

INCITS

ORGANIZATION, POLICIES AND PROCEDURES – ANNEX A FOR USNC TECHNICAL ADVISORY GROUPS (TAGS)

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Where IT all begins

*InterNational Committee for
Information Technology Standards*

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Annex A

Policies and Procedures for USNC Technical Advisory Groups (TAGs) to ISO/IEC JTC 1

A.1 Introduction

These procedures for USNC Technical Advisory Groups to ISO/IEC JTC 1 SCs, WGs, and AGs meet the requirements for due process and coordination in the development of U.S. positions for IEC activities as given in ANSI “Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC” as referenced in Section 2 of this document. A USNC TAG consists of its Technical Advisor (TA), its members, and its TAG Secretary.

For the purposes of these procedures, the USNC TAG Administrator is INCITS Secretariat.

A.1.1 Useful Documents

In addition to the references in Section 2 of this document, the following references may also be useful:

The *USNC Tool Box*:

- a) USNC Statutes
- b) USNC Rules of Procedure
- c) USNC Statutes for Sample Quorum Definitions
- d) TMC Reference Doc
- e) IEC Reference Documents

ISO/IEC/CEN/CENELEC electronic balloting commenting template (Latest Version) for comments

USNC Policy on Distribution of Free Copies of IEC Standards and Working Documents for use in USNC Standards Development Activities

ANSI's Conflict of Interest Policy

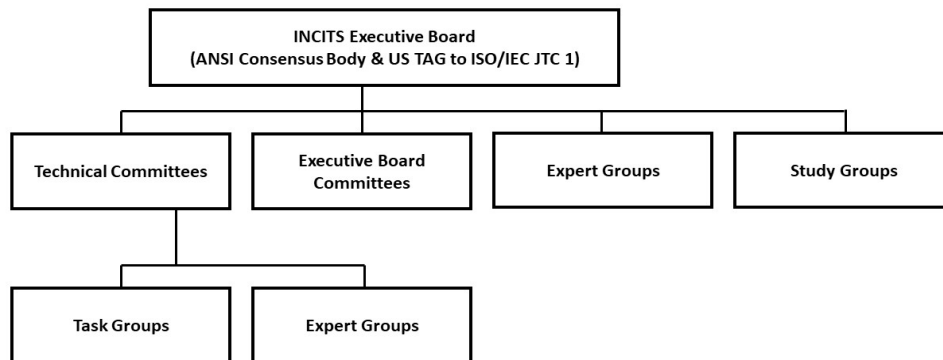
Code of Conduct

A.2 General

The work of INCITS is distributed among the Executive Board which serves as the US TAG to ISO/IEC JTC 1 and its subordinate groups:

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

The organization of INCITS is shown below:



Subgroups of USNC TAGs or separate USNC TAG may be formed to relate to working groups of a JTC 1 Sub Committee. Where the USNC TAG to an IEC Subcommittee is not independently recognized, the degree of independent authority to take actions shall be defined in writing (as part of the USNC TAG procedures, or as a policy or agreement) and shall be approved by the parent USNC TAG and INCITS Executive Board, and a copy provided to the USNC Technical Management Committee (hereafter referred to as TMC).

There are several responsibilities that may be shared among the Technical Committee Technical Advisor (TA)/Chair, the Deputy Technical Advisor (DTA)/Vice-Chair, and the TAG Secretary. These leaders shall have an agreement on who has the primary responsibility for each.

The official language of USNC TAGs is English.

A.3 Executive Board

Refer to Sections 3.2, 3.8, 3.9.1.1, 3.9.1.2, 3.9.4.1, and 5.2.1.4 of this document.

A.4 Technical Committees (TC)

New TCs are established by the Executive Board. A TC may serve as a TAG, representing the U.S. in its corresponding international programs of work. A TC participates technically on behalf of the Executive Board on related international standards activity, particularly within the corresponding subcommittee of JTC 1 and other relevant international technical committees.

Note: These Technical Committees (TC) are not same as IEC Technical Committees.

A TC's status will be reviewed, and the TC may be disbanded by the Executive Board if:

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

A representative of a prospective voting member shall initially attend a meeting without voting privileges and reaffirm interest in the work of TC, TG, or SG. Voting privileges become effective with execution of the INCITS Membership Agreement, attendance at one of the next two successive meetings and receipt by the Secretariat of the applicable fees for the membership year. For a new TC, TG, or SG, all attendees

at the formation meeting or second meeting shall be considered voting members, subject to the rules in Section A.11, Limits on Voting Membership.

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

For Non-voting member categories, See Section A.12.

A.4.1 Task Group, Expert Groups and Ad Hoc Groups

A.4.1.1 Task Groups (TG)

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

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

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

Upon approval of its parent TC and written notification to the INCITS Secretariat, a TG may be delegated complete responsibility for its projects internationally and be assigned corresponding TAG assignments. In these cases, the TG may input directly to the international SC or WG with notification to its parent TC. These TGs shall follow 9.3.3.3, Task Group Voting Methods and Approval Criteria, in all instances.

A.4.1.2 Ad Hoc Groups

An Ad Hoc group may be established by the Chair of the Executive Board, a Technical Committee, or a Task Group for one or more specific short-term tasks not exceeding 180 calendar days unless longer term approved by the Executive Board. Its function is to do a specific job and report back to the parent IOE.

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

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

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

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

A.4.1.3 Expert Groups (EG)

The Executive Board, TCs, and TGs may establish an Expert Group to carry out over an extended period of time assigned tasks within the scope of the parent's program of work. Establishment/Disbandment of an EG is approved by vote of the parent IOE (EB or TC/TG with notification to the Executive Board).

Note: This expert group is not same as an IEC expert. In IEC, Experts in relevant technical fields for SCs are individuals appointed by their National Committees, via the Expert Management System, and designated to one or more working group, maintenance team or project team.

EGs have responsibility for specific areas described in their charter and cannot hold TAG assignments except Executive Board EGs; they may make recommendations directly to the parent IOE.

Membership in an Expert Group is limited to:

- a) members of the parent IOE;
- b) Other INCITS IOEs.

For Expert Groups reporting to Executive Board, EB may authorize participation by non-INCITS members.

