

CHANGE 1

[IEEE Standards Association Operations Manual, IEEE-SA Standards Board Bylaws, and IEEE-SA Standards Board Operations Manual]

(Approved by ProCom: March 2011)

(Approved by SASB: May 2011)

(Approved by BOG: June 2011)

IEEE Standards Association Operations Manual

6.3 Membership privileges

6.3.1 Balloting

IEEE-SA members are permitted to ballot on an unlimited number of proposed IEEE draft standards and on the ~~reaffirmation or~~ withdrawal ~~from active status~~ of existing IEEE standards that have reached the Sponsor ballot stage (see clause 5.4 of the *IEEE-SA Standards Board Operations Manual*). Individual IEEE-SA members are permitted to ballot on individual ballots. IEEE-SA entity members are permitted to ballot on entity ballots.

IEEE-SA Standards Board Bylaws

2.2 Purpose of IEEE standardization

IEEE standards provide a common ground for communication in some specific area of electrotechnology. They also provide criteria for measuring the acceptable performance of equipment or materials pertinent to the field of electrotechnology.

The purpose of the review by the IEEE-SA Standards Board is to ensure that IEEE standards represent a consensus of interests from those that are materially affected by these standards and that proper procedures have been followed during the development of these standards.

An ~~active~~ IEEE standard gives an authoritative reference that is kept up to date through review at least every ~~five-ten~~ years by the Sponsor responsible for its preparation. ~~Alternatively, IEEE standards may be stabilized. These standards are considered for continued stabilization through review at least every ten years.~~

4.2.3 Standards Review Committee (RevCom)

4.2.3.1 Scope

This committee shall be responsible for reviewing proposals for the approval of new and revised standards and for ~~the reaffirmation or~~ withdrawal ~~from active status (see IEEE-SA Standards Board Operations Manual 9.2)~~ of existing standards to ensure that the proposals represent a consensus of the members of the official IEEE Sponsor balloting group. The committee shall routinely examine submittals to ensure that all applicable requirements of the *IEEE-SA Standards Board Operations Manual* have been met and make recommendations to the IEEE-SA Standards Board regarding their approval.

5 IEEE-SA Standards Board procedures and responsibilities

5.1 Transaction of business

Regular meetings of the IEEE-SA Standards Board shall be held quarterly, in accordance with a schedule approved at the first meeting of each year. Special meetings may be called, when deemed necessary, by the Chair or at the request of five members.

Unless otherwise provided in the *IEEE Certificate of Incorporation*, the *IEEE Constitution*, the *IEEE Bylaws*, or the New York Not-For-Profit Corporation Law, the vote of a majority of the voting members of the IEEE-SA Standards Board present at the time of the vote, if a quorum is present at such a time, shall be the act of the IEEE-SA Standards Board.

Approval of proposed IEEE standards, or ~~proposed withdrawal transfer to inactive status~~ of such standards, shall require affirmative votes by at least 75% of the voting members present at the time of the vote, if a quorum is present. Except as otherwise specified in these bylaws, meetings of the IEEE-SA Standards Board shall be run in accordance with the parliamentary procedures of *Robert's Rules of Order* (latest edition).

5.2.5 Notification of action on standards

Following each meeting of the IEEE-SA Standards Board, the IEEE Standards Department shall issue a statement, available to all interested parties, which shall detail the actions taken at the last meeting of the IEEE-SA Standards Board on approval ~~of, reaffirmation, stabilization, and withdrawal or transfer to inactive status of,~~ standards documents; and authorization of new standards projects. This may be in the form of the minutes of the IEEE-SA Standards Board meeting.

5.3 Review cycles

All IEEE standards should be reviewed as often as new information is available ~~or in accordance with the established cycle set by the IEEE-SA Standards Board, but no later than five years from the date of publication or, in the instance of stabilized standards, ten years from the initial approval or last revision or amendment. When an IEEE standard has been in effect for four~~ Every years, the Secretary of the IEEE-SA Standards Board shall notify the standards liaison representative of the Sponsor ~~that the~~ of all active standards assigned to the Sponsor, the dates that such standards are scheduled to expire, and a reminder to consider such standards ~~must be reviewed for revision a maintenance action within the next year. The entire document shall be reviewed; amendments cannot be substituted for the five-year review.~~

The Sponsor has the option of

- a) — Reaffirmation
- b) — Revision
- e) — Withdrawal
- d) — Stabilization

6 Patents

6.2 Policy

IEEE standards may be drafted in terms that include the use of Essential Patent Claims. If the IEEE receives notice that a [Proposed] IEEE Standard may require the use of a potential Essential Patent Claim, the IEEE shall request licensing assurance, on the IEEE Standards Board approved Letter of Assurance form, from the patent holder or patent applicant. The IEEE shall request this assurance without coercion.

The Submitter of the Letter of Assurance may, after Reasonable and Good Faith Inquiry, indicate it is not aware of any Patent Claims that the Submitter may own, control, or have the ability to license that might be or become Essential Patent Claims. If the patent holder or patent applicant provides an assurance, it should do so as soon as reasonably feasible in the standards development process once the PAR is approved by the IEEE-SA Standards Board. This assurance shall ~~should~~ be provided prior to the Standards Board's approval of the standard. ~~This assurance shall be provided prior to a reaffirmation/stabilization if the IEEE receives notice of a potential Essential Patent Claim after the standard's approval or a prior reaffirmation/stabilization.~~ An asserted potential Essential Patent Claim for which an assurance cannot be obtained (e.g., a Letter of Assurance is not provided or the Letter of Assurance indicates that assurance is not being provided) shall be referred to the Patent Committee.

A Letter of Assurance shall be either:

- a) A general disclaimer to the effect that the Submitter without conditions will not enforce any present or future Essential Patent Claims against any person or entity making, using, selling, offering to sell, importing, distributing, or implementing a compliant implementation of the standard; or
- b) A statement that a license for a compliant implementation of the standard will be made available to an unrestricted number of applicants on a worldwide basis without compensation or under reasonable rates, with reasonable terms and conditions that are demonstrably free of any unfair discrimination. At its sole option, the Submitter may provide with its assurance any of the following: (i) a not-to-exceed license fee or rate commitment, (ii) a sample license agreement, or (iii) one or more material licensing terms.

Copies of an Accepted LOA may be provided to the working group, but shall not be discussed, at any standards working group meeting.

The Submitter and all Affiliates (other than those Affiliates excluded in a Letter of Assurance) shall not assign or otherwise transfer any rights in any Essential Patent Claims that are the subject of such Letter of Assurance that they hold, control, or have the ability to license with the intent of circumventing or negating any of the representations and commitments made in such Letter of Assurance.

The Submitter of a Letter of Assurance shall agree (a) to provide notice of a Letter of Assurance either through a Statement of Encumbrance or by binding any assignee or transferee to the terms of such Letter of Assurance; and (b) to require its assignee or transferee to (i) agree to similarly provide such notice and (ii) to bind its assignees or transferees to agree to provide such notice as described in (a) and (b).

This assurance shall apply to the Submitter and its Affiliates except those Affiliates the Submitter specifically excludes on the relevant Letter of Assurance.

