than two INCITS members holding an officer position
 1084 within an IOE who have provided outstanding leadership to the IOE in its national and/or international
 1085 work, have demonstrated proficiency in achieving consensus in the national and/or international arenas,
 1086 and have followed the approved procedures in an exemplary fashion.

1087 **4.12.2.5 INCITS Technical Excellence Award**

1088 This is an award normally presented to no more than four participants to recognize their visible and
 1089 significant technical contributions to the work of the TC (nationally or internationally). This award is
 1090 presented with the concurrence of the TC officers. A minimum of three years of participation in a TC by
 1091 each recipient is required.

1092 **4.12.2.6 INCITS Award for Exceptional International Leadership**

1093 This is an award normally presented to no more than two INCITS participants for their exceptional
 1094 leadership of an international committee. The criteria for this award are as follows:

- 1095
- 1096
- 1097
- 1098
- Minimum of four years of continuous leadership of an international working group or subcommittee;
 - Tangible results in the form of published International Standards or Technical Reports;
 - Timely completion of projects; and

- 1099 • Chairing of meetings in which the views of National Bodies and their experts are given due
1100 consideration.

1101 **4.12.2.7 INCITS Team Award**

1102 This is an award normally presented to no more than two teams of INCITS participants who have
1103 provided outstanding service to the INCITS organization for work done on a single specification,
1104 standard, or other form of project, within a TC. The criteria for this award are as follows:

- 1105 • Outstanding teamwork in rapidly progressing the subgroup's national and/or international
1106 activities around a single specification, standard or other form of project, and within one TC; and
1107 • Demonstrated skill in developing technically sound standards.

1108 **4.12.2.8 INCITS Lifetime Achievement Award**

1109 This is an award normally presented to no more than one INCITS participant annually, who has
1110 demonstrated a long-time commitment to INCITS and its national and international standardization
1111 activities. The criteria for this award are as follows:

- 1112 • Long-standing member of INCITS;
1113 • Demonstrated continuous and outstandingly effective support for the development of
1114 standards; and
1115 • Meets two or more of the following requirements:
1116 ○ Long-standing (10 or more years) participation in INCITS as an officer of an INCITS board, TC,
1117 or TG;
1118 ○ Long standing participation (10 or more years) in INCITS as a technical editor or key
1119 contributor;
1120 ○ Recipient of two or more INCITS awards; or
1121 ○ Long-standing participation (10 or more years) in international standards development.

1122 **5. Procedures**

1123 **5.1 Meetings**

1124 **5.1.1 Schedule of Meetings**

1125 All IOEs shall meet at least twice a year, either by teleconference or in face-to-face meetings.

1126 A duly called meeting is one for which the meeting notice and draft agenda are issued in accordance
1127 with Section 5.1.2, Meeting Notice and Draft Agenda. A duly called IOE meeting may be called by any of
1128 the following methods:

- 1129 • The majority vote of those present at a prior meeting;
1130 • The Chair;
1131 • The INCITS Secretariat; or
1132 • Written request to the Chair from a quorum of the voting members of the INCITS Organization
1133 Entity.

1134 Each agenda should include a standing item for review and confirmation of the date and location of the
1135 next meeting(s).

1136 For TCs, TGs and SGs, a duly called meeting shall count in determining the member's attendance record
1137 (as specified in Section 3.8.4.2, TCs, TGs and SGs). In exceptional cases, TCs, TGs and SGs may vote to
1138 continue the voting membership despite failure of the member to comply with the attendance criteria.

1139 When a quorum is not met at such a duly called meeting or when there are fewer voting members
1140 present than the number of voting members required to approve an action, the members present may
1141 draft proposed actions for submission to the entire membership for LB or action at the next meeting.
1142 They may conduct all business not requiring voting action.

1143 When the number of voting members in a TC/TG is insufficient to hold a quorate meeting, and when
1144 necessary to meet short-term international deadlines or similar special circumstances, the INCITS
1145 Secretariat may obtain and submit recommendations to the Executive Board for review and approval.
1146 This process shall only be used until the TC/TG regains the minimum number of voting members to hold
1147 a quorate meeting.

1148 **5.1.2 Meeting Notice and Draft Agenda**

1149 ~~The meeting~~Meeting notices for all IOEs, except Ad Hoc, shall be distributed no later than four weeks
1150 prior to ~~the face-to-face~~ meetings and no later than two weeks prior to electronic meetings. All meeting
1151 notices shall be posted and distributed using the committee calendar in ICMS. The draft agenda for all
1152 IOEs, except Ad Hoc, shall be distributed no later than two weeks prior to the meeting.

1153 **5.1.3 Documents for Action (Two-Week Rule)**

1154 Documents for consideration at a meeting should be distributed at least two weeks prior to the
1155 meeting. Other documents sent later may be considered, but final action may only be taken in the
1156 absence of objection by any voting member present; otherwise, they must be acted upon by LB or
1157 deferred until the next meeting.

1158 Documents may be revised during the meeting and still be considered to have met the Two-Week rule if
1159 the original document met this requirement. This provision provides a means for discussing the
1160 document and advancing the progress of the work, and is not intended to permit the introduction of
1161 new or unrelated material.

1162 The Two-Week Rule provisions noted in this section shall not be applied to actions required to meet
1163 International processing deadlines when the committee is serving in the role of a TAG and the
1164 application of the rule would result in the TAG responsibilities not being fulfilled.

1165 **5.1.4 Quorum**

1166 Quorum for IOEs is defined as:

- 1167 • For the Executive Board, quorum is a majority of the voting membership;
- 1168 • For SGs, there is no quorum required to establish a valid meeting unless they are acting as a U.S.
1169 TAG, in which case the following rule for all other IOEs shall be used; or
- 1170 • For all other IOEs, quorum is one-third of the voting membership with at least four voting
1171 members present. Should the IOE have only three voting members, these members may request
1172 the Executive Board to approve a quorum of three members; the Executive Board shall vote on
1173 this request by a 14-day LB or meeting vote, using the 2/3 Voting Rule.

1174 5.1.5 Minutes

1175 All IOEs, except Ad Hoc, are required to produce minutes of their meetings and shall submit such
1176 minutes to the INCITS Secretariat within two weeks after the meeting is adjourned. IOE draft minutes
1177 shall be reviewed and accepted by the INCITS Secretariat prior to distribution to the committee.
1178 Accepted IOE draft minutes shall be distributed to the committee within four weeks after the meeting is
1179 adjourned.

1180 Results of Ad Hoc meetings shall be reported in accordance with Section 3.4, Ad Hoc.

1181 The required contents of minutes are as follows:

- 1182 1. Date(s), location(s), Chair, Secretary, time of opening and adjournment.
- 1183 2. Reference/link to the INCITS Anti-Trust Guidelines and Patent Policy.
- 1184 3. Summary of significant actions taken.
- 1185 4. Membership information, to include:
 - 1186 a. List of attendees, organization and role (e.g. Primary, Alternate, Advisory);
 - 1187 b. Documentation of membership changes since the last meeting, (new or terminated
1188 membership, establishment or loss of voting rights, prospective memberships;
 - 1189 c. Membership jeopardy information (failure to attend meetings or respond to non-
1190 accelerated LBs); and
 - 1191 d. Total number of voting members.
- 1192 5. List of all created or reconstituted ad hocs that exist as of the end of the meeting, including the
1193 scope of the ad hoc and a list of all individual ad hoc members, showing whether those ad hoc
1194 members are members of the parent body or not.
- 1195 6. Approved agenda (or approved changes to draft agenda).
- 1196 7. Approval of previous meeting minutes.
- 1197 8. Each motion seconded and not withdrawn, identifying maker of the motion, the fact of a second,
1198 and the voting results.
- 1199 9. Future meeting schedule.
- 1200 10. List of action items assigned to members.

1201 IOEs are encouraged to use the INCITS minutes template to produce their meeting minutes.

1202 Individual remarks or detailed transcripts need not be recorded; however, any specific statement should
1203 be recorded when requested by the Chair, group, or a member. Records of discussions and actions taken
1204 pertaining to any topic for which attendance is restricted shall not be included in the minutes, except to
1205 record that a position was developed.

1206 5.2 Voting

1207 There shall be only one voting membership per organization (see Section 3.8.2, Limits on Voting
1208 Membership). An alternate representative may vote only if the principal representative fails to vote.

1209 Voting by proxy shall not be permitted. A written vote on an issue to be acted upon at the meeting may
1210 be submitted by correspondence by an absent voting member provided it is received by the Chair prior
1211 to the point when the issue is brought to a vote.

1212 **5.2.1 Voting Practice**

1213 **5.2.1.1 Types of Voting Positions**

1214 Three types of voting positions are allowed:

- 1215 • Affirmative;
- 1216 • Negative; or
- 1217 • Abstention.

1218 **5.2.1.2 Methods of Voting and Criteria for Approval**

1219 Five voting methods are permitted. These are:

- 1220 • LB;
- 1221 • Roll call vote;
- 1222 • Show of hands;
- 1223 • Voice vote; and
- 1224 • Unanimous consent.

1225 With the exception of LBs, all of the above votes are taken at a meeting.

1226 Actions that shall be approved with a LB and actions that may be approved either with a LB or with a
1227 meeting vote are found in Section 5.2.3, Actions Requiring Specific Voting Methods and the Criteria for
1228 Approval. Those tables also contain the criteria for approval of these actions.

1229 Any actions not listed in Section 5.2.3 may be approved using the Majority Rule; the Chair may select
1230 which voting Method to use from the above list.

1231 The method of meeting votes is at the discretion of the Chair unless otherwise specified in this
1232 document.

1233 LB votes may be taken on issues other than those required in Section 5.2.3. Such LBs are authorized by
1234 any of the following methods:

- 1235 • Majority vote of those present at a meeting;
- 1236 • The Chair;
- 1237 • The INCITS Secretariat;
- 1238 • This document; or
- 1239 • Written request to the Chair from five or more voting members of the INCITS Organizational
1240 Entity.

1241 **5.2.1.3 Letter Ballots (LB)**

1242 Affirmative votes may include comments.

1243 Each ~~negative~~-Negative vote shall include reasons for the ~~negative~~-Negative position and, if possible,
1244 recommend specific modifications necessary to change the ~~negative~~-Negative position to an affirmative
1245 position.

1246 Each abstention vote shall include the reason for not taking a position.

1247 ~~For purposes of determining a member's voting record, negative and abstention votes cast without~~
 1248 ~~comments (or with comments unrelated to the proposal under consideration) shall be counted as "non-~~
 1249 ~~response" votes. Such "non-response" votes on Executive Board ballots will be reported as a negative~~
 1250 ~~without comment on the ANSI Board of Standards Review (BSR) submittal in connection with ANS~~
 1251 ~~processing.~~

1252 The voting period for LBs depends on the action being considered. The duration period for some actions
 1253 is contained in the tables of Section 5.2.3, Actions Requiring Specific Voting Methods and the Criteria for
 1254 Approval. For actions not listed there, the duration period is fourteen days unless otherwise directed by
 1255 the INCITS Secretariat. The duration period for all LBs commences on the date of issue of the LB. An
 1256 extension may be granted by the INCITS Secretariat when warranted and when the extension does not
 1257 cause undue problems, such as failure to submit an international vote on time.

1258 All LB, with the exception of default ballots and multiple candidate personnel ballots, shall be issued
 1259 using the ICMS ballot tool.

1260 **5.2.1.4 Executive Board Letter Ballot Resolution Procedure**

1261 The purpose of the Executive Board LB resolution procedure is to resolve any comments submitted with
 1262 "~~No~~Negative" votes in response to Executive Board LBs, such that those "~~No~~Negative" votes might
 1263 become "~~Yes~~Affirmative" votes and indicate greater consensus with an Executive Board decision. The
 1264 results of personnel ballots relating to appointments and similar actions are confidential and shall not be
 1265 addressed by this process.

1266 If any "~~No~~Negative" votes are submitted for an Executive Board LB:

- 1267 1. The Secretariat shall notify the INCITS Executive Board Chair and Vice-Chair of any ~~negative~~
 1268 ~~Negative~~ votes upon close of a LB. A Resolution Meeting (RM) Chair shall be chosen by the
 1269 INCITS Executive Board Chair and Vice-Chair, and the RM Chair will convene the RM to discuss
 1270 the "~~No~~Negative" vote(s).
- 1271 2. Should any "~~No~~Negative" vote contain non-substantive or non-actionable comments that could
 1272 not be resolved at a Resolution Meeting, then such "~~No~~Negative" vote shall not require a
 1273 Resolution Meeting. In such cases, a combined agreement between the INCITS Chair, INCITS
 1274 Vice-Chair and INCITS Secretariat concerning such non-substantive or non-actionable comments
 1275 shall be required; in addition the "~~No~~Negative" voter must agree that it would not be
 1276 appropriate to hold the Resolution Meeting. Such "non-response" votes on Executive Board
 1277 ballots shall be reported to ANSI as a ~~negative~~ ~~Negative without comment~~ vote, as appropriate
 1278 on the BSR submittal in connection with ANS processing. ~~An abstention without comment~~
 1279 ~~should not be reported on the BSR-9 as a negative without comment; it should be reported as~~
 1280 ~~an abstention.~~ In addition, the Executive Board shall be notified that a RM was not held,
 1281 indicating the concurrence of the "~~No~~Negative" voter with this action.
- 1282 3. A RM may take place via teleconference, email, or in person, and should be scheduled within 3-5
 1283 days of the ballot closing date. The availability of the organization(s) casting any "~~No~~Negative"
 1284 votes will be accommodated as a priority when scheduling the RM.
- 1285 4. When arranging the time for the RM with each "~~No~~Negative" voter, the INCITS Secretariat may
 1286 accept written instructions to change a recorded "~~No~~Negative" vote from "~~No~~Negative" to
 1287 "~~Yes~~Affirmative", as desired by the voter, regardless of the comments received with the
 1288 "~~No~~Negative" vote. If all "~~No~~Negative" voters desire to change their votes in such a fashion, the
 1289 INCITS Secretariat will notify the Executive Board in writing that the Resolution Meeting will not
 1290 be held to resolve comments, and provide the final tally.