Meeting notices and agendas for Expert Groups shall be distributed in advance of meetings on a schedule suitable for EG planning. The minutes of each parent IOE meeting shall include a section listing all expert groups and meeting reports including any potential votes on recommendations.

When an EG serves as a USNC TAG, the procedures in Section A.17, International Standards Development Procedures, shall be followed. The requirements in voting table found in Section A.24.2.3.2, Technical Committee, shall be used.

EG Chair is appointed by the parent IOE chair and other officers of EG are appointed by EG Chair.

A.4.2 Technical Committee, Task Group, and Expert Group Officers

The following sections apply to each INCITS TC, TG and EG.

A.4.2.1 Chair

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

TC Chairs shall be representatives of voting members of the respective Technical Committee elected by the Executive Board and USNC TMC and may serve an indefinite number of three-year terms subject to approval by INCITS Executive Board and USNC TMC. TG Chairs shall be representatives of voting members of the respective Task Group elected by the Executive Board and may serve an indefinite number of three-year terms subject to approval by INCITS Executive Board. EG Chairs shall be representatives of voting members of the parent IOE appointed by the chair of parent IOE. Chairs may vote and participate according to membership rules.

A.4.2.2 Vice-chair

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

A.4.2.3 Secretary

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

A.4.2.4 International Representative (IR)

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

A.4.2.5 Liaison to other organizations

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

Outbound Liaisons are appointed by their respective Chairs.

A.5 Officer Appointments

A.5.1 General Procedures

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

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

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

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

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

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

A.5.2 TC, TG, and SG Officer Appointments

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

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

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

For TC Officer appointments, Once Executive Board appointment action is completed, the information should be forwarded to USNC Office for final approval. Once approved by USNC TMC, the INCITS Secretariat shall advise the TC and the candidates. For TG and SG, once Executive Board appointment action is completed, the INCITS Secretariat shall advise the TC, TG or SG and the candidates

The individual appointed shall assume the officer position upon completion of the term of the incumbent, or, if the officer position is vacant or the incumbent's term has expired, the individual appointed shall assume the officer position immediately.

A.6 INCITS Technical Committee and Task Group Technical Advisor (TA)/Chair and Deputy Technical Advisor (DTA)/Vice-Chair

The TA may serve as Chair of the USNC TAG and Co-TAs may also be appointed where appropriate.

Upon recommendation of the USNC TAG, or TA, if so authorized by the INCITS Executive Board, one or more Deputy Technical Advisors (DTAs) may be appointed by the TMC. The DTA shall work with the TA in accordance with any agreement reached between them. The DTA may attend meetings of the TMC and shall have the privilege of the floor. The term of office for the DTA should be concurrent with that of the TA and he/she may be reappointed. The USNC Office shall notify all members of the USNC of each appointment.

INCITS Executive Board and TMC shall make all decisions concerning the appointment of TAs and DTAs, including their continuation, reappointment, and, if necessary, withdrawal for cause.

For TA and DTA Candidates, INCITS Secretariat shall submit to the USNC Office:

- a) a nomination confirming the endorsement by the related USNC TAG and INCITS Executive Board;
- b) complete contact information of the candidate(s) (i.e. affiliation, mailing address, phone, fax, and email information);
- c) a brief biographical sketch (curriculum vitae); and
- d) a statement of support from the candidate's employer.

A.6.1 Qualifications of TAs and DTAs

The following are essential attributes that make somebody suitable for appointment to a TA or DTA position. An appointed TA or DTA no longer qualified as defined in this paragraph may no longer serve as a TA or DTA.

- a) technical expertise in the subject area
- b) knowledge of and recognition by the concerned part(s) of the U.S. industry sector
- c) negotiating skills

- d) financial and administrative support for travel and activities
- e) ability to conduct business electronically
- f) understanding of the IEC standards development process
- g) full membership in the USNC TAG

Candidates for a TA or DTA position that do not possess a particular attribute will need specific support from specified members of the USNC TAG or the INCITS Secretariat in those deficient areas.

A.6.2 Responsibilities of TAs/Chairs

A TA is responsible for presiding at meetings and ensuring that the program of work for that body is carried out in a prompt, efficient, and effective manner in accordance with objectives and these procedures. A TA will perform the following functions and fulfill the following responsibilities: (*Note: A number of these responsibilities may be carried out by the TA, the DTA, the International Representative, Treasurer, Liaisons, others (Ad hoc Group Chair), the Head of Delegation to an ISO/IEC JTC 1 SC meeting, or the INCITS Secretariat.*)

- a) Recommend an initial roster of a newly formed USNC TAG
- b) Guide the USNC TAG in selecting qualified delegates to international meetings.
- c) Arrange for the distribution of IEC documents to USNC TAG members and identified national interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the INCITS Executive Board and USNC Office, to the IEC Central Office when such documents are necessary or desirable. When requested by a WG expert, arrange for distribution of appropriate WG documents to the USNC TAG for collection and preparation of suitable documents for transmission through the WG expert.
- d) In collaboration with the INCITS Secretariat:
 - i. Post documents in ICMS and distribute to the committee, record meeting attendance in ICMS, and review the ICMS action items as appropriate
 - ii. Prepare or cause the preparation of a draft U.S. position (comments or votes) on issues being considered in ISO/IEC JTC 1 Sub-committee for deliberation within the USNC TAG
 - iii. Encourage such deliberations so as to come to a USNC TAG consensus position on each issue
- e) Make certain that the USNC TAG consensus position is forwarded to the USNC Office for transmission to IEC in a timely manner (i.e. typically one week in advance of the IEC deadlines so as to allow for the USNC Office processing, IEC Central Office processing, and to provide some safety margin to accommodate unforeseen events such as miscommunications).
- f) Initiate action by the USNC TAG to identify U.S. experts who can participate on desired Working Groups (WG), Maintenance Teams (MT), and Project Teams (PT).
- g) Arrange for existing U.S. national standards to be used as initial discussion drafts in related ISO/IEC committees, wherever appropriate and with the authorization of the standards developing organization.
- h) Promote harmonization between U.S. and IEC standards and, where appropriate, advocate for the adoption or adaptation of IEC standards by U.S. standards developing organizations.

