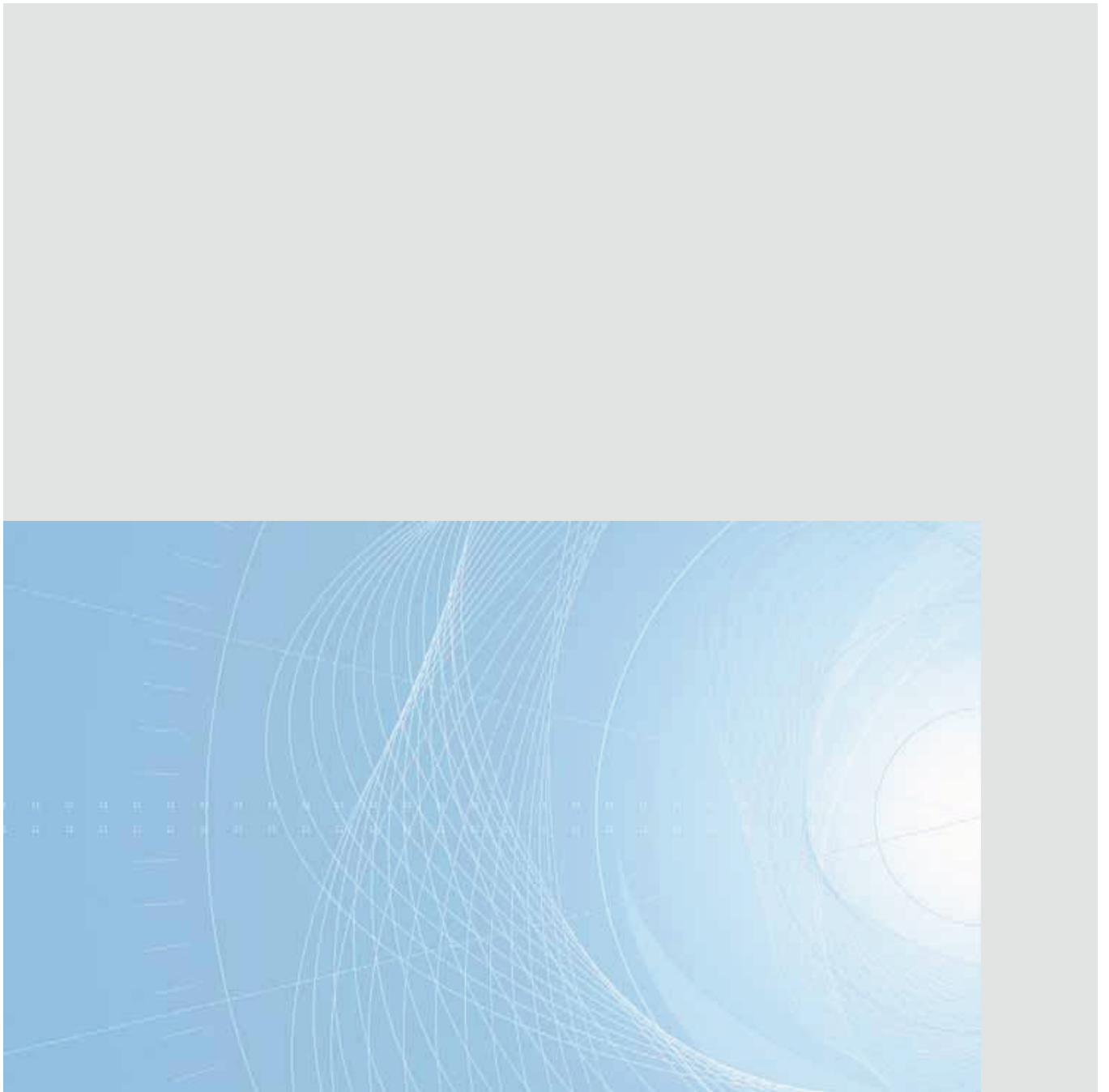




GUIDE TO IEC/IEEE COOPERATION



This brochure, as well as other documents and guidelines concerning IEC IEEE cooperation can be accessed at <http://www.iec.ch/iec-ieee>

The standard texts for the foreword, the headers and footers, as well as further guidance on the drafting of publications can be accessed at <http://www.iec.ch/standardsdev/resources/draftingpublications/>

Guide to IEC/IEEE Cooperation

1 Introduction

In today's global market, producers and consumers demand the interoperability of products and services. Efficient, streamlined procedures that facilitate the development of international standards serve the needs of developers, end users, and the marketplace. Because technology spans borders and thrives upon innovation, reducing the amount of time it takes to draft and publish international standards is critical. Accordingly, avoiding duplicated efforts among individuals, organizations, and nations becomes even more important.

In response, IEC and the IEEE Standards Association have come together to work on the adoption, revision, and joint development of market-relevant standards.

An important agreement between the two organizations was signed in October 2002, the IEC/IEEE Dual Logo Agreement, in which the logos of both organizations appear on the standard.

The IEC/IEEE Dual Logo Agreement

- A. October 2002: Allows IEC to adopt existing IEEE standards intact as IEC/IEEE Dual Logo International Standards

Subsequent addenda to the original agreement extend the possibilities for collaboration:

- B. June 2007: IEC/IEEE Dual Logo Maintenance Agreement—allows IEC and IEEE to form joint maintenance teams to revise standards adopted by IEC under the IEC/IEEE Dual Logo Agreement
- C. July 2008: IEC/IEEE Joint Development Agreement—allows IEC and IEEE to jointly develop new standards or revise existing standards

2 Adoption Procedure

2.1 Introduction

In order to avoid the duplication of standards development efforts, existing IEEE standards can be adopted intact by IEC to become IEC/IEEE Dual Logo International Standards. Approved, published, and full-use IEEE standards covering specific areas of electrotechnology not under consideration within the IEC's current technical work programme are eligible for submission under the IEC/IEEE Dual Logo Agreement

2.2 Identifying IEEE Standards as IEC/IEEE Dual Logo Candidates

In IEEE, the Project Authorization Request (PAR) form is the means by which standards projects are authorized. If an IEEE standard is intended for adoption as an IEC/IEEE Dual Logo International Standard, this information should be indicated on the PAR form at the time of PAR submission. However, prior to submitting the PAR, both IEC and IEEE recommend that the IEEE Technical Committee submitting the PAR consults with the relevant IEC Committee¹ to verify that a joint development project is not feasible.

¹ Covers both IEC Technical Committees and Subcommittees

Anyone familiar with the subject matter of existing IEEE standards may suggest these standards as IEC/IEEE Dual Logo candidates. These suggestions should be forwarded to IEEE-SA staff.

In IEEE, the IEEE-SA Standards Board is responsible for final approval of any draft standard. If an IEEE draft standard is intended for adoption as an IEC/IEEE Dual Logo International Standard, this should be indicated on the IEEE-SA Standards Board Review Committee - Form for Submittal of Proposed Standards.

2.3 Submission Review of IEEE Standards as IEC/IEEE Dual Logo Candidates

The IEEE-SA staff reviews the submittal, which includes the following:

- Contacting the IEEE Sponsor Chair, IEEE Working Group (WG) Chair, and IEEE Standards Coordinator (if applicable) to see if they agree with the submittal of the standard
- Reviewing the minutes of the IEC Committee plenary meeting to see if the committee requested the submittal of the document

If an IEC Committee requests submittal of an IEEE standard, IEEE-SA staff submits the IEEE standard to the IEC Central Office (CO) (with the approval of the IEEE Technical Committee). If an IEC Committee did not request submittal of an IEEE standard, the IEC Committee Chair and/or the IEC Committee Secretary may be contacted to see if they are interested in the adoption of an IEEE standard under the IEC/IEEE Dual Logo Agreement. The IEC Committee may decide to circulate the standard as a Document for Comment (DC) in order to evaluate the IEC Committee's interest in adopting the standard. The DC may ask the IEC National Committees for comments on the following questions:

- Is there an IEC standard/project that overlaps with the potential submittal?
- Should the standard be submitted as an IEC/IEEE Dual Logo International Standard?

