

CHANGE 1
[IEEE-SA Standards Board Bylaws]
(Approved by ProCom: March 2008)
(Approved by SASB: March 2008)
(Approved by BOG: June 2008)

IEEE-SA Standards Board Bylaws

5.2 Standards-development process

5.2.1 Participation in IEEE standards development

Participants in IEEE standards development shall act based on their qualifications, beliefs, and experience. All participants in IEEE standards development are expected to be familiar with, and act in accordance with, the IEEE Code of Ethics. IEEE Standards Sponsor chairs and Sponsor liaison representatives shall be members of IEEE-SA and shall also be either IEEE members of any grade or IEEE affiliates.

The IEEE-SA shall maintain the authoritative database of participants in the development of standards. Such database shall be maintained by the Secretary of the IEEE-SA Standards Board.

RATIONALE:

The change defines the SA database as the official repository for participant data.

CHANGE 2
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: March 2008)
(Approved by SASB: March 2008)

IEEE-SA Standards Board Operations Manual

4.1.1.2 Minutes

The minutes of each meeting of the IEEE-SA Standards Board shall be distributed by the Secretary to voting members, liaison representatives, the IEEE-SA BOG, those present at the meeting, and anyone involved in an action of the IEEE-SA Standards Board within four weeks following the meeting. In reporting an official action of the IEEE-SA Standards Board, the minutes shall, on request of dissenters, contain a record of the dissenting votes. In addition, a listing of resolutions of each meeting of the IEEE-SA Standards Board shall be publicly distributed by the Secretary within four weeks following the meeting.

RATIONALE:

In the baseline Operating Procedures for Sponsors, in the hierarchy of procedural documents, there are listings for IEEE-SA Board of Governors Resolutions and IEEE-SA Standards Board Resolutions. However, at present, access to such information is limited to those with access to BOG and SASB meeting minutes. The text proposes that a précis version of the minutes that only includes action/information items be created for both the BOG and SASB meeting minutes. [The text for the BOG resolutions will be sent separately to the BOG for review.]

CHANGE 3
[IEEE-SA Operations Manual and IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: September 2008)
(Approved by SASB: September 2008)
(Approved by BOG: December 2008)

IEEE Standards Association Operations Manual

1. Introduction

1.2 Mission

The IEEE Standards Association provides a standards program that serves the global needs of industry, government, and the public. It also works to assure the effectiveness and high visibility of this standards program both within the IEEE and throughout the global community.

When appropriate, the IEEE-SA will cooperate with standardizing groups throughout the world in the preparation of standards involving an area of interest within the scope of the IEEE. Approval of a standard by the IEEE-SA signifies that the IEEE believes the document to be consistent with good engineering practice and that it represents a consensus of representatives from materially affected industries, governments, or public interests.

The IEEE-SA is assigned authority for the standardization activities of the IEEE by the IEEE Board of Directors. The IEEE-SA fulfills this assignment by activities such as but not limited to:

- a) Encouraging active development of needed standards. This involves, for example, promotion of open and innovative deliberations that result in broad consensus in accordance with due process procedures detailed in the bylaws and operations manuals of the subsidiary boards and committees of the IEEE-SA BOG.
- b) Building upon the strengths of the standards developing community by involving appropriate interests and outside organizations.
- c) Representing IEEE to external bodies on standards matters. This includes providing for cooperation with, and IEEE participation in, the activities of other organizations consistent with its scope and responsibilities.
- d) Appointing External Representatives ~~IEEE members~~ to participate in external bodies on standards matters (see 7.1) ~~based on nominations submitted by the IEEE Societies~~. The IEEE-SA also provides speakers to make presentations at meetings and conferences on subjects related to IEEE's standards interests and to participate in panels on standards-related subjects.

7. Relationships with other organizations

In accordance with IEEE Bylaw I-304.6, the IEEE-SA is the only body authorized to represent IEEE on matters concerning IEEE standards activity. IEEE-SA's participation and membership in other standards organizations shall in no way diminish its independence and authority over its own standards-development activity.

The positions of other standards organizations in which the IEEE-SA participates are not necessarily those of the IEEE or of the IEEE-SA.

The IEEE-SA staff, working with the other organizations involved, is responsible for negotiating any business and legal agreements with other organizations. The IEEE-SA staff negotiates agreements consistent with the strategic and financial direction set by the IEEE-SA BOG.

No IEEE Standards Sponsor, working group, or volunteer can develop an agreement for the IEEE-SA without the participation of an IEEE-SA staff member. Signing authority on behalf of the IEEE-SA for any agreement shall rest with the Managing Director, IEEE-SA Standards.

7.1 External Representatives

The policies and procedures stated in this manual apply to External Representatives of the IEEE for which the IEEE-SA has oversight responsibility.

7.1.1 Definition

An External Representative (ER) is a volunteer who has been appointed by the IEEE-SA to represent the IEEE on standards matters to an organization, committee, or entity external to the IEEE. An ER is not a volunteer who serves as a liaison between an IEEE-SA committee and an external committee acting only as an information conduit.

An Owning Board/Committee (OBC) is an IEEE-SA board, an IEEE-SA committee, or standards Sponsor responsible for ensuring that positions taken by an ER represent consensus views of the OBC and the IEEE-SA.

7.1.2 Requirements and oversight

A request to establish a new ER position shall be reviewed by both the IEEE-SA BOG and the IEEE-SA Standards Board to determine the appropriateness of the ER relationship and to determine the OBC.

The ER shall be an IEEE member of any grade except Student grade and shall be a member of the IEEE-SA. The ER shall be a member or designee of the OBC.

If an OBC ceases to function as an OBC, the ER will be responsible to the next higher board/committee until a replacement OBC is identified. The ER shall supply the next higher board/committee with the required documentation to enable it to take on this function.

The chair of an OBC shall not serve as an ER unless an exception is granted by the next higher board/committee upon the request of the OBC. The next higher board/committee may accept or deny the request and, at its discretion, may become the Owning Board/Committee for the purposes of this representation. The next higher board/committee may also grant the exception with such conditions as it believes are necessary to assure that the ER can adequately represent the IEEE-SA while serving as chair of the OBC. If the next higher board/committee becomes the OBC for the purposes of this representation, then the ER shall provide the reports described in 7.1.4 to this next higher board/committee.