- i) Maintain liaison with other TAs and INCITS Technical Committee Chairs where required for consistency in U.S. positions for agreement on basic policies, or where they have mutual interests.
- j) Anticipate future programs of JTC 1 SC to permit the maximum possible time for establishing a U.S. consensus.
- k) Monitor IEC organizational changes and recommend the necessary steps to acquire additional Secretariats and other leadership roles (Chairs, Vice Chairs, Convenors, etc.) for the U.S to INCITS Executive Board.
- l) Keep all U.S. participants acquainted with the work and the disposition of their recommendations, nominations, determinations, proposals, and positions.
- m) Provide for the continuity of U.S. participation.
- n) Assure that a U.S. position is presented for each agenda item at a given meeting of an ISO/IEC JTC 1 SC.
- o) Assure that the consensus of the USNC TAG is represented in U.S. positions and in oral opinions expressed by the USNC delegations to JTC 1 SC meetings.
- p) Keep INCITS Executive Board and USNC TMC informed about significant issues related to the JTC 1 SC's work at the IEC level or within the USNC TAG. It is especially important that the TA consult with the INCITS Executive Board and TMC on:
 - i. Matters involving the proper organization and operation of the USNC TAG.
 - ii. Difficulties in finding delegates to international meetings or in obtaining financial support for such delegates.
 - iii. The U.S. response to "Questions of Principle" shown on reports of the TC/SC.
 - iv. Proposals for:
 - a. Committee Secretariat and possible USNC acceptance
 - b. Committee Chairs
 - c. Hosting of Committee meetings in the U.S.
- q) Ensure compliance with the USNC TAG's procedures and the USNC's Statutes and Rules of Procedure, in concert with the INCITS Secretariat.
- r) Report to the USNC TAG on the status, progress, and outcome of USNC TAG submissions to IEC in a timely manner.
- s) Agree to advance USNC TAG positions in ISO/IEC JTC 1.
- t) Send timely jeopardy notices on endangered memberships
- u) Represent the committee to other INCITS committees and external organizations.
- v) Prepare and forward to the INCITS Secretariat press releases and other publicity material about the committee's 'Program of Work' and actively promote the work
- w) Noting that responsibilities may be delegated and redistributed, the Chair appoints:
 - o Vice Chair

- Secretary
 - International Representative
 - Treasurer
 - Liaisons
 - Head of Delegation for each international meeting
 - Other (e.g., ad hoc group Chair)
- x) Schedule subgroup meetings as far in advance as possible, ideally for a full calendar year; ensure administrative meeting arrangements are addressed; and update the INCITS Committee Management System (ICMS) Calendar
- y) Attend all required training session and ensure all officers attend required training sessions (e.g., INCITS Committee Management System (ICMS), officer tutorial)
- z) Ensure any subsidiary USNC TAGs developed internal procedures (proposed or revised) are submitted to the Secretariat for review and approval by the Executive Board and USNC TMC prior to implementation
- aa) Prepare the Annual Report:
- a) The Annual Report is prepared in accordance with the template and should include a financial statement, if applicable.
 - b) Attend the annual officer’s symposium. This responsibility may be delegated to another committee officer, if necessary.

A.6.3 Responsibilities of DTA/Vice-Chair

1. In the absence of the Chair, perform the duties of the Chair.
2. Act as committee administrator (unless otherwise assigned) and be responsible for administrative duties.
 - a) Register and distribute documents related to committee work using ICMS.
 - b) Prepare and distribute meeting notices and agendas in accordance with the procedures, in consultation with the Chair.
 - c) Record attendance in ICMS and notify the Chair of any individual requiring membership jeopardy notice.
 - d) Notify the INCITS Secretariat of changes in the committee membership.
3. May review documents prior to posting in ICMS for legibility, clarity, accuracy, and appropriateness.
4. Reviews the ICMS Action Items and coordinates action with the Chair and the International Representative.
5. Attend required training sessions.

A.6.4 Officer Recall Procedures

When circumstances require, it is the responsibility of the Executive Board to provide a recommendation to USNC Office to recall a USNC TAG Officer. The following procedures apply:

- Formal consideration of corrective action or recall begins with a written communication between a concerned party and the INCITS Secretariat. The matter is discussed in executive session at the next Executive Board meeting, and at that time the Executive Board shall decide whether sufficient grounds exist to investigate it.
- If it is decided to investigate the matter, the INCITS Secretariat shall notify in writing the officer involved. An Executive Board member is designated to follow up on the original communication to the INCITS Secretariat, discuss the matter with the officer involved, gather other information and opinions, as appropriate, and make a report in executive session at the next Executive Board meeting. At that time, the Executive Board decides whether to take no further action, to continue its investigation or to recall the officer involved. In any case, the officer involved is notified in writing. The Executive Board decision should be reported to USNC Office for final decision.

A.7 USNC Technical Advisory Groups (USNC TAGs)

A.7.1 Criteria for Viability

A viable USNC TAG is defined as one that has:

- a) an appointed USNC TAG Administrator (INCITS Secretariat) that is an ANSI Member (organization, company, or government agency) or that pays the equivalent fee;
- b) an appointed TA/chair;
- c) an appointed USNC TAG Secretary;
- d) Four (4) or more Voting Members, including those who have paid requisite fees and those with approved waivers; and
- e) TMC-endorsed USNC TAG Operating Procedures (MOPs or Unique).

A.7.2 USNC TAG Validation Process

Each USNC TAG must formally adopt these Unique Operating Procedures developed by the INCITS Executive Board.

The criteria for any USNC TAG -developed Unique Operating Procedures is that all subjects addressed in the USNC Model Operating Procedures shall be addressed in the USNC TAG -developed Unique Operating Procedures. In addition, their requirements shall be the same as or more stringent than those in USNC Model Operating Procedures.

The USNC TAG's approved Unique Operating Procedures must be submitted to the USNC Office in writing for consideration and endorsement by the Subcommittee on Operating Procedures prior to submission to the TMC for approval.

The USNC TAG Operating Procedures Submittal Package of Information shall be provided by the INCITS Secretariat to the USNC Office electronically and it must contain INCITS Secretariat's assertion that Unique Operating Procedures are used by the USNC TAG and a copy of the INCITS Executive Board minutes or vote results that shows the approval of the Operating Procedures being used.

A.7.3 USNC TAG Revalidation Process

Revalidation is required if the USNC TAG no longer utilizes the Model Operating Procedures and develops Unique Operating Procedures. USNC TAGs that have been certified under Unique Operating Procedures must be revalidated when and if those Procedures are revised substantively.