The comments received from the circulation of the DC are then circulated as an informative document (INF) to the IEC National Committees and to the IEEE. If the comments are positive, then the IEEE submits the standard to the IEC CO. If the comments are negative, then further discussion may take place.

2.4 Submission of IEEE Standards to IEC

Upon submission of an IEEE standard to the IEC CO, the IEC Standardization Management Board (SMB) Secretariat contacts the appropriate IEC Committee to verify that the standard covers a specific area of electrotechnology not under consideration within the IEC work programme. Upon the successful completion of this stage, the IEC SMB Secretariat distributes a Question of Principle (QP) ballot to the IEC SMB, asking if the IEEE standard should be introduced via the "Fast-Track procedure" as an IEC/IEEE Dual Logo International Standard. This ballot is open for 7 weeks. For the ballot to pass, two-thirds of the members voting need to vote affirmatively (abstentions are not counted). If the ballot fails, further consultation may be needed.

If the ballot passes, the IEEE standard is sent to the appropriate IEC Committee to be submitted for the approval stage for vote as a Final Draft International Standard (FDIS). All National Committees vote on the FDIS ballot. The National Committees vote on the text of the standard as submitted, with no opportunity for revision. This ballot is open for 2 months. For the ballot to pass, a two-thirds majority of the votes cast by the committee's Participating members (P-members) are in favour and not more than one-quarter of the total number of votes cast are negative (abstentions are not counted). If the vote on the FDIS is affirmative, then the standard is published as an IEC/IEEE Dual Logo International Standard. (See Annex A for an example of the cover and title pages of an IEC/IEEE Dual Logo International Standard.)

3 IEC/IEEE Dual Logo Adoption – Maintenance Procedure

3.1 Introduction

The initiation of the IEC/IEEE Dual Logo Adoption procedure in 2002 has since created a number of IEEE projects adopted as IEC/IEEE Dual Logo International Standards. These IEC/IEEE Dual Logo International Standards are reviewed every few years and future actions are determined. Standards may be amended/revised, reconfirmed (IEC), or withdrawn. This maintenance procedure specifically discusses the revision of standards adopted under the IEC/IEEE Dual Logo program.

Either an IEC Committee or an IEEE Technical Committee may decide to revise an IEC/IEEE Dual Logo International Standard.

Standards may be amended/revised

- a) by IEC only²
- b) by IEEE only³,
- c) jointly by both IEC and IEEE.

If the IEC Committee decides to revise an IEC/IEEE Dual Logo International Standard, they will issue a Review Report.

If an IEEE Technical Committee decides to revise an IEC/IEEE Dual Logo International Standard, they will issue a Project Authorization Request (PAR). Once the request has been approved by the IEEE-SA Standards Board, the PAR is forwarded to the IEC CO by IEEE-SA staff.

If both groups agree to jointly revise the standard, an IEC/IEEE Dual Logo Maintenance Team (DLMT) is formed to revise the standard. This team consists of members from both the IEEE Technical Committee and experts nominated by the IEC Committee's P-members.

The organization that initiated the revision will propose the Convenor for the DLMT. If the Convenor is not accepted by the other organization, another Convenor is chosen among the members of the DLMT by mutual agreement. Co-convenors may also be proposed.

3.2 Preparation and Circulation of an Initial Draft

The IEC/IEEE DLMT prepares a draft for comments, making use of the IEC Standards Development Template (IECStd)⁴ when possible. The draft is circulated amongst the members of the IEC/IEEE DLMT for review and comment. When the IEC/IEEE DLMT considers the draft to be mature, it is circulated for review and comment by:

- IEC – The Convenor of the IEC/IEEE DLMT sends the draft to the IEC Committee Secretary for circulation as a Committee Draft (CD) (2, 3 or 4 months).

² If IEC decides to revise the IEC/IEEE Dual Logo International Standard, then any material from the original IEC/IEEE Dual Logo International Standard will require a separate licence agreement from IEEE.

³ If IEEE decides to publish a revised standard (single IEEE logo) that replaces the original standard, then IEC will withdraw the existing IEC/IEEE Dual Logo International Standard. IEEE may then submit the newly revised standard to IEC as a candidate for adoption under the IEC/IEEE Dual Logo Agreement.

⁴ The IEC Standards Development Template can be accessed at http://www.iec.ch/standardsdev/resources/draftingpublications/layout_formatting/IEC_template/iec_template.htm

- IEEE – The IEEE WG Chair initiates the IEEE Sponsor Ballot. This includes initiating the ballot invitation (30 days) and IEEE Mandatory Editorial Coordination (MEC). Once the ballot invitation closes and the MEC is complete, the actual IEEE Sponsor Ballot is initiated (30 days).

3.3 Compilation and Circulation of Comments

When an IEEE Sponsor Ballot closes, the comments received from the balloters are compiled by the IEEE myProject system and are retrieved by the IEEE WG Chair. The IEEE WG Chair sends the IEEE comments directly to the IEC Committee Secretary as comments from IEEE.

All of the comments received from both parties are compiled by the IEC Committee Secretary and sent to the IEC/IEEE DLMT for review and response. Responses to comments may result in changes to the draft. Each comment is reviewed and is either accepted, rejected, or agreed to in principle.

In IEC, observations on the comments received from IEC and from IEEE are recorded and sent to the IEC committee Secretary for circulation to the P-members and O-members of the committee as a Compilation of Comments document (CC) according to the normal procedures.

In IEEE, comment resolution is recorded by the IEEE WG Chair during the comment resolution period. Responses are prepared and uploaded into the myProject system in preparation for ballot recirculation.

NOTE: If an IEC comment (not covered by an existing IEEE comment) results in a technical change to the draft, the change shall be recorded.

3.4 Recirculation of the Draft

In IEC, consideration of successive drafts shall continue until consensus of the P-members of the committee has been obtained (see *ISO/IEC Directives, Part 1 – Procedures for the technical work*⁵). At the same time, IEEE shall recirculate the IEEE Sponsor Ballot, which includes the resolution of comments received from the IEEE Sponsor Ballot

After consensus has been reached in IEC, the IEC Committee Secretary submits the final version of the draft to the IEC CO for circulation as an enquiry draft (Committee Draft for Vote (CDV) with a– 5 months voting period) respecting the *ISO/IEC Directives Part 1 – Procedures for the technical work* and availability of a French version according to *ISO/IEC Directives Supplement – Procedures specific to the IEC*,⁶ concurrently, the IEEE Sponsor Ballot for the standard is recirculated (typically 10 days).

NOTE: The two balloting processes should be carried out in such a way that the closing dates are the same.

Once the IEC CDV has passed and, concurrently, the IEEE Sponsor Ballot has met its criteria for acceptance, any comments are handled according to the normal procedures. The IEC/IEEE DLMT prepares a draft of the FDIS, based on the comments received. If technical changes are incorporated, then the revised draft shall undergo recirculation under the IEEE Sponsor Ballot process prior to submission by the IEC Committee Secretary to the IEC CO.

3.5 IEEE-SA Standards Board Approval/IEC FDIS Approval

The IEC CO prepares the FDIS (coordinating with the IEEE editor) and sends it to IEEE for final IEEE Sponsor Ballot recirculation. Once the recirculation is complete and successful, the FDIS is submitted to the

⁵ Part 1 of the ISO/IEC Directives can be accessed at http://www.iec.ch/members_experts/refdocs/

⁶ The ISO/IEC Directives – IEC Supplement can be accessed at http://www.iec.ch/members_experts/refdocs/

IEEE-SA Standards Board for approval. Concurrently, during this process, IEC circulates the FDIS to all National Committees for a 2 month ballot.