If, after providing a Letter of Assurance to the IEEE, the Submitter becomes aware of additional Patent Claim(s) not already covered by an existing Letter of Assurance that are owned, controlled, or licensable by the Submitter that may be or become Essential Patent Claim(s) for the same IEEE Standard but are not the subject of an existing Letter of Assurance, then such Submitter shall submit a Letter of Assurance stating its position regarding enforcement or licensing of such Patent Claims. For the purposes of this commitment, the Submitter is deemed to be aware if any of the following individuals who are from, employed by, or otherwise represent the Submitter have personal knowledge of additional potential Essential Patent Claims, owned or controlled by the Submitter, related to a [Proposed] IEEE Standard and not already the subject of a previously submitted Letter of Assurance: (a) past or present participants in the development of the [Proposed] IEEE Standard, or (b) the individual executing the previously submitted Letter of Assurance.

The assurance is irrevocable once submitted and accepted and shall apply, at a minimum, from the date of the standard's approval to the date of the standard's ~~withdrawal~~ **transfer to inactive status**.

The IEEE is not responsible for identifying Essential Patent Claims for which a license may be required, for conducting inquiries into the legal validity or scope of those Patent Claims, or for determining whether any licensing terms or conditions provided in connection with submission of a Letter of Assurance, if any, or in any licensing agreements are reasonable or non-discriminatory.

Nothing in this policy shall be interpreted as giving rise to a duty to conduct a patent search. No license is implied by the submission of a Letter of Assurance.

In order for IEEE's patent policy to function efficiently, individuals participating in the standards development process: (a) shall inform the IEEE (or cause the IEEE to be informed) of the holder of any potential Essential Patent Claims of which they are

personally aware and that are not already the subject of an existing Letter of Assurance, owned or controlled by the participant or the entity the participant is from, employed by, or otherwise represents; and (b) should inform the IEEE (or cause the IEEE to be informed) of any other holders of such potential Essential Patent Claims that are not already the subject of an existing Letter of Assurance.

IEEE-SA Standards Board Operations Manual

1.2 Types of IEEE standards

IEEE standards include but are not limited to:

- Lists of terms, definitions, or symbols, applicable to any field of science or technology within the scope of the IEEE.
- Expositions of scientific methods of measurement or tests of the parameters or performance of any device, apparatus, system, or phenomenon associated with the art, science, or technology of any field within the scope of the IEEE.
- Characteristics, performance, and safety requirements associated with devices, equipment, and systems with engineering installations.
- Recommendations reflecting current state-of-the-art in the application of engineering principles to any field of technology within the scope of the IEEE.

IEEE standards are classified as:

- *Standards*: documents with mandatory requirements.¹
- *Recommended practices*: documents in which procedures and positions preferred by the IEEE are presented.
- *Guides*: documents in which alternative approaches to good practice are suggested but no clear-cut recommendations are made.
- *Trial-Use documents*: publications in effect for not more than two years. They can be any of the categories of standards publications listed above. (See 5.7.)

The IEEE standards development process may result in one or more of the following documents:

- *New*: A document that does not replace or modify another standard.
- *Revision*: A document that updates ~~or and~~ replaces (i.e., supersedes) an existing IEEE standard in its entirety.
- *Amendment*: A document that contains new material to an existing IEEE standard and may contain technical corrections to that standard.
- *Corrigendum*: A document that only contains technical corrections to an existing IEEE standard.
- *Erratum*: A document that contains only grammatical corrections to, or errors introduced during the publishing process of, an existing IEEE standard.

IEEE Standards Project Editors can assist Sponsors in determining whether an amendment or revision is appropriate.

IEEE Standards may be in one of ~~four~~ three states of activity:

¹Mandatory requirements are generally characterized by use of the verb “shall,” whereas recommended practices normally use the word “should.” See the *IEEE Standards Style Manual* for further information.

- *Developing*: Standards projects that have not yet been approved as standards.
- *Active*: Approved standards that ~~have not been transferred to inactive status~~ are subject to the requirements for regular maintenance. (See clause 9).
- ~~*Stabilized*: Approved standards that~~
 - a) ~~Are not health or safety standards~~
 - b) ~~Address mature technologies or practices~~
 - e) ~~Are required for use in connection with existing implementations or for reference purposes~~
 - d) ~~Contain no identified significant erroneous information~~
 - e) ~~Are not likely to require revisions. (See 9.3).~~
- ~~*Withdrawn-Inactive*: Standards that are no longer being reviewed or assessed for accuracy, relevance to current practices, or further applications; these standards are removed from active status (i.e., these standards are transferred from active to inactive status), maintained and may contain significant obsolete or erroneous information. (See 9.42).~~

4.1.2 Liaison representatives

The Secretary of the IEEE-SA Standards Board shall circulate the following information to the liaison representatives for review and action:

- a) *Each IEEE Project Authorization Request (PAR) submitted for approval.* The liaison representative is expected to review each request to see if his or her organization has a substantial interest in the project.
- b) *Agenda for each IEEE-SA Standards Board meeting.* This should be reviewed to determine if there is any item on the agenda of substantial interest to the organization. The liaison member should be present, if necessary, to support the interests of the organization.
- c) *Minutes of meetings of the IEEE-SA Standards Board.* This shall include action taken on PARs and draft standards.
- d) *Notice of assignment of a standards project.* When the IEEE-SA Standards Board, on its own initiative, agrees on the need for a standard, a request to develop the standard shall be sent to the liaison representative of the Society and/or the Standards Coordinating Committee (SCC) having primary interest in the subject. The liaison representative is expected to assign the project to the appropriate technical unit as Sponsor for the development of the standards project.
- e) *Status Reports.* The liaison representative shall review any sections of the project reports that may be assigned to his or her organization and notify the Secretary of the IEEE-SA Standards Board of any corrections and revisions. The liaison representative should ensure that action is taken to ~~update-revise~~ all standards assigned to the Society within ~~five-ten~~ years of the date of approval-publication. ~~If no action is initiated by the Sponsor to update a standard within the five-year period, the liaison representative should arrange for submission of a recommendation to withdraw the standard.~~ The liaison representative should monitor work being done on all standards projects, ~~including revisions of existing standards,~~ and report any changes in the status of the standards to the Secretary of the IEEE-SA Standards Board.

5.4.1 Balloting group

The balloting group shall meet the criteria in subclause 5.2.2.3 of the *IEEE-SA Standards Board Bylaws*. Balloting group members ~~have an obligation to respond during the balloting period; failure to return a ballot may disqualify the balloter from participation in future balloting groups~~ vote on the acceptability of a new, revised, or stabilized standard based on their interest in and commitment to reviewing and voting on a specific proposed standard. The balloting group shall provide for the development of consensus by all

interests significantly affected by the scope of the standard. This is achieved through a balance of such interests in the balloting group membership. Balance is achieved by not permitting any single interest category to comprise 50% or more of the Sponsor balloting group.

No balloter shall have more than one vote.