Revalidation is also required for all USNC TAGs upon significant revision of USNC Model Operating Procedures. Sufficient time will be provided to revalidate.

Note: It is anticipated that INCITS Secretariat will be reminded annually of their obligations to revalidate by the USNC office.

A.7.4 Amendments to USNC TAG Operating Procedures

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

Any Amendment to these procedures shall be originated by the PBC. Prior to submitting the Amendment to the Executive Board for consideration, the PBC shall initiate a notice and comment period of not less than 30 days to PBC and USNC TAG, and shall consider any comments received in its proposal that it submits to the Executive Board; the Executive Board shall then vote by a 14-day LB using the 2/3 Voting Rule.

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

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

A.8. USNC TAG Functions and Responsibilities

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

For all votes, recommendations, comments, and contributions (including contributions and comments from individual experts nominated by the U.S. to participate in Working Groups) the procedures for developing a U.S. position and submitting documents shall be in accordance with these procedures.

In collaboration with INCITS Executive Board, the responsibilities of a USNC TAG are the following:

- a) Nominate a Technical Advisor (TA)/Chair or Co-Technical Advisors, and Deputy Technical Advisor(s) as appropriate.
- b) Recommend registration of the USNC as a participating (“P”) member of an ISO/IEC JTC 1SC, or recommend a change in membership status.
- d) Approve U.S. new work item proposal (NP) and Maintenance Items for submittal to ISO/IEC JTC 1 SC for consideration.
- e) Establish the U.S. consensus positions on an IEC Document for Comment (DC), New Work Item Proposal (NP), Committee Draft (CD), and Committee Draft for Vote (CDV), Final Draft International Standard (FDIS), and other appropriate IEC documents.

- f) Identify USNC TAG members to become U.S. delegates to ISO/IEC JTC 1SC meetings, confirm Head of Delegations or designate alternate Heads of Delegations and members of the delegations.
- g) Assure that necessary funds needed to carry out the U.S. work in the related IEC TC/SC are secure. This includes the financing necessary for activities of delegates and experts. (*Note:* This does not imply that the USNC TAG will cover the expenses for the delegates and experts.)
- h) Determine U.S. consensus positions on agenda items of ISO/IEC JTC 1 SC meetings and advise the U.S. delegation to represent these positions and of any flexibility that may exist concerning them.
- i) Appoint experts to MTs, PTs, WGs, and AHGs who act in a personal capacity and not as the official representative of the U.S. It is recommended they keep close contact with the applicable USNC TAG in order to inform them and receive feedback about the progress of the work and of the various opinions in the working group at the earliest possible stage.
- j) Appoint U.S. Experts, nominate Project Leaders and Conveners to serve on IEC SC working groups and similar groups¹.
- k) Provide assistance to U.S. Secretaries of ISO/IEC JTC 1SCs, upon request, including resolving comments on DCs, NPs, WDs, CDs, CDVs, and FDISs.
- l) Identify and establish close liaison with other USNC TAGs in related fields or identify ISO or IEC activities that may overlap the USNC TAG's scope. (See Section A.36, Procedure for USNC Coordination of Subject Matter of Interest to Two or More Technical Committees or Subcommittees).
- m) Recommend to USNC the acceptance of Secretariats for ISO/IEC JTC 1SCs after considering the obligations and responsibilities that include individuals with related expertise and source of secretarial services with funding.
- n) Recommend that USNC invite ISO/IEC JTC 1 SCs to meet in the U.S. after considering the obligations and responsibilities, which include available facilities and funding.
- o) Recommend to USNC, U.S. candidates for Chairs of IEC SCs, or SyCs after considering the obligations and responsibilities of that office and whether a candidate has the experience, time, and funding.
- p) For an existing USNC TAG, when the need for a new USNC TAG Administrator arises, the USNC TAG may recommend an entity to INCITS Executive Board and the TMC.
- q) Appropriate liaisons shall be maintained among TAGs on related activities.

A.9. USNC TAG Administrator (INCITS Secretariat) / USNC TAG Secretary

A.9.1 USNC TAG Administrator (INCITS Secretariat)

Each USNC TAG shall be administered by a USNC TAG Administrator appointed by the USNC/TMC.

¹ When the USNC has the opportunity to appoint Conveners or Experts to IEC WGs, PTs, MTs, etc. it is the responsibility of the related USNC TAG and INCITS Executive Board to select the best qualified individual(s) for the position. Such individuals shall be adequately supported to accomplish their mission. The names and addresses of the nominees are submitted by the INCITS Secretariat to the USNC office, which in turn officially makes the appointment in the Expert Management System (EMS). Changes in U.S. Experts on these groups shall be processed by the USNC office.

Note: For the purposes of these procedures, the USNC TAG Administrator is INCITS Secretariat.

When a new IEC Technical Committee, Subcommittee, or Systems Committee is established on which the USNC is registered as a Participating Member or when a currently assigned USNC TAG Administrator (INCITS Secretariat) is relinquishing that responsibility, the USNC Office will invite, via ANSI's *Standards Action* publication, expressions of interest in this assignment from qualified entities.

A.9.2 USNC TAG Secretary

In collaboration with INCITS Secretariat, the responsibilities of a USNC TAG Secretary are as follows:

- a) Support the TA/chair in organizing and maintaining the USNC TAG.
- b) Provide for administrative services, including arrangements for USNC TAG meetings, timely preparation and distribution of documents related to the work of the USNC TAG, and maintenance of appropriate records, including USNC TAG rosters, minutes of meetings and voting results.² Requires full electronic document handling and communication capability to meet USNC and ISO/IEC JTC 1 requirements.
- c) In accordance with ISO/IEC JTC 1, USNC, and its own approved procedures, arrange for the distribution of IEC documents to USNC TAG members, identified interested parties, collection and correlation of comments, and preparation of suitable U.S. documents for transmission, through the USNC Office, to the IEC Central Office when such documents are necessary or desirable. When requested by a U.S.-Appointed Expert, arrange for distribution of appropriate MT, PT, and WG documents to the USNC TAG for preparation of suitable comments for the Expert.
- d) Transmittal of U.S. positions on relevant ISO/IEC JTC 1 SC issues and votes to the USNC Office.
- e) Work to maintain the viability of the USNC TAG as part of the USNC TAG Participation Fee Program.
- f) Ensure compliance with the USNC TAG's Procedures and the USNC's Statutes and Rules of Procedures, in concert with the TA.
- g) Transcribe meeting minutes in consultation with the Chair and Vice-Chair.
- h) Submit minutes to the INCITS Secretariat for review and approval within two weeks of the meeting. Minutes shall be approved by the INCITS Secretariat prior to distribution to the committee.
- i) Attend required training sessions.