If the draft passes both approval processes, the standard is published as a revised IEC/IEEE Dual Logo International Standard, with IEEE retaining the copyright.

A flow diagram of the IEC/IEEE Dual Logo Maintenance Procedure is given in Annex B.

3.6 Divergent votes in IEC and IEEE

If an IEC/IEEE Dual Logo maintenance project is approved in IEC but rejected by IEEE at either the enquiry or approval stages, then IEC may continue and any material used from the original IEC/IEEE Dual Logo International Standard will require a separate license agreement from IEEE.

In IEEE, at the approval stage, if the standard does not gain approval from the IEEE-SA Standards Board, the standard may need to be recirculated under the IEEE Sponsor Ballot procedures.

If the IEC/IEEE Dual Logo maintenance project is rejected in IEC at either the enquiry or approval stages but approved in IEEE, then:

- IEEE may continue the revision and IEC will withdraw the existing IEC/IEEE Dual Logo project. After IEEE has completed the revision of the standard, IEEE may submit the standard to IEC as a candidate for adoption under the IEC/IEEE Dual Logo Agreement.

4 IEC/IEEE Joint Development Procedure

4.1 Introduction

The IEC/IEEE Joint Development Procedure allows for the joint development of new and existing standards between both IEC and IEEE, resulting in one IEC/IEEE Dual Logo International Standard with a joint prefix and single number (IEC/IEEE 6XXXX) used in both organizations.

Either an IEC Committee or an IEEE Technical Committee may initiate a joint development project.

If an IEC Committee wants to initiate a joint development project, they should contact the appropriate IEEE Technical Committee to discuss the project to determine if there is mutual interest. If an IEEE Technical Committee wants to initiate a joint development project, they should contact the appropriate IEC Committee to discuss the project to determine if there is mutual interest.

If both parties agree on the need for a joint development project, the IEC Committee submits a New Work Item Proposal (NWIP) or a Revision Report (RR) (see *ISO/IEC Directives, Part 1 - Procedures for the technical work⁷*) to the IEC CO, providing the relevant information for the project and a statement that the project is to be developed jointly with the relevant IEEE Technical Committee.

Simultaneously, the IEEE Technical Committee submits a PAR, providing the relevant information for the project and indicating that the project is to be developed jointly with the relevant IEC Committee.

⁷ Part 1 of the ISO/IEC Directives can be accessed at http://www.iec.ch/members_experts/refdocs/

Once the NWIP and PAR have been approved, an IEC/IEEE Joint Working Group (JWG) is formed. A call for experts is issued by the IEEE. Experts from IEC are appointed by the IEC Committee's P-members during the NWIP ballot. The Convenor is chosen by the IEC/IEEE JWG (Co-convenors may also be chosen, if proposed) and the appointment is confirmed by the IEC Committee and by the IEEE Technical Committee.

4.2 Preparation and Circulation of an Initial Draft

The IEC/IEEE JWG prepares a draft for comments, making use of the IEC Standards Development Template (IECStd)⁸. The standard is drafted in accordance with the *ISO/IEC Directives, Part 2 - Rules for the structure and drafting of International Standards*.⁹

When the IEC/IEEE JWG considers the draft to be mature, the draft is circulated for review by:

- IEC – The IEC/IEEE JWG Convenor sends the draft to the IEC Committee Secretary for circulation as a CD (2, 3 or 4 months).
- IEEE – The IEEE WG Chair initiates the IEEE Sponsor Ballot. This includes initiating the ballot invitation (30 days) and IEEE Mandatory Editorial Coordination (MEC). Once the ballot invitation closes and the MEC is complete, the actual IEEE Sponsor Ballot is initiated (30 days).

4.3 Compilation and Circulation of Comments

When the IEEE Sponsor Ballot closes, the comments received from the balloters are compiled by the IEEE myProject system and are retrieved by the IEEE WG Chair. The IEEE WG Chair sends the IEEE comments directly to the IEC Committee Secretary as comments from IEEE.

All of the comments received from both parties are compiled by the IEC Committee Secretary and sent to the IEC/IEEE JWG for review and response. Responses to comments may result in changes to the draft.

Each comment is reviewed and is either accepted, rejected, or agreed to in principle.

In IEC, observations on the comments received from IEC and from IEEE are recorded and sent to the IEC committee secretary for circulation to the P-members and O-members of the committee as a Compilation of Comments document (CC) according to the normal procedures.

In IEEE, comment resolution is recorded by the IEEE WG Chair during the comment resolution period. Responses are prepared and uploaded into the myProject system in preparation for ballot recirculation.

NOTE: If an IEC comment (not covered by an existing IEEE comment) results in a technical change to the draft, the change shall be recorded.

4.4 Recirculation of the Draft

In IEC, consideration of successive drafts shall continue until consensus of the P-members of the Committee has been obtained (see *ISO/IEC Directives, Part 1 - Procedures for the technical work*¹⁰). At the same time,

⁸ The IEC Standards Development Template can be accessed at http://www.iec.ch/standardsdev/resources/draftingpublications/layout_formatting/IEC_template/iec_template.htm

⁹ Part 2 of the ISO/IEC Directives can be accessed at http://www.iec.ch/members_experts/refdocs/

¹⁰ Part 1 of the ISO/IEC Directives can be accessed at http://www.iec.ch/members_experts/refdocs/

IEEE shall recirculate the IEEE Sponsor Ballot, which includes the resolution of comments received from the IEEE Sponsor Ballot¹¹.

After consensus has been reached in the IEC, the IEC Committee Secretary submits the final version of the draft to the IEC CO for circulation as an enquiry draft (Committee Draft for Vote (CDV) with a 5 months voting period); respecting the *ISO/IEC Directives Part 1 – Procedures for the technical work* and availability of a French version according to *ISO/IEC Directives Supplement – Procedures specific to the IEC*¹²; concurrently, the IEEE Sponsor Ballot is recirculated (typically 10 days).

NOTE: The two balloting processes should be carried out in such a way that the closing dates are the same.

4.5 IEEE-SA Standards Board Approval/IEC FDIS Approval

The IEC CO prepares the FDIS (coordinating with the IEEE editor) and sends it to IEEE for final IEEE Sponsor Ballot recirculation. Once the recirculation is complete and successful, the FDIS is submitted to the IEEE-SA Standards Board for approval. Concurrently, during this process, IEC circulates the FDIS to all National Committees for a 2 month ballot.

If the draft passes both approval processes, the standard is published as an IEC/IEEE International Standard, with both organizations retaining the copyright.

A flow diagram of the IEC/IEEE Joint Development Procedure is given in Annex C.

4.6 Divergent votes in IEC and IEEE

At either of the stages described in 4.4 or 4.5, it may happen that there are divergent votes in IEC and IEEE. In this case, the IEC Committee and the IEEE Technical Committee concerned should decide whether it is possible to reconcile the differences. If reconciliation is not possible, then each organization may continue to develop the standard independently of the other. Each organization will retain the copyright of their individual documents.

4.7 Publication

The resulting joint IEC/IEEE International Standard(s) may be distributed by both organizations.

The Joint IEC/IEEE International Standard(s) shall contain both the IEC and IEEE names and logos on the cover of the standard, with a common designation, e.g. IEC/IEEE 6ABCD.

4.8 Maintenance

The IEEE agrees to notify IEC promptly of any changes to IEEE product(s) that might have a bearing on a Joint IEC/IEEE International Standard(s) in an effort to foster harmonization of standards in general. The notification to IEC shall occur upon IEEE's official recognition and acceptance of a duly submitted PAR from the relevant IEEE Technical Committee. The IEC shall notify the IEEE promptly should the IEC receive a request to revise or modify a joint IEC/IEEE International Standard.

¹¹ After the initial IEEE Sponsor ballot, any subsequent changes to the draft shall be shown for subsequent IEEE Sponsor balloting

¹² The ISO/IEC Directives Supplement can be accessed at http://www.iec.ch/members_experts/refdocs/

The procedure for maintenance of a joint IEC/IEEE International Standard is the same as the procedure for joint development.