The *IEEE-SA Standards Board Bylaws* allow for the participation of invited individual experts in ballots of specific standards projects upon approval of the IEEE-SA Standards Board. An invited individual expert is a non-IEEE-SA member who has been invited by a Sponsor to ballot on a specific standards project for the purpose of providing his or her technical expertise to improve the quality of that document. The Sponsor shall provide the following information to the IEEE-SA Standards Board when requesting the participation of an invited individual expert in a particular balloting group:

- a) A rationale as to why the invited individual expert is needed
- b) Brief background information on each invited individual expert, including qualifications
- c) A statement explaining the detrimental impact if the invited individual expert does not participate
- d) The total number of individual experts invited to participate in this balloting group
- e) The contact information for the individual

Upon approval by the IEEE-SA Standards Board, an invited individual expert is entitled to the same balloting privileges as an IEEE-SA member for the specified standards project.

Balloters are required to classify their relationship to the balloting group relative to the scope of standards activity (for example, producer, user, and general interest). Where appropriate, additional classifications, such as “testing laboratory” or “academic,” may be added by the Sponsor. This decision should be based on the effect the standard may have on participants not already recognized by the primary classifications. Individuals classify themselves based on their technical background, which may be related to their employment, job functions, or experience. IEEE-SA entity balloters are classified based on their entity interest as it relates to the scope of the standards project (for example, producer, consumer, general interest). No group (classification) is permitted to constitute 50% or more of the balloting group membership. Care shall be taken to ensure that all classes of interest are represented to the extent possible.

It is desirable to have representation of the materially interested and affected parties when reviewing the balance of the balloting group. Sponsors shall ensure balance prior to conducting a Sponsor ballot. Balloting groups of individuals should have at least 10 members to ensure adequate balance.

Interested or affected persons who pay the appropriate fees associated with voting privileges may join the balloting group for a specific standards project. Once the ballot has begun, the balloting group is closed to additional participants. Even if IEEE-SA membership status changes during the balloting period or recirculation period, there shall be no change to the voting status of the balloter with respect to that ballot.

Persons may also purchase the ballot draft for information only. Such persons may submit comments on the draft within the balloting period. However, they may not vote to approve, disapprove, or abstain on the proposed standard, nor are they entitled to receive any material other than the revised draft and responses to their comments.

Comments from persons who are not members of the balloting group shall be given due consideration and an appropriate response.

5.6.2 Process for adoption of non-IEEE Standards

5.6.2.1 Sponsor identification

A Sponsor, as defined by subclause 5.2.2 of the *IEEE-SA Standards Board Bylaws*, shall assume responsibility for coordinating the adoption of a non-IEEE standard by the IEEE. The Sponsor shall be responsible for the standard upon adoption and until **withdrawal transfer to inactive status** in accordance with all IEEE Standards policies and procedures.

5.7 Trial-Use standards

Trial-Use standards are effective for not more than two years from the date of publication. In the absence of comments received in the trial period, the document is subject to adoption as a full-status standard by the IEEE-SA Standards Board upon recommendation of the Sponsor. Trial-Use standards shall contain a published scheduled cutoff date for receipt of comments and for further revision and approval action. This cutoff date shall be at least six months before the end of the trial-use period for the standard.

The approval period for a trial-use standard that is adopted as a full-status standard without change shall be for a total of **five-ten** years from the start of the trial-use period. If the trial-use period demonstrates that a trial-use standard has to undergo changes to become a full-status standard, a PAR for revision of an existing standard shall be prepared.

Trial-Use standards may result from one of the following:

- a) *At the Standards Development Level.* When a draft has been generated that generally satisfies the standards-developing group (i.e., subcommittee or working group) but needs input from a very broad constituency, such a draft may be processed as an IEEE Trial-Use Standard. For approval, such a draft requires a letter ballot of the Sponsor and approval by the IEEE-SA Standards Board as a trial-use standard.
- b) *At the Sponsor Level.* When a Sponsor is unable to resolve negative ballots to a satisfactory level, or uncertain aspects of the document justify preliminary distribution, it may consider submission of the draft to the IEEE-SA Standards Board as a trial-use standard.
- c) *At the IEEE-SA Standards Board Level.* When the IEEE-SA Standards Board cannot attain a suitable level of approval for a draft submitted for adoption as an IEEE Standard, it may decide to approve it as a trial-use standard.

6.3 Patents

6.3.3 **Withdrawn-Inactive** standards

All active IEEE standards are subject to periodic review for **reaffirmation, revision within ten years of IEEE-SA Standards Board approval, or withdrawal transfer to inactive status (see clauses 2.2 and 5.3 of the IEEE-SA Standards Board Bylaws and 9.2) every five years, and for stabilization every ten years.** Thus, any standard that incorporates patented technology may at some point in time be **withdrawn transferred to inactive status.** Clause 6 of the *IEEE-SA Standards Board Bylaws* contains policies concerning the period of validity for any Letter of Assurance received from a party regarding an Essential Patent Claim.

8.1.2 Amendments and corrigenda

Amendments and corrigenda are independent projects and are processed with separate PARs and balloted independently in accordance with the requirements of these procedures, including submission to the IEEE-SA Standards Board.

All amendments and corrigenda shall follow the style conventions for indicating changes defined in the *IEEE Standards Style Manual* (see clause 21 and annex C of that document).

Sponsor ballots of amendments and corrigenda shall also include access to the approved base standard and any approved amendments and corrigenda in order to provide sufficient information to the ballot group.

Up to three amendments can be approved before the standard shall be revised, unless the base standard has been approved **or reaffirmed** within the past three years. In **the latter such a** case, multiple amendments may be added until the base standard is three years old **or three years have elapsed since the most recent reaffirmation of the standard.** After the three-year period, RevCom shall defer consideration of additional amendments or corrigenda until a revision or a two-year extension request is approved by the IEEE-SA Standards Board. **The standard shall not be reaffirmed if three or more amendments to the base standard exist.**

If, for any extenuating circumstances, an exception to these rules is required, the Sponsor shall take its request for a two-year extension to RevCom. A project plan outlining the rationale for the request, as well as a schedule for the revision, also shall be submitted. RevCom will review the request and make a recommendation to the IEEE-SA Standards Board.

During the two-year extension period, Sponsors can submit additional amendments and corrigenda for approval consideration. However, after this period, RevCom shall defer consideration of additional amendments or corrigenda until a revision is approved by the IEEE-SA Standards Board.

Since the schedule for a standard's maintenance is based upon the approval date of the base standard, an amendment or a corrigendum may have been available for less than five years when it is subject to a maintenance action. Rules concerning the procedures for updating amendments are covered in clause 9.

9. Maintenance Review of IEEE standards

Sponsors are required to undertake a maintenance action on a standard within five years of its IEEE-SA Standards Board approval date. 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.

9.1 Reaffirmation

Standards that contain no identified significant obsolete or erroneous information may be submitted by the Sponsor for reaffirmation when accompanied by a ballot indicating approval by at least 75% of the interested and affected parties. When the Sponsor ballots a standard for reaffirmation, the entire standard, including approved amendments, corrigenda, and known errata, is subject to review by its balloters. Objections may indicate the need to revise the standard rather than to reaffirm it.

If any approved amendments or corrigenda are omitted during a reaffirmation ballot, a recirculation shall be required to present them to the balloting group.