The ER shall act in the interest of the IEEE-SA at all times. The ER should refer to documented IEEE-SA objectives or consensus positions wherever possible and should encourage development and documentation of relevant objectives or positions where they do not exist. Where time or circumstance does not allow for adequate discussion with the OBC, it is recognized that an ER may not be able to solely rely on documented IEEE-SA objectives and should use his or her best judgment in representing the IEEE-SA.

An ER may serve in a capacity where there is a requirement, or an expectation, that he or she fulfill a duty, fiduciary or otherwise, to another organization. This includes, but is not limited to, the external organization to which the ER has been appointed to represent the IEEE-SA, the

employer of the ER, and any organization to which the ER is affiliated. This may result in a conflict for the ER between his or her duty to the IEEE-SA and his or her duty to another organization. Should such a conflict arise over an issue, the ER shall recuse him or herself from that issue and report this action back to the OBC. The OBC shall then decide the best course of action to provide the IEEE-SA position on the issue to the external organization. Duty to the IEEE-SA takes priority, and this is met as a result of the recusal.

7.1.3 Attributes

When appointing an ER, the OBC shall review the following:

- Scientific and technical expertise (e.g., membership of relevant technical societies) relevant to the scope of operations and activities of the external organization, committee, or entity.
- Familiarity with the operations and goals of the specific external organization, committee, or entity.
- The ability to articulate IEEE-SA goals, objectives, and activities clearly in the context of the external organization, committee, or entity.

Before an individual can serve as an ER, the OBC shall determine that the individual does not have a conflict of interest with respect to the activities of the specific external organization, committee, or entity to which the ER would represent the IEEE-SA. To enable the OBC to make this determination, the individual shall

- a) File, with the OBC and the Secretary of the IEEE-SA Standards Board, a letter stating their affiliation(s). This disclosure of affiliation shall meet the requirements of *IEEE-SA Standards Board Operations Manual* 5.3.3.1 and 5.3.3.2 and shall be signed by the individual.
- b) File, with the OBC and the Secretary of the IEEE-SA Standards Board, a letter of endorsement from each affiliation disclosed. The letter(s) shall document several key factors relative to their position as the ER and is to be signed by both the individual and an individual who has management responsibility for the individual for that affiliation. The letter(s) shall contain at least the following:
 - 1) Statement of qualification based on expertise in respect to the attributes described above
 - 2) Statement of support for providing necessary resources (e.g., time, travel expenses to meetings), and
 - 3) Recognition that the individual is expected to act in accordance with the conditions stated in subclause 7.1.2; in particular that the individual, when serving as the ER, 'shall act in the interest of the IEEE-SA at all times'.
- c) File a completed IEEE-SA Conflict of Interest Disclosure Statement with the Secretary of the IEEE-SA Standards Board.

An ER shall update existing, or file new, documentation whenever necessary due to a change in circumstances that would make the existing documentation in any way inaccurate.

7.1.4 Reports

The ER shall provide regular reports to the OBC, which shall include:

- a) A description of the OBC's objectives and guidance for participation in the external organization.
- b) A summary of significant positions and actions taken by the ER.
- c) Results achieved in the external organization, committee, or entity, including a summary of points of agreement and disagreement.
- d) A summary of any issues for which the ER recused him or herself.
- e) A summary of future plans and milestones for the ER.
- f) A summary of the future activities and plans established by the external organization, committee, or entity.
- g) Requests for guidance with respect to participation in the external organization, committee, or entity, when appropriate.

7.1.5 Duties of the Owning Board/Committee

7.1.5.1 Appointment

Each ER shall be appointed for a term of no less than one year, and may be reappointed at the discretion of the OBC. Before an individual can serve as an ER, the IEEE-SA BOG shall confirm their appointment, or reappointment, to that position.

7.1.5.2 Annual review

The OBC shall establish report deadlines for ERs under its responsibility (see 7.1.4).

The OBC having responsibility for providing oversight to an ER shall implement an annual review of the external relationship. The review shall document the effectiveness and value of maintaining the IEEE-SA's external involvement. The annual review shall serve as the basis for consideration of continuing the external relationship in its existing format, making changes, or discontinuing the relationship.

The OBC shall provide an annual report to both the IEEE-SA Board of Governors and the IEEE-SA Standards Board on the status of ERs under its responsibility.

7.1.5.3 Liaison relationships with other committees within IEEE-SA

The OBC shall identify other committees within IEEE-SA that would have an interest in positions taken by the ER under the OBC's responsibility. The OBC shall develop liaison relationships with those other committees and shall keep them informed on positions taken by the ER.

7.1.6 Public listing of ERs

The IEEE-SA Board of Governors shall maintain a list of all ERs on the IEEE-SA web site. The web site will include a link to an email alias that will allow any comments about ER activity to be submitted to IEEE-SA staff, who will then direct their handling through appropriate channels.

7.12 International organizations

The IEEE-SA participates in the programs of the International Electrotechnical Commission (IEC), the International Organization for Standardization (ISO), and the International

Telecommunications Union (ITU). IEEE-SA representatives and IEEE members also serve on a number of international advisory committees.

7.12.1 Regional organizations

The IEEE-SA participates in the programs of regional standardization bodies that develop standards in the fields of interest of the IEEE. Consideration is given to the programs of many regional organizations, such as the European Telecommunications Standards Institute (ETSI) and the European Committee for Electrotechnical Standardization (CENELEC).

7.23 National standards bodies

IEEE standards may be submitted (with written permission from the Managing Director of the IEEE Standards Department) to any national standards body for recognition by that national body as its national standard.

7.34 ANSI Accredited Standards Committees (ASCs)

The IEEE participates in appropriate ASCs, which are standards committees whose processes are accredited for openness and consensus under the procedures of the American National Standards Institute (ANSI) (see subclause 7.1 of the *IEEE-SA Standards Board Operation Manual*).

The IEEE-SA has also assumed the secretariat of a number of ASCs within the scope of the IEEE.

7.45 Cooperative standards development

The IEEE Standards Association benefits by establishing cooperative agreements with other standards organizations.