5 Maintenance of an IEC/IEEE Dual Logo International Standard

In IEEE, all IEC/IEEE Dual Logo International Standards must undergo a revision within ten years of IEEE-SA Standards Board approval in order for the standard to retain active status

In IEC, upon publication, all IEC/IEEE Dual Logo International Standards are given a Stability Date. This is usually between 3 and 12 years from the date of publication; however, every effort should be made to ensure that these dates are coordinated with IEEE. IEC/IEEE Dual Logo International Standards are subject to the review and maintenance procedures given in *ISO/IEC Directives Supplement – Procedures specific to IEC*.

6 Withdrawal of an IEC/IEEE Dual Logo International Standard

Either IEEE or IEC can withdraw a standard through each organization's process and shall coordinate with each other accordingly.

7 Further information

IEEE and IEC are committed to offering dedicated guidance and focused support to standards developers interested in bringing technical information into the international arena. This brochure details the coordination of these processes of the IEC/IEEE Dual Logo Agreement, which outlines this partnership. Both IEEE and IEC staff are available to assist with all phases and aspects of the various processes.

In IEC, for detailed information on the IEC/IEEE agreements and procedures, please consult the following IEC Administrative Circulars (AC):

- AC/138/2002
- AC/24/2007¹³
- AC/22/2008

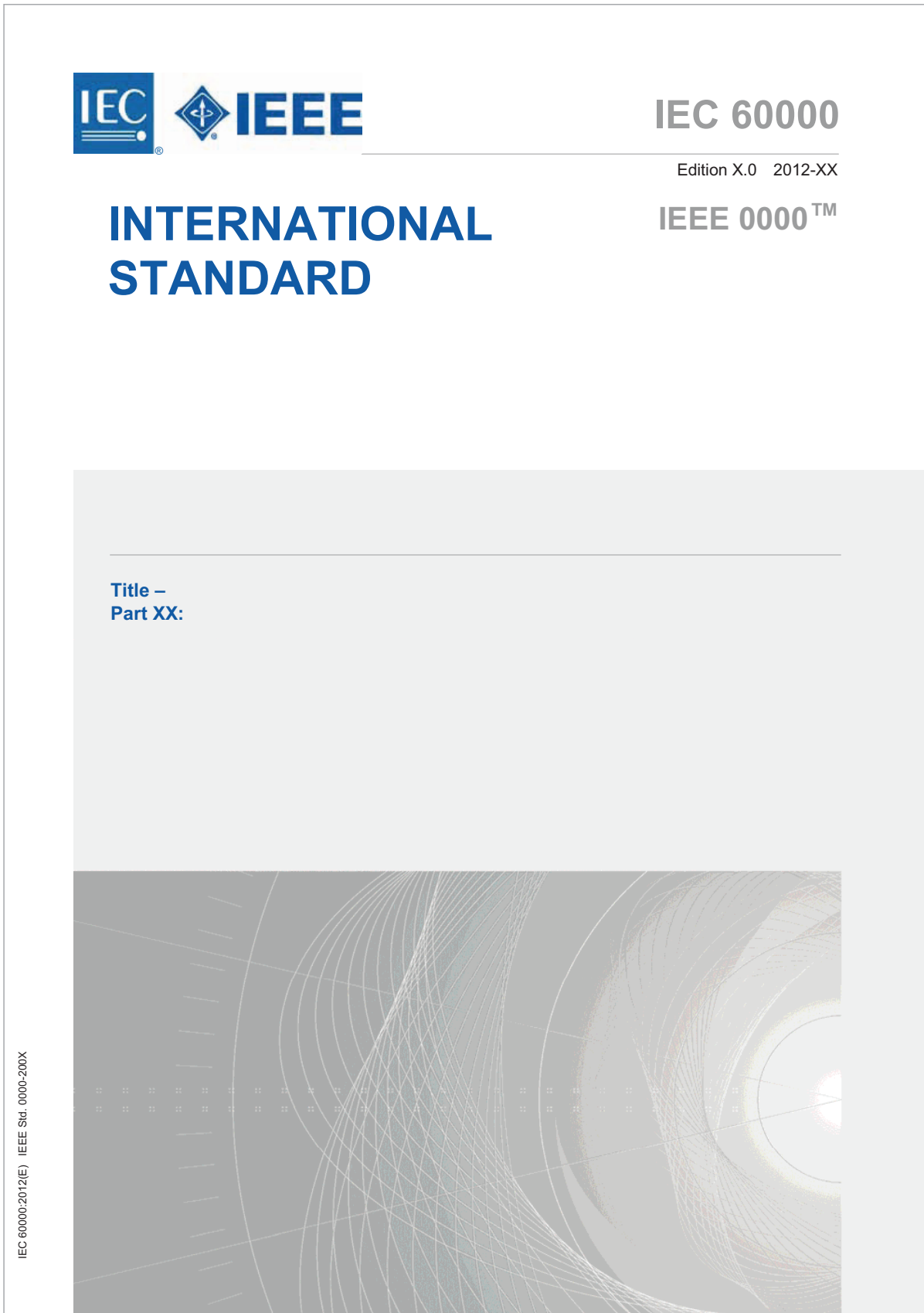
The IEC Administrative Circulars are also accessible online at <http://www.iec.ch/dyn/www/f?p=103:96:0>. For any questions, contact IEC at tiss@iec.ch.

In IEEE, detailed information on the IEC/IEEE agreements and procedures can be found online at <http://standards.ieee.org/develop/intl/iec.html>. For any questions, contact IEEE at saglobal@ieee.org.

¹³ The flow diagram for the IEC/IEEE Dual Logo Maintenance procedure given in AC/24/2007 has been expanded to provide a more detailed explanation of the maintenance process and can be found in Annex B of this brochure.