Sponsors shall not conduct a reaffirmation ballot for standards with three or more amendments. In such situations, the Sponsor shall revise the standard instead (see 8.1.2).

9.1.1 Reaffirmation ballot

The ballot shall provide three choices:

- a) *Approve (Affirmative)*. This means, in the opinion of the voter, that the standard contains no significant obsolete or erroneous information and is useful in its current form. This vote may be accompanied by comments suggesting corrections and improvements. Action on such comments is left to the discretion of the Sponsor in future revisions.
- b) *Do Not Approve (Negative)*. This vote shall be accompanied by identification of either
 - 1) The specific contents that are obsolete or erroneous, along with reasons for the claim, or
 - 2) Identification of the specific topics to be added, along with justification why their omission is detrimental to the utility of the standard.
- e) *Abstain*. This vote shall be treated in the same manner as a regular ballot (see 5.4.3.1).

9.1.2 Resolution of reaffirmation comments, objections, and negative votes

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 considered in the next revision.

All unresolved negative ballots, together with the reasons of the negative voters and 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.

9.2¹ Revision

The Sponsor shall ~~shall~~ ^{should} initiate revision of a standard whenever any of the material in the standard (including all amendments, corrigenda, etc.) becomes obsolete or incorrect, or if three or more amendments to a base standard exist three years after its approval or most recent reaffirmation. The Sponsor may initiate revision of a standard when new material becomes available and normal evaluation of need and feasibility indicates revision is warranted. The procedure for revising a standard is the same as for developing a new standard. A revision shall encompass the cumulative scope of the project (including all approved amendments and corrigenda).

In a revision, balloters may register objections to any part of the standard, as the revision process opens the entire document to comment. (The amendment process shall be used when new material and possibly corrections of a limited scope are proposed.)

The draft revision document submitted to the IEEE-SA Standards Board shall be a complete version of the revised document. A complete document shall include both the changed and the unchanged text, with balloted changes incorporated into the document.

When a standard is revised, its approved amendments and corrigenda shall be ~~withdrawn~~ ^{removed from active status} as separate documents. Existing amendments and corrigenda shall either be integrated into the base document or eliminated as indicated in the PAR or determined by the Sponsor balloting process.

9.1.1 American National Standards

For those IEEE Standards that are also American National Standards, the Sponsor should initiate a revision prior to the standard's fifth anniversary of approval as an American National Standard (ANS) in order to keep the standard from being withdrawn by ANSI. If this does not occur, the Sponsor can provide a rationale for extension to the RevCom Administrator, who will communicate the request to ANSI. The request for an extension of time shall be submitted to ANSI prior to the thirtieth day following the fifth anniversary of approval as an ANS. A request for extension shall provide the schedule of work that will lead to revision.

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. 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.

9.42 Withdrawal/Removal from active status

Standards that are no longer useful or contain significant obsolete or erroneous information should be recommended for withdrawal from active status by the Sponsor. A recommendation for withdrawal from active status 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.

Every IEEE Standard shall be subject to transfer to inactive status by the IEEE-SA Standards Board at the end of the calendar year that is ten years past its approval date (i.e., the standard will be labeled *Inactive* and reserved for historical reference).

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

Summary: This change removes the reaffirmation and stabilization maintenance options; the active life of a standard is extended to ten years; and the status of 'inactive' is defined.

CHANGE 2

[*IEEE-SA Standards Board Bylaws and IEEE-SA Standards Board Operations Manual*]

(Approved by ProCom: June 2011)

(Approved by SASB: July 2011)

(Approved by BOG: August 2011)

IEEE-SA Standards Board Bylaws

5.5 Interpretations

The IEEE does not offer interpretations of its standards.

~~While it is always the intent of standards-developing committees to use language that is so clear that it is unnecessary to explain or amplify the original intent of the committee, occasionally questions arise regarding the meaning of portions of standards as they relate to specific applications.~~

~~Questions relating to such interpretations require review and evaluation by a balance of committee interests. No single officer or member of an IEEE Sponsor or subgroup thereof shall provide a written or verbal opinion concerning any portion of the text of an IEEE standards document or an American National Standard developed under IEEE secretariat, unless that opinion has first been subjected to consideration by an interpretations subgroup that represents all interested parties on the committee. The actions to be taken shall be as specified in subclause 5.9 of the *IEEE-SA Standards Board Operations Manual*.~~

IEEE-SA Standards Board Operations Manual

4.2.4.1 AudCom review of Sponsor P & P

AudCom recommends to the IEEE-SA Standards Board the following actions concerning IEEE-SA Sponsor P & P:

- Accepted
- Not accepted
- Visibly under development

A Sponsor's P & P shall be determined by AudCom to be visibly under development or accepted by AudCom before performance of any standards work (including but not limited to: PAR actions, Sponsor ballot actions, interpretations, etc.) by that Sponsor is authorized by the IEEE-SA Standards Board to commence.

After a Sponsor's P & P have been submitted to AudCom and an AudCom member is assigned as mentor to review the document, the P & P may be determined by AudCom to be visibly under development. The P & P will remain in such a state until AudCom is either satisfied that they are complete and acceptable or that the Sponsor is no longer responsive to AudCom and that the P&P are not acceptable.

AudCom will ensure that each Sponsor has based its P & P on the appropriate Sponsor procedures (e.g., individual, entity, SCC Type 1, or SCC Type 2) available from the IEEE-SA.

Sponsor P & P shall be subject to review by AudCom every five years to ensure currency. However, if a Sponsor revises its P & P prior to its next scheduled AudCom review, the Sponsor shall immediately submit its revised P & P to AudCom for review and acceptance.

The IEEE Standards Sponsor P & P document accepted by AudCom shall be the official policies of that Sponsor and shall reside online on the IEEE-SA Standards Board AudCom website. No other copy shall be designated as the official copy. Links to the IEEE-SA Standards Board AudCom website are encouraged.

4.2.4.2 AudCom review of Working Group P & P

It is the responsibility of the Sponsor (see 5.1.2) to approve the P & P of its working groups involved in the technical development work of a standard. However, at any time, AudCom may select a working group on which to conduct a WG P & P audit, from the various working groups that the Sponsor has active at the time. At least one of a Sponsor's WG P & P shall be subject to review by AudCom every five years to ensure currency. AudCom will conduct the review based on comparison to the then-current baseline WG P & P available from IEEE-SA.

AudCom will review the WG P & P of the selected working group and, if no issues are found, will report this to the IEEE-SA Standard Board. If issues are identified with the selected WG P & P, AudCom will suggest revisions. AudCom may also require review of additional WG P & P of other working groups for the Sponsor. If issues are not resolved in a reasonable time, or significant issues are found among the WG P & P of several working groups, AudCom may recommend to the IEEE-SA Standards Board that the Sponsor's Working Group P & P be considered "not accepted", and that Sponsor standards development activities be stopped. If issues exist but progress is being made, AudCom may recommend to the IEEE-SA Standards Board that the Sponsor's Working Group P & P be considered "visibly under development".

Stopping of standards development activities includes PAR submissions, Sponsor ballot activities, **interpretation actions**, etc.