Cooperative agreements help the IEEE-SA to avoid duplication in standards efforts and develop standards in a financially responsible manner.

7.56 Memoranda of understanding (MOUs)

An MOU sets forth the relationship and obligations of the involved parties. An MOU is required when the IEEE-SA and a non-IEEE organizational unit (including trade associations and consortia) agree to cooperate on an IEEE standards project or a series of IEEE standards.

An MOU shall describe the following areas as appropriate:

- a) The financial responsibilities of each organizational unit;
- b) Intellectual property rights associated with the standard or standards;
- c) Provisions for dissolving the cooperative effort;
- d) Use of the IEEE logo (see IEEE Policy 6.3.2);
- e) Assignment of meeting management and other administrative responsibilities (such as assignment of chairs, steering committee obligations, and locations of meetings).

The IEEE-SA shall assure that the IEEE financial responsibility is limited to reasonable limitations on the current assets of the IEEE-SA and does not extend to the general funds of the IEEE. All MOUs with non-IEEE entities shall undergo legal review prior to signing.

IEEE-SA Standards Board Operations Manual

3. Abbreviations and acronyms

AdCom: IEEE-SA Standards Board Administrative Committee

ANSI: American National Standards Institute

ASC: **ANSI** Accredited Standards Committee

AudCom: IEEE-SA Standards Board Audit Committee

IEEE: Institute of Electrical and Electronics Engineers

NesCom: IEEE-SA Standards Board New Standards Committee

PAR: Project Authorization Request

PatCom: IEEE-SA Standards Board Patent Committee

ProCom: IEEE-SA Standards Board Procedures Committee

RevCom: IEEE-SA Standards Board Standards Review Committee

TC: Technical Committee

SCC: Standards Coordinating Committee

SDO: Standards-Developing Organization

WG: Working Group

7.1 IEEE representatives on **ANSI** Accredited Standards Committees (ASCs)

7.1.1 General

The IEEE is represented on ASCs in which it has a substantial interest. This provides IEEE an opportunity to have a direct influence on the development of an American National Standard generated by the ASC. Positions have been allotted the IEEE as a substantially interested standards-developing organization.

7.1.2 Assignment of positions

The positions allotted to the IEEE are assigned by the IEEE-SA Standards Board to IEEE Societies having a substantial interest in the work of an ASC. The Societies reassign the positions to their substantially interested Technical Committees (TCs). In making these recommendations to ASCs where the IEEE is the secretariat and responsible for balance, the IEEE Societies shall attempt to achieve overall balance within the ASC through the selection of appropriate IEEE delegates (**see 5.4.1**).

7.1.3 Appointment of IEEE representatives

IEEE representatives on ASCs are appointed by the IEEE-SA Standards Board from nominations submitted by the appropriate Society or SCC that provides technical instruction to the representative.

7.1.4 Instructions to IEEE representatives on ASCs

7.1.4.1 Source of instructions

IEEE representatives and their alternates shall utilize the expertise of the members of their sponsoring group or TC to develop an IEEE position on proposed standards being considered by their ASC. They shall report at meetings of their Sponsor on the activities of their ASC, either in person or by a written report to be included in the minutes of the meeting, to inform the members of the work of the standards committee. They shall solicit comments and suggestions from interested members of their Sponsor in order to establish their position on projects under consideration, and to identify substantially interested members to whom they can turn for advice and recommendations on short notice. They shall work with the chair and the IEEE-SA Standards Board liaison representative of their Sponsor to ensure that they act in accordance with the consensus within the Sponsor. In the absence of instructions, they shall use their best judgment based on their experience as a member of their Sponsor to support the position with which they believe the membership would agree. All ballot actions taken by IEEE representatives shall be reported to the sponsoring committee. On all policy matters coming before this committee, the representative shall solicit instructions from the IEEE-SA Standards Board.

7.1.5 Coordination within the IEEE

Where there are two or more representatives, the IEEE-SA Standards Board will appoint a head of delegation, generally from the TC having the primary interest in the ASC. The head of delegation is responsible for supervising the work of the IEEE delegation, particularly the coordination of the positions of the representatives and alternates based on the instructions from their respective Sponsors. A unified position shall be developed to be supported unanimously by the IEEE delegation. In the case of letter ballots, various methods may be used to secure the unanimous vote:

- a) Each representative and alternate may send his or her completed ballot to the head of delegation who mails it in when a unanimous vote has been obtained.
- b) Each representative and alternate notifies the head of delegation how he or she intends to vote, or sends a copy of his or her executed ballot. The head of delegation notifies them to mail their ballots when the vote is unanimous.
- c) The head of delegation sends his or her recommended vote with reasons to the other members of the delegation with a deadline for returning objections. If no objections are received within the time limit, the head of delegation directs the members to execute their ballots in accordance with the recommendation.

Unanimity is required within the IEEE delegation because the members represent IEEE and not their individual Sponsors. Positions are assigned to the Sponsors in order to provide a recognized spokesperson from the Sponsor to facilitate coordination within the IEEE delegation. Therefore, if a representative on an ASC determines that a project within the committee might be of interest to an unrepresented Society or TC, he or she should notify the organization (generally through its IEEE-SA Standards Board liaison representative) and furnish requested information. Normally, temporary interest can be handled by an existing representative, but if the organization wishes the assignment of a position on the ASC, it should make a request to the Secretary of the IEEE-SA Standards Board and submit a nominee.

7.1.6 Balloting on IEEE standards in an ASC

When an ASC ballots on an IEEE standard for adoption as an American National Standard, the IEEE delegation shall support the adoption of the IEEE standard without change, and vote in the

affirmative on the ballot. If there are objections to the IEEE standard, the IEEE delegation shall point out that proposed changes require prior approval by the proprietary Sponsor. The IEEE delegation provides the liaison between the ASC and the IEEE Sponsor to resolve the objections. If resolution results in substantial changes, the revision shall be submitted to the IEEE-SA Standards Board for approval as a revision.

7.2 IEEE Category D Liaisons with the International Electrotechnical Commission (IEC)

7.2.1 Definition of a Category D Liaison

Category D Liaisons only apply to the International Electrotechnical Commission (IEC).