Annex A

Cover and title page of an IEC/IEEE Dual Logo International Standard





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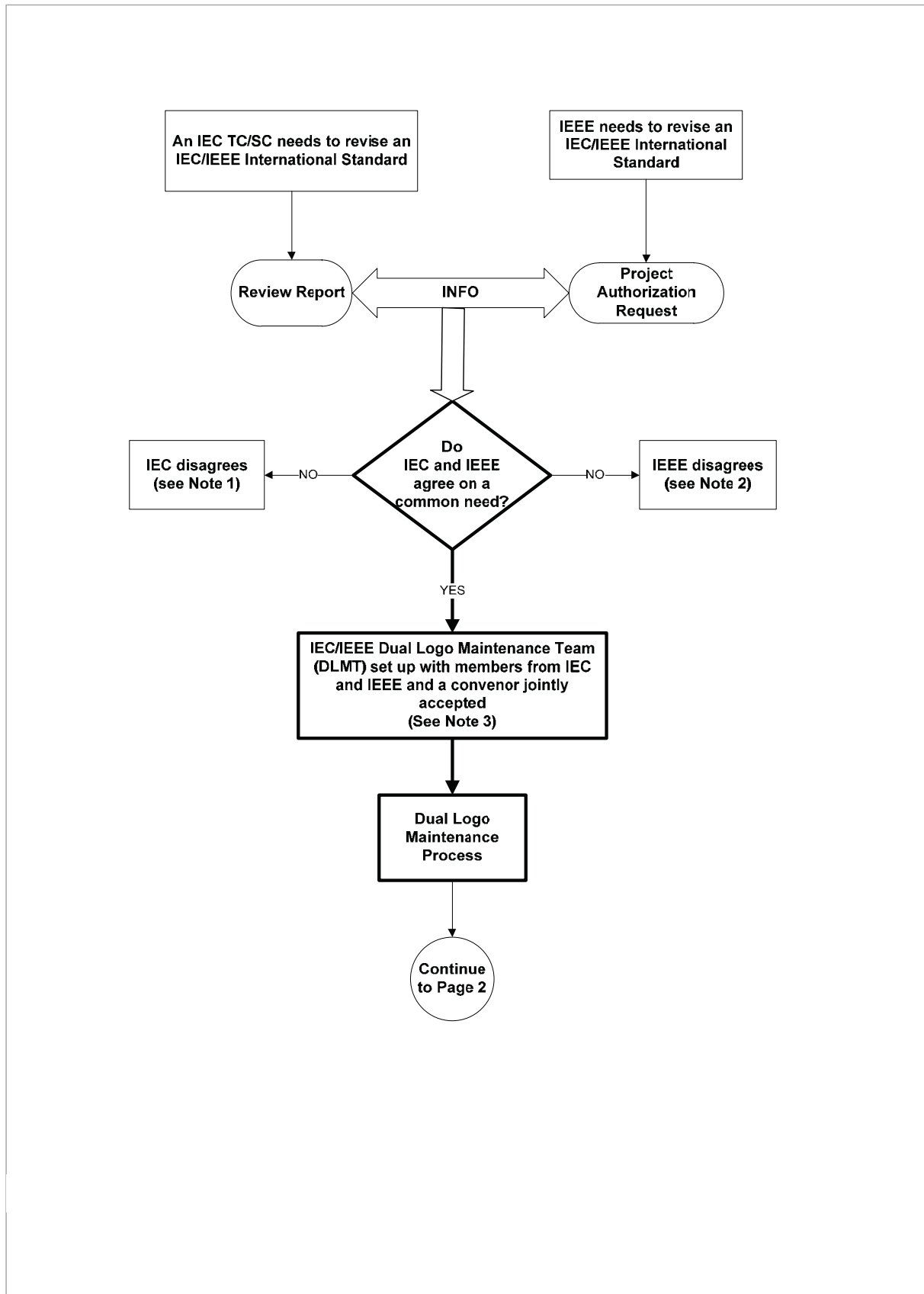
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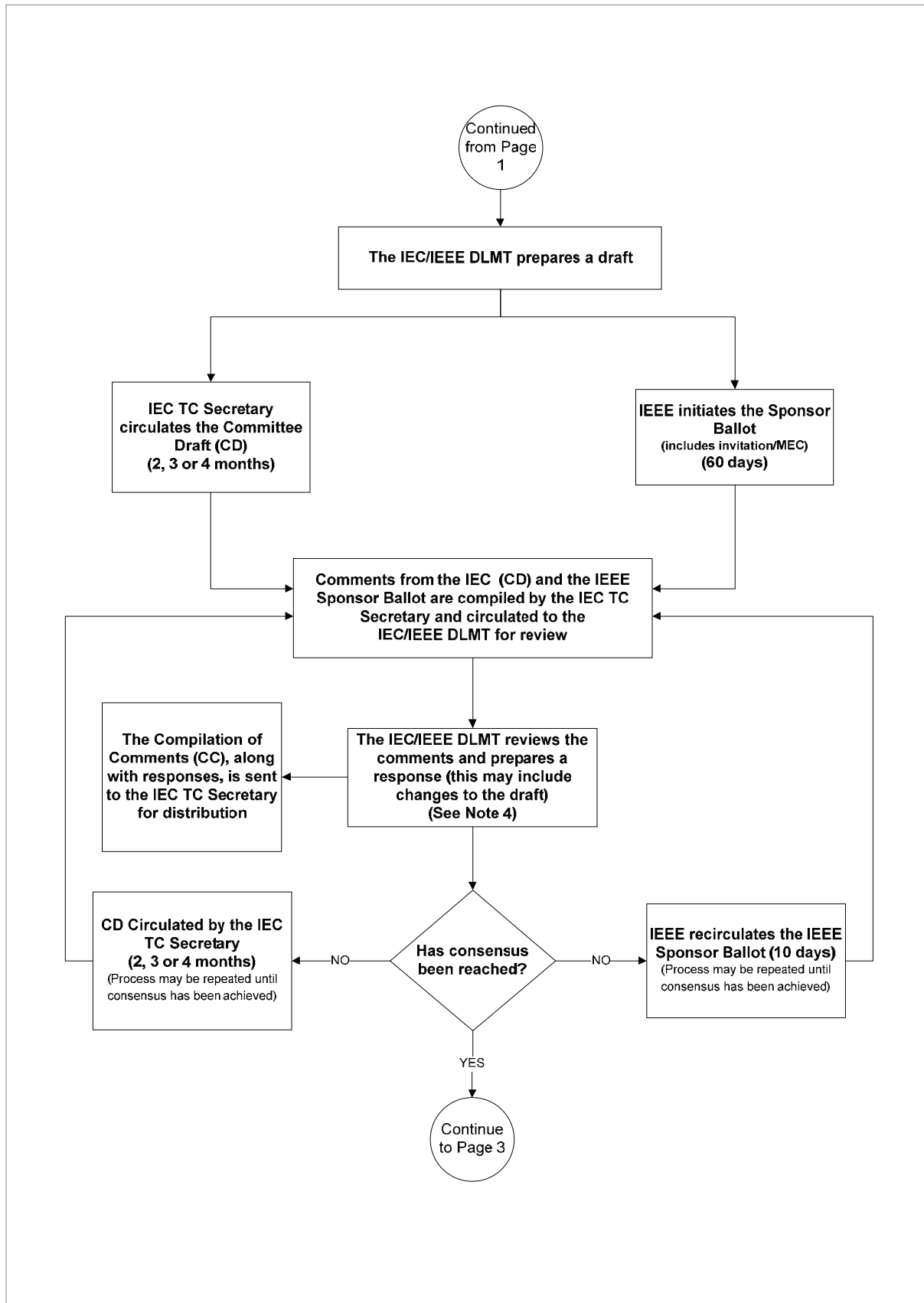