Neither the INCITS Secretariat nor the USNC TAG Secretary has veto power over the decisions of the USNC TAG.

A.10 Membership

Membership shall be open to all U.S. national interested parties who indicate that they are directly and materially affected by the activity of the USNC TAG, after being informed concerning the USNC TAG's working procedures and scope of activities. Members are expected to participate actively by fulfilling

² As of the date of approval of these Procedures, the ANSI recommended records retention guideline is as follows: "Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised, or reaffirmed IEC Standards shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawn standards shall be retained for at least five years from the date of withdrawal."

attendance, voting, correspondence, paying dues and any other obligations. Members are expected to conduct themselves in a professional manner.

An organization may be a member of a particular TC or a TG without regard to membership in any other IOE. Voting membership in TCs, TGs, and SGs is open to all directly and materially affected parties that meet attendance and voting requirements and pay the designated service fee(s) and USNC TAG individual participation fee.

In order to comply with ANSI requirements, while all parties may participate in the discussion, only those organizations that are U.S. National Interested Parties in the U.S. shall have voting membership on USNC TAG. Prospective members may attend one meeting of a USNC TAG before requesting membership. In that meeting, the prospective member shall not be entitled to vote or exercise other benefits of INCITS membership.

There shall be no undue financial barriers to participation. The USNC assesses a USNC TAG Individual Participation Fee to INCITS Secretariat which is collected annually by the USNC Office. Some categories of membership are exempt from this fee, e.g. USNC Honorary Life Members etc. In addition, INCITS Secretariat charges an annual service fee to recover administrative expenses. Participation shall not be conditional upon membership in any organization, or unreasonably restricted on the basis of technical qualifications or other such requirements.

INCITS membership fees are not refundable.

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

A.10.1 Membership Roster

The roster shall include the following:

- a) title and designation of the USNC TAG
- b) Technical Advisor(s)/Chair (s)
- c) Deputy Technical Advisor(s)/Vice-Chair (s) (same as for TA)
- d) USNC TAG Secretary
- e) Other USNC TAG Officers (if applicable)
- f) Voting Members including USNC Honorary Life Members and each individual's designated category
- g) U.S. Conveners and Experts
- h) Non-Voting Participants including:
 - i. Advisory Members
 - ii. Emeritus Members
 - iii. USNC TAG-appointed Liaisons
 - iv. Ex-officio Participants

The INCITS Secretariat shall submit updates to the USNC Office (USNC@ansi.org) when changes occur. The roster should include the affiliation, mailing, phone, and email information of each participant.

A.10.2 Maintenance of Rosters

The USNC Office shall be the office of record for USNC TAG membership rosters with assistance from INCITS Secretariat. An individual becomes a USNC TAG member only upon completion of the membership requirements, payment of any fees, and upon addition to the USNC Roster.

Note: Applicants are expected to understand and abide by the ANSI conflict of interest policy, this document, INCITS policies (See Section 4), INCITS Code of Conduct, INCITS anti-trust guidelines, INCITS patent policy, and INCITS patent declaration form.

A.10.3 Recommendation

The INCITS Secretariat shall consider:

- a) the appropriateness of the involvement of each interest in the work of the USNC TAG
- b) the potential for dominance by a single interest
- c) the extent of interest expressed by the applicant, and the applicant's willingness to participate actively

A.10.4 Diverse Interests

The policy of "One Organization, One Vote" applies. If, however, representatives from distinct entities of an organization can demonstrate independent interests and authority to make independent decisions in the area of the activity of the USNC TAG, each may apply for membership.

A.10.5 Combined Interests

When appropriate, INCITS Secretariat may recommend that the applicant seek representation through an organization that is already represented by a member who represents the same or similar interests.

A.10.6 Participation in International Working Groups and Study Groups

All U.S. experts who participate in international WGs and SGs shall be:

- representatives of voting or advisory members in Good Standing of the appropriate USNC TAG;
- individual experts who are not members of the TAG; however, all persons participating in this capacity shall not participate for more than a single 6-month period; or
- Emeritus Members of the appropriate USNC TAG, if approved by the Executive Board to participate in the WG or SG.

Such individuals are expected to conduct themselves in a professional manner.

The INCITS Secretariat maintains a list of all eligible experts along with the appropriate IEC Stakeholder Categories for each expert and shall coordinate updates to the expert list with USNC. The INCITS Secretariat will then notify the USNC Office of the proposed appointment using the designated USNC Expert Appointment form. This information shall be entered into the IEC Expert Management System in order for the expert to be considered a member of the international group, attend meetings and receive documents. There are no national body delegations in international WG and SG meetings. The USNC Office will confirm USNC TAG membership for each expert or invoice the INCITS Secretariat the USNC TAG Individual Participation Fee. Upon receipt of payment, the official appointment will be made in the IEC Expert Management System. Note that a fee may not be assessed to some participants e.g. USNC Honorary Life Members, USNC Premier Member companies etc.

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

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

A.10.7 Appointed Delegates to ISO/IEC JTC 1 SC Meetings

All delegates to ISO/IEC JTC 1 SC meetings shall be members of the USNC TAG. Such delegates are expected to conduct themselves in a professional manner. Observers to JTC 1 SC meetings need not be members of the USNC TAG but shall be approved by the USNC TAG.

A.10.8 Representation of Interests

All directly and materially affected U.S. national interested parties shall have the opportunity for fair and equitable participation without dominance by any single interest.

Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation. The requirement implicit in the phrase “without dominance by any single interest” normally will be satisfied if a reasonable balance among interests can be achieved.

Unless it is claimed by a directly and materially affected person that a single interest dominated the standards activity, to the exclusion of fair and equitable consideration of other viewpoints, no test for dominance is required.