The ISO/IEC Directives defines Category D Liaisons as organizations that make a technical contribution to and participate actively in the work of an IEC working group, maintenance team, or project team.

7.2.2 General Requirements for the Establishment of an IEEE Category D Liaison

The IEEE Committee requesting the Category D Liaison shall be multinational in objectives and standards development activities, with individual or entity membership, and may be permanent or transient in nature.

The IEEE Committee shall have a sufficient degree of representation within its defined area of competence; within a sector or subsector of the relevant technical or industrial field.

The IEEE Committee shall be willing to make a contribution, in the form of comments to drafts, to the IEC as appropriate.

In order to be effective, the liaison relationship shall operate in both directions.

7.2.3 Establishing a Category D Liaison

The IEEE Committee Chair shall work with appropriate IEEE-SA staff to draft a letter to the Secretary of the relevant IEC Technical Committee/Subcommittee requesting a Category D liaison between the two groups. The letter shall include a rationale for the liaison relationship, as well as an indication of how the IEEE Committee meets the general requirements given in Clause 7.2.2.

Once approval for a Category D Liaison has been granted by the IEC, the request for an IEEE Category D Liaison shall be forwarded to the IEEE-SA Standards Board for approval consideration.

7.2.4 Appointment of IEEE Category D Liaison Representatives

Once approval for a Category D Liaison has been granted by the IEEE-SA Standards Board, the IEEE Committee holding the liaison relationship shall appoint a representative and notify the appropriate IEEE-SA staff with the name and contact information of the representative.

7.2.5 Participation on an IEC Working Group/Maintenance Team/Project Team

A Category D Liaison representative has the right to participate and vote as a member at the level of an IEC Technical Committee/Subcommittee working group, maintenance team, or project team. This expert acts as the official representative of the IEEE Committee from which he or she is appointed.

Participation at the IEC Technical Committee/Subcommittee level is by country representation only. Category D liaisons may not participate in the work at the IEC Technical Committee/Subcommittee level, which means they cannot participate in IEC Technical Committee/Subcommittee meetings and may not propose new work items, other than Publicly Available Specifications.

7.2.6 Responsibilities of a Category D Liaison

A Category D Liaison provides coordination and communication between the IEEE and the IEC on matters of mutual interest.

The Category D Liaison develops the formal position of the IEEE Committee on IEC standards under development in a working group, maintenance team, or project team.

The Category D Liaison is responsible for protecting the intellectual property rights of IEEE standards and IEC standards. If the Category D Liaison wishes to introduce an IEEE document to an IEC Working Group for its consideration, the appropriate IEEE copyright information shall be on the document. If the IEC Working Group wishes to adopt the document whole or in part, the Category D Liaison shall contact the IEEE-SA Manager, Standards Intellectual Property.

The Category D Liaison assists the IEEE and the IEC in identifying possible candidates for submission as Dual Logo documents.

The Category D Liaison assists the IEEE in identifying future collaborative work, which may include documents that previously were either

- a) Developed jointly with the IEC, or
- b) Adopted in part by the IEC, or
- c) Adopted whole by the IEC.

The appropriate IEEE-SA staff shall be copied on all correspondence between the Category D Liaison and the IEC.

7.2.7 Annual Reconfirmation of Category D Liaisons

Every year, the appropriate IEEE-SA staff shall review the IEEE Category D Liaison list to verify which relationships remain active. The list of active Category D Liaisons shall then be placed on the March IEEE-SA Standards Board agenda for reconfirmation."

RATIONALE:

Having approved the proposal on external representation, the BOG requests the SASB to develop necessary changes to the appropriate SA policy documents to integrate this policy. Additionally, the SASB is asked to extend their work on declaration of affiliation, conflict of interest, and ethics policy to cover individuals serving in a position of IEEE External Representatives.

CHANGE 4
[IEEE-SA Standards Board Operations Manual]
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IEEE-SA Standards Board Operations Manual

5.8 Appeals

5.8.1 Appeals pool

~~At the first IEEE-SA Standards Board meeting of the year, the chair of the IEEE-SA Standards Board~~ **Chair** shall select, ~~subject to ratification by the IEEE-SA Standards Board,~~ six to nine members of the IEEE-SA Standards Board to serve as the appeals pool.

The Past Chair of the IEEE-SA Standards Board shall serve as the SASB Vice Chair for Appeals. If the SASB Vice Chair for Appeals has a conflict regarding the subject matter of an appeal, the IEEE-SA Standards Board Chair shall appoint another member of the IEEE-SA Standards Board to serve as the SASB Vice Chair for Appeals for that particular appeal.

RATIONALE:

It is possible for an appeal to be heard at the March SASB meeting series prior to the date of the SASB meeting. It is prudent to establish the SASB appeals pool earlier in the year.

CHANGE 5
[IEEE-SA Standards Board Bylaws]
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IEEE-SA Standards Board Bylaws

5.2.1.2 Membership requirements for standards developed under the entity method

Chairs of IEEE standards working groups developing standards under the entity method shall be representatives of entity IEEE-SA members. Designees (those designated to manage the Sponsor ballot) in the IEEE Standards Sponsor entity ballot process shall be representatives of entity IEEE-SA members.

Each entity participating in a project within an IEEE-SA entity standards working group is required to pay the IEEE-SA entity per-project participation fee established by the IEEE-SA BOG. Any entity that does not pay this fee shall not be entitled to voting rights in that project of the IEEE-SA entity standards working group, and each such project shall have at least three voting participants in good standing in order to maintain its validity.

RATIONALE:

The proposed change codifies the practice of the entity standards working groups and matches the model operating procedures for entity standards working groups.

CHANGE 6
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IEEE-SA Standards Board Operations Manual

9.4 Withdrawal

Standards that are no longer useful or contain significant obsolete or erroneous information should be recommended for withdrawal by the Sponsor. A recommendation for withdrawal shall be supported by a ballot **by the Sponsor (see 5.4)** with a 50% return and at least a 75% approval.