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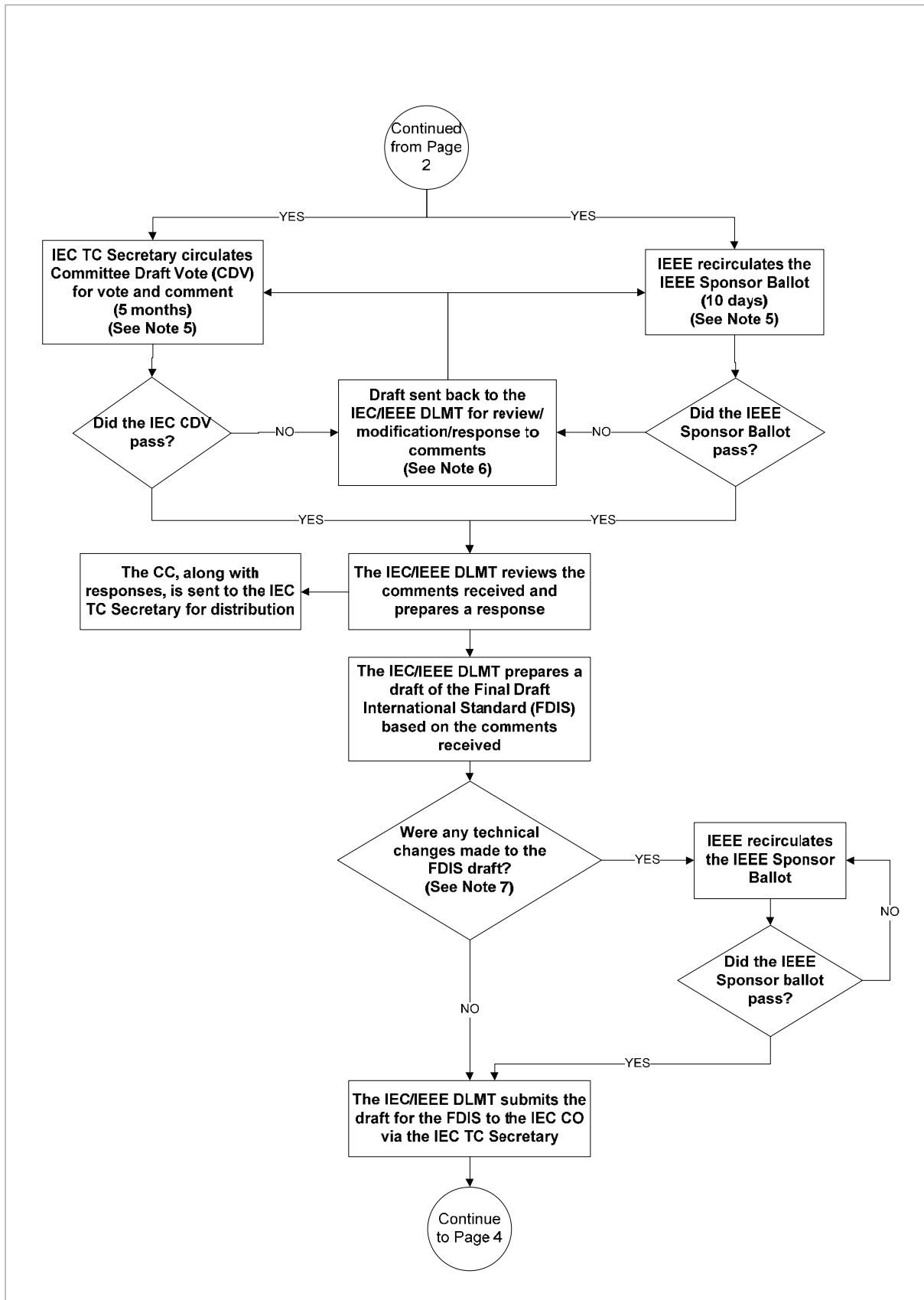
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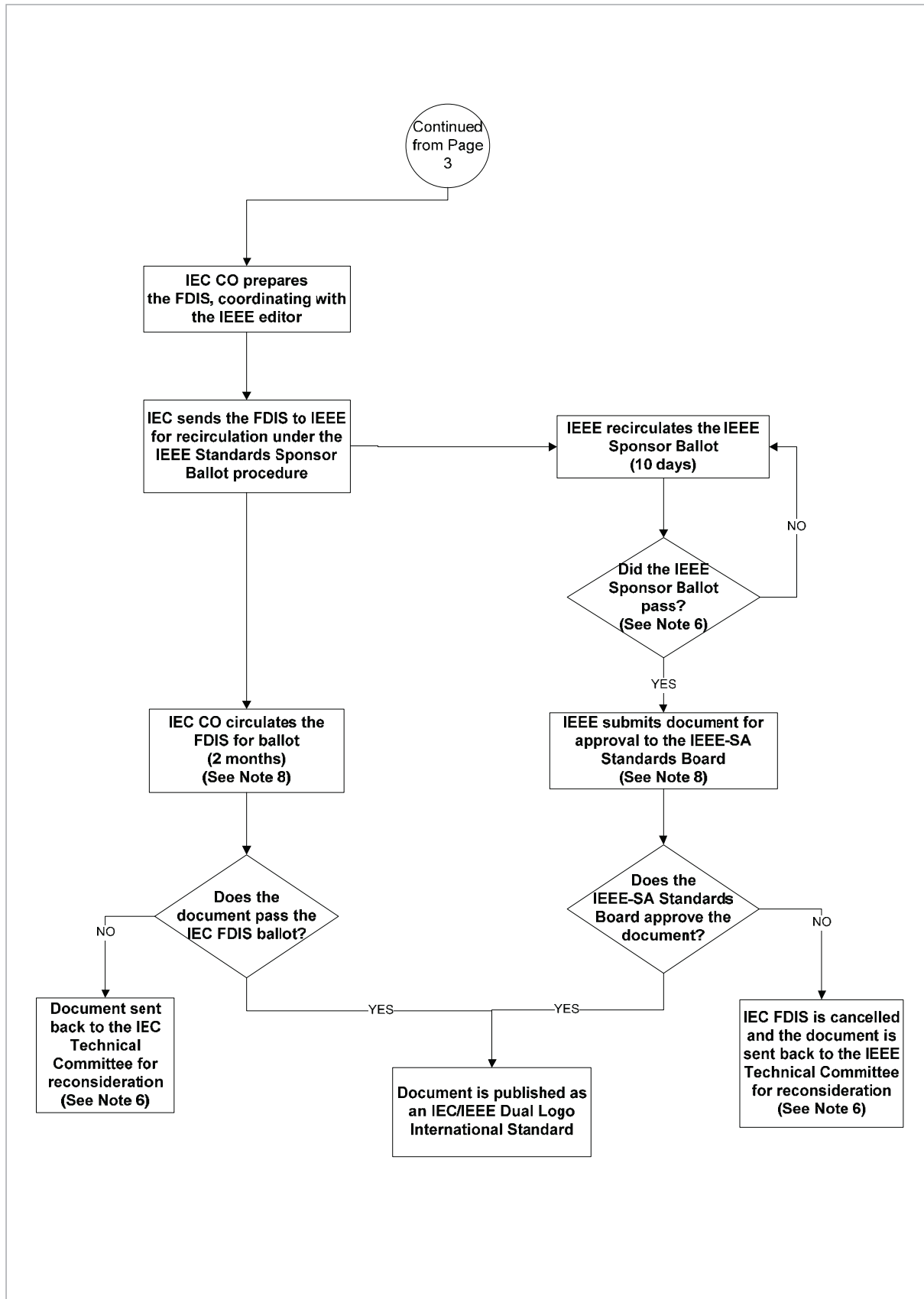
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Annex B**Flow diagramme of the Dual Logo maintenance procedure**