- 1291 5. The INCITS Secretariat shall issue the RM notification to the Executive Board, including those
 1292 members that did not return a vote, and the notification shall include the LB results and all
 1293 comments. The Chair of the appropriate INCITS technical committee, the Fast Track submitter,
 1294 the SC TAG representative, or other appropriate parties will be invited to the RM to address
 1295 their interests.
- 1296 6. The RM may deal with comments raised against either (a) the text in the ballot motion, or (b)
 1297 the balloted text/document referenced by the motion. Any vote comments may be accepted in
 1298 whole or in part. Email discussion of the issues, including positions advocating or denying the
 1299 vote comments, is encouraged prior to the RM.
- 1300 7. Those Executive Board member organizations casting “~~No~~Negative” votes are expected to
 1301 attend the RM; all other Executive Board members are strongly encouraged to participate.
- 1302 8. For RMs dealing with American National Standard Process Ballots, the procedures shown in
 1303 Section 5.2.1.4.2, Ballots Concerning American National Standard Processing, apply. For RMs
 1304 dealing with International and Other Ballots, the procedures shown in Section 5.2.1.4.1, Ballots
 1305 Concerning International Standards Processing and Other Items apply.
- 1306 9. For each RM, the RM chair shall prepare a RM meeting Report showing the attendees, a
 1307 summary of the actions of the RM and the attempts at disposition of all vote comments
 1308 considered. The report will be distributed in writing by the Secretariat to the Executive Board.

1309 **5.2.1.4.1 Ballots Concerning International Standards Processing and Other Items**

1310 If the Resolution Meeting develops changes by RM consensus to either (a) the text in the ballot motion,
 1311 or (b) the balloted text/document referenced by the motion, the meeting attendees shall further
 1312 determine by consensus if the changes are substantive or non-substantive. The RM chair shall determine
 1313 consensus.

- 1314 • If the proposed changes are non-substantive, the revised ballot motion or revised
 1315 text/document may be approved by action of the RM, provided that the current ballot is
 1316 successful (following any changes in recorded voting positions on the current ballot, as
 1317 requested by voters).
- 1318 • Where proposed changes are substantive or the current ballot is not successful, the current
 1319 ballot may be set aside, and a new LB containing the revised text and the RM Meeting Report
 1320 may be issued to the Executive Board. Further resolution action under this section may occur as
 1321 a result of voting on this ballot. Executive Board Members are requested to take into
 1322 consideration any international deadlines if subsequent ballots or RMs are required.

1323 **5.2.1.4.2 Ballots Concerning American National Standard Processing**

1324 If the Resolution Meeting develops changes that modify a draft or existing American National Standard,
 1325 the RM attendees may decide by consensus that such proposed changes should be returned to the
 1326 appropriate technical committee for consideration, public review (if applicable) and a position
 1327 recommendation vote prior to subsequent Executive Board action.

1328 If there are continuing objections at the close of an RM, the objector shall be notified in writing of the
 1329 right to appeal as stated in Section 6.1.5, Milestone 5 – Executive Board Approval.

1330 When the Executive Board conducts a recirculation ballot, the project summary documents, the RM
 1331 Meeting Report, all unresolved objections, along with attempts at resolution (disposition of comments),
 1332 responses, notification of the right to appeal, and if applicable, any substantive changes and a revised
 1333 dpANS, shall be attached to a new 14-day recirculation ballot. This provides an opportunity for all voting

1334 members of the Executive Board to respond, reaffirm or change their dpANS votes as recorded in the
1335 earlier ballot that resulted in the RM.

1336 **5.2.1.5 Default Ballots**

1337 Default ballots are used when lack of objection presumes approval. A default ballot fails in the presence
1338 of any objections. The voting period for default ballots is fourteen days unless otherwise specified on the
1339 ballot.

1340 Default ballots are not permitted in the processing of American National Standards.

1341 **5.2.1.6 Accelerated Letter Ballots**

1342 The INCITS Secretariat may approve an accelerated LB with a voting period of less than fourteen days. An
1343 accelerated ballot may not be issued for final approval of a dpANS.

1344 **5.2.1.7 Report of Final Letter Ballot Results**

1345 The final result of voting on LBs shall be made available to the membership of the committee that
1346 conducted the ballot immediately upon completion of the LB action. Although ~~negative~~-Negative votes
1347 without comments are not counted in determining whether the ballot passed, these votes shall be
1348 recorded in the results. During the balloting period, all votes shall be held in confidence between the
1349 Chair and whoever is tallying the votes.

1350 The report of voting on personnel ballots shall only state that the candidate has (or has not) received the
1351 required approval. No tallies shall be given and no resolution meetings shall be conducted.

1352 Notification of the approval for all procedural changes is sent to the INCITS membership upon close of
1353 the ballot.

1354 **5.2.2 Definition of Criteria for Approval**

1355 The following definitions apply to all IOEs.

1356 **5.2.2.1 Majority Rule**

1357 For meeting votes, a majority is defined as approval by more than half of the members voting;
1358 abstentions are excluded when determining whether a majority has been satisfied. For LB votes, a
1359 majority is defined as approval by more than half of the members eligible to vote, excluding abstentions.

1360 **5.2.2.2 2/3 Voting Rule**

1361 The 2/3 voting rule is defined as:

- 1362 • approval by at least 2/3 of those voting YES or NO; and
- 1363 • approval by a majority of the voting membership. This threshold is not affected by the number
1364 of members present at the meeting for a meeting vote.

1365 **5.2.3 Actions Requiring Specific Voting Methods and the Criteria for Approval**

1366 Actions not listed in the following sections may be approved using the Majority Rule; the Chair may
1367 select the appropriate voting method from the list in 5.2.1.2, Methods of Voting and Criteria for
1368 Approval:

- 1369 • Executive Board – see 8.3, Executive Board Voting Methods and Approval Criteria
- 1370 • Technical Committee – see 8.4, Technical Committee Voting Methods and Approval Criteria
- 1371 • Task Group – see 8.5, Task Group Voting Methods and Approval Criteria

1372 5.3 Reports and Review

1373 5.3.1 Technical Activity Annual Reports

1374 In order to maintain the management continuity of the entire INCITS program and to keep the Executive
1375 Board informed on matters pertaining to the overall organization, membership, management, and
1376 policy, TC Chairs and SG Chairs reporting to the Executive Board shall submit an annual report. This
1377 report shall use the procedures and instructions contained in the TC Annual Report Template and shall
1378 be delivered to the Executive Board for review on a time schedule developed by the Executive Board.

1379 These reports should contain information regarding the progress of the work program and identify any
1380 significant problems that are impacting the work program's objectives.

1381 Chairs or other designated officers of TCs and SGs reporting to the Executive Board shall attend the
1382 meeting at which the annual report is presented and reviewed.

1383 The annual report shall identify any TC/TG/SG internal procedures, or changes to such internal
1384 procedures, to the parent body for approval through inclusion in the annual report. At other times and
1385 prior to implementation, TC/TG/SG internal procedure revisions shall be submitted to the INCITS
1386 Secretariat for approval by the Executive Board.

1387 5.3.2 Head of Delegation Reports

1388 Within four weeks of an international meeting, all IOE HoDs are required to submit their HoD reports to
1389 the INCITS Secretariat for Executive Board review. The INCITS Secretariat shall submit all HoD reports to
1390 ANSI. Meeting reports shall include the attendance and resolutions from the meeting. Meeting reports
1391 are not required for WG, Ad Hocs, or Task Force meetings.

1392 5.3.3 TAG Administrator Reports to ANSI

1393 The INCITS Secretariat shall submit a composite TAG report to ANSI in addition to all other reports
1394 requested in ANSI's *Model Operating Procedures for U.S. JTC 1 TAGs to ANSI for ISO Activities*.

1395 5.4 Appeals Procedures

1396 5.4.1 Right of Appeal

1397 Persons who have directly and materially affected interested parties and who believe they have been
1398 or will be adversely affected by a standard or technical report or any procedural action or inaction
1399 relative thereto and within the INCITS Secretariat's jurisdiction with regard to the development of a
1400 proposed American National Standard or the revision, reaffirmation, or withdrawal of an existing
1401 American National Standard, have the right to appeal such actions or inactions of INCITS IOEs or the
1402 INCITS Secretariat in accordance with the following procedures.

1403 ANSI will not normally hear an appeal of an action or inaction by an INCITS IOE or its Secretariat until the
1404 INCITS appeal procedures have been completed as prescribed in Section 5.4.3, Appeals Considered at
1405 INCITS. Such appeals shall be directed to ANSI in accordance with the procedures of the appropriate
1406 ANSI entity (e.g., Board of Standards Review, Executive Standards Council, standards boards).

1407 All international appeals proposed by an INCITS IOE or the INCITS Secretariat shall be submitted to the
1408 Executive Board for consideration and approval at least 15 days prior to the international appeal
1409 deadline. This will permit the Executive Board to consider whether the appeal is appropriate on behalf

1410 of U.S. interests by holding an accelerated 7-day Executive Board LB and, if necessary, a Resolution
1411 Meeting.

1412 **5.4.2 Appeals Principles**

1413 The following general criteria are adopted:

- 1414 • Appeals shall be addressed promptly and a decision made expeditiously;
- 1415 • The right of the involved parties to present their cases shall not be denied;
- 1416 • These procedures shall provide for participation by all parties concerned without imposing an
1417 undue burden on them;
- 1418 • Consideration of appeals shall be fair and unbiased and shall fully address the concerns
1419 expressed; and
- 1420 • Records of appeals shall be kept and made available upon request. The INCITS Secretariat may
1421 levy a nominal charge to cover the cost of reproduction, handling and distribution for requests
1422 received from other than the involved parties.
- 1423 • INCITS will not hear technical appeals. Comments of a technical nature should be forwarded to
1424 the appropriate INCITS Technical Committee.

1425 **5.4.3 Appeals Considered at INCITS**

1426 The appellant shall file a formal complaint with the INCITS Secretariat within fifteen calendar days after
1427 the date of notification of the action being appealed, or at any time with respect to inaction. The
1428 complaint shall state the nature of the procedural objection(s) including any direct and material adverse
1429 effects, the section(s) of these procedures or the standard that are at issue, actions or inactions that are
1430 at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts
1431 to resolve the objection(s) and the outcome of each shall be noted.

1432 Within thirty calendar days after receipt of the complaint, the INCITS Secretariat shall respond by
1433 correspondence to the appellant, specifically addressing each allegation of fact in the complaint.

1434 If the appellant and the INCITS Secretariat are unable to resolve the complaint informally in a manner
1435 consistent with these procedures within fifteen calendar days from receipt of the INCITS
1436 correspondence, the INCITS Secretariat shall schedule a hearing with an appeals panel on a date
1437 agreeable to all participants but within forty-five calendar days from receipt of the INCITS
1438 correspondence, giving at least ten calendar days' notice. If there is not a mutually agreeable date, the
1439 Secretariat shall set the date and time for the appeal hearing. Should any party of interest not be present
1440 at the meeting, the decision of the appeals panel shall be based on the written submissions and any
1441 presentations made by the parties.

1442 The appeals panel shall consist of three individuals who have not been directly involved in the matter in
1443 dispute. At least two members shall be acceptable to the appellant and at least two shall be acceptable
1444 to the INCITS Secretariat. The appeals panel members shall be selected as follows:

- 1445 • The appellant selects one;
- 1446 • The INCITS Secretariat selects one; and
- 1447 • The appellant and the INCITS Secretariat mutually agree on one.

1448 In the event the appellant does not wish to select a panelist or a third panelist cannot be agreed upon,
1449 the INCITS Secretariat shall appoint these individuals to the panel in order to hold a hearing.

1450 The appeals panel shall convene at the INCITS Secretariat office unless another mutually agreed site is
1451 selected.

1452 The appellant has the burden of demonstrating adverse effects, improper procedural actions or inaction,
1453 and the efficacy of the requested remedial action. The INCITS Secretariat has the burden of
1454 demonstrating that INCITS and the INCITS Secretariat took all actions in compliance with these
1455 procedures and that the requested remedial action would be ineffective or detrimental. Each party may
1456 adduce other pertinent arguments, and members of the appeals panel may address questions to either
1457 party.

1458 The appeals panel shall render its decision to all participants in writing within thirty calendar days of the
1459 appeals panel meeting, stating findings of fact and conclusions, with reasons therefore, based on a
1460 preponderance of the evidence. Consideration may be given to the following positions, among others, in
1461 formulating the decision:

- 1462 • Finding for the appellant, remanding the action to the Executive Board or the INCITS Secretariat
1463 with a specific statement of the issues and facts in regard to that fair and equitable action was
1464 not taken;
- 1465 • Finding for the INCITS Secretariat with a specific statement of the facts that demonstrate fair
1466 and suitable treatment of the appellant and the appellant's objections; and
- 1467 • Finding that new, substantive evidence has been introduced, and remanding the entire action to
1468 the Executive Board or the INCITS Secretariat for appropriate reconsideration.

1469 Records of appeals shall be kept and made available upon request. The INCITS Secretariat may levy a
1470 nominal charge to cover the cost of reproduction, handling and distribution for requests received from
1471 other than the involved parties. Any fees for appeals shall be predetermined, fixed and reasonable. It is
1472 INCITS' policy to waive or reduce fees for appeals upon submission of a justified request, with approval
1473 by the INCITS Secretariat.

1474 **5.4.4 Appeals to ANSI**

1475 For appeals to ANSI, see the ANSI Essential Requirements.

1476 **5.5 Officer Recall Procedures**

1477 When circumstances require, it is the responsibility of the Executive Board to recall an IOE Officer. The
1478 following procedures apply:

- 1479 • Formal consideration of corrective action or recall begins with a written communication
1480 between a concerned party and the INCITS Secretariat. The matter is discussed in executive
1481 session at the next Executive Board meeting, and at that time the Executive Board shall decide
1482 whether sufficient grounds exist to investigate it.
- 1483 • If it is decided to investigate the matter, the INCITS Secretariat shall notify in writing the officer
1484 involved. An Executive Board member is designated to follow up on the original communication
1485 to the INCITS Secretariat, discuss the matter with the officer involved, gather other information
1486 and opinions, as appropriate, and make a report in executive session at the next Executive Board
1487 meeting. At that time, the Executive Board decides whether to take no further action, to
1488 continue its investigation or to recall the officer involved. In any case, the officer involved is
1489 notified in writing.