When the Sponsor fails to show any action to revise, reaffirm, withdraw, or stabilize an active IEEE standard at the end of its maintenance cycle, the Secretary of the IEEE-SA Standards Board shall, upon the recommendation of the IEEE-SA Standards Board, send a 30-day ballot to the members of the IEEE-SA Standards Board on the question of withdrawing the standard. Notice of the proposed withdrawal shall be sent to all liaison representatives. Withdrawals shall be approved by a ballot of the IEEE-SA Standards Board with at least a 50% return and 100% approval.

A standard remains in effect until it is officially withdrawn by the IEEE-SA Standards Board. When a standard is withdrawn, its amendments and corrigenda are also withdrawn. After a standard is withdrawn, the Sponsor is no longer obligated to respond to interpretation requests concerning it.

RATIONALE:

The existing text related to withdrawal requires a ballot with a 50% return and at least a 75% approval but it does not state what kind of ballot this is – it could be a ballot of the Working Group – a ballot of the Sponsor – or a Sponsor Ballot (a Standards ballot by the Sponsor)’. The conclusion of the RevCom Ad Hoc was it should be a Sponsor Ballot due to the existing return and approval rate requirements. The text ‘by the sponsor’ should therefore be added with a pointer to subclause 5.4 ‘Standards ballot by the Sponsor’.

CHANGE 7
[IEEE-SA Standards Board Operations Manual]
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IEEE-SA Standards Board Operations Manual

5.3.3 Standards development meetings

Standards development meetings are to be conducted consistent with the principle of openness. Working group participants may include members and non-members when the requirements to gain membership are specified in Sponsor or working group P & P. A 'meeting' includes any convening for which notice was required to be given or for which membership-credits or other participation rights are either earned or exercised. Meetings may be in-person or may be via electronic means, as appropriate.

While a WG may maintain its own participants list to track membership status, the authoritative list of participants is maintained in an IEEE-SA database.

5.4 Standards ballot by the Sponsor

A balloting group shall be one of the following:

- Individuals with voting privileges
- Persons with voting privileges who are of any category other than individual

As of 1 June 2003, all IEEE Standards Association Sponsor ballots shall be conducted by the IEEE Standards Balloting Center.

As of 1 January 2005, all IEEE Standards Association Sponsor ballots shall be conducted by electronic means.

IEEE-SA shall maintain a single authoritative database for the list of individual or person participants related to Sponsor balloting.

RATIONALE:

OpMan changes related to authoritative database language from the Bylaws.

CHANGE 8
[IEEE-SA Standards Board Operations Manual]
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IEEE-SA Standards Board Operations Manual

5.8 Appeals

5.8.1 Appeals pool

The IEEE-SA Standards Board Chair shall select six to nine members of the IEEE-SA Standards Board to serve as the appeals pool.

The Past Chair of the IEEE-SA Standards Board shall serve as the SASB Vice Chair for Appeals. If the SASB Vice Chair for Appeals has a conflict regarding the subject matter of an appeal, the IEEE-SA Standards Board Chair shall appoint another member of the IEEE-SA Standards Board to serve as the SASB Vice Chair for Appeals for that particular appeal.

Members of the appeals pool will serve until a new appeals pool is appointed.

5.8.4 Appeal panel

The IEEE-SA Standards Board Chair shall appoint from the appeals pool an Appeal Panel consisting of a chair and two other members who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decisions made concerning the dispute ("Appeal Panel"). At least two members shall be acceptable to the appellant and at least two shall be acceptable to the appellee. If the parties to the appeal cannot agree on an Appeal Panel within a reasonable amount of time, the matter shall be referred to the IEEE-SA Standards Board, which shall appoint the members of the Appeal Panel. If an Appeal Panel member resigns or is removed from the Appeal Panel at any time before the appeal hearing, then the IEEE-SA Standards Board Chair shall appoint a replacement from the appeals pool. The replacement shall be subject to the acceptability criteria described above.

To ensure continuity of the appeals process, a specific Appeal Panel will remain impaneled until the publication of the Appeal Panel's final decision(s).

RATIONALE:

Although the appeals pool is selected for a specific calendar year, it is possible that the appeal process involving a specific Appeal Panel could extend beyond the calendar year in which that particular Appeal Panel was selected. For example, for an appeal to be scheduled for a hearing during the March SASB series, the Appeal Panel will very likely need to be in place before the new pool for that year is established. The revised text will ensure that a) an appeals pool clear serves until a new appeals pool is ratified by the IEEE SASB, and b) any specific Appeal Panel will survive until the appeals process is completed, regardless of whether the appeal process carries over into the next calendar year. This will allow appeals which are raised late in the year to receive a timely hearing, without a disruption to the appeal process.

CHANGE 9
[IEEE-SA Standards Board Operations Manual]
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IEEE-SA Standards Board Operations Manual

4.4 Organization of SCCs

4.4.1 Membership

Membership in the IEEE-SA is encouraged for all SCC members.

4.4.2 Officers of an SCC

Each officer shall be an IEEE member of any grade except Student grade and shall be a member of the IEEE-SA.

The IEEE-SA Standards Board Chair shall appoint the chair of each SCC, ~~who shall be a member of the IEEE SA and a member of any grade of the IEEE.~~ The appointment shall be for the calendar year, but the SCC Chair may, at his or her discretion, serve until a successor is appointed.

Other SCC officers (e.g., vice chair and secretary) are chosen as provided in the approved SCC Operating Procedures. ~~They shall be members of the IEEE SA.~~

The IEEE-SA Standards Board Chair has the authority to remove an officer of an SCC.

4.4.3 Membership in an SCC type 2

The members of an SCC type 2 and its subcommittees are appointed by one or more of the following:

- a) The SCC Type 2 Chair,
- b) An IEEE Society,
- c) The IEEE-SA Standards Board.

4.5 Responsibilities of SCCs

The chair of an SCC (types 1 and 2) shall submit a written report each year to the IEEE-SA Standards Board for approval. This report should contain the scope, activities, budget and expenses, and meeting schedules, along with the membership roster. The roster shall indicate the IEEE membership status and society affiliation of each member. The SCC chair may also be asked to give an oral report to the IEEE-SA Standards Board every three to four years.

Interested Societies of the IEEE may designate members to an SCC who then function as official representatives of the Society. The IEEE-SA Standards Board may designate representatives of outside organizations as additional members.