5.9 Interpretations and explanations

Requests for interpretations 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.

Upon receipt, the Sponsor shall screen all such requests to separate those that require formal interpretation from those requesting an explanation. An interpretation provides meaning to a clause, phrase, or sentence when it is open to more than one reading or is ambiguous. An explanation does not attempt to resolve ambiguities, but tries to elucidate the reasons for a particular concept or approach. The Sponsor shall notify the Secretary of the IEEE-SA Standards Board in writing, including electronic mail, preferably within 10 days but no more than 30 days from the date of receipt of the request, of which classification has been assigned to the request.

The Secretary of the IEEE-SA Standards Board shall notify the requestor within 10 days of the Sponsor's written notification of the classification of the request and the anticipated response date.

5.9.1 Explanations process

The Sponsor shall prepare explanations in the manner it deems practical and send them to the party initiating the request and to the Secretary of the IEEE-SA Standards Board. The correspondence shall clearly note that the request was considered to be an explanation only. The explanation shall be developed in a timely manner. A copy of the explanation shall be kept in the Sponsor's records for consideration in developing any revisions or amendments to the standard.

The Sponsor shall not be required to develop a response that in its estimation constitutes engineering application information that would normally be within the area of consultant services. The explanation will be made available to any other party who makes a request to review the explanation. A charge may be incurred for providing such a copy and is the responsibility of the review requestor.

5.9.2 Interpretations process

The Sponsor may forward requests for interpretation to a designated interpretations group.

The proposed response prepared by the designated interpretations group shall be approved by a majority of that group prior to submittal to the Sponsor.

Once accepted by the interpretations group, a vote on the proposed response shall be taken in accordance with Sponsor rules. As a courtesy, the preliminary response may be sent to the requestor. If the requestor submits comments on the preliminary response within 15 days of the date that the proposed interpretation is sent to the requestor, the Sponsor shall consider the comments and respond to the requestor. The proposed interpretation response shall be concluded within nine months of notification of classification of the interpretations request as an interpretation by the Sponsor.

The final interpretation shall be transmitted to the party initiating the request. A copy shall be forwarded to the Secretary of the IEEE-SA Standards Board, together with a list of the members of the designated interpretations group for IEEE records. IEEE Standards

interpretations shall be posted at the IEEE Standards website until the next amendment or revision of the standard.

If the Sponsor is unable to reach consensus on an interpretation, the Sponsor can respond to the requestor that an interpretation will not be forthcoming on this matter. It should be noted that, if the Sponsor cannot issue an interpretation for a request, this area of the standard should be considered for revision.

Interpretations shall be developed in a timely fashion. If the Sponsor classifies the request as an interpretation, the Secretary of the IEEE-SA Standards Board shall provide a status report to the requestor no more than 90 days from the Sponsor's classification of the interpretation request as an interpretation. The Sponsor shall keep a log of all interpretations requested and completed. The Sponsor shall consider interpretations either as corrigenda, when developing an amendment to the standard, or for inclusion in the next revision of the standard.

5.9.3 Disclaimer

Wording to this effect is included in each IEEE standard published:

"At lectures, symposia, seminars, or educational courses, an individual presenting information on IEEE standards shall make it clear that his or her views should be considered the personal views of that individual rather than the formal position, explanation, or interpretation of the IEEE."

When a proposed interpretation is sent to a requestor and a Sponsor, the following wording shall be attached:

"WARNING: This proposed interpretation is not an official IEEE Sponsor interpretation, as it has not yet been balloted and, as such, is subject to change. This proposed interpretation is for informative purposes only. USE AT YOUR OWN RISK."

9.2 Removal from active status

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

Every IEEE Standard shall be subject to transfer to inactive status by the IEEE-SA Standards Board at the end of the calendar year that is ten years past its approval date (i.e., the standard will be labeled *Inactive* and reserved for historical reference).

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

Summary: This change eliminates the interpretations process.

CHANGE 3
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: June 2011)
(Approved by SASB: July 2011; modified and approved by SASB in September 2011)

IEEE-SA Standards Board Operations Manual

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, aAll IEEE Standards Association Sponsor ballots shall be conducted by the IEEE Standards Balloting Center.

As of 1 January 2005, aAll 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. **A request for a Sponsor ballot group membership list shall be submitted to the Sponsor Chair. The Sponsor Chair shall then forward such request to the IEEE-SA staff liaison for that Sponsor. The IEEE-SA staff liaison shall fulfill the request if the standard has been approved or upon its approval. For individual-based balloting, the supplied membership list shall consist of each member's name, affiliation, and interest category. For entity-based balloting, the supplied membership list shall consist of each entity's name, the entity's designated primary voting representative (and, if designated, the alternate voting representative), entity affiliation, and entity interest category.**

Summary: This change specifies the type of ballot group membership information that can be provided after a standard is approved by the IEEE-SA Standards Board.

CHANGE 4
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: June 2011)
(Approved by SASB: July 2011)

IEEE-SA Standards Board Operations Manual

4.2.3.2 Review of draft standards

The RevCom Administrator shall distribute a copy of each proposed standard to the members of RevCom, together with the submittal form and any other pertinent information, for review. An IEEE-SA Standards Board member or the liaison representative may request a copy of the proposed standard from the RevCom Administrator. RevCom members are responsible for reviewing the documents and submitting comments to the RevCom Administrator. All comments and objections with reasons shall be distributed by the RevCom Administrator to RevCom members and the liaison representative of the Sponsor.

All requests for approval of a standard shall be reviewed by RevCom to ensure that the submittal is complete and that appropriate IEEE procedures are followed completely and correctly (see the IEEE-SA Working Guide for Submittal of Proposed Standards).

Examples of some of the points that must be carefully analyzed are given in the following paragraphs:

- *Title of Document.* The title on the draft document and submittal form shall be within the scope as stated on the most recently approved PAR, or action(s) shall be taken to ensure this.
- *Scope and Purpose of Document.* For **all new and revision** projects, the scope and purpose of the draft document submitted to RevCom shall match the scope and purpose stated in the approved PAR.
- *Coordination.* Mandatory coordination comments shall be addressed. If the Sponsor believes that satisfying specific mandatory coordination comments will impede the utility of the draft standard, appropriate documentation of this position shall be presented to RevCom.
- *Ballot Summary.* A ballot summary of the vote of the members is required, e.g., showing the classification of members of the balloting group and including comments accompanying unresolved negative ballots. For complete details, see 5.4.1 and 5.4.3.
- *Balloting Group.* The balloting group shall be formulated according to 5.4.1.
- *Classification of Balloting Body.* Classification of the balloting body shall be in accordance with 5.4.1.
- *Comment Responses.* All comments shall receive consideration and response in accordance with 5.4.3.

8.1.2 Amendments and corrigenda

Amendments and corrigenda are independent projects and are processed with separate PARs and balloted independently in accordance with the requirements of these procedures, including submission to the IEEE-SA Standards Board. **A corrigendum may not extend the scope of the existing standard. An amendment may extend the scope of the existing standard, but if the proposed scope of the amendment PAR or the changes made in the draft amendment are found to be excessive by the IEEE-SA Standards Board, the Sponsor shall initiate a revision PAR to replace the amendment PAR.**

All PARs for amendments and corrigenda shall include a project scope.