NOTES

Note 1 – If IEC decides to revise the IEC/IEEE Dual Logo International Standard without IEEE, then any material from the original IEC/IEEE Dual Logo International Standard will require a separate licence agreement from IEEE.

Note 2 – If IEEE decides to publish a revised standard (single IEEE logo) that replaces the original standard, then IEC will withdraw the existing IEC/IEEE Dual Logo International Standard. IEEE may then submit the newly revised IEEE standard to IEC as a candidate for adoption under the IEC/IEEE Dual Logo Agreement.

Note 3 – The organization that initiated the revision will propose the Convenor for the DLMT. If the Convenor is not accepted by the other organization, another Convenor is chosen among the members of the DLMT by mutual agreement. Co-convenors may also be proposed.

Note 4 – In IEEE, from this point forward, any future changes to the draft shall be shown for subsequent IEEE Sponsor ballot recirculations.

Note 5 – The two balloting processes should be carried out in such a way that the closing dates are the same.

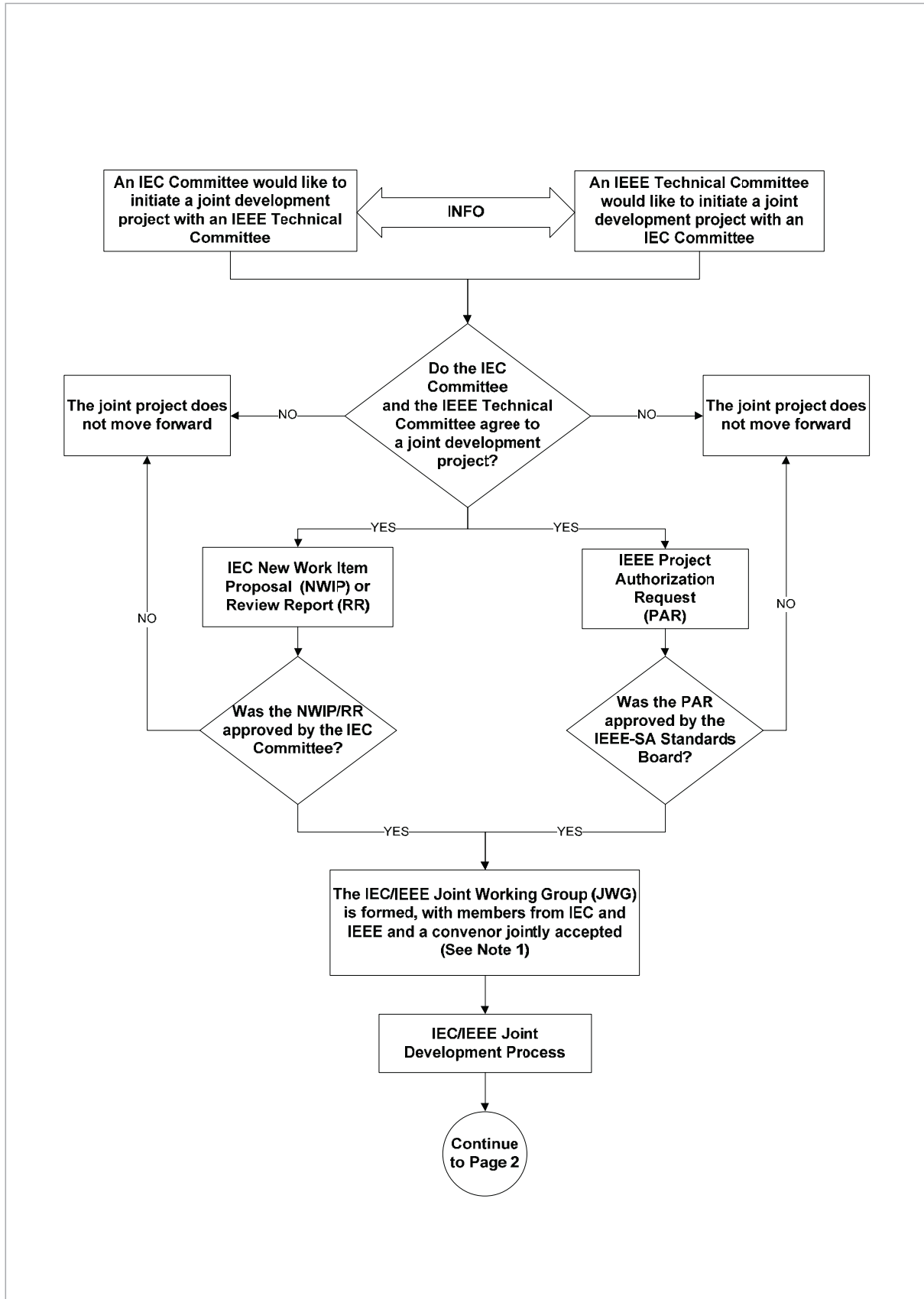
Note 6 – At this stage, IEC or IEEE may decide either to continue their respective route or task the DLMT to provide a new draft for vote by both organizations. If IEC decides to continue its own route, then Note 1 applies. If IEEE decides to continue its own route, then Note 2 applies.

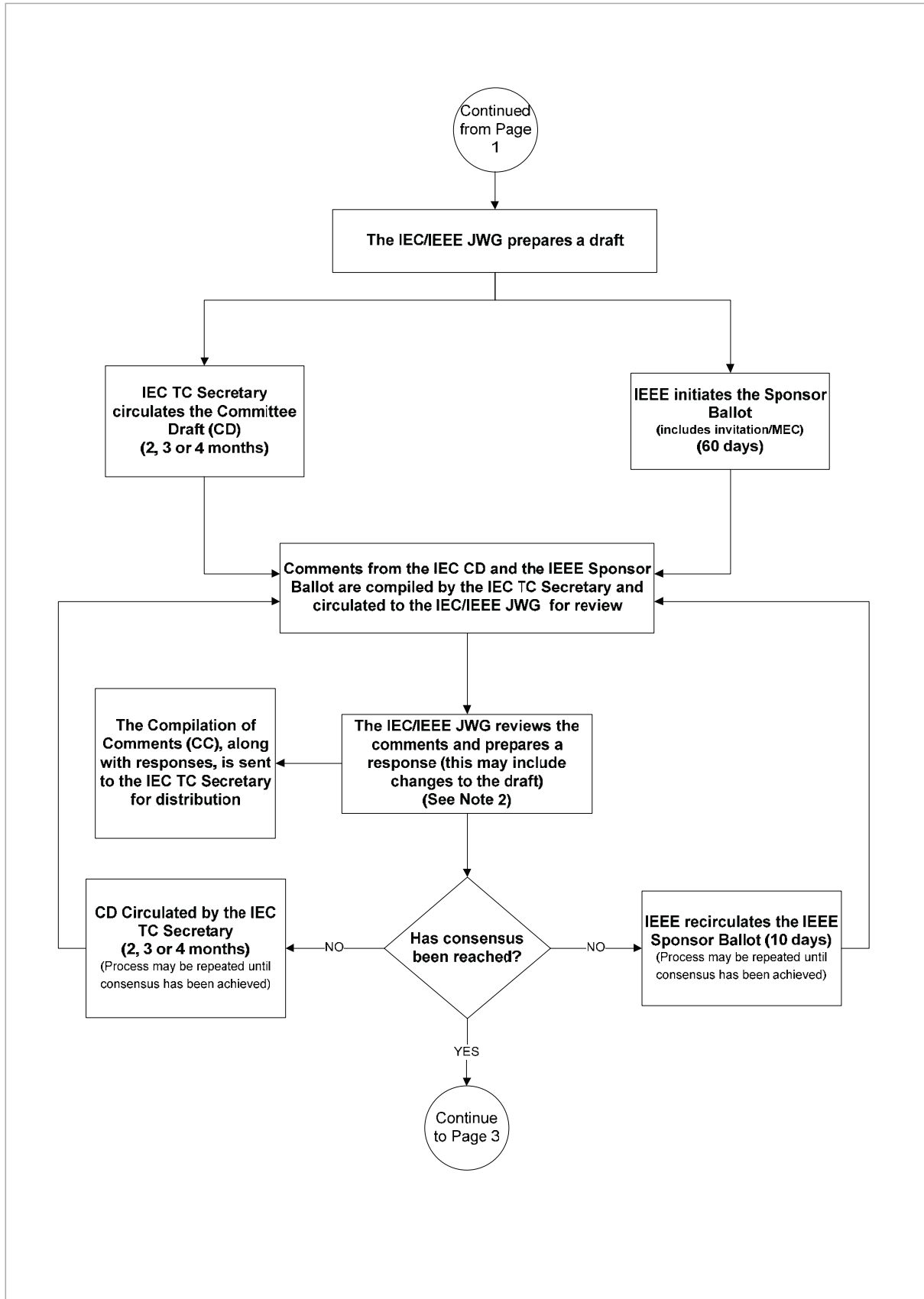
Note 7 – If technical modifications are made to the approved CDV in the preparation of the draft for the FDIS, then the draft for the FDIS shall be submitted for IEEE Sponsor Ballot (10 days) prior to the submission to the IEC CO.