Each member of an SCC who is an official representative of a Society, technical committee, or outside organization may have a single designated alternate to act on behalf of the member in his or her absence. Alternates for other members shall not be permitted.

~~With the approval of the IEEE-SA Standards Board, a~~ An SCC may establish subcommittees as necessary to perform its function. The formation of non-technical (e.g., administrative) subcommittees requires prior approval by the IEEE-SA Standards Board.

RATIONALE:

Changes made to synch with the baseline SCC Type 2 P&P developed by AudCom.

CHANGE 10
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: September 2008)
(Approved by SASB: September 2008)

IEEE-SA Standards Board Operations Manual

9.3 Stabilized standards

A standard meeting the criteria for stabilization (see 1.2) is eligible for stabilization if the standard has been reaffirmed at least once, and at least ten years have passed since the initial approval (in instances where no subsequent changes were made to the standard), or last revision or amendment of the standard.

An initial stabilization ballot is required before the standard can be submitted to the IEEE-SA Standards Board for approval as a stabilized standard. The ballot shall meet all the criteria of 5.4 and shall be conducted so that balloters can confirm that the standard meets the criteria for stabilization. Prior to the initial stabilization ballot, a Mandatory Editorial Coordination review of the document to ensure eligibility for stabilization is required.

If the stabilization ballot is completed successfully, the Sponsor will be able to submit a request for stabilization and applicable ballot results to RevCom, which will make a recommendation to the IEEE-SA Standards Board. Upon approval, notification shall be made informing interested parties of the stabilization action. Stabilized standards are required to be confirmed by stabilization ballot on a routine ten-year cycle.

Recommendations to change the status of a stabilized standard may be submitted at any time by any materially affected and interested party. Any recommendations that are submitted should include a rationale as to why a revision or withdrawal is required. However, a recommendation shall not be dismissed due to the fact that the recommendation does not necessarily suggest a specific revision or change to the standard. All recommendations shall be submitted or confirmed in writing to the Secretary of the IEEE-SA Standards Board, who shall forward the request to the appropriate Sponsor.

If a recommendation is made at any time to revise or withdraw a stabilized standard, then that recommendation shall be considered by a designated group identified by the Sponsor within a maximum of 60 days from receipt. The submitter of such a recommendation shall be responded to in writing by the Sponsor within 60 days of the receipt of the recommendation and advised of the decision relative to the maintenance status of the standard. A copy for IEEE records shall be forwarded to the Secretary of the IEEE-SA Standards Board, together with a list of the members of the designated group that considered the recommendations.

If the Sponsor is unable to reach consensus on a stabilization response, the Sponsor can respond to the requestor that the recommendation will be forwarded for consideration during the next stabilization ballot. It should be noted that, if the Sponsor cannot issue a response, this area of the standard should be considered for revision and shall be highlighted during the next required stabilization ballot if a revision is not completed. Such stabilization ballot shall then be initiated within 60 days of the notification to the requestor that the Sponsor was unable to reach

consensus. The stabilization ballot shall highlight the requestor's recommendation and the fact that the Sponsor was unable to reach consensus.

If the stabilization recommendation requires an interpretation, the interpretation process shall be used to develop a response.

If maintenance of a stabilized standard is justified, a revision project shall be initiated. The stabilized standard shall be superseded upon IEEE-SA Standards Board approval of the active, revision standard.

RATIONALE:

IEEE sent its updated P&P documents to ANSI for review/approval in January 2008. In July 2008 the following comment was received:

“The Executive Standards Council’s Subcommittee on Accreditation (SC-A) has completed its review of IEEE’s revised standards board bylaws and operations manual, and has the following comments:

- Change 12: para. 9.3, third paragraph from the end of this paragraph - states that if the Sponsor is unable to reach consensus on a stabilization response, the Sponsor can respond to the requestor that the recommendation will be forwarded for consideration during the next stabilization ballot.

This does not appear to meet the intent of para. 4.7.3 of the *ANSI Essential Requirements*, which states...“The submitter of such a recommendation shall be responded to in writing by the standards developer within 60 days of the receipt of the recommendation and advised of the decision relative to the maintenance status of the standard.”

The ER seems to require that the developer reach some decision within 60 days. IEEE’s proposal appears to state that, if the Sponsor can’t agree on something within 60 days, they will hold the item for consideration for the next stabilization review ballot. But, that can be 10 years later. It doesn’t seem appropriate to allow a developer to wait 10 years to consider a proposed revision just because they can’t reach consensus within 60 days.”

IEEE staff had email dialogue with ANSI, attempting to persuade the ExSC (SC-A) why the current P&P language was appropriate. Bottom-line, they did not agree.

The proposed changes are being made to ensure that IEEE retains its ANSI accreditation.

The proposed changes would mandate a stabilization ballot in the event that a Sponsor was unable to reach consensus on a stabilization response.

CHANGE 11
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

5.4.3 Conduct of ballot

A standards ballot shall be conducted by the Sponsor or Sponsor designee via the IEEE Standards Balloting Center when a proposed standard is ready for Sponsor balloting. Ballot group participants shall submit votes and comments in a manner and in a format compatible with approved IEEE Standards Balloting Center balloting tools. Sponsors shall provide evidence of the consideration of each comment via approved IEEE Standards Balloting Center tools.

5.4.3.1 Initial ballot

The ballot shall provide the following choices:

- a. *Approve (Affirmative)*. This vote may be accompanied by comments suggesting corrections and improvements. **All comments shall be considered; making a change to the draft as a result of the comments is left to the discretion of the Sponsor. Action on such comments is left to the discretion of the Sponsor.**
- b. *Do Not Approve (Negative with comment)*. This vote must be accompanied by one or more specific objections with proposed resolution in sufficient detail in a legible form so that the specific wording of the changes that will cause the negative voter to change his or her vote to “approve” can readily be determined. The Sponsor shall encourage the submission of comments with all negative ballots. If a negative vote unaccompanied by comments, or a negative vote accompanied by comments not related to the proposal under consideration, is received despite these instructions, the vote shall be counted in the total tally of votes as a “negative without comment.” The Sponsor is not required to conduct a recirculation ballot of “negative without comment” votes.