All amendments and corrigenda shall follow the style conventions for indicating changes defined in the *IEEE Standards Style Manual* (see clause 21 and annex C of that document).

Sponsor ballots of amendments and corrigenda shall also include access to the approved base standard and any approved amendments and corrigenda in order to provide sufficient information to the ballot group.

Up to three amendments can be approved before the standard shall be revised, unless the base standard has been approved within the past three years. In such a case, multiple amendments may be added until the base standard is three years old. After the three-year

period, RevCom shall defer consideration of additional amendments or corrigenda until a revision or a two-year extension request is approved by the IEEE-SA Standards Board.

If, for any extenuating circumstances, an exception to these rules is required, the Sponsor shall take its request for a two-year extension to RevCom. A project plan outlining the rationale for the request, as well as a schedule for the revision, also shall be submitted. RevCom will review the request and make a recommendation to the IEEE-SA Standards Board.

During the two-year extension period, Sponsors can submit additional amendments and corrigenda for approval consideration. However, after this period, RevCom shall defer consideration of additional amendments or corrigenda until a revision is approved by the IEEE-SA Standards Board.

Summary: This change discusses how the scope of a standard is affected by an amendment or corrigendum.

CHANGE 5
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: September 2011)
(Approved by SASB: September 2011)

IEEE-SA Standards Board Operations Manual

5.4.1 Balloting group

The balloting group shall meet the criteria in subclause 5.2.2.3 of the *IEEE-SA Standards Board Bylaws*. Balloting group members vote on the acceptability of a new, revised, or stabilized standard based on their interest in and commitment to reviewing and voting on a specific proposed standard. The balloting group shall provide for the development of consensus by all interests significantly affected by the scope of the standard. This is achieved through a balance of such interests in the balloting group membership. Balance is achieved by not permitting any single interest category to comprise **50% or more than one-third** of the Sponsor balloting group.

No balloter shall have more than one vote.

The *IEEE-SA Standards Board Bylaws* allow for the participation of invited individual experts in ballots of specific standards projects upon approval of the IEEE-SA Standards Board. An invited individual expert is a non-IEEE-SA member who has been invited by a Sponsor to ballot on a specific standards project for the purpose of providing his or her technical expertise to improve the quality of that document. The Sponsor shall provide the following information to the IEEE-SA Standards Board when requesting the participation of an invited individual expert in a particular balloting group:

- a) A rationale as to why the invited individual expert is needed
- b) Brief background information on each invited individual expert, including qualifications
- c) A statement explaining the detrimental impact if the invited individual expert does not participate
- d) The total number of individual experts invited to participate in this balloting group
- e) The contact information for the individual

Upon approval by the IEEE-SA Standards Board, an invited individual expert is entitled to the same balloting privileges as an IEEE-SA member for the specified standards project.

Balloters are required to classify their relationship to the balloting group relative to the scope of standards activity (for example, producer, user, and general interest). Where appropriate, additional classifications, such as “testing laboratory” or “academic,” may be added by the Sponsor. This decision should be based on the effect the standard may have on participants not already recognized by the primary classifications. Individuals classify themselves based on their technical background, which may be related to their employment, job functions, or experience. IEEE-SA entity balloters are classified based on their entity interest as it relates to the scope of the standards project (for example, producer, consumer, general interest). No **single group (classification (interest category))** is permitted to constitute **50% or more than one-third** of the balloting group membership. Care shall be taken to ensure that all classes of interest are represented to the extent possible.

It is desirable to have representation of the materially interested and affected parties when reviewing the balance of the balloting group. Sponsors shall ensure balance prior to conducting a Sponsor ballot. Balloting groups of individuals should have at least 10 members to ensure adequate balance.

Interested or affected persons who pay the appropriate fees associated with voting privileges may join the balloting group for a specific standards project. Once the ballot has begun, the balloting group is closed to additional participants. Even if IEEE-SA membership status changes during the balloting period or recirculation period, there shall be no change to the voting status of the balloter with respect to that ballot.

Persons may also purchase the ballot draft for information only. Such persons may submit comments on the draft within the balloting period. However, they may not vote to approve, disapprove, or abstain on the proposed standard, nor are they entitled to receive any material other than the revised draft and responses to their comments.

Comments from persons who are not members of the balloting group shall be given due consideration and an appropriate response.

Summary: This change alters the balance calculation, as was deemed necessary due to ANSI audit findings. It becomes effective on 1 March 2012.

CHANGE 6
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: September 2011)
(Approved by SASB: September 2011)

IEEE-SA Standards Board Operations Manual

4.2.3.2 Review of draft standards

The RevCom Administrator shall distribute a copy of each proposed standard to the members of RevCom, together with the submittal form and any other pertinent information, for review. An IEEE-SA Standards Board member or the liaison representative may request a copy of the proposed standard from the RevCom Administrator. RevCom members are responsible for reviewing the documents and submitting comments to the RevCom Administrator. All comments and objections with reasons shall be distributed by the RevCom Administrator to RevCom members and the liaison representative of the Sponsor.

All requests for approval of a standard shall be reviewed by RevCom to ensure that the submittal is complete and that appropriate IEEE procedures are followed completely and correctly (see the IEEE-SA Working Guide for Submittal of Proposed Standards).

Examples of some of the points that must be carefully analyzed are given in the following paragraphs:

- *Title of Document.* The title on the draft document and submittal form shall be within the scope as stated on the most recently approved PAR, or action(s) shall be taken to ensure this.
- ~~*Scope and Purpose of Document.* For new and revision projects, the scope and purpose of the draft document submitted to RevCom shall match the scope and purpose stated in the approved PAR.~~
- *Coordination.* Mandatory coordination comments shall be addressed. If the Sponsor believes that satisfying specific mandatory coordination comments will impede the utility of the draft standard, appropriate documentation of this position shall be presented to RevCom.
- *Ballot Summary.* A ballot summary of the vote of the members is required, e.g., showing the classification of members of the balloting group and including comments accompanying unresolved negative ballots. For complete details, see 5.4.1 and 5.4.3.
- *Balloting Group.* The balloting group shall be formulated according to 5.4.1.
- *Classification of Balloting Body.* Classification of the balloting body shall be in accordance with 5.4.1.
- *Comment Responses.* All comments shall receive consideration and response in accordance with 5.4.3.

Summary: This change eliminates the ‘match’ rule from RevCom review.