A.11 Limits on Voting Membership

The following criteria apply to Voting Members.

A.11.1 Government

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

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

A.11.2 Academic Institutions

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

A.11.3 SDOs, Consortia

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

A.11.4 All Other Organizations

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

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

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

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

A.12 Non-voting Members

A.12.1 Advisory Members

All advisory memberships are non-voting memberships.

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

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

A.12.2 Emeritus Members

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

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

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

The nomination shall include the following details:

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

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

Emeritus Members hold non-voting, non-dues-paying memberships in relation to a specific TC, TG or SG. However, they are not exempt from USNC TAG individual participation fee.

Individuals appointed as Emeritus Member shall continue to hold their Emeritus Member title as long as all requirements noted above are met. Emeritus Members may resign their position as described in Section A.13, Resignation of Membership.

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

A.12.3 Ex-Officio Participants

USNC TAGs may include Ex-Officio participants by virtue of their office. These contacts are exempt from the USNC TAG Individual Participation Fee and do not vote. They include the following:

- a) U.S. Chair or Vice Chair of related ISO/IEC JTC 1 and ISO/IEC JTC 1 SCs
- b) U.S. Secretaries or Assistant Secretaries of related ISO/IEC JTC 1 and ISO/IEC JTC 1 SCs

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

A.12.4 Liaison Participants

The Liaison is responsible for monitoring the activities of the liaison organization and disseminating relevant information from or about the liaison organization. USNC TAGs may designate Liaison participants from other bodies with which ongoing contact is desired.

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

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

These contacts are exempt from the USNC TAG Individual Participation Fee and do not vote. They include the following:

- a) desired contacts for all Full IEC Members of FINCA (Forum of the IEC National Committees of the Americas), subject to the authorization of the related USNC TAG(s)
- b) entities with which the USNC TAG desires to maintain technical liaison
- c) leadership for USNC TAG for ISO/IEC JTC 1 SC participating in the INCITS Executive Board, and the Leadership for the USNC TAG of the Executive Board participating in the USNC TAGs for the ISO/IEC JTC 1 SCs. This reciprocal relationship is highly recommended.

A.13 Resignation of Membership

Resignation of membership in USNC TAG should be made by correspondence to the INCITS Secretariat and the TAG TA/Chair.

A.14 Termination of Membership

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

1. Attend two out of three successive meetings. If they are not represented at the next meeting, the organization is converted to Advisory status; or
2. Return two out of three successive non accelerated LBs. If the next non accelerated LB (identified by LB number) after the warning is not returned, the organization is converted to Advisory status.

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

Voting and advisory memberships shall be canceled by the INCITS Secretariat for failure to pay appropriate service fees or USNC TAG Individual Participation Fee within the time specified by the INCITS Secretariat.

An organization that has had its voting membership converted to Advisory status or terminated may re-establish membership. If this membership is re-established within the same billing period and the organization has paid its fee, no new service fee shall be assessed by INCITS.

A.15 Review of Membership

The INCITS Secretariat shall review the membership list annually. Members are expected to participate actively by fulfilling attendance, voting, correspondence, and other obligations. Where a member is found in default of these obligations, INCITS Secretariat and USNC Office may take an action in accordance with Section A.14, Termination of Membership. The USNC Office and INCITS Secretariat shall coordinate the reconciliation of USNC TAG rosters on an annual basis.

A.16 Meetings

A.16.1 Schedule of Meetings

USNC TAG shall meet at least twice a year, either by teleconference, face to face meetings, or combination of the two. Meetings of the USNC TAG shall be open to all members. USNC TAG members are responsible to fund their own participation at USNC TAG meetings. INCITS Secretariat is not required to fund any participation costs.

A duly called meeting is one for which the meeting notice and draft agenda are issued in accordance with Section A.16.2, Meeting Notice and Draft Agenda. A duly called IOE meeting may be called by any of the following methods:

- The majority vote of those present at a prior meeting;
- The TA/Chair;
- The INCITS Secretariat; or
- Written request to the TA/Chair from a quorum of the voting members of the INCITS Organization Entity.

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

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

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

When the number of voting members in a TC/TG is insufficient to hold a quorate meeting, and when necessary to meet short-term international deadlines or similar special circumstances, the INCITS Secretariat may obtain and submit recommendations to the Executive Board for review and approval.

This process shall only be used until the TC/TG regains the minimum number of voting members to hold a quorate meeting.

A.16.2 Meeting Notice and Draft Agenda

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

A.16.3 Document for Action (Two-Week Rule)

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

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

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

A.16.4 Quorum

Quorum for IOEs is defined as:

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

A.16.5 Minutes

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

Results of Ad Hoc group meetings shall be reported in accordance with Section A.4.1.2, Ad Hoc Groups.

Results of Expert Groups meetings shall be reported in accordance with Section A.4.1.3, Expert Groups.

The required contents of minutes are as follows:

1. Date(s), location(s), Chair, Secretary, time of opening and adjournment.
2. Reference/link to the INCITS Anti-Trust Guidelines and Patent Policy.

3. Summary of significant actions taken.
4. Membership information, to include:
 - a. List of attendees, organization and role (e.g. Primary, Alternate, Advisory);
 - b. Documentation of membership changes since the last meeting, (new or terminated membership, establishment or loss of voting rights, prospective memberships;
 - c. Membership jeopardy information (failure to attend meetings or respond to non-accelerated LBs); and
 - d. Total number of voting members.
5. List of all created or reconstituted ad hoc groups that exist as of the end of the meeting, including the scope of the ad hoc group and a list of all individual ad hoc group members, showing whether those ad hoc group members are members of the parent IOE or not.
6. Approved agenda (or approved changes to draft agenda).
7. Approval of previous meeting minutes.
8. Each motion seconded and not withdrawn, identifying maker of the motion, the fact of a second, and the voting results.
9. Future meeting schedule.
10. List of action items assigned to members.

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

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

A.17 International Standards Development Procedures

A.17.1 General

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

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

These procedures shall be used in conjunction with Criteria for the Development and Coordination of U.S. Positions in the International Standardization Activities of the ISO and IEC referenced in Section 2 of this document.

A.17.2 International Representative (IR)

The duties of International Representative include:

1. Receive and review documents of the relevant JTC 1/SC committee and ensure distribution of the documents to the committee.