Balloters who vote *Do Not Approve (Negative with comment)* shall be permitted to differentiate those comments that caused their negative vote from other comments that they may wish to submit. Any comments that are explicitly identified not to be part of the negative vote shall be treated as *Approve (Affirmative)* comments, **and action on such comments is left to the discretion of the Sponsor.**

- c. *Abstain*. This category is provided to allow for ballot returns from members who do not wish to review the document because of conflict of interest, lack of expertise, or other reasons.

RATIONALE:

The IEEE-SA Standards Board Operations Manual was unclear as to how non-MBS had to be processed. In order to make it clearer that written evidence of consideration has to be provided for each comment, the proposal suggests the deletion of the statement 'Action on

such comments is left to the discretion of the Sponsor' from two subclauses of the IEEE-SA Standards Board Operations Manual.

CHANGE 12
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

5.4.3.2 Resolution of comments, objections, and negative votes

The Sponsor shall consider all comments and objections received before the close of ballot; and make a reasonable attempt to resolve all negative votes that are accompanied by comments. Comments that advocate changes in the document, whether technical or editorial, may be accepted, revised, or rejected.

Comments addressing grammar, punctuation, and style, whether attached to an affirmative or a negative vote, may be referred to the publications editor for consideration during preparation for publication. It should be borne in mind that documents are professionally edited prior to publication.

Comments received before the close of ballot from persons who are not in the balloting group, including from the mandatory coordination entities, require acknowledgement sent to the commenter and shall be presented to the comment resolution group for consideration. The Sponsor shall send an explanation of the disposition of the mandatory coordination comments to the commenter.

Comments received after the close of ballot will be forwarded to the Sponsor for consideration at the next update of the standard. If a comment is received as a result of a public review process, that comment will be addressed by the Sponsor and a disposition returned to the commenter, along with information concerning their right of appeal.

Negative voters may indicate acceptance of the response to any or all comments associated with their negative vote. If the negative vote is not satisfied, either entirely or in part, the negative voter shall be given an opportunity to review comment responses and either to change his or her vote to "approve", to "abstain", or to retain his or her negative vote during a recirculation ballot.

Changes may be made in the document to resolve negative votes that are accompanied by comments or for other reasons. All substantive changes made since the last balloted draft shall be identified and recirculated to the Sponsor balloting group. All unresolved negative votes with comments shall be recirculated to the Sponsor balloting group. The verbatim text of each comment, the name of the negative voter, and a rebuttal by the members conducting the resolution of comments shall be included in the recirculation ballot package. Responses to comments should include sufficient detail for ballot group members to understand the rationale for rejection of the comment or revision of the change proposed by the commenter.

During a recirculation ballot, balloting group members shall have an opportunity to change their previously cast ~~votes~~ ballots. Until the document has achieved 75% approval, a balloter's comments can be based on any portion of the document. Once the document has achieved 75% approval, A change to "do not approve," which is submitted with comments in subsequent ballots, associated with a "do not approve" vote shall be based only on the changed portions of

the balloted document, ~~elapses portions of the balloted document~~ affected by the changes, or portions of the balloted document that are the subject of ~~the unresolved~~ comments associated with negative votes. If comments associated with a change to "do not approve" is vote are not based solely on the above criteria ~~comments concerning previously approved portions of the balloted document, the balloter shall be informed that the comments are~~ may be deemed out of scope of the recirculation not based on the changed portion of the balloted document. Such comments need not be addressed in the current ballot and may be considered for a future revision of the standard. If (a) all comments associated with a "do not approve" vote are out of scope and (b) the balloter is informed that the comments are out of scope the balloter does not change the negative ballot, then the Sponsor may submit the ~~vote ballot may be submitted~~ to RevCom as an unresolved negative without comment.

Further resolution efforts, including additional recirculation ballots, shall be required if negative votes with new comments within the scope of the recirculation result. Once all required recirculations have been completed and 75% approval has been achieved, the IEEE requirements for consensus have been met. Efforts to resolve negative votes may continue for a brief period; however, should such resolution not be possible in a timely manner, the Sponsor should forward the submittal to RevCom because the IEEE has an obligation to the majority to review and publish the standard quickly.

Copies of all unresolved negative votes, together with the reasons given by the negative voters and the rebuttals by the Sponsor, shall be included with the ballot results submitted to RevCom. Copies of the written confirmations from voters that indicate concurrence with the change of their votes from negative to affirmative shall be included in the submittal to RevCom.

The Sponsor shall, if not included in a recirculation package, provide to the negative voter and to RevCom an explanation why any comments associated with a negative vote were not required to be recirculated. In order for a negative vote to be changed to an affirmative or abstention vote, the Sponsor shall obtain and provide to RevCom written confirmation from each voter (by letter, fax, or electronic mail) that indicates concurrence with any change of his or her vote. Any negative vote with comment that RevCom is to consider as a negative without comment shall be explained to RevCom.

Proposed standards receiving a significant number of unresolved negative votes should be considered by the Sponsor for trial-use (see 5.7).

RATIONALE:

The IEEE-SA Standards Board Operations Manual was unclear as what the scope of a recirculation was when the proceeding ballot failed to achieve a 75% approval rate. This proposed change clarifies that the scope of a recirculation remains the entire draft until a 75% approval rate has been achieved but that once this has been achieved the scope narrows regardless of the approval rate achieved in subsequent ballots. In summary, convergence starts only after a 75% approval rate has been achieved, but once this is achieved convergence continues. Also, it is currently not clear if a change from "do not approve (negative with comment)" to "abstain" changes the status of the balloter's comments. This proposal clarifies that such a change of vote associates comments with the abstention category.

CHANGE 13
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

9. Maintenance of IEEE standards

Sponsors are required to undertake a maintenance action on a standard within five years of its the IEEE-SA Standards Board approval ~~date of a standard's publication~~. Subsequent maintenance actions on active standards are required within five years of the IEEE-SA Standards Board approval date of the previous maintenance action. For standards with amendments or corrigenda, the maintenance schedule for all components of the standard is based on the schedule for the base document. Standards that meet the criteria for stabilization (see 1.2) can be transferred to the stabilized standards process, where the document is subject to the requirement of maintenance action every ten years.