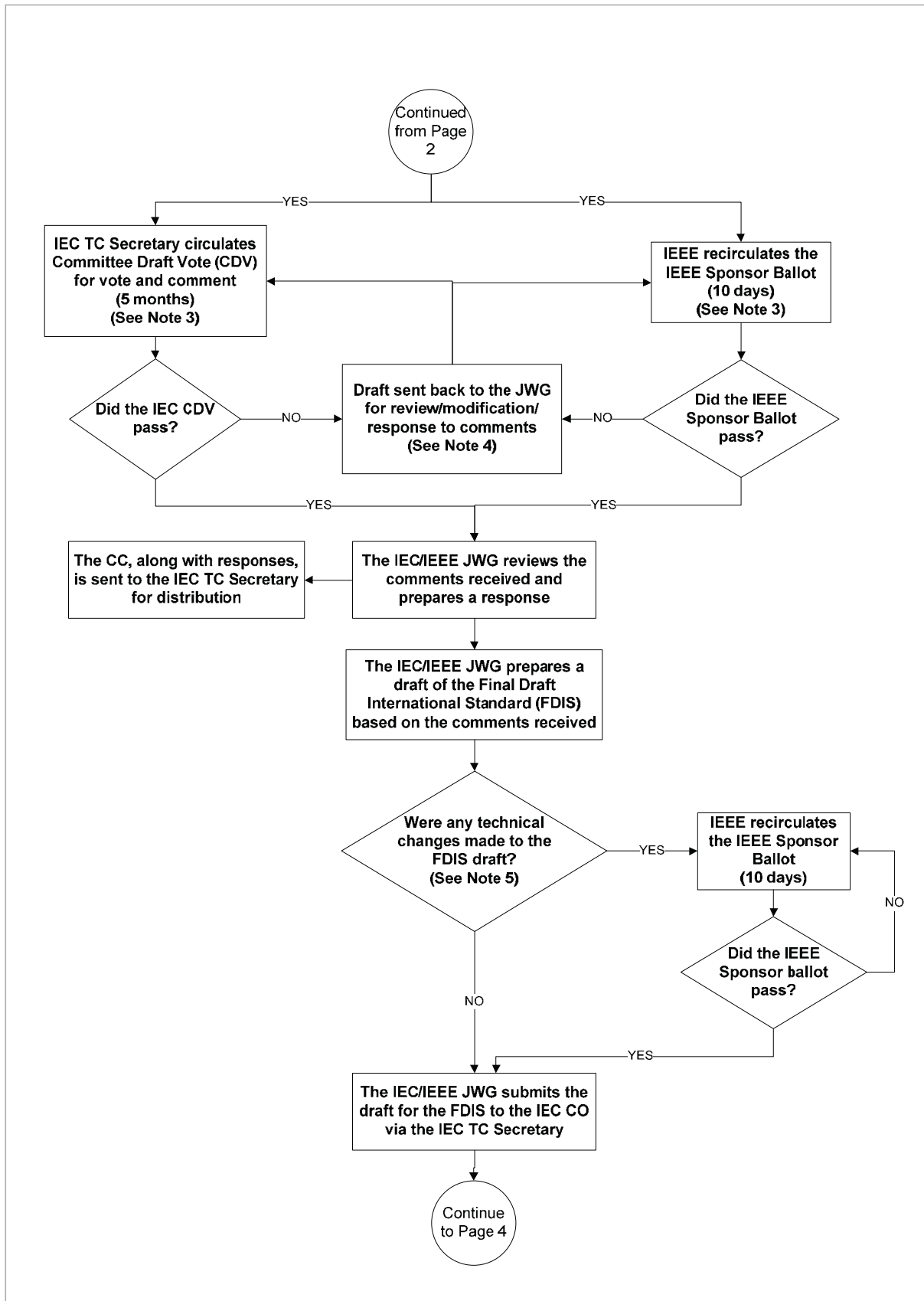
Note 8 – Approval by the IEEE-SA Standards Board and the IEC FDIS should close on the same date.

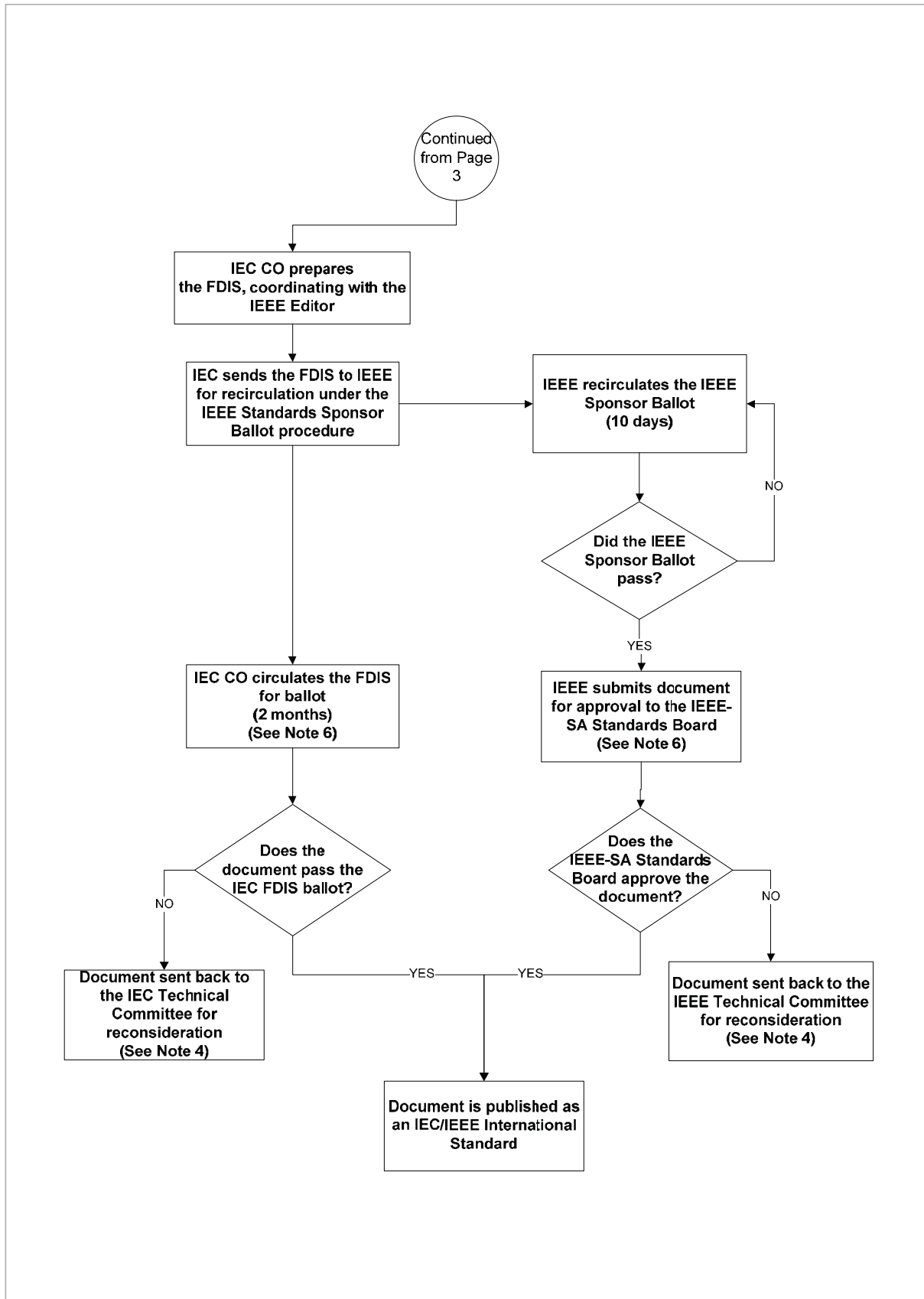
Annex C

Flow diagram for the IEC/IEEE Joint Development procedure









NOTES

Note 1 – The Convenor is chosen by the IEC/IEEE JWG (Co-convenors may also be proposed).

Note 2 – In IEEE, from this point forward, any future changes to the draft shall be shown for subsequent IEEE Sponsor ballot recirculations.

Note 3 – The two balloting processes should be carried out in such a way that the closing dates are the same.

Note 4 – At this stage, IEC or IEEE may decide either to continue their respective route or task the IEC/IEEE JWG to provide a new draft for vote by both organizations.

Note 5 – If technical modifications are made to the approved CDV in the preparation of the draft for the FDIS, then the draft for the FDIS shall be submitted for IEEE Sponsor Ballot (10 days) prior to the submission to the IEC CO.

Note 6 – Approval by the IEEE-SA Standards Board and the IEC FDIS should close on the same date.



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