2. Review JTC 1 and JTC 1/SC meeting resolutions and documents that may require committee action.
3. Report status of international work at each meeting and ensures timely coordination with the Vice Chair and Chair on the agenda of needed actions.
4. Review ICMS Action Items and coordinates action with the Vice Chair and the Chair.
5. Prepare all comments, responses and contributions using the ISO/IEC Comments Template.
6. In conjunction with the Head of Delegation, ensure that the U.S. delegations are approved, and delegation accreditation forms are completed with the required information, considering the following:
 - a) The call for delegates
 - b) The sufficiency of proposed delegation with respect to the meeting agenda (e.g. technical knowledge, committee experience, international experience, negotiating skill, the training of new delegates).
7. Serve as Head of Delegation (if appointed by the Chair) to the U.S. delegation to JTC 1/SC meeting.
8. Provides input to the US delegation to JTC 1 SC Plenaries as requested by the INCITS Secretariat.
9. Attend required training sessions.

A.17.3 Flow of International Documents

U.S. documents are those developed and approved by the appropriate USNC TAG. All documents from ISO/IEC JTC 1 SCs shall enter the U.S. through USNC. The term 'documents' used in this section includes all numbered documents, ballots, comments, contributions, letters, and recommended responses submitted in between international meetings; it shall not apply to documents that are created at an international meeting.

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

The INCITS Secretariat coordinates with USNC to provide all relevant JTC 1 SC documents to the Executive Board members and to the appropriate subsidiary USNC TAG and its subgroups, and ensures that documents sent to JTC 1 arrive at the proper group. The INCITS Secretariat shall be responsible for distribution to their USNC TAG membership in accordance with these procedures.

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

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

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

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

A.17.3.1 Distribution of JTC 1 and IEC Working Group Documents

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

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

- Only US experts recorded in the IEC Expert Management System for that WG are able to access the Defined Access WG documents, and
- Access to WG documents continues to meet the requirements outlined in these procedures

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

A.17.4 JTC 1 SC Participation

JTC 1 SC documents shall be obtained from USNC. The INCITS Secretariat shall redistribute those documents to the members of the Executive Board, with information distribution to IOEs as required. If action is required, the IOE or INCITS Secretariat shall send a recommendation to the Executive Board. When there is no relevant USNC TAG assignment, the Executive Board shall take action.

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

A.17.5 U.S. Initiation of New Work Item Proposals (NP)

The responsible USNC TAG to any JTC 1 SC shall submit a proposed New Work Item to the INCITS Secretariat. This proposal shall include a recommendation on assignment as well as an identification of other USNC TAGs having a concern for subject matter related to the proposal.

The INCITS Secretariat shall ballot the recommendation to the Executive Board. Once approved by the Executive Board, the proposal may be submitted to USNC as a U.S. proposal to JTC 1 SC for an NP ballot.

For all IOEs, a U.S. proposal to JTC 1 SC for an NP shall be approved by the Executive Board.

A.18 Processing of NP Ballots

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

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

A.18.1 Votes on NP Ballots raised at the SC Level

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

A copy of the SC-level NP is also issued as a JTC 1 document (using a JTC 1 number) to all JTC 1 P-Members for concurrent review; this document shall be sent to the Executive Board and any comments received will be provided to the SC Secretariat and the USNC TAG.

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

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

A.18.2 Votes on NP Ballots raised at the JTC 1 Level

NP ballots raised at the JTC 1 level shall be circulated to the Executive Board by the INCITS Secretariat for review and comment. A copy of the NP shall also be simultaneously sent to all concerned USNC TAGs for review and comment within a time frame which shall permit consideration of such comments by the Executive Board.

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

A.19 Processing of JTC 1 CD Ballots

The USNC TAG shall distribute the CD ballot to its committee members.

The responsible TAG, in determining a recommended U.S. position, shall take into account comments from all other TAGs and sources and shall make a concerted effort to resolve differences. Responsible USNC TAGs shall forward the recommended U.S. position to the INCITS Secretariat for submission through USNC to the international committee.

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

A.20 Processing of CDV and FDIS

A.20.1 Processing of CDV Ballots

When the INCITS Secretariat receives a Committee Draft for Vote (CDV) ballot and text from USNC, the ballot shall be distributed to the USNC TAG for a recommendation to the Executive Board.

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

A.20.2 Processing of FDIS Ballots

When the INCITS Secretariat receives a Final Draft International Standard (FDIS) ballot and text from USNC, the ballot shall be distributed to the USNC TAG for a recommendation to the Executive Board.

The responsible USNC TAG shall submit a recommendation on the U.S. voting position to the Executive Board. Once the U.S. position is approved by the Executive Board, it shall be submitted to USNC for transmission to international committee.

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

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

All USNC TAGs shall meet the established JTC 1 or IEC deadlines.

A.21 U.S. Hosting of International Meetings

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

INCITS TC Chair shall submit U.S. offers (including required documentation) to host JTC 1 Sub-committee meetings to the INCITS Secretariat not less than 8 months prior to the international meeting, for approval by the Executive Board.

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

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

Prior to approval of hosting any international meeting, the organization hosting the meeting shall provide INCITS Secretariat a statement of management commitment that the following provisions will be met:

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

A.22 Nomination of U.S. Candidates to Serve as JTC 1 SC Officers (Chair, Committee Manager, Assistant Committee Manager)

The Executive Board is responsible for making recommendations to USNC on U.S. Candidates to serve as JTC 1 SC officers. Candidate appointments shall be considered through a nomination process.

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

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

A.23 Delegates for International Plenary Meetings

A.23.1 Delegates for International Meetings other than JTC 1 Working Groups & Study Groups

A.23.1.1 Head of Delegation (HoD)

For groups that serve as USNC TAGs to international meetings other than JTC 1 Working Groups or Study Groups, the HoD serves as chief spokesperson for the U.S. and is responsible for coordinating the activities of the U.S. delegation. A U.S. person who holds an international officer position as Chair, Chair-Elect or Convenor of a group shall not also act as U.S. Head of Delegation or chief spokesperson to that group or to its parent.

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

The duties of Head of Delegation (HoD) to ISO/IEC JTC 1 SC plenary meeting are:

1. Introduce U.S. Delegation and serve as chief spokesperson for the U.S. at international meetings.
2. Maintain working knowledge of applicable international issues and U.S. positions.