1490 5.6 Process for Amending INCITS Organization, Policies and Procedures

1491 The Executive Board may change its policies and procedures or adopt additional policies and procedures
1492 at any time (hereinafter “Amendment”), subject to the following.

1493 Any Amendment to the INCITS Organization, Policies and Procedures shall be originated by the PBC.
1494 Prior to submitting the Amendment to the Executive Board for consideration, the PBC shall initiate a
1495 notice and comment period of not less than 30 days and shall consider any comments received in its
1496 proposal that it submits to the Executive Board; the Executive Board shall then vote by a 14-day LB using
1497 the ~~2/13~~2/3 Voting Rule.

1498 If the Executive Board votes to approve the proposed Amendment, the Executive Board shall submit the
1499 Amendment to ANSI for approval. If ANSI approves the proposed Amendment, the Executive Board shall
1500 provide Members with a notice period of not less than fourteen (14) days before the Amendment will go
1501 into effect.

1502 No such duly adopted Amendment shall have any retroactive effect. In the event that the Member does
1503 not wish to be bound by any such Amendment, it may terminate its membership in the manner set forth
1504 in the Membership Agreement.

1505 6. Domestic Standards Development Procedures

1506 6.1 Processing Projects to Develop ANS, ANSI TRs, and INCITS TRs

1507 Voting on a draft proposed American National Standard shall be in accordance with ANSI's Essential
1508 Requirements. Voting on a draft proposed ANSI Technical Report shall be in accordance with ANSI's
1509 Procedures for the Registration of ANSI Technical Reports. Voting on a draft proposed INCITS Technical
1510 Report shall be in accordance with the procedures in this document.

1511 A standard may be developed within a Technical Committee or its TGs for Executive Board approval and
1512 publication.

1513 A technical report may be developed:

- 1514 • within an SG (as approved by the Executive Board in the SG’s scope or terms of reference),
1515 Technical Committee or its TGs, for Executive Board approval and publication; the term “INCITS
1516 Technical Report” is used to identify this type of report; or
- 1517 • within an international committee with U.S. participation by a SG, Technical Committee or its
1518 TGs for subsequent approval by Executive Board and registration by ANSI.

1519
1520 Additional processing for Technical Reports is described in Section 6.4, INCITS and ANSI Technical
1521 Reports. All voting required in this section shall be in accordance with Section 5.2, Voting, unless
1522 explicitly stated otherwise.

1523
1524 For Fast Track submissions, the developer fulfills functions in place ~~the obligations~~ of a TC as related to
1525 the ~~M~~ milestones for processing new submissions and revisions to existing American National Standards.

1526 6.1.1 Milestone 1 – Approval of the Project Proposal

1527 A Project Proposal may be developed by any individual or organization whether or not affiliated with
1528 INCITS. Project proposals shall be developed in accordance with the format of the Project Proposal
1529 Template.

1530 A Project Proposal is not required for processing of an approved international document as an American
1531 National Standard; however, a notification to INCITS of the intention to do so is required. When
1532 processing the adoption of an international standard, see Section 4.5, Adoption of ISO/IEC JTC 1 and ISO
1533 Standards as American National Standards, for additional information.

1534 A Project Proposal is required for submission of a candidate standard for INCITS Fast Track processing as
1535 an American National Standard.

1536 No technical work may be done in developing or revising an American National Standard or technical
1537 report without an authorizing Project Proposal. Each standard or technical report requires its own
1538 authorizing Project Proposal.

1539 If the Project Proposal originates within a TC or its TGs, the vote shall be conducted by a 14-day LB or
1540 meeting vote using the 2/3 Voting Rule and shall be included with the submission of the Project
1541 Proposal.

1542 The Project Proposal shall meet the two week rule for the meeting at which action is expected.

1543 The Chair of the originating TC shall forward to the INCITS Secretariat the following information:

- 1544 • The TC approved Project Proposal;
- 1545 • The next TC meeting information; and
- 1546 • The TC vote to approve the project proposal

1547 Upon receipt of the information from the Chair of the originating TC, the Secretariat shall electronically
1548 notify the Executive Board of the proposed new Project. Any Executive Board member may submit an
1549 objection to the approved Project Proposal within seven calendar days. If there are no objections to the
1550 approved Project Proposal, a designation number shall be assigned and announced by the Secretariat.

1551 If an objection is made to the approved Project Proposal, the Chair of the originating TC or Fast Track
1552 Submitter is notified of the objection. The TC shall vote on the responses to all objections and submit the
1553 responses and vote to the INCITS Secretariat for submission to the Executive Board for final approval-.

1554 If the IOE intends to submit the American National Standard for consideration as an ISO/IEC JTC 1 or ISO
1555 standard, ~~this action~~ the submission of the ANS shall be approved by the IOE.

1556 If the Project Proposal is not approved, the Secretariat shall notify the proposer.

1557 If it is determined that a project for a new or revised American National Standard should be withdrawn
1558 from further processing, the TC shall forward the following to the INCITS Secretariat for further
1559 processing:

- 1560 • The justification for the recommendation; and
- 1561 • The final tally of the TC vote recommending the withdrawal, a copy of any unresolved ~~negative~~
1562 Negative votes, and the TC response to each.

1563 The INCITS Secretariat shall forward the TC vote, justification for the withdrawal, and any other
1564 supporting documentation to the Executive Board for final approval.

1565 **6.1.2 Milestone 2 – Notification to the Public**

1566 When the project is approved, the INCITS Secretariat shall announce the assignment of the project.

1567 The INCITS Secretariat shall provide public notification of the establishment of the project, the IOE to
1568 which it is assigned, and a solicitation of technical contributions and membership. The notification shall

1569 include reference to the ANSI patent policies, and a call for information on potentially pertinent patents
1570 shall be made. The call shall also encourage disclosure, where possible, of the existence of pending U.S.
1571 patent applications relating to the standard under development, and of any relevant unexpired foreign
1572 patents.

1573 The INCITS Secretariat shall forward notification of the new project or proposed adoption of an
1574 international standard to ANSI using the PINS form for announcement in the ANSI Standards Action for a
1575 30-day comment period. All comments received during the PINS comment period shall be forwarded to
1576 the appropriate TC for resolution and shall be addressed in accordance with the ANSI Essential
1577 Requirements, clause 2.5. A formal response shall be developed for each comment and approved by
1578 vote of the TC or TG. The PINS notification shall include a notice that any comments should be sent to
1579 the INCITS Secretariat. The INCITS Secretariat shall register all comments. Each comment shall be sent
1580 immediately to the appropriate TC or TG for consideration and to the Executive Board for information.
1581 The formal response generated to each is subject to approval by a TC vote. Letters to registered
1582 commenters shall include notification of their right to appeal.

1583 The response may be either a modification to the project proposal, or a statement of the rationale for
1584 not making a change. Serious effort should be made to resolve the comment by correspondence or
1585 discussion with the author.

1586 Responses to registered comments shall state the provision that the commenter has twenty working
1587 days from the postmark, or date stamp if issued electronically, to reply that the comment(s) has not
1588 been satisfactorily resolved. If a continuing objection is not received within this time frame, the
1589 comment will be considered resolved.

1590 In the case of changes to the project proposal, the originating TC or Fast Track submitter shall restart
1591 processing beginning at Milestone 1 and obtain approval of a revised project proposal. The TC or Fast
1592 Track submitter shall forward the revised project proposal, votes, comments, and other pertinent
1593 correspondence to the INCITS Secretariat for distribution to the Executive Board. For Fast Track
1594 submissions, the Fast Track submitter ~~fulfills functions in place~~ ~~the obligations~~ of a TC as related to the
1595 applicable Milestones for processing.

1596 INCITS is required to take action within 90 days of receipt of comment(s) from a PINS announcement.

1597 For an existing active project, a revised PINS form is required to be submitted to ANSI only if 1) the
1598 identification of the stakeholders likely to be directly impacted by the standard has changed, or 2) the
1599 project intent has changed to a revision.

1600 **6.1.3 Milestone 3 – Technical Development**

1601 The draft standard shall be developed in accordance with the ISO/IEC Directives – Part 2, Rules for the
1602 structure and drafting of International Standards, using the required electronic format. A project editor
1603 for an American National Standard shall be assigned from the IOE membership by the IOE Chair.
1604 Contributions may include collections of basic data, suggested drafts of text, candidate standards, etc.
1605 Contributions from any source shall be accepted and considered.

1606 The IOE should be cognizant of applicable international standards activities and requirements, and
1607 should determine at what point in the development process contributions should be solicited from these
1608 activities.

1609 The IOE Chairs shall remind members of the ANSI patent policies and potentially pertinent patents and
1610 shall encourage disclosure, where possible, of the existence of pending U.S. patent applications relating
1611 to the standard under development, and of any relevant unexpired foreign patents.

1612 **6.1.4 Milestone 4 – Initial Public Review**

1613 For standards developed domestically, the initial public review may be the only public review provided
1614 no substantive changes occur.

1615 When the TC determines that the development process has reached the step where the initial 60-day
1616 public review is warranted, a 14-day LB ~~or meeting vote~~ using the 2/3 Voting Rule to initiate the initial
1617 public review shall be conducted. The TC shall attempt to resolve all negatives. If a TG recommends
1618 submission of a dpANS or a TR to a TC, it shall approve the submission by a 14-day LB ~~or meeting vote~~
1619 using the 2/3 Voting Rule.

1620 The TC or SG Chair shall forward the draft and all supporting documents to the INCITS Secretariat:

- 1621 a. the draft standard or technical report (one copy in PDF format, one copy in Word or
1622 Framemaker);
- 1623 b. the expository remarks, i.e. the background or history of the project development;
- 1624 c. a copy of the authorizing Project Proposal;
- 1625 d. a copy of the ballot and the voting tally by the TC or SG developing the draft standard or
1626 technical report;
- 1627 e. unresolved negatives, and TC responses, vote and unresolved commenter letters (if applicable);
- 1628 f. IOE membership list;
- 1629 g. any patent information received to date; and
- 1630 h. the name, address and telephone number of the project editor.

1631 A draft ANSI technical report shall contain the completed Foreword as specified in the ANSI Procedures
1632 for the Registration of ANSI Technical Reports.

1633 Liaison Representatives identified in the project proposal should review the draft. If the draft standard or
1634 technical report appears to raise questions or conflicts with the work of the liaison committee, Liaison
1635 Representatives shall inform the INCITS Secretariat and the Chair of the TC or SG developing the draft
1636 standard or technical report by correspondence prior to the close of the initial public review period. Lack
1637 of comment shall be considered as an indication that no problems were identified.

1638 The INCITS Secretariat shall initiate several simultaneous activities for draft American National
1639 Standards:

- 1640 • An announcement in ANSI Standards Action of a public review through submittal to ANSI of a
1641 BSR-8;
- 1642 • A call for potentially pertinent patents shall be made to the TC members. The call shall also
1643 encourage disclosure, where possible, of the existence of pending U.S. patent applications
1644 relating to the standard under development, and of any relevant unexpired foreign patents;
- 1645 • Notification to the TC of the responses received by the TC, ANSI and the INCITS Secretariat
1646 resulting from previous calls for patents;
- 1647 • Public notification of the draft standard or technical report, and announcing availability of the
1648 document for a technical review and comment period; and
- 1649 • An ANSI formatted version of the draft standard.

1650 All comments received during the initial public review are distributed to the TC or TG developing the
1651 draft American National standard. A formal response shall be developed for each comment and
1652 approved by the TC or TG. The dpANS submitted for public review shall contain a notice that any
1653 comments should be sent to the INCITS Secretariat. The INCITS Secretariat shall register every public
1654 review comment. Each comment shall be sent immediately to the originating TC or TG for consideration
1655 and to the Executive Board for information. The formal response generated for each comment is subject
1656 to approval by TC vote. All comments and attempts at resolution are submitted to the Executive Board.

1657 A response from the TC shall be sent to all registered commenters. The response may be a modification
1658 to the draft American National standard or a statement of the rationale for not making a change. Serious
1659 effort shall be made to resolve the comment by correspondence or discussion with the author.

1660 The response letters to registered commenters who are objecting shall state their right to appeal and
1661 that the commenter has twenty working days from the postmark, or date stamp if issued electronically,
1662 to reply and indicate that the comment(s) has not been satisfactorily resolved. If a continuing objection
1663 is not received within this time frame, the comment will be considered resolved.

1664 In the case of editorial comments, they shall be resolved, either by changes to the dpANS or by
1665 communication with the commenter. The TC shall advise the INCITS Secretariat and provide all pertinent
1666 correspondence resolving such editorial comments.

1667 In the case of one or more substantive changes to the dpANS in order to resolve the public review
1668 comments, the TC or TG shall vote to approve such changes. If the TC or TG achieves the criteria for
1669 approval, the TC or TG shall send the comments, the replies to the comments, ballot results, the revised
1670 text, and a summary of the changes and rationale to the INCITS Secretariat. The INCITS Secretariat shall
1671 advise the Executive Board that a further public review is required, the TC shall conduct a 14-day LB by
1672 Majority Vote to approve further public review, and, if approved, the INCITS Secretariat shall then take
1673 action to notify the purchasers of the latest dpANS that another public review is necessary. Subsequent
1674 public reviews shall begin no sooner than thirty days after the mailing of responses to public review
1675 comments. Processing then returns to the beginning of Milestone 4.

1676 For dpANS and draft technical reports, the TC or TG votes to indicate approval. When the draft technical
1677 report is also being proposed for approval as an ANSI technical report, it will include approval to forward
1678 the TR to ANSI for registration.

1679 Editorial recommendations from ANSI shall be considered and incorporated if practicable.

1680 Subsequent public reviews shall begin after the TC approval ballot or meeting vote.

1681 If there are no public review comments during the second (or subsequent) public review, the INCITS
1682 Secretariat will begin processing and forward all documentation related to the project and any attempts
1683 at comment resolution to the Executive Board for final approval.

1684 **6.1.5 Milestone 5 – Executive Board Approval**

1685 Executive Board approval of draft American National Standards, Technical Reports, Amendments,
1686 Supplements and Errata shall be handled by a LB which includes all documentation, votes, comments,
1687 and attempts at resolution to ensure that all procedural requirements have been met. An indication that
1688 ANSI or INCITS procedures have been violated will result in the project being returned to the TC without
1689 action.