A maintenance action on an active standard can be an approved PAR for revision; an initiated reaffirmation ballot; an initiated Sponsor withdrawal ballot; or a request to stabilize. If the Sponsor does not undertake a maintenance action by the end of a standard's five-year maintenance cycle, or ten-year maintenance cycle for stabilization, the RevCom Administrator shall notify the Sponsor that the standard will be submitted to RevCom with a default recommendation of withdrawal. RevCom or the IEEE-SA Standards Board may decide to alter the default recommendation.

RATIONALE:

The proposed change will synch the P&P with how SA Governance staff searches its database to generate the list of standards that are due for a maintenance action in a given year.

CHANGE 14
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

5.1.1 Responsibilities of the Sponsor

The Sponsor shall be responsible for the development and coordination of the standards project, and for supervising the standards project from inception to completion. The Sponsor also shall be responsible for the maintenance of standards after their approval by the IEEE-SA Standards Board. As part of this responsibility, each Sponsor shall operate in accordance with a written set of policies and procedures (P & P) that have been accepted by the IEEE-SA Standards Board. Such P & P shall not be in conflict with the *IEEE-SA Standards Board Operations Manual*. Sponsors should note that there are model operating procedures (e.g., individual, entity, SCC Type 1, or SCC Type 2) available for use adoption by the Sponsor.

There are also operating procedures available for Sponsors developing a standard using the entity method of participation, and Sponsors shall utilize these procedures as the basis for entity standardization.

If a Sponsor's P & P has been in force for five years and the Sponsor determines that its standards activities should remain active, the Sponsor shall submit its P & P, or an extension request, to the AudCom Administrator. AudCom will make a recommendation to the IEEE-SA Standards Board whether or not to accept its P & P or the extension. An extension request may be granted for one or more years.

If the Sponsor does not submit its Sponsor P & P or an extension request, and the P & P has reached the deadline authorized in the P & P approval letter or a previous extension approval letter, the Sponsor P & P shall be subject to administrative withdrawal.

In the case of a Sponsor that is a committee of an IEEE Society, the Society may develop a common set of P & P for standards development that is applicable to all Sponsors in that Society. Individual Sponsors within the Society may have specific P & Ps in addition, but these shall not be in conflict with the Society P & P. The P&P for the Sponsor shall define the process by which the Sponsor handles appeals (see subclause 5.4 of the *IEEE-SA Standards Board Bylaws* and 5.8).

RATIONALE:

The proposed change discusses the AudCom 5-year review process for Sponsor P&P.

CHANGE 15
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

5.3.6 Annual financial report

All Sponsors are required to submit an annual report (IEEE Form L50-S) detailing financial activity for the previous fiscal year. The report will be due within ~~four~~ **three** months of the completion of the previous fiscal year. Failure to submit this report shall result in action from the IEEE-SA Standards Board. Actions shall include, but not be limited to, suspension of all activities until the report is filed and accepted as complete.

RATIONALE:

In order to have more time to comply with IEEE Accounting auditing requirements, the L50-S reports need to be submitted to IEEE-SA for approval by March 31.

CHANGE 16
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

9.1.2 Resolution of reaffirmation comments, objections, and negative votes

~~After clarifying the intent of a negative ballot, the Sponsor shall respond to a negative ballot.~~

The Sponsor shall review all ballots received and shall respond to the negative balloter stating either that the information in the document is not obsolete and/or his or her comment may be ~~included~~ considered in the next revision.

All unresolved negative ballots, together with the reasons of the negative voters and ~~any the~~ rebuttal by the members conducting the resolution of the ballot, shall be submitted to the members of the Sponsor balloting group, providing each member an opportunity to change his or her ballot. Names of the unresolved negative balloters are to be included with their negative comments in the recirculation of negative comments.

Comments accompanying affirmative votes that advocate changes in the technical meaning of the document may be considered for a future revision of the standard.

RATIONALE: At the September RevCom meeting, there was discussion if reaffirmations require a rebuttal to negative comments. The proposed change to paragraph 3 clarifies that reaffirmations, like other types of ballots, require a rebuttal to be recirculated with negative comments. Changes to paragraphs 1 & 2 are intended to improve this section: due to other changes, paragraph 1 has become redundant; the wording change in paragraph 2 uses a clearer term.

CHANGE 17
[IEEE-SA Standards Board Operations Manual]
(Approved by PatCom: December 2008)
(Approved by SASB: December 2008)

IEEE-SA Standards Board Operations Manual

6.3.2 Call for patents

The chair or the chair's delegate of an IEEE standards-developing working group or the chair of an IEEE standards Sponsor shall be responsible for informing the ~~members of the working group~~ **participants at a meeting** that if any individual believes that Patent Claims might be Essential Patent Claims, that fact should be made known to the entire working group and duly recorded in the minutes of the working group meeting. This request shall occur at every standards-developing meeting once the PAR is approved by the IEEE-SA Standards Board.

The chair or the chair's delegate shall ask any patent holder or patent applicant of a Patent Claim that might be or become an Essential Patent Claim to complete and submit a Letter of Assurance in accordance with Clause 6 of the *IEEE-SA Standards Board Bylaws*. Information about the draft standard will be made available upon request.

RATIONALE:

During consideration of comments in the ProCom Copyright Ad Hoc, it was noted that there was a statement in subclause 6.3.2 'Call for patents' of that IEEE-SASB Operations Manual that states '... Sponsor shall be responsible for informing the members of the working group ...' It was thought that rather than just informing the members of the working group, this should actually say 'participants'.

PatCom FAQ3:

"What is a call for patents?"

A call for patents is a reminder made by the chair, or the chair's designee, at an IEEE standards developing meeting. The chair or the chair's designee informs the participants that if any individual believes that Patent Claims might be Essential Patent Claims, that fact should be made known to the entire working group and duly recorded in the minutes of the working group meeting."

Patent slide set instructions:

"That the chair or designee provided an opportunity for participants to identify patent claim(s)/patent application claim(s) and/or the holder of patent claim(s)/patent application claim(s) of which the participant is personally aware and that may be essential for the use of that standard."