3. Ensure that committee members have provided input to the U.S. Delegation. As a best practice, delegate instructions may be prepared.
4. Arrange for and conduct delegation caucuses.
5. Provide delegation assignments prior to and during meetings. Lead delegates should be assigned for each plenary agenda item and may serve as experts on their assigned topics.
6. Maintain working knowledge of applicable international procedures (e.g., JTC 1 Supplement, ISO/IEC Directives and international protocol).
7. Develop rapport with other National Committee delegations.
8. Prepare the Head of Delegation (HoD) Report for submission to the INCITS Secretariat within thirty days of the adjournment of the international SC plenary meeting.
9. Ensure that U.S. offers to host international meetings comply with INCITS requirements.
10. In cases where the HoD is not the IR, provide to the IR copies of all meeting documents that require action and advise the IR of any subsequent communications addressed to the HoD.
11. Ensure all delegates are aware of the requirements in these procedures to be familiar with US positions and to promote them at the plenary.

A.23.1.2 Selection of Delegates

U.S. delegates to all international meetings other than JTC 1 WG and SG shall be approved by the responsible USNC TAG and be:

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

Voting on delegate lists shall be in accordance with these procedures. In the context of this section, “Appropriate USNC TAG” shall mean:

- For an SC meeting, the specific organization with the SC TAG assignment, or a WG or project TAG assignment within that SC;
- For a WG meeting, the specific organization with the WG TAG assignment; and
- For an Other Working Group (OWG) meeting (see JTC 1 Standing Document 10), the specific organization with the TAG assignment covering the project.

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

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

A.23.1.3 Participation

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

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

At the JTC 1 SC Plenary levels, all official U.S. positions shall be supported by all U.S. delegates.

All U.S. delegates shall follow the provisions of Section A.17.3, Flow of International Documents. Lead delegates will be assigned to each plenary agenda item and are expected to serve as experts on their assigned topics.

The INCITS Secretariat shall forward a list to USNC of U.S. delegates to international meetings other than JTC 1 WG or SG.

A.24 Voting

All voting members of a USNC TAG shall be a member in good standing. There shall be only one voting membership per organization (see Section A.11, Limits on Voting Membership). An alternate representative may vote only if the principal representative fails to vote.

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

A.24.1 Voting Practice

A.24.1.1 Types of Voting Positions

Three types of voting positions are allowed:

- Affirmative;
- Negative; or
- Abstention.

Note 1: "Abstain," in the context of the IEC/ISO voting process, indicates that the U.S. has chosen not to participate in the decision process for the inquiry in question. The decision to submit a vote of "ABSTAIN" can arise from a variety of circumstances, including the following:

- a) Inability of the USNC TAG to achieve consensus on a compromise position by any means possible within the time constraints of the ISO/IEC JTC 1 process
- b) Decision by the USNC TAG to neither support nor oppose a particular ISO/IEC JTC 1 proposal based on political considerations
- c) TA/USNC TAG/INCITS Secretariat did not submit a vote on time
- d) Insufficient USNC TAG members respond to meet quorum requirements

The USNC TAG is advised to consider, when attempting to reach consensus, that the international community may interpret a vote to "ABSTAIN" as follows:

- a) The U.S. does not have a stake in the ISO/IEC JTC 1 SC proposal under consideration;
- b) The U.S. does not wish to take a position because of certain considerations;

- c) The U.S. did not make the effort to submit a position; or
- d) The U.S. could not reach a conclusion.

Note 2: See Annex B.6 for an explanation of the criteria suggested for determining whether to vote “AFFIRMATIVE,” “NEGATIVE,” or “ABSTAIN.”

A.24.1.2 Method of Voting and Criteria for Approval

Five voting methods are permitted. These are:

- LB;
- Roll call vote;
- Show of hands;
- Voice vote; and
- Unanimous consent.

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

Actions that shall be approved with a LB and actions that may be approved either with a LB or with a meeting vote are found in Section 9.3.3, Actions Requiring Specific Voting Methods and the Criteria for Approval. Those tables also contain the criteria for approval of these actions. Any actions not listed in Section 9.3.3, Actions Requiring Specific Voting Methods and the Criteria for Approval may be approved using the Majority Rule; the Chair may select which voting Method to use from the above list. The method of meeting votes is at the discretion of the Chair unless otherwise specified in this document.

LB votes may be taken on issues other than those required in Section 9.3.3, Actions Requiring Specific Voting Methods and the Criteria for Approval. Such LBs are authorized by any of the following methods:

- Majority vote of those present at a meeting;
- The TA/Chair;
- The INCITS Secretariat;
- This document; or
- Written request to the Chair from five or more voting members of the INCITS Organizational Entity.

A.24.1.3 Letter Ballots (LB)

Affirmative votes may include comments.

Each Negative vote shall include reasons for the Negative position and, if possible, recommend specific modifications necessary to change the Negative position to an affirmative position.

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

The voting period for LBs depends on the action being considered. The duration period for some actions is contained in the tables of Section 9.3.3, Actions Requiring Specific Voting Methods and the Criteria for Approval. For actions not listed there, the duration period is fourteen days unless otherwise directed by the INCITS Secretariat. The duration period for all LBs commences on the date of issue of the LB. An extension may be granted by the INCITS Secretariat when warranted and when the extension does not cause undue problems, such as failure to submit an international vote on time.

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

A.24.1.5 Default Ballots

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

A.24.1.6 Accelerated Letter Ballots

The INCITS Secretariat may approve an accelerated LB with a voting period of less than fourteen days.

A.24.1.7 Report of Final Letter Ballot Results

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

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

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

A.24.2 Definition of Criteria for Approval

The following definitions apply to all IOEs except Expert Groups. For Expert Groups, all actions shall be approved by meeting vote. The criteria for approval shall be the majority rule as described in Section A.24.2.1 (a). When an EG serves as a USNC TAG, the requirements in voting table found in Section A.24.2.3.2, Technical Committee, shall be used. The following definitions apply to all IOEs.

A.24.2.1 Majority Rule

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

A.24.2.2 2/3 Voting Rule

The 2/3 voting rule is defined as:

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

A.24.2.3 Actions Requiring Specific Voting Methods and the Criteria for Approval

Actions not listed