1690 If the Executive Board LB to submit the dpANS or dpTR to ANSI for final approval passes with no **negative**
1691 **Negative** votes or comments, the INCITS Secretariat shall submit the BSR-9 or registration form for **ANSI**

1692 INCITS Technical Reports registered with ANSI to ANSI. Prior to the submission to ANSI, the INCITS
1693 Secretariat shall ensure that the correct patent statement is included in the draft standard.

1694 When there are ~~negative~~-Negative votes or comments arising during Executive Board dpANS/dpTR
1695 approval, or the ballot failed due to the number of ~~negative~~-Negative votes, the voting tally and all
1696 comments shall be provided to the Executive Board and to the TC, TG, SG or Fast Track Submitter (as
1697 appropriate) that developed the dpANS or dpTR. An effort to resolve all such objections shall be
1698 addressed in accordance with Section 5.2.1.4, Executive Board Letter Ballot Resolution Procedure, and
1699 each objector shall be advised in the RM Meeting Report of the disposition of the objection and the
1700 reasons thereof. Any unresolved objections (including all documentation), attempts at resolution, and
1701 disposition of comments (as shown in the RM Meeting Report), and any substantive changes made in a
1702 proposed American National Standard shall be reported to the Executive Board with any subsequent
1703 ballots, in order to afford all members an opportunity to respond, reaffirm or change their vote during a
1704 recirculation ballot.

1705 If the LB failed due to insufficient affirmative votes and there were no ~~negative~~-Negative ballots cast, the
1706 matter is referred to the Executive Board and the appropriate TC, TG, SG or Fast Track Submitter is
1707 notified. The INCITS Secretariat may initiate a new ballot.

1708 Prior to the INCITS Secretariat forwarding the dpANS or dpTR to ANSI for final approval, INCITS
1709 Secretariat advises in writing (including electronic media), those Executive Board members that had
1710 unresolved negatives that they have fifteen days from the date of the notification from the INCITS
1711 Secretariat to appeal the approval. Such an appeal shall be filed with the INCITS Secretariat. The
1712 notification shall include text that if an extension of the appeals filing deadline is required, the written
1713 request, along with a justification for the extension shall be received before the fifteen day deadline or
1714 the right to appeal shall be forfeited.

1715 Unless the standards developer notifies the secretary of the BSR in writing of good cause for a different
1716 schedule for submittal, a proposed new American National Standard or a proposed revision or
1717 reaffirmation of an American National Standard shall be submitted to ANSI within one (1) year from the
1718 close of the comment period using the appropriate form provided by ANSI.

1719 **6.1.6 Milestone 6 – ANSI Approval**

1720 Upon receipt of the transmittal of the dpANS or draft ANSI Technical Report, ANSI will review the
1721 submittal and processes it according to ANSI procedures.

1722 Upon notification of ANSI approval, the INCITS Secretariat shall notify the Executive Board members. If
1723 an appeal is filed with ANSI following approval, the INCITS Secretariat will be notified and the INCITS
1724 Secretariat shall forward this information to the Executive Board.

1725 In case of ANSI disapproval, the INCITS Secretariat shall refer the matter to the Executive Board for
1726 disposition.

1727 **6.1.7 Milestone 7 – Publication**

1728 American National Standards shall be published and made available as soon as possible, but no later
1729 than six months after approval as an American National Standard.

1730 **6.2 Maintenance of American National Standards, ANSI TRs and INCITS TRs**

1731 Upon ANSI approval of an American National Standard or the ANSI registration of an ANSI Technical
1732 Report, and upon Executive Board approval of an INCITS Technical Report, that document shall be
1733 automatically assigned to a maintenance project.

1734 A maintenance project retains that status until the document is revised or withdrawn.

1735 No later than the four-year anniversary of the standard, a determination shall be made as to whether
1736 the standard is to be revised, reaffirmed, stabilized or withdrawn.

1737 No later than the four-year anniversary of the technical report approval or registration, a determination
1738 shall be made as to whether the technical report is to be revised, reaffirmed, or withdrawn.

1739 During the maintenance phase, experience in using and implementing a standard may cause questions
1740 to arise. These questions shall be processed under the procedures for defect management given in
1741 Section 6.2.4, Defect Management.

1742 The TC or TG shall vote to process the response to a report of an alleged defect and to process the
1743 revision, reaffirmation, stabilization or withdrawal of a standard or technical report.

1744 **6.2.1 Revision**

1745 Whenever it is determined that a revision of the standard or technical report is needed, a project
1746 proposal for the revision shall be developed by the IOE in accordance with the format of the Project
1747 Proposal Template. After approval of the draft Project Proposal by the TC, the Project Proposal shall be
1748 submitted to the INCITS Secretariat. Processing continues at Milestone 1.

1749 If a revision is planned or underway, but not completed by the four-year anniversary of either the
1750 approval or the last reaffirmation of the standard, or either the approval or the last reaffirmation of the
1751 technical report, the TC shall determine whether the standard being revised shall be reaffirmed or
1752 withdrawn while the revision is being developed, and make a recommendation to the Executive Board.

1753 By the 5th year anniversary, if a PINS or BSR-8 is not on file at ANSI, then a request for an extension shall
1754 be filed using a BSR-11 form.

1755 *NOTE: If the revision process extends for four years for a standard or a technical report beyond a previous*
1756 *reaffirmation, this process shall be repeated. The effect of this is that the TC shall forward to the*
1757 *Executive Board by the above mentioned four-year anniversary, either a completed revision to the*
1758 *standard or technical report, or a recommendation for reaffirmation or withdrawal.*

1759 **6.2.2 Reaffirmation/Withdrawal**

1760 If it is determined that the standard or technical report should be reaffirmed or withdrawn, the TC shall
1761 forward the following to the INCITS Secretariat for further processing:

- 1762
- 1763 • A recommendation of reaffirmation or withdrawal; and
 - 1764 • The final tally of the TC vote recommending reaffirmation or withdrawal with a copy of any
1765 unresolved ~~negative~~ Negative votes and the TC response to each. Withdrawal recommendations
shall include rationale for the action.

1766 The INCITS Secretariat shall then initiate a public review of the TC recommendation.

- 1767
- 1768 • If comments are received as a result of the public review, these comments shall be forwarded to
the TC that made the recommendation. The TC shall consider these comments at their next

1769 meeting, provide a response to each commenter, and forward the final TC recommendation to
1770 the INCITS Secretariat. All comments and attempts at resolution shall be sent to the Executive
1771 Board for a 14-day LB approval of the TC actions using the 2/3 Voting Rule. The final TC
1772 recommendation shall contain a copy of each comment and the TC's response to each; or
1773 • If there are no comments, the INCITS Secretariat shall initiate a 14-day Executive Board LB for
1774 approval of the TC recommendation using the 2/3 Voting Rule. If there are any ~~negative~~ Negative
1775 votes on the Executive Board LB, Section 5.2.1.4, Executive Board Letter Ballot Resolution
1776 Procedure, shall be followed.

1777 If the Executive Board LB passed, the INCITS Secretariat shall submit the reaffirmation or withdrawal
1778 recommendation to the BSR for an American National Standard or ANSI technical report. For an INCITS
1779 Technical Report, the reaffirmation or withdrawal will take effect immediately.

1780 If the Executive Board LB failed, and there were no ~~negative~~ Negative votes, the Executive Board and
1781 appropriate TC shall be notified. The INCITS Secretariat may initiate a new LB.

1782 If the Executive Board LB, Section 5.2.1.4, Executive Board Letter Ballot Resolution Procedure, shall be
1783 followed.

1784 **6.2.3 Amendments and Supplements**

1785 Amendments are separately processed documents that modify a standard with technical changes or
1786 additions, or with changes in what it means to conform to the standard. If it is determined that one or
1787 more amendments are needed prior to the revision of the standard, such amendments, other than those
1788 processed under Section 6.2.4, Defect Management, shall be processed in the same manner as
1789 standards, i.e., initiated with a project proposal beginning at Milestone 1.

1790 Supplements are separately processed documents that modify a technical report with changes or
1791 additions. Supplements shall be processed in the same manner as technical reports, i.e., initiated with a
1792 project proposal beginning at Milestone 1.

1793 **6.2.4 Defect Management**

1794 These procedures are for INCITS standards under the following conditions:

- 1795 • The rapid amendment of standards for which proper use is dependent upon the rapid
1796 promulgation of errata or amendments as defects are detected; and
- 1797 • The rapid promulgation of commentary consisting of clarifying interpretations without technical
1798 amendment of the standard.

1799 The submission of the report of an alleged defect shall be submitted to the INCITS Secretariat in writing
1800 and may result in one or more of the following:

- 1801 a. Erratum to a standard;
- 1802 b. Amendment to a standard;
- 1803 c. Interpretation of a standard; or
- 1804 d. Response to the submitter explaining why an erratum, amendment, or interpretation shall not
1805 be issued.

1806 Each of these, except (d), is discussed in turn below.

1807 For INCITS/ISO/IEC or INCITS/ISO standards, the concepts in this section generally apply except where
1808 indicated. There is no concept of defect management for ANSI or INCITS technical reports.

1809 [The applicable Voting Tables found in Section 8.3, Executive Board Voting Methods and Approval](#)
1810 [Criteria, Section 8.4, Technical Committee Voting Methods and Approval Criteria, and Section 8.5, Task](#)
1811 [Group Voting Methods and Approval Criteria, shall be used.](#)

1812 **6.2.4.1 Erratum**

1813 A standard may be modified with errata to:

- 1814 • Correct a typographical error;
- 1815 • Insert a missing word, sentence, paragraph, figure, example, table, or clause; or
- 1816 • Delete an extraneous word, sentence, paragraph, figure, example, table, or clause.

1817 Any such modification of the standard shall not introduce technical changes or changes in what it means
1818 to conform to the standard.

1819 For ISO or ISO/IEC standards, "erratum" is similar to the concept of an "editorial defect," i.e., an error
1820 that can be assumed to have no consequences in the application of the International Standard (IS). JTC 1
1821 also identifies a "technical defect" as a technical error or ambiguity in an IS inadvertently introduced
1822 either in drafting or printing that could lead to incorrect or unsafe application of the IS. A technical
1823 defect is corrected through the issuance of a technical corrigendum. Editorial defects may also be
1824 incorporated in technical errata being issued to correct technical defects.

1825 **6.2.4.2 Amendment**

1826 Any modification of the standard that introduces technical changes or changes in what it means to
1827 conform to the standard shall be treated as an amendment to the standard.

1828 **6.2.4.3 Interpretation**

1829 An interpretation is a clarifying commentary on the standard that does not introduce either a technical
1830 change or a change in what it means to conform to the standard.

1831 For INCITS/ISO/IEC or INCITS/ISO standards, there is no ISO/IEC document type specifically identified for
1832 publication of interpretations. Interpretations are handled in different ways depending on the
1833 responsible JTC 1 Subcommittee, e.g., by publication of clarifying material in an informative annex to a
1834 standard, ISO/IEC technical report, etc.

1835 **6.2.5 Circulation and Consideration of a Report of an Alleged Defect**

1836 **6.2.5.1 Action by INCITS Secretariat**

1837 If the INCITS Secretariat receives an alleged defect, the INCITS Secretariat shall forward the report to the
1838 TC responsible for the standard. [All submissions of an alleged defect and the responses from the IOE to](#)
1839 [the submitter shall be in writing.](#)

1840 **6.2.5.2 Action by TC**

1841 Upon receipt of an alleged defect, the TC Chair or designee shall:

- 1842 a. Number and distribute the alleged defect to all TC members within two weeks of receipt.
- 1843 b. Send a ~~an~~ [written](#) acknowledgment of receipt to the submitter within thirty calendar days of
1844 receipt of the alleged defect.
- 1845 c. If the meeting is scheduled within two months of receipt of the alleged defect, place the alleged
1846 defect on the agenda for the next meeting of the TC and invite the submitter of the alleged
1847 defect to participate in the meeting.

1848 If a meeting of the TC has not been or cannot be conveniently scheduled within two months after receipt
1849 of the report of the alleged defect by the TC Chair or designee, the TC Chair or designee, in consultation
1850 with the INCITS Secretariat, shall appoint a group of experts to expedite the preparation of a
1851 recommendation to the TC. In this case, the submitter of the request may not be involved.

1852 The TC shall reference Section 6.2.4, Defect Management, to determine if an erratum, amendment or
1853 interpretation is needed. If the TC determines that an erratum, amendment, or interpretation shall not
1854 be issued, the submitter of the alleged defect shall be advised [in writing](#) why no further action is
1855 expected to be taken. All decisions shall be recorded and distributed to the TC.

1856 For INCITS/ISO/IEC or INCITS/ISO standards (these are U.S. adopted International Standards), if the TC
1857 determines that a defect report should be submitted, the TC shall submit the defect report to the
1858 appropriate ISO or JTC 1 Subcommittee or Working Group. Processing continues according to the
1859 procedures in Section 7, International Standards Development Procedures. Otherwise, processing shall
1860 continue with Section 6.2.5.3, Processing of Responses.

1861 **6.2.5.3 Processing of Responses**

1862 The TC shall forward the report of the alleged defect, the TC vote (including any unresolved negatives
1863 and attempts at resolution) and recommended action to the INCITS Secretariat for processing.

1864 The INCITS Secretariat shall forward the TC documentation to the Executive Board for information.

1865 **6.2.5.4 ISO/IEC or ISO Standards**

1866 If the TC determines that the response shall be processed by adopting an existing technical corrigendum,
1867 the INCITS Secretariat shall follow the procedures for the adoption of ISO/IEC or ISO standards. The
1868 submitter of the report shall be advised of this action [in writing](#) by the INCITS Secretariat. Processing
1869 shall continue at Milestone 6 (Section 6.1.6).

1870 **6.2.5.5 Erratum**

1871 If the TC determines that the response shall be processed as an erratum to the standard, the INCITS
1872 Secretariat shall forward the report, response, and erratum to ANSI for any required ANSI PINS and
1873 public review period. The submitter of the report shall be advised [in writing](#) of this action by the INCITS
1874 Secretariat. Processing shall continue at Milestone 5 (Section 6.1.5). However, PINS and ANSI public
1875 review are not required for an erratum which consists only of typographical error(s) in the published
1876 standard.