CHANGE 7
[IEEE-SA Standards Board Operations Manual]
(Approved by PatCom: September 2011)
(Approved by SASB: September 2011)

IEEE-SA Standards Board Operations Manual

6.3.1 Public notice

The following notice shall appear **in all draft and approved IEEE standards when the IEEE receives assurance from a claimed patent holder or patent applicant prior to the time of publication that a license will be made available to all applicants either without compensation or under reasonable rates, with reasonable terms and conditions that are demonstrably free of any unfair discrimination.**

Attention is called to the possibility that implementation of this standard may require use of subject matter covered by patent rights. By publication of this standard, no position is taken **by the IEEE** with respect to the existence or validity of any patent rights in connection therewith. **If a patent holder or patent applicant has filed a statement of assurance via an Accepted Letter of Assurance, then the statement is listed on the IEEE-SA website <<http://standards.ieee.org/about/sasb/patcom/patents.html>>, that it Letters of Assurance may indicate whether the Submitter is willing or unwilling to grant licenses under these patent rights without compensation or under reasonable rates, with reasonable terms and conditions that are demonstrably free of any unfair discrimination to applicants desiring to obtain such licenses. Other**

Essential Patent Claims may exist for which a **statement Letter of Assurance** has not been received. The IEEE is not responsible for identifying Essential Patent Claims for which a license may be required, for conducting inquiries into the legal validity or scope of Patents Claims, or determining whether any licensing terms or conditions provided in connection with submission of a Letter of Assurance, if any, or in any licensing agreements are reasonable or non-discriminatory. Users of this standard are expressly advised that determination of the validity of any patent rights, and the risk of infringement of such rights, is entirely their own responsibility. Further information may be obtained from the IEEE Standards Association.

If the IEEE has not received Letters of Assurance prior to the time of publication, the following notice shall appear:

Attention is called to the possibility that implementation of this standard may require use of subject matter covered by patent rights. By publication of this standard, no position is taken with respect to the existence or validity of any patent rights in connection therewith. The IEEE is not responsible for identifying Essential Patent Claims for which a license may be required, for conducting inquiries into the legal validity or scope of Patents Claims or determining whether any licensing terms or conditions provided in connection with submission of a Letter of Assurance, if any, or in any licensing agreements are reasonable or non-discriminatory. Users of this standard are expressly advised that determination of the validity of any patent rights, and the risk of infringement of such rights, is entirely their own responsibility. Further information may be obtained from the IEEE Standards Association.

Summary: This change collapses all necessary components into one Public Notice statement.

CHANGE 8
[IEEE-SA Standards Board Bylaws and IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: September 2011)
(Approved by SASB: October 2011)
(Approved by BOG: December 2011)

IEEE-SA Standards Board Bylaws

5.2.2.3 Sponsor balloting group

Potential dominance in Sponsor ballots as evidenced by an unduly high proportion of individuals employed by or affiliated with a single entity or from a particular balloting classification is unacceptable, counter to open and fair participation by all interested parties, and deprecated by the IEEE-SA Standards Board. All individuals joining a ballot group shall declare their employer and affiliation (see subclause 5.3.3.1 of the *IEEE-SA Standards Board Operations Manual*). The Sponsor shall review the ballot group for balance and possible dominance. If it is determined that the ballot group may be dominated (see 5.2.1.3), the Sponsor shall recommend remedial actions to the IEEE-SA Standards Board to ensure a fair and open ballot. The IEEE-SA Standards Board may also take action independent of any Sponsor recommendation.

The balloting group shall consist of persons who are members of the IEEE-SA and [Note: The balloting group may also include non-IEEE-SA members that pay the appropriate per-ballot fee (see subclause 5.4.1 of the *IEEE-SA Standards Board Operations Manual*)]. A person is an individual or entity. An entity can be any for-profit or not-for-profit enterprise, as defined in IEEE Bylaw I-403. In addition, with the approval of the IEEE-SA Standards Board, invited individual experts who are non-IEEE-SA members may participate in ballots of proposed IEEE standards.

A single type of balloting group for a standard shall be established at the time of PAR approval and officially approved prior to the formation of a balloting group. A statement of the type of balloting membership to be used shall be included in all versions of the draft standard and the final approved standard.

IEEE-SA Standards Board Operations Manual

5.4.1 Balloting group

The balloting group shall meet the criteria in subclause 5.2.2.3 of the *IEEE-SA Standards Board Bylaws*. Balloting group members vote on the acceptability of a new, revised, or stabilized standard based on their interest in and commitment to reviewing and voting on a specific proposed standard. The balloting group shall provide for the development of consensus by all interests significantly affected by the scope of the standard. This is achieved through a balance of such interests in the balloting group membership. Balance is achieved by not permitting any single interest category to comprise 50% or more of the Sponsor balloting group.

No balloter shall have more than one vote.

The *IEEE-SA Standards Board Bylaws* allow for the participation of invited individual experts in ballots of specific standards projects upon approval of the IEEE-SA Standards Board. An invited individual expert is a non-IEEE-SA member who has been invited by a Sponsor to ballot on a specific standards project for the purpose of providing his or her technical expertise to improve the quality of that document. The Sponsor shall provide the following information to the IEEE-SA Standards Board when requesting the participation of an invited individual expert in a particular balloting group:

- a) A rationale as to why the invited individual expert is needed
- b) Brief background information on each invited individual expert, including qualifications
- c) A statement explaining the detrimental impact if the invited individual expert does not participate
- d) The total number of individual experts invited to participate in this balloting group
- e) The contact information for the individual

Upon approval by the IEEE-SA Standards Board, an invited individual expert is entitled to the same balloting privileges as an IEEE-SA member for the specified standards project.

Balloters are required to classify their relationship to the balloting group relative to the scope of standards activity (for example, producer, user, and general interest). Where appropriate, additional classifications, such as “testing laboratory” or “academic,” may be added by the Sponsor. This decision should be based on the effect the standard may have on participants not already recognized by the primary classifications. Individuals classify themselves based on their technical background, which may be related to their employment, job functions, or experience. IEEE-SA entity balloters are classified based on their entity interest as it relates to the scope of the standards project (for example, producer, consumer, general interest). No group (classification) is permitted to constitute 50% or more of the balloting group membership. Care shall be taken to ensure that all classes of interest are represented to the extent possible.

It is desirable to have representation of the materially interested and affected parties when reviewing the balance of the balloting group. Sponsors shall ensure balance prior to conducting a Sponsor ballot. Balloting groups of individuals should have at least 10 members to ensure adequate balance.

Interested or affected persons who pay the appropriate fees associated with voting privileges may join the balloting group for a specific standards project. Once the ballot has begun, the balloting group is closed to additional participants. Even if IEEE-SA membership status changes during the balloting period or recirculation period, there shall be no change to the voting status of the balloter with respect to that ballot.

Persons may also purchase the ballot draft for information only. Such persons may submit comments on the draft within the balloting period. However, they may not vote to approve, disapprove, or abstain on the proposed standard, nor are they entitled to receive any material other than the revised draft and responses to their comments.

Comments from persons who are not members of the balloting group shall be given due consideration and an appropriate response.

Summary: This change eliminates invited experts.

CHANGE 9
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2011)
(Approved by SASB: December 2011)

IEEE-SA Standards Board Operations Manual

5.4.3 Conduct of the standards balloting process

When a proposed standard is ready for Sponsor balloting, a standards ballot shall be conducted by the Sponsor or Sponsor designee via the IEEE Standards Association balloting tools. The standards balloting process consists of Sponsor balloting group members casting votes, with or without accompanying comments, in one or more successive ballots until completion of the standards balloting process. Sponsor balloting group members shall submit votes and comments in a manner and in a format compatible with approved IEEE Standards Association balloting tools. Comments may be submitted against any normative or informative content of the ballot document, except for the Notice to Users section and the Sponsor Ballot Participant list.