1877 **6.2.5.6 Amendment**

1878 If the TC determines that the response shall be processed as an amendment to the standard, processing
1879 shall continue at Milestone 1 (Section 6.1.1). The submitter of the report shall be advised [in writing](#) of
1880 this action by the INCITS Secretariat.

1881 **6.2.5.7 Interpretation**

1882 If the TC determines that the response shall be processed as an interpretation of the standard, it shall
1883 prepare a written interpretation request to the Executive Board. The INCITS Secretariat shall forward the
1884 report, response, [TC vote](#), and interpretation request for an Executive Board 14-day LB ([see](#)
1885 [Section 6.1.5 for voting requirements](#)). If the Executive Board LB results in the approval of the
1886 interpretation, the submitter of the report shall be advised [in writing](#) of this action [by the INCITS](#)
1887 [Secretariat](#) and the interpretation shall be published by the INCITS Secretariat as an INCITS Technical
1888 Information Bulletin (TIB) within two years of its approval.

1889 6.2.6 Stabilized Standards

1890 Whenever it is determined that a standard has ongoing validity and effectiveness, but is mature and
1891 unlikely to require maintenance of any sort, it can be designated as a stabilized standard. This allows the
1892 standard to have a longer period for periodic maintenance.

1893 In order for a standard to be declared a stabilized standard, the following criteria shall be met:

- 1894 a. the standard addresses mature technology or practices, and as a result is not likely to require
1895 revision;
- 1896 b. the standard is other than safety or health related;
- 1897 c. the standard currently holds the status of American National Standard and has been reaffirmed
1898 at least once;
- 1899 d. at least ten years have passed since the approval or last revision of the standard as an ANS; and
- 1900 e. the standard is required for use in connection with existing implementations or for reference
1901 purposes.

1902 If it is determined that the standard should be designated as a stabilized standard, the TC shall forward
1903 the following to the INCITS Secretariat for processing:

- 1904 • The rationale for the recommendation; and
- 1905 • The final tally of the TC vote recommending status as a stabilized standard with a copy of any
1906 unresolved ~~negative~~ Negative votes and the TC response to each.

1907 The INCITS Secretariat shall initiate the public review of the TC recommendation.

- 1908 • If comments are received as a result of the public review, these comments shall be forwarded to
1909 the TC that made the recommendation. The TC shall consider these comments at their next
1910 meeting, provide a response to each commenter, and forward the final TC recommendation to
1911 the Executive Board for final action. The final TC recommendation shall contain a copy of each
1912 comment and the TC's response to each, in addition to the information contained in paragraphs
1913 (a) and (b) above; or
- 1914 • If there are no comments, the INCITS Secretariat shall initiate an Executive Board LB for approval
1915 of the TC recommendation.

1916 If the Executive Board LB passes, the INCITS Secretariat shall submit the recommendation to ANSI.

1917 If a new work proposal is generated and approved for a Standard that has been stabilized, the standard
1918 will revert to maintenance status automatically.

1919 An American National Standard maintained under the stabilized maintenance option shall be subject to
1920 further review of such status on a 10-year cycle. If it is determined in connection with this review that
1921 the standard should continue to be maintained under the stabilized maintenance option and does not
1922 require revision or withdrawal, then the INCITS Secretariat shall inform ANSI, which will place an
1923 announcement in the ANSI Standards Action publication. The Executive Board (or its designated TC, TG
1924 or SG) shall consider all requests for change and information on the submittal of such requests for
1925 standards that are maintained under the stabilized maintenance option.

1926 Records shall be retained until the standard is reaffirmed, revised, or subsequently reviewed in
1927 connection with the stabilized maintenance of the standard as an ANS.

1928 **6.3 INCITS Fast Track Process**

1929 As an ANSI-Accredited Standards Developer (ASD), INCITS may approve externally-developed documents
1930 as American National Standards; such documents shall be within INCITS' scope, and developed and
1931 approved by an organization not accredited by ANSI for processing them directly.

1932 Any organization that has developed a candidate standard to submit for ~~fast-track~~Fast Track processing
1933 shall execute a Fast Track Memorandum of Understanding (MoU) with INCITS. The MoU is required for
1934 new submissions and revisions to existing standards. The annual Fast Track MoU fee is non-refundable
1935 and specified by the INCITS Secretariat. The Fast Track MoU shall be structured such that multiple Fast
1936 Track submissions may proceed under a single MoU. The submitting organization shall agree that the
1937 Fast Track MoU shall remain in effect for the duration of the complete submittal and approval
1938 process. The organization, if not already an INCITS Member, shall not be considered an INCITS
1939 member through execution of the Fast Track MoU.

1940 When a Fast Track submission is considered (e.g., a preliminary inquiry), the developer shall submit a
1941 project proposal (using the INCITS Project Proposal Template) describing the candidate standard, its
1942 purpose, and scope. The proposal shall be sent to the INCITS Secretariat for distribution to the Executive
1943 Board.

1944 The INCITS Secretariat shall issue a seven-day call for comments on the project proposal and Executive
1945 Board members are asked to assess the proposal.

1946 If no objections are raised during this seven-day review, the developer shall then be invited to submit
1947 the following:

- 1948 • Candidate standard;
- 1949 • Memorandum of understanding, which may be negotiated by the INCITS Secretariat on behalf of
1950 the Executive Board; and
- 1951 • Any other documentation the Secretariat or developer believes is relevant.

1952 If objections are raised during this Executive Board seven-day review, the INCITS Secretariat shall
1953 distribute those objections to the Executive Board and the developer. The organization submitting the
1954 candidate standard shall respond to the objections. The developer's response to the objections and the
1955 project proposal shall be submitted to the Executive Board for approval. The Executive Board shall votes
1956 to accept the project proposal and the responses.

1957 The INCITS Secretariat shall assign a designation number and processing commences at Milestone 2 with
1958 the announcement of the 30-day new project (PINS) notification. Comments received during the PINS
1959 notification period shall be addressed by the developer prior to the initiation of the public review and
1960 associated actions beginning with Milestone 4. The developer ~~fulfills functions in place~~the obligations of
1961 a TC as related to the ~~Milestones~~milestones for processing new submissions and revisions to existing
1962 American National Standards. Milestone 3 is omitted in the Fast Track process.

1963 **6.4 INCITS and ANSI Technical Reports**

1964 Technical reports are informational or tutorial in nature, and they do not contain matter implying that
1965 they are normative. They are produced, in some cases, to disseminate the technical and logical concepts
1966 reflected in standards already published or under development. In other cases, they derive from studies
1967 in areas where it is found premature to develop a standard due to a still changing technology, or
1968 inappropriate to develop a rigorous standard due to the existence of a number of viable options, the
1969 choice of which depends on the user's particular requirements. Technical reports, however, shall not be

1970 used as a way to circumvent the regular consensus process that exists for approval of American National
1971 Standards.

1972 There are two types of technical reports:

- 1973 • those developed, approved and published by INCITS as INCITS Technical Reports (TRs); and
- 1974 • those that are prepared and approved ~~and published~~ by INCITS and registered with ANSI ~~as ANSI~~
1975 ~~TRs~~.

1976 The determination of the type of TR to be developed shall be made by the TC when it determines that a
1977 technical report is appropriate. If the TC determines that a TR is required, a project proposal shall be
1978 developed for either an INCITS Technical Report or an ANSI Technical Report. Processing shall then
1979 commence at Milestone 1.

1980 In the case of international TRs, the registration by ANSI process shall be used, only identical
1981 international TRs shall be registered, and only when the U.S. TAG is an IOE.

1982 In addition, as a result of the Executive Board review of a project proposal for a standard, the Executive
1983 Board may recommend to the IOE that the final document should be a TR rather than a standard. In
1984 other cases, after a project is approved by the Executive Board, the IOE may conclude that a TR is more
1985 appropriate than a standard. In this case, an amended scope and program of work for the project shall
1986 be submitted to the Executive Board for approval, accompanied by a rationale.

1987 **7. International Standards Development Procedures**

1988 **7.1 General**

1989 For the purposes of these procedures, the term "Standards Projects" includes documents related to the
1990 development and approval of international standards, technical reports, and defect reports.

1991 This section covers the processing of ISO/IEC JTC 1 or ISO TC standards projects within INCITS when an
1992 IOE serves as the U.S. TAG. The processing of ISO/IEC_JTC 1 standards projects within ISO/IEC JTC 1 is
1993 covered by the Consolidated ISO/IEC JTC 1 Supplement, and the processing of other ISO TC standards
1994 projects is covered by the ISO/IEC Directives, Part 1, Procedures for the technical work.

1995 These procedures shall be used in conjunction with the *ANSI Procedures for U.S. Participation in the*
1996 *International Standards Activities of ISO* (see Section 2, Useful References). Those organizations seeking
1997 and accepting any U.S. TAG administration assignments shall agree to follow these procedures.

1998 When an IOE serves as the U.S. TAG for JTC 1 or JTC 1 project(s), working group(s), and/or
1999 subcommittee(s), or to an ISO/TC, the IOE shall consider U.S. TAG issues separately from other IOE
2000 business.

2001 **7.2 TAG Assignment**

2002 The need for INCITS to establish a new TAG assignment may arise when one of the following occurs:

- 2003 • ISO or JTC 1 approves a New Work Item Proposal (NP);
- 2004 • ISO or JTC 1 creates a new subordinate group; or
- 2005 • INCITS receives a request from an organization having an established area of expertise relative
2006 to the work of ISO or JTC 1.

2007 Recommendations for TAG assignments shall be considered by the Executive Board, which shall forward
2008 its recommendation to ANSI for approval. The Executive Board shall ensure that an appropriate TAG
2009 assignment is established and that all administrative responsibilities necessary to coordinate the work
2010 have been established. These responsibilities must be specific enough to permit the INCITS Secretariat to
2011 identify which organizations are responsible for specific areas of work.

2012 The administrators for U.S. TAGs to ISO or JTC 1 subgroups shall be responsible for defining the
2013 administrative responsibilities necessary to coordinate the work among all appropriate TAGs. The U.S.
2014 TAG administrators may make recommendations on TAG assignments to the Executive Board. The
2015 following list shows specific responsibilities of each U.S. TAG administrator:

- 2016 • The INCITS Secretariat, as the administrator for the U.S. TAG to JTC 1, is responsible for
2017 coordinating the work of U.S. JTC 1 SC TAGs;
- 2018 • The administrators for the U.S. TAGs to JTC 1 SCs are responsible for coordinating the work of
2019 the U.S. TAGs within that SC;
- 2020 • The administrators for the U.S. TAGs to JTC 1 WGs are responsible for coordinating the work of
2021 the project U.S. TAGs within that WG; and
- 2022 • The administrators for the U.S. TAGs to ISO TCs are responsible for coordinating the work of the
2023 U.S. SC TAGs within that TC.

2024 Any recommendation to ANSI by the Executive Board regarding a TAG assignment may be appealed by
2025 an affected party directly to ANSI.

2026 In order to ensure appropriate coordination, organizations holding TAG assignments shall be voting
2027 members of the Executive Board. If an organization holding a TAG assignment wishes to relinquish that
2028 assignment, the organization shall inform the INCITS Secretariat with at least twelve months' notice, and
2029 shall maintain its membership on the Executive Board for that twelve-month period.

2030 **7.3 General TAG Responsibilities**

2031 Any entity designated as a U.S. TAG for an ISO or JTC 1 Technical Committee, Subcommittee, Working
2032 Group or Project shall be responsible for all U.S. matters relating to the corresponding international
2033 group, except as provided for in these procedures.

2034 All TAG procedures for organizations administering TAGs for subgroups or projects within ISO or JTC 1
2035 shall be reviewed by the Executive Board to ensure that no conflict exists with INCITS procedures.

2036 For all votes, recommendations, comments, and contributions (including contributions and comments
2037 from individual experts nominated by the U.S. to participate in Working Groups) the procedures for
2038 developing a U.S. position and submitting documents shall be in accordance with the TAG procedures of
2039 the organization administering the TAG. The organization's procedures shall be in accordance with these
2040 procedures and the ANSI Procedures for U.S. Participation in the International Standards Activities of
2041 ISO. All TAGs shall be open to all U.S. National Interested Parties.

2042 Appropriate liaisons shall be maintained among TAGs on related activities.

2043 **7.4 Flow of International Documents**

2044 U.S. documents are those developed and approved by the appropriate U.S. TAG. U.S. documents shall
2045 be submitted by the U.S. TAG Administrator, INCITS, through the U.S. National Body, ANSI, to the
2046 appropriate ISO (or ISO/IEC) TC or SC. All documents from ISO, (or ISO/IEC) TCs or SCs shall enter the
2047 U.S. through ANSI. The term 'documents' used in this section includes all numbered documents, ballots,

2048 comments, contributions, letters and recommended responses submitted in between international
2049 meetings; it shall not apply to documents that are created at an international meeting.

2050 All contributions, comments, and draft technical corrigenda submitted by an IOE acting as a U.S. TAG
2051 shall be approved by a 14-day LB or meeting vote, using the 2/3 Voting Rule. All votes on a JTC 1 N-
2052 numbered document, other than an NP, DTR or otherwise specified in these Procedures, shall be
2053 approved by a 14-day LB or meeting vote, using the Majority Rule.

2054 The INCITS Secretariat coordinates with ANSI to provide all relevant ISO and JTC 1 documents to the
2055 Executive Board members and to the appropriate subsidiary U.S. TAG Administrator(s) for ISO and JTC 1
2056 and its subgroups, and that documents sent to ISO or JTC1 arrive at the proper group. The subsidiary
2057 U.S. TAG Administrators shall further distribute the documents to the membership of the subsidiary U.S.
2058 TAG. All U.S. TAG Administrators shall be responsible for distribution to their U.S. TAG membership in
2059 accordance with the rules of their organization.

2060 All documents that are developed by a U.S. TAG for submission to the appropriate SC shall be forwarded
2061 by the U.S. TAG IR or other designee as instructed by the INCITS Secretariat.

2062 Documents that are developed by U.S. individual experts may be directly forwarded to the WG or
2063 directly posted to the WG web site, should that WG permit those practices.

2064 Documents that are developed by U.S. individual experts (as distinguished from U.S. TAG-developed
2065 documents) shall be clearly labeled as "Individual Expert Contribution". Such documents include
2066 documents developed between meetings of the ISO or JTC 1 organization and do not require review or
2067 approval by the U.S. TAG or U.S. TAG officers. In no case shall the U.S. TAG communicate a U.S. position
2068 or send an international document directly to a TC or SC Secretariat or any TC, SC or WG Officer.

2069 Should a U.S. TAG-proposed document appear to go beyond the charter of an INCITS approved project
2070 or specific INCITS instructions, the INCITS Secretariat shall send the document to the Executive Board for
2071 approval to complete the submission.

2072 7.4.1 Distribution of JTC 1 and ISO Working Group Documents

2073 IOE's may, at their option, make documents for a JTC 1 or ISO WG available through ICMS or other
2074 means provided that only authorized US experts for that WG can access documents designated in JTC 1
2075 Standing Document 23 as Defined-Access (electronic access limited to participants in the ISO/IEC
2076 System).

2077 Officer's Officers of IOE's that provide such alternative mechanisms shall make reasonable efforts to
2078 ensure that:

- 2079 • Only US experts recorded in the ISO Global Directory (or in the IEC Expert Management System)
2080 for that WG are able to access the Defined Access WG documents, and
- 2081 • Access to WG documents continues to meet the requirements outlined in Section 3.11 of the
2082 INCITS Organization, Policies and Procedures.

2083 To avoid this complexity, Officers should consider downloading into ICMS (or providing access by other
2084 means) only those WG documents that are specified in JTC 1- Standing Document 23 as Open (no
2085 restrictions or passwords required for electronic access). US experts authorized to participate in JTC 1
2086 and ISO WGs are entered into the Global Directory (or the IEC Expert Management System), giving them
2087 direct access to all WG documents including those specified in JTC 1 Standing Document 23 as Defined-
2088 Access.

2089 **7.5 JTC 1 and ISO Participation**

2090 JTC 1 and ISO documents shall be obtained from ANSI. The INCITS Secretariat shall redistribute those
2091 documents to the members of the Executive Board, with information distribution to IOEs and other U.S.
2092 TAG Administrators as required. If action is required, the IOE or U.S. TAG Administrator shall send a
2093 recommendation to the Executive Board. When there is no relevant U.S. TAG assignment, the Executive
2094 Board shall take action.

2095 All IOE recommendations shall be forwarded by the IOE IR or other designee to the INCITS Secretariat.
2096 The recommendation shall then be distributed to or balloted by the Executive Board.

2097 **7.6 U.S. Initiation of New Work Item Proposals (NP)**

2098 The responsible U.S. TAG to any ISO or JTC 1 entity shall submit a proposed New Work Item to the
2099 INCITS Secretariat. This proposal shall include a recommendation on assignment as well as an
2100 identification of other U.S. TAGs having a concern for subject matter related to the proposal.

2101 The INCITS Secretariat shall ballot the recommendation to the Executive Board. Once approved by the
2102 Executive Board, the proposal may be submitted to ANSI as a U.S. proposal to JTC 1 or ISO for an NP
2103 ballot.

2104 For all IOEs, a U.S. proposal to ISO or JTC 1 for an NP shall be approved by the Executive Board, except in
2105 the case where a U.S. proposal is based on an established INCITS development or maintenance project.

2106 **7.7 Processing of NP Ballots**

2107 NP ballots (which include the prescribed NP form describing all aspects of the proposed work) may be
2108 processed in JTC 1 at two levels: (a) within a JTC 1 SC, typically when the development work will be
2109 performed by a WG within that SC; and (b) directly at the JTC 1 level, when the work will be performed
2110 by a WG reporting directly to JTC 1.

2111 In the first case, the NP form will be issued under two numbers: an SC number, for the SC ballot, and a
2112 JTC 1 number for the JTC 1 ballot.

2113 **7.7.1 Votes on NP Ballots raised at the SC Level**

2114 The U.S. TAG shall distribute the NP ballot (issued under an SC number) to its committee members and
2115 shall take into consideration any objections received when responding to the SC ballot.

2116 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-
2117 Members for concurrent review; this document shall be sent to the Executive Board and any
2118 comments received will be provided to the SC Secretariat and the U.S. TAG.

2119 In the absence of an objection from the Executive Board on the JTC 1 document, the responsible U.S.
2120 TAGs shall submit a U.S. position (answers to the NP ballot questions) to the INCITS Secretariat for
2121 submission through ANSI to the international TC or SC.

2122 In addition, should the Executive Board determine that the new work would be better placed elsewhere
2123 within JTC 1, Annex JA.2.1 of the Consolidated JTC 1 Supplement provides for the possibility of a JTC 1-
2124 level decision to assign the work item to a different JTC 1 SC or WG than that named in the NP.

2125 **7.7.2 Votes on NP Ballots raised at the JTC 1 Level**

2126 NP ballots raised at the JTC 1 level shall be circulated to the Executive Board by the INCITS Secretariat for
2127 review and comment. A copy of the NP shall also be simultaneously sent to all concerned U.S. TAG
2128 Administrators for review and comment within a time frame which shall permit consideration of such
2129 comments by the Executive Board.

2130 If a U.S. TAG exists for the named JTC 1 WG, the U.S. TAG shall review any comments and provide the
2131 recommended responses to the NP questions for Executive Board approval; otherwise, an Executive
2132 Board ad hoc shall be established to review any comments and develop the recommended responses to
2133 the NP questions for Executive Board approval.

2134 **7.8 Creation of Liaison Projects within INCITS**

2135 For IOEs, when a JTC 1 or ISO TC project is approved and if there is not already an existing INCITS project,
2136 the INCITS Secretariat shall establish an INCITS liaison project. The liaison project shall be assigned to the
2137 appropriate IOE.

2138 **7.9 Processing of JTC 1 and ISO CD Ballots**

2139 The U.S. TAG shall distribute the CD ballot to its committee members.

2140 The responsible TAG, in determining a recommended U.S. position, shall take into account comments
2141 from all other TAGs and sources and shall make a concerted effort to resolve differences. Responsible
2142 U.S. TAGs shall forward the recommended U.S. position to the INCITS Secretariat for submission through
2143 ANSI to the international TC or SC.

2144 The U.S. TAG shall develop a position on the CD in time to meet the required international deadline.

2145 **7.10 Processing of DIS, FDIS, Fast Track, JTC 1 Publicly Available Specification (PAS) and Other** 2146 **Ballots**

2147 **7.10.1 Processing of DIS Ballots**

2148 When the INCITS Secretariat receives a Draft International Standard (DIS) ballot and text from ANSI,
2149 other than as noted in Section 7.10.3, Processing of Fast Track, PAS and Other Ballots, the ballot shall be
2150 distributed to the appropriate U.S. TAG for a recommendation to the Executive Board.

2151 The responsible TAG, in determining a recommended U.S. position, shall take into account comments
2152 from other TAGs and sources and shall make a concerted effort to resolve differences prior to making a
2153 recommendation to the Executive Board. Any unresolved comments, all attempts at resolution, and a
2154 recommended U.S. position shall be forwarded to the INCITS Secretariat who shall initiate an Executive
2155 Board ballot of the recommended U.S. position.

2156 **7.10.2 Processing of FDIS Ballots**

2157 When the INCITS Secretariat receives a Final Draft International Standard (FDIS) ballot and text from
2158 ANSI, other than as noted in Section 7.10.3, Processing of Fast Track, PAS and Other Ballots, the ballot
2159 shall be distributed to the appropriate U.S. TAG for a recommendation to the Executive Board.

2160 The appropriate U.S. TAG shall submit a recommendation on the U.S. voting position to the Executive
2161 Board. Once the U.S. position is approved by the Executive Board, it shall be submitted to ANSI for
2162 transmission to JTC 1 or ISO.

2163 For IOEs, if there are no substantive changes to the DAM or DIS ballot position that has been previously
2164 submitted by the U.S. then the U.S. TAG Chair or IR may return the previous DAM/DIS position as the
2165 proposed FDAM/FDIS position for the Executive Board approval without the requirement for
2166 confirmation vote of the previous DAM/DIS position.

2167 Any substantively new FDAM/FDIS recommendation or comments shall be approved by the U.S. TAG at
2168 a meeting or by LB. The INCITS Secretariat shall then distribute the FDAM/FDIS recommendation to the
2169 Executive Board for approval.

2170 All U.S. TAGs shall meet the established JTC 1 or ISO deadlines.

2171 **7.10.3 Processing of Fast Track, PAS and Other Ballots**

2172 For JTC 1 ballots issued as default ballots, when the proposed U.S. position is to accept the default
2173 position, the Executive Board shall follow the 14-day review procedures in Section 5.2.1.5, Default
2174 Ballots. If there are no objections, the default position will be accepted; should any objection be raised,
2175 the Executive shall conduct a 14-day LB of the proposed default position, using the 2/3 Voting Rule.

2176 For JTC 1 ballots issued as default ballots, when the proposed U.S. position is not in agreement with the
2177 default position, the Executive Board shall conduct a 14-day LB of the proposed U.S. position, using the
2178 2/3 Voting Rule. Subsequent JTC 1 or ISO Fast Track ballots shall be subject to a 14-day review period.

2179 In the case of JTC 1 or ISO Fast Track ballots, JTC 1 PAS Submitter Application or Transposition ballots, or
2180 other ballots as directed by the Executive Board, the INCITS Secretariat shall send notification to the
2181 Executive Board and the appropriate mailing list for a 30-day review of a proposed USNB position to
2182 “Approve without comment”.

2183 In the absence of comments received at the conclusion of the review period, the INCITS Secretariat shall
2184 automatically forward the USNB position of “Approve without comment” for the ballot to ANSI.

2185 If comments are received, the INCITS Secretariat shall issue a formal ballot to approve the USNB position
2186 of “Approve without comment”. Any input received during the review period shall be provided with the
2187 ballot for information to the Executive Board. This LB shall be processed using the prescribed LB
2188 procedures; in particular, an Executive Board LB Resolution Procedure shall be used to resolve any
2189 ~~negative~~-Negative votes and/or comments submitted. This process may lead to a subsequent LB to
2190 approve a different US position.

2191 **7.11 INCITS Initiation of the JTC 1 Fast Track Process**

2192 The responsible U.S. TAG Administrator shall submit the following information to the INCITS Secretariat
2193 to initiate the JTC 1 Fast Track process. The submission shall include:

- 2194 • The proposed ~~International~~ Standard, Technical Report or Technical Specification;
- 2195 • The Explanatory Report as described in JTC 1 Standing Document 9;
- 2196 • the name of the project editor;
- 2197 • a recommendation on the JTC 1 SC assignment, if applicable; and
- 2198 • identification of other U.S. TAGs having a concern for subject matter related to the proposed
2199 Fast Track document.

2200 The INCITS Secretariat shall circulate the submission for 30-day review to any concerned SC, WG or
2201 Project TAG and shall initiate a concurrent announcement in the ANSI Standards Action with a
2202 subsequent ballot by the Executive Board. Once approved by the Executive Board, the materials may be
2203 submitted by ANSI to JTC 1.

2204 An IOE may decide that an approved American National Standard developed by INCITS is suitable as a
 2205 candidate for JTC 1 Fast Track~~fast track~~ processing. If an IOE initiates a request for Fast Track~~fast track~~
 2206 processing of an approved, INCITS developed standard, then this recommendation shall be forwarded by
 2207 the INCITS Secretariat to the Executive Board for ballot.

2208 A Fast Track Submitter may decide that an approved American National Standard developed by the Fast
 2209 Track Submitter's' organization and processed by INCITS as specified in Section 6.3, INCITS Fast Track
 2210 Process, is suitable as a candidate for JTC 1 Fast Track~~fast track~~ processing. If a Fast Track Submitter
 2211 initiates a request for ~~fast track~~ Fast Track processing of an approved standard, then this
 2212 recommendation shall be forwarded by the INCITS Secretariat to the Executive Board for ballot.

2213 **7.12 U.S. Hosting of International Meetings**

2214 All JTC 1 related meetings held in the U.S. shall be at the invitation of and shall be hosted by the U.S.
 2215 National Body (ANSI). Invitations to host international meetings at any level require prior approval of the
 2216 appropriate TAG. Tentative offers for the U.S. to host a future JTC 1-related meeting may be made at a
 2217 meeting by the appropriate U.S. Head of Delegation, contingent upon subsequent approval by the
 2218 appropriate U.S. TAG followed by submission of a formal invitation from ANSI as the U.S. National Body.

2219 INCITS TC Chairmen and subsidiary TAG Administrators shall submit U.S. offers (including required
 2220 documentation) to host JTC 1 Sub-committee or ISO Technical Committee meetings to the INCITS
 2221 Secretariat not less than 8 months prior to the international meeting, for approval by the Executive
 2222 Board.

2223 The INCITS Secretariat shall be responsible for reviewing and approving requests to host international
 2224 Working Group meetings in the U.S for which the INCITS holds the TAG assignment. TAG Administrators
 2225 shall oversee this activity, and they shall assure financial support for the meeting and appropriate social
 2226 events based on current practice. Conduct of such WG meetings shall be in accordance with the
 2227 Consolidated JTC 1 Directives.

2228 The INCITS Secretariat shall maintain a seven-year calendar that lists a schedule for hosting international
 2229 meetings.

2230 Prior to approval of hosting any international meeting, the organization hosting the meeting shall
 2231 provide the TAG Administrator a statement of management commitment that the following provisions
 2232 will be met:

- 2233 • meeting rooms;
- 2234 • confirmation that no U.S.-hosted meeting shall be held where the attendance or presence of
 2235 U.S. or international delegate could be questioned or challenged for any reason, e.g., by a
 2236 security sensitive host;
- 2237 • internet access for all participants;
- 2238 • refreshments;
- 2239 • a reserved block of rooms at a hotel, or a listing of hotels in the area and their telephone
 2240 numbers;
- 2241 • an information package that includes transportation to and from the airport, local
 2242 transportation, local restaurants, accessibility information, etc.; and
- 2243 • the contact person's name, address, telephone number and email.

2244 **7.13 Nomination of U.S. Candidates to Serve as ISO TC and JTC 1 Officers**

2245 The Executive Board is responsible for making recommendations to ANSI on U.S. Candidates to serve as
2246 JTC 1 and ISO TC officers. Candidate appointments shall be considered through a nomination process.

2247 Where the U.S. intends to nominate a U.S. candidate for an international officer position, the following
2248 steps shall be used:

- 2249 1. The INCITS Secretariat issues a call for candidates.
- 2250 2. The call goes out to:
 - 2251 a) Executive Board members; and
 - 2252 b) members of the corresponding U.S. TAG.
- 2253 3. A statement of experience, indicating the candidate's expertise in the assigned program of work and
2254 in voluntary standards efforts; the candidate's committee experience and leadership experience; a
2255 statement of management support acknowledging the additional workload, financial resources and
2256 duties required of an officer over and above that of a participant; and a statement that the
2257 candidate is a U.S. National Interested Party.
- 2258 4. Upon the close of the call, the INCITS Secretariat submits the slate of candidates to the appropriate
2259 U.S. TAG for its endorsement, which is then forwarded to the INCITS Secretariat.
- 2260 5. The INCITS Secretariat issues an Executive Board LB with all of the candidates listed along with the
2261 results from the U.S. TAG ballot.
- 2262 6. Prior to the completion of the process detailed above, U.S. TAGs shall not make a commitment to
2263 provide a candidate. They may, if appropriate, accept invitations to provide a candidate at a later
2264 date.
- 2265 7. ANSI shall be requested to provide information on the expiration of terms of office or of any
2266 vacancies as they arise. It should be noted that the responsible U.S. TAGs should inform the INCITS
2267 Secretariat in a "timely" fashion of pending expirations, vacancies, resignations, potential new
2268 offices, etc. for which the U.S. should consider a nomination or endorsement.
- 2269 8. Nominees for Chair or Convenor positions shall be representatives of voting members in Good
2270 Standing of the appropriate U.S. TAG.

2271 **7.14 U.S. Project Editors**

2272 U.S. persons accepting an international project editor assignment shall be a representative of a voting
2273 member of the appropriate TAG for the duration of that assignment.

2274 **7.15 Delegates for International Plenary Meetings**

2275 **7.15.1 Participation in International Working Groups and Study Groups**

2276 All U.S. experts who participate in international WGs and SGs shall be ~~approved by the Appropriate U.S.~~
2277 ~~TAG and shall be:~~

- 2278 • representatives of voting or advisory members in Good Standing of the appropriate U.S. TAG;
- 2279 • individual experts who are not members of the TAG; however, all persons participating in this
2280 capacity shall not participate for more than a single 6-month period; or

- 2281 • Emeritus Members of the appropriate U.S. TAG, if approved by the Executive Board to
2282 participate in the WG or SG.

2283 The ~~INCITS Secretariat~~ ~~appropriate U.S. TAG administrator~~ shall maintain a list of approved experts and
2284 ~~shall provide this list,~~ along with the appropriate ISO/IEC Stakeholder Categories for each expert, ~~to the~~
2285 ~~INCITS Secretariat who~~ and shall coordinate updates to the expert list with ANSI. This information shall
2286 be entered into the ISO Global Directory in order for the expert to be considered a member of the
2287 international group, attend meetings and receive documents. There are no national body delegations in
2288 international WG and SG meetings.

2289 A U.S. person who holds an international officer position as Chair or Convenor of a Working Group or
2290 Study Group shall not act as U.S. Head of Delegation or chief spokesperson to that group or to its parent.

2291 No U.S. persons are permitted at an international meeting unless they are approved U.S. experts to the
2292 WG or SG, officers of the WG or SG, or designated representatives of other organizations participating in
2293 the meeting.

2294 **7.15.2 Delegates for International Meetings other than Working Groups & Study Groups**

2295 **7.15.2.1 Head of Delegation (HoD)**

2296 For groups that serve as U.S. TAGs to international meetings other than Working Groups or Study
2297 Groups, the HoD serves as chief spokesperson for the U.S. and is responsible for coordinating the
2298 activities of the U.S. delegation. A U.S. person who holds an international officer position as Chair or
2299 Convenor of a group shall not also act as U.S. Head of Delegation or chief spokesperson to that group or
2300 to its parent.

2301 HoDs are appointed by the respective U.S. TAG chair; this does not preclude the U.S. TAG chair from
2302 being the U.S. HoD. The HoD's term includes the time required by the U.S. TAG to prepare U.S. positions
2303 before the international meeting, as well as the time for the HoD to prepare the HoD Report and report
2304 the results of the meeting.

2305 **7.15.2.2 Selection of Delegates**

2306 The Executive Board shall approve delegates to JTC 1 plenary meetings and associated activities. These
2307 delegates shall be representatives of members of the Executive Board.

2308 U.S. delegates to all international meetings other than WG and SG shall be approved by the appropriate
2309 U.S. TAG and be:

- 2310 • representatives of voting or advisory members in Good Standing of appropriate U.S. TAGs;
- 2311 • individual experts who are not members of the TAG and serve on U.S. delegations at the
2312 invitation of the TAG; however, all persons attending in this capacity shall not attend more than
2313 one international meeting without prior approval by the Executive Board; or
- 2314 • Emeritus Members of the appropriate U.S. TAG, and if approved by the Executive Board to
2315 participate in the meeting.

2316 Voting on delegate lists shall be in accordance with Section 5.2, Voting. In the context of this section,
2317 “Appropriate U.S. TAG” shall mean:

- 2318 • For JTC 1 Meetings, the U.S. TAG to JTC 1;
- 2319 • For an SC or ISO TC meeting, the specific organization with the SC or ISO TC TAG assignment, or a
2320 WG or project TAG assignment within that SC or ISO TC;
- 2321 • For a WG meeting, the specific organization with the WG TAG assignment; and

- 2322 • For an Other Working Group (OWG) meeting (see JTC 1 Standing Document 10), the specific
2323 organization with the TAG assignment covering the project.

2324 No U.S. persons shall be permitted at an international meeting unless they are there in an official
2325 capacity, i.e., members of a U.S. delegation, officers of the standards group that is meeting, or
2326 designated representatives of other organizations participating in the meeting.

2327 The Head of Delegation shall identify the presence of unauthorized U.S. persons to the Chairman or
2328 Convenor of the meeting. Following the meeting, the Head of Delegation shall report unauthorized U.S.
2329 persons (and their affiliations, if known) to the appropriate TAG and the Executive Board for subsequent
2330 corrective action.

2331 **7.15.2.3 Participation**

2332 Unless excused by the Head of Delegation, designated U.S. delegates shall attend

- 2333 • all caucuses called by the Head of Delegation, whether before or during the international
2334 meeting;
2335 • all U.S. TAG meetings where relevant U.S. positions and assignments are developed; and
2336 • all international meeting sessions.

2337 At the JTC 1 and SC or ISO TC Plenary levels, all official U.S. positions shall be supported by all U.S.
2338 delegates.

2339 All U.S. delegates shall follow the provisions of Section 7.4, Flow of International Documents.

2340 The appropriate U.S. TAG Administrator shall forward a list to ANSI of U.S. delegates to international
2341 meetings other than WG or SG.

2342 **8. Other**

2343 **8.1 Acronyms**

2344	ANSI	American National Standards Institute
2345	ASD	ANSI-Accredited Standards Developer (ANSI)
2346	BSR	Board of Standards Review (ANSI)
2347	CD	Committee Draft (ISO/IEC)
2348	DIS	Draft International Standard (ISO/IEC)
2349	dpANS	Draft proposed American National Standard
2350	dpTR	Draft proposed ANSI Technical Report
2351	FDIS	Final Draft International Standard (ISO/IEC)
2352	HoD	Head of Delegation
2353	ICMS	INCITS Committee Management System
2354	ICT	Information and Communication Technology
2355	IOE	INCITS Organizational Entity
2356	IEC	International Electrotechnical Commission

2357	IR	International Representative
2358	IS	International Standard
2359	ISO	International Organization for Standardization
2360	ITI	Information Technology Industry Council
2361	ITTF	ISO/IEC Information Technology Task Force
2362	JTC 1	Joint Technical Committee 1 (ISO/IEC)
2363	LB	Letter Ballot
2364	MOU	Memorandum of Understanding
2365	NIS	New International Structure
2366	NB	National Body (JTC 1)
2367	NP	New Work Item Proposal (ISO/IEC)
2368	OWG	Other Working Group (JTC 1)
2369	O-member	Observer Member (ISO/IEC)
2370	P-member	Participating Member (ISO/IEC)
2371	PINS	Project Initiation Notification System (ANSI)
2372	SC	Subcommittee (ISO/IEC)
2373	SDO	Standards Development Organization
2374	SG	Study Group
2375	SWG	Special Working Group (JTC 1)
2376	TAG	Technical Advisory Group
2377	TC	Technical Committee (ISO/IEC)
2378	TG	Task Group
2379	TIB	Technical Information Bulletin
2380	TR	Technical Report
2381	WD	Working Document (ISO/IEC)
2382	WG	Working Group (ISO/IEC)

2383 **8.2 Glossary**

2384 **American National Standard (ANS)**

2385 A U.S. national standard created by an ANSI-Accredited Standards Developer following the
2386 policies contained in the ANSI Essential Requirements.

2387 ANSI-Accredited Standards Developer (ASD)

2388 An organization accredited by ANSI to develop standards. INCITS is an ASD and the INCITS
2389 Executive Board is the Consensus Body that makes decisions; INCITS groups subordinate to
2390 the Executive Board, including INCITS Technical Committees and Technical Groups, are not
2391 Consensus Bodies.

2392 Board of Standards Review (BSR)

2393 The ANSI board responsible for approval and withdrawal of American National Standards.

2394 Committee Draft (CD)

2395 The first public form of a proposed international standard, registered at the ITTF so that an
2396 ISO, IEC or ISO/IEC JTC 1 CD number has been allocated.

2397 Consensus Body

2398 “The group that approves the content of a standard and whose vote demonstrates evidence
2399 of consensus” (from the ANSI Essential Requirements). In INCITS, the INCITS Executive Board
2400 is the Consensus Body, and it receives voting recommendations from subordinate groups
2401 such as a Technical Committee.

2402 Dominance

2403 Dominance means a position or exercise of dominant authority, leadership, or influence by
2404 reason of superior leverage, strength, or representation to the exclusion of fair and equitable
2405 consideration of other viewpoints.

2406 Draft International Standard (DIS)

2407 A CD that has received substantial support from the P-members of a JTC 1 or ISO SC and has
2408 been registered at the ITTF for distribution to National Bodies for approval as an
2409 International Standard.

2410 Fast Track

2411 An ISO/IEC procedure that allows for national body members and Category A Liaisons to
2412 propose an existing standard from any source for approval as an International Standard. This
2413 is also an INCITS procedure that allows non-ASDs to submit their standards to INCITS for
2414 approval as an American National Standard.

2415 Good Standing

2416 The member has met the requirements for attendance, participation, and payment of fees of
2417 the organization with the TAG assignment.

2418 ICMS

2419 The INCITS Committee Management System, which manages membership, invoicing,
2420 meeting and other key information at INCITS.

2421 In Writing

2422 A phrase used to denote written communication of any form including U.S. mail, electronic
2423 mail or facsimile

2424 INCITS Organizational Entity (IOE)

2425 Any entity (Executive Board, committee, board, group, TC, TG, Ad Hoc, etc.) operating at any
2426 level under the auspices of INCITS.

2427 Information Technology Task Force (ITTF)

2428 A joint group formed by the IEC Central Office and the ISO Central Secretariat to provide joint
2429 support from the staffs of both organizations for the activities of ISO/IEC JTC 1.

2430 International Standard (IS)

2431 A document that has been approved in accordance with the ISO/IEC Directives and accepted
2432 for publication by ISO/IEC.

2433 Joint Technical Committee 1 (JTC 1)

2434 The Joint Technical Committee of the International Organization for Standardization (ISO)
2435 and the International Electrotechnical Commission (IEC), formed to work in the area of
2436 Information Technology.

2437 National Body (NB)

2438 A Member Body of ISO and/or a National Committee of IEC that is a registered member of
2439 JTC 1 (one per country).

2440 New Work Item Proposal (NP)

2441 A proposal distributed by the Secretariat of JTC 1 or an SC to P-members for balloting on
2442 inclusion of the work item in the program of work.

2443 Organization (For the purposes of membership and voting)

2444 Corporations, Federal or military departments or agencies, partnerships or associations, self-
2445 employed or self-financed individuals, or any other legal or commercial entities.

2446 Other Working Group (OWG)

2447 A group established by the JTC 1 or its SCs to undertake specific tasks, generally between
2448 meetings and on a non-permanent basis. The group's tasks are defined by the parent body.

2449 Procedures Board Committee (PBC)

2450 The advisory subcommittee of the Executive Board on matters of procedures and policy.

2451 Resolved

2452 The status of a ~~negative~~-Negative vote cast by a member of the consensus body or a
2453 comment submitted as a result of public review, where the ~~negative~~-Negative voter agrees to
2454 change his/her vote or the ~~negative~~-Negative commenter accepts the proposed resolution of
2455 his/her comment.

2456 Secretariat

2457 For ISO/IEC, an NB that has been assigned, by mutual agreement, the responsibility for
2458 providing technical and administrative services to a TC (such as JTC 1) or one of its subsidiary
2459 bodies.

2460 Special Working Groups (SWG)

2461 Several standing organizations established by JTC 1 as part of its permanent structure.

- 2462 **Stakeholder Category**
- 2463 One of the ISO/IEC categories⁵ that describes the general work area of an expert
- 2464 participating in a Working Group.
- 2465 **Study Group (SG)**
- 2466 A subordinate group of the Executive Board that is established to conduct a study on the
- 2467 standardization potential of a specific proposal, group of proposals, or a general sub-area of
- 2468 information processing technology. A Study Group may be assigned a U.S. TAG responsibility
- 2469 by the Executive Board.
- 2470 **Subcommittee (SC)**
- 2471 The JTC 1 subordinate organization responsible for international standards development for
- 2472 a specific area of information processing.
- 2473 **Subsidiary TAG**
- 2474 The term used in the U.S. to collectively refer to Subcommittee, Working Group and project
- 2475 TAGs.
- 2476 **Substantive Change**
- 2477 A change to a [proposed] American National Standard that directly and materially affects the
- 2478 use of the standard. Examples of substantive changes are: “shall” changed to “should”, or
- 2479 “should” changed to “shall”; the addition, deletion or revision of requirements, regardless of
- 2480 the number of changes; and the addition of mandatory compliance requirements for
- 2481 referenced standards.
- 2482 **Task Group (TG)**
- 2483 An organization established under a Technical Committee to deal with a specific segment or
- 2484 segments of the work assigned to that Technical Committee.
- 2485 **Technical Advisory Group (TAG)**
- 2486 An ANSI-recognized group that has the primary responsibility for participation in an ISO
- 2487 Technical Committee or ISO/IEC JTC 1, or their Subcommittees. It is the TAG's job to recruit
- 2488 delegations, supervise their work, and determine ANSI positions on proposed standards.
- 2489 **Technical Advisory Group (TAG) Administrator**
- 2490 The organization or individual responsible to ANSI for the administration of a Technical
- 2491 Advisory Group.

⁵ ISO/IEC currently use the following categories:

- Industry and Commerce
- Government
- Consumers
- Labour
- Academic and Research Bodies
- Standards Application
- Non-governmental Organization (NGO)

2492 Technical Committee (TC)

2493 A committee established under the Executive Board that is responsible for developing, within
2494 its assigned scope, dpANS and/or draft TRs, submitting requests to INCITS for new projects in
2495 its general area of interest, and serving as a U.S. TAG upon assignment by the Executive
2496 Board.

2497 Technical Report (TR)

2498 A document that is not ready or suitable for publication as an IS but for which publication in
2499 the interests of standardization is justified; further, they do not contain matter implying that
2500 they are normative. Also, it may consist of data of a different kind from that which is
2501 normally published as an International Standard (this may include, for example, data
2502 obtained from a survey, data on work in other organizations or data on the "state of the art"
2503 in relation to standards on a particular subject).

2504 Unresolved

2505 The status of either (a) a ~~negative~~-Negative vote submitted by a consensus body member or
2506 (b) written comments, submitted by a person during public review expressing disagreement
2507 with some or all of the proposed standard, that has not been satisfied and/or withdrawn
2508 after having been addressed according to the developer's approved procedures.

2509 U.S. National Interested Party

2510 A U.S. domiciled entity directly and materially affected by the relevant standards activity (see
2511 Section 3.10, U.S. National Interested Parties, for further information).

2512 U.S. Technical Advisory Group to Joint Technical Committee 1 (U.S. TAG to JTC 1)

2513 A group consisting of any interested or materially affected parties that serves as the U.S.
2514 Technical Advisory Group to ANSI for the JTC 1 Activities. The INCITS Executive Board is the
2515 U.S. TAG to JTC 1.

**2516 U.S. Technical Advisory Group Administrator to Joint Technical Committee 1 (U.S. TAG to JTC 1
2517 Administrator)**

2518 The organization or individual responsible to ANSI for the administration of the JTC 1
2519 Technical Advisory Group. The U.S. TAG to JTC 1 Administrator is the Information Technology
2520 Industry Council (ITI).

2521 Working Draft (WD)

2522 A document pertaining to a work item distributed by the Secretariat of JTC 1 or any of its SCs,
2523 or by the Convener or Secretariat of a WG, to its members, with a view to the subsequent
2524 preparation of a CD.

2525 Working Groups (WG)

2526 A group established by JTC 1 or an ISO TC, or one of their SCs to undertake specific technical
2527 tasks. These tasks are defined by the parent body.

2528 **8.3 Executive Board Voting Methods and Approval Criteria**

2529

Executive Board Action	Voting Method	Approval	Cross Reference
Project Proposals			
Approval	7-day Review	Default	6.1.1
If comments received on project proposal, then	14-day LB or meeting vote	2/3 voting	6.1.1
Withdrawal of approved project proposal	14-day LB	2/3 voting	6.1.1
American National Standard Processing			
Final Approval and Submittal of dpANS to BSR	14-day LB	2/3 voting	6.1.5
Approval of reaffirmation/withdrawal	14-day LB	2/3 voting	6.2
Substantive Change to dpANS after final approval ballot	14-day LB	2/3 voting	5.2.1.4.2, 6.1.5
Amendments to American National Standard	14-day LB	2/3 voting	6.1.5
Interpretation of American National Standard	14-day LB	2/3 voting	6.1.5
Erratum to American National Standard	14-day LB	2/3 voting	6.1.5
Technical Report Processing			
Approval of INCITS TR or Supplement	14-day LB or meeting vote	2/3 voting	6.1.5, 6.4
Approval of draft ANSI _TR or TS to ANSI for registration	14-day LB or meeting vote	2/3 voting	6.4
Approval of withdrawal of INCITS or ANSI TR	14-day LB	2/3 voting	6.2.2
Approval of reaffirmation of ANSI TR to ANSI	14-day LB	2/3 voting	6.2.2
Organization			
Establishment of TC	14-day LB or meeting vote	2/3 voting	3.3.2
Establishment of SG	14-day LB or meeting vote	Majority	3.2.4
Disbandment of TC	14-day LB or meeting vote	2/3 voting	3.3.2
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	7.2
Appointment of officers	14-day LB	Majority	3.5
Recall of officers	30-day LB	2/3 voting	5.5
Approval of the INCITS Policies and Procedures or its content	14-day LB	2/3 voting	5.6
Approval of an INCITS Position Statement provided to the public and/or government entities	LB or Meeting Vote	2/3 voting Note 1	4.6

Establish a quorum of three members for an IOE	LB or Meeting Vote	2/3 voting	5.1.4
International			
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	5.2.1.5, 7.10.3
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	5.2.1.5, 7.10.3
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	7.7, 7.10.1
U.S. position and vote on JTC 1 Level ballots FDIS, FDAM	14 day LB or meeting vote	2/3 voting	7.10.2
Recommendation to ANSI on international officer positions (e.g., SC Chairmen, WG Conveners)	14-day LB or meeting vote	2/3 voting	7.13
Proposal for U.S. submission of NP, Fast Track Candidate	14-day LB or meeting vote	2/3 voting	7.7
Recommendation to ANSI on acquisition of a JTC 1 Subgroup Secretariat	14-day LB or meeting vote	2/3 voting	7.3
Recommendation to ANSI on relinquishment of a JTC 1 Subgroup Secretariat	14-day LB or meeting vote	Majority	7.3
Approval for U.S. position regarding a Fast Track ballots, PAS Submitter Application or Transposition ballots	30-day review	Default	7.10.3
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	7.10.3
<u>Vote on USNB Contributions, Comments</u>	<u>14-day LB or meeting vote</u>	<u>2/3 voting</u>	<u>7.4</u>

2530

2531 *Note 1: See section 4.5, Adoption of ISO/IEC JTC 1 and ISO Standards as American National Standards,*
 2532 *for expedited processing of INCITS Position Statements.*

2533 **8.4 Technical Committee Voting Methods and Approval Criteria**

2534 This clause also applies to those INCITS TGs and SGs holding TAG responsibilities, and INCITS TGs
 2535 delegated complete responsibility for national projects.

2536

Technical Committee Action	Voting Method	Approval	Cross Reference
Project Proposals			
Approval	14-day LB or meeting vote	2/3 voting	6.1.1

Withdrawal of approved project proposal	14-day LB or meeting vote	2/3 voting	6.1.1
American National Standard Processing			
Submittal of dpANS to INCITS	14-day LB	2/3 voting	6.1.4
Response to Public Review Comments	Meeting vote	2/3 voting	6.1.4
Recommendation on reaffirmation/withdrawal	14-day LB or meeting vote	2/3 voting	6.2.2
Recommendation for status as an stabilized standard	14-day LB or meeting vote	2/3 voting	6.2.6
Response to TC/TG and INCITS negative votes on dpANS	14-day LB or meeting vote	2/3 voting	6.1.4
Substantive change(s) to dpANS after Ballot	14-day LB or meeting vote	2/3 voting	6.1.4
Request for Extension of Public Review Period	14-day LB or meeting vote	Majority	6.1.4
Amendment to American National Standard	14-day LB	2/3 voting	6.2.3
Interpretation of American National Standard	14-day LB	2/3 voting	6.2.4
Erratum to American National Standard	14-day LB or meeting vote	2/3 voting	6.2.4
INCITS or ANSI TR Processing			
Submittal of draft TR to INCITS	14-day LB	2/3 voting	6.1.4
Recommendation on reaffirmation/withdrawal of ANSI TR or INCITS TR	14-day LB or meeting vote	2/3 voting	6.2.2
Response to TC/TG or INCITS negative votes	14-day LB or meeting vote	2/3 voting	6.1.4
Subsequent change(s) to draft TR after Ballot	14-day LB or meeting vote	2/3 voting	6.1.4
Supplement to TR	14-day LB	2/3 voting	6.2.3
Organization			
Establishment of a TG	14-day LB or meeting vote	Majority	3.3.3
Recommendations on Officer appointments, Chair	14-day LB	<i>Note 1</i>	3.5.2
Establishment of a Fund Fee	14-day LB or meeting vote	2/3 voting	4.1.2
Change to a Fund Fee	14-day LB or meeting vote	2/3 voting	4.1.2.2
International - Organization/Administrative			
Vote on U.S. Delegation	14-day LB or meeting vote	Majority	7.15
Nomination of Project Editors	14-day LB or meeting vote	2/3 voting	7.13, 7.14

Recommendation on Nomination for WG Convenor, SC Chair	14-day LB	Note 1	7.13
International - Standards Processing			
Vote on Contributions, Comments	14-day LB or meeting vote	2/3 voting	7.4
Vote on SC NP (Answers to seven questions)	14-day LB or meeting vote	2/3 voting	7.7.1
Vote on JTC 1 N document (Other than NP or DTR)	14-day LB or meeting vote	Majority	7.4
Vote on CD, PDTR, FPDTR	14-day LB or meeting vote	2/3 voting	7.9
Vote on Draft Technical Corrigenda	14-day LB or meeting vote	2/3 voting	7.4
Recommendation to Executive Board on NP, DTR, DTS, DIS, DAM, FDIS, FDAM	14-day LB or meeting vote	2/3 voting	7.7, 7.10
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	7.11

2537

2538 *Note 1: There is no concept of "approval" or "disapproval" in this case. LB results are advisory to the*
 2539 *Executive Board in carrying out their officer appointment and endorsement responsibilities.*

2540 **8.5 Task Group Voting Methods and Approval Criteria**

2541

Task Group Action [Note 1 Applies to entire Table]	Voting Method	Approval	Cross Reference
Project Proposals			
Recommendation to TC	14-day LB or meeting vote	2/3 voting	6.1.1
American National Standard Processing			
Submittal of dpANS to TC	14-day LB or meeting vote	2/3 voting	6.1.4
Recommended Response to Public Review Comments	Meeting vote	2/3 voting	6.1.4
Recommendation on reaffirmation or withdrawal to TC	14-day LB or meeting vote	2/3 voting	6.2.2
Recommended Response to unresolved negative on dpANS to TC	14-day LB or meeting vote	2/3 voting	6.1.4
Recommendation to TC on substantive change to dpANS after ballot	14-day LB or meeting vote	2/3 voting	6.1.4
Request for Extension of Public Review Period	14-day LB or meeting vote	Majority	6.1.4

Recommended Amendment to American National Standard	14-day LB or meeting vote	2/3 voting	6.2.3
Recommended Interpretation of American National Standard	14-day LB or meeting vote	2/3 voting	6.2.4
Recommended Erratum of American National Standard	14-day LB or meeting vote	2/3 voting	6.2.4
INCITS or ANSI TR Processing			
Submittal of draft TR to TC	14-day LB or meeting vote	2/3 voting	6.1.4
Recommendation on reaffirmation/withdrawal of ANSI TR or INCITS TR	14-day LB or meeting vote	2/3 voting	6.2.2
Response to TG negative votes	14-day LB or meeting vote	2/3 voting	6.1.4
Subsequent change(s) to draft TR after Ballot	14-day LB or meeting vote	2/3 voting	6.1.4
Supplement to TR	14-day LB or meeting vote	2/3 voting	6.2.3
Organization			
Establishment of a Fund Fee	14-day LB or meeting vote	2/3 voting	4.1.2
Change to a Fund Fee	14-day LB or meeting vote	2/3 voting	4.1.2.2
International - Organization/Administrative			
Recommendation to TC on Vote for U.S. Delegation	14-day LB or meeting vote	Majority	7.15
Recommendation to TC on Nomination of Project Editors	14-day LB or meeting vote	Majority	7.13, 7.14
Recommendation on Nomination for Convenor	14-day LB	Note 2	7.13
International - Standards Processing			
Recommendation to TC on Vote on Contributions, Comments	14-day LB or meeting vote	2/3 voting	7.4
Recommendation to TC on Vote on SC NP (Answers to seven questions)	14-day LB or meeting vote	2/3 voting	7.7.1
Recommendation to TC on Vote on JTC 1 N document (Other than NP or DTR)	14-day LB or meeting vote	2/3 voting	7.4
Recommendation to TC on CD, PDTR, FPDTR	14-day LB or meeting vote	2/3 voting	7.9
Recommendation to TC on Vote on Draft Technical Corrigenda	14-day LB or meeting vote	2/3 voting	7.4
Recommendation to TC on Vote on NP, DTR, DIS, DAM, FDIS, FDAM	14-day LB or meeting vote	2/3 voting	7.7, 7.10

<p>Recommendation to TC on submittal of American National Standard as candidate for JTC 1 Fast Track procedures</p>	<p>14-day LB or meeting vote</p>	<p>2/3 voting</p>	<p>7.11</p>
---	----------------------------------	-------------------	-------------

2542

2543 *Note 1: For TGs that have been delegated complete responsibility for their projects, nationally and/or*
 2544 *internationally, acting as U.S. TAGS to ISO/TC/SC/WG or JTC 1/SC/WG, etc., see 3.3.3, Task*
 2545 *Groups (TG), and 7, International Standards Development Procedures. ~~8.58.4, Task Group Voting~~*
 2546 *~~Methods and Approval Criteria~~ Technical Committee Voting Methods and Approval Criteria, shall*
 2547 *be used in all instances.*

2548 *Note 2: There is no concept of "approval" or "disapproval" in this case. LB results are advisory to the*
 2549 *Executive Board in carrying out their officer appointment and endorsement responsibilities*