Summary: This change clarifies the sections of the ballot document that are open to ballot comments.

CHANGE 10
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2011)
(Approved by SASB: December 2011)

IEEE-SA Standards Board Operations Manual

1.2 Types of IEEE standards

IEEE standards include but are not limited to:

- Lists of terms, definitions, or symbols, applicable to any field of science or technology within the scope of the IEEE.
- Expositions of scientific methods of measurement or tests of the parameters or performance of any device, apparatus, system, or phenomenon associated with the art, science, or technology of any field within the scope of the IEEE.
- Characteristics, performance, and safety requirements associated with devices, equipment, and systems with engineering installations.
- Recommendations reflecting current state-of-the-art in the application of engineering principles to any field of technology within the scope of the IEEE.

IEEE standards are classified as:

- *Standards*: documents with mandatory requirements.
- *Recommended practices*: documents in which procedures and positions preferred by the IEEE are presented.
- *Guides*: documents in which alternative approaches to good practice are suggested but no clear-cut recommendations are made.
- *Trial-Use documents*: publications in effect for not more than two years. They can be any of the categories of standards publications listed above. (See 5.7.)

The IEEE standards development process may result in one or more of the following documents:

- *New*: A document that does not replace or modify another standard.
- *Revision*: A document that updates and replaces (i.e., supersedes) an existing IEEE standard in its entirety.
- *Amendment*: A document that ~~contains new~~ **adds to, removes from, or alters** material ~~to~~ **in a portion of** an existing IEEE standard and may ~~contain~~ **make editorial or** technical corrections to that standard.

NOTE – An amendment to a standard may be prepared to maintain the state-of-the-art within the standard due to advancing technology or techniques. An amendment facilitates the timely change of an existing IEEE standard prior to its complete revision.

- *Corrigendum*: A document that only ~~contains~~ **corrects editorial errors,** technical ~~errors, or ambiguities in corrections to~~ an existing IEEE standard. **A corrigendum does not introduce new material.**

NOTE – A typical corrigendum may contain:

- **Corrections to equations, tables, or figures, or their associated numbering or citations in the text**
- **Corrections to technically incorrect sentences or paragraphs**

- *Erratum*: A document that contains only grammatical corrections to, or **corrections of** errors introduced during the publishing process of, an existing IEEE standard. **An erratum is based on the comparison of the final balloted version of the standard as compared to the published version.**

IEEE Standards Project Editors can assist Sponsors in determining whether an amendment or revision is appropriate.

IEEE Standards may be in one of three states of activity:

- *Developing*: Standards projects that have not yet been approved as standards.
- *Active*: Approved standards that have not been transferred to inactive status
- *Inactive*: Standards that are no longer being reviewed or assessed for accuracy, relevance to current practices, or further applications; these standards are removed from active status (i.e., these standards are transferred from active to inactive status. (See 9.2).

Summary: This change clarifies the document types.

CHANGE 11
[IEEE-SA Standards Board Operations Manual]
(Approved by ProCom: December 2011)
(Approved by SASB: December 2011)

IEEE-SA Standards Board Operations Manual

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, **Part 1** 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 **Technical** 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 **Technical** 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 **Technical** 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 **Technical** 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 **with a particular IEC Technical Committee/Subcommittee Working Group/Maintenance Team/Project Team between the two groups.** The letter shall include a rationale for the liaison relationship, as well as an indication of how the IEEE **Technical** 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 **Technical** 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 of** the **level of an** IEC Technical Committee/Subcommittee **w**Working **g**Group, **m**Maintenance **t**Team, or **p**Project **t**Team. This expert acts as the official representative of the IEEE **Technical** 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/~~Maintenance Team/Project Team~~ 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 appropriate IEEE-SA staff for assistance Manager, Standards Intellectual Property.

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

Summary: This change makes corrections to the Category D Liaison section of our P&Ps.

CHANGE 12

[*IEEE Standards Association Operations Manual and IEEE-SA Standards Board Bylaws*]

(Approved by ProCom: December 2011)

(Approved by SASB: January 2012)

(Approved by BOG: March 2012)

IEEE Standards Association Operations Manual

5.1 IEEE-SA Standards Board

The BOG shall establish and appoint a Standards Board to encourage and coordinate the development and revision of IEEE standards; to approve the initiation of IEEE standards projects; and to review them for consensus, due process, openness, and balance. The IEEE-SA Standards Board shall give final approval to IEEE standards prior to publication and shall process all necessary appeals. The IEEE-SA Standards Board shall approve the initiation and termination of Industry Connections activities, and review their progress (see subclause 4.2.7 of the IEEE-SA Standards Board Bylaws).

The rules and procedures for the IEEE-SA Standards Board are contained in the *IEEE-SA Standards Board Bylaws* and the *IEEE-SA Standards Board Operations Manual*. The BOG shall approve proposed changes to *IEEE-SA Standards Board Bylaws* unless there is a conflict with its governing documents. Any conflict shall be resolved by a task force appointed by the IEEE-SA President.

IEEE-SA Standards Board Bylaws

1. IEEE-SA Standards Board

The IEEE-SA Standards Board is established by the IEEE-SA Board of Governors according to clause 5.1 of the *IEEE Standards Association Operations Manual*. The details of its responsibilities beyond that specified in the *IEEE Standards Association Operations Manual* are stipulated by these bylaws, as supplemented by the *IEEE-SA Standards Board Operations Manual*.

The IEEE-SA Standards Board is responsible on an Institute-wide basis for

- a) Encouraging and coordinating the development of IEEE standards
- b) Reviewing all proposed IEEE standards to determine whether the proposed standards conform to the requirements established by the IEEE-SA Standards Board and whether consensus has been achieved for approval of the proposed standards
- c) Overseeing the initiation, review, and termination of Industry Connections activities

Matters of standards policy, financial oversight, new directions in standardization, and other standards-related activities in fields of interest to the Institute as stated in the *IEEE Constitution* are the responsibility of the IEEE-SA Board of Governors (BOG).

4.2 Standing committees of the IEEE-SA Standards Board

4.2.7 Industry Connections Committee (ICCom)

4.2.7.1 Scope

This committee shall be responsible for ensuring that proposed Industry Connections activities are within the scope and purpose of the IEEE, and for reviewing the progress and deliverables of Industry Connections activities. The committee shall examine Industry Connections Activity Initiation Documents (ICAIDs) and make recommendations to the IEEE-SA Standards Board regarding their approval. The committee shall also make recommendations to the IEEE-SA Standards Board regarding the termination of Industry Connections activities. The committee's procedures and responsibilities are specified in the IEEE-SA Industry Connections Committee Operations Manual.

4.2.7.2 Organization

This committee shall be comprised of at least five members, at least two of whom, including the chair, shall be voting members of the IEEE-SA Standards Board. The chair and other members of the committee shall be appointed by the Chair of the IEEE-SA Standards Board for a term of one year.

Summary: This change discusses Industry Connections and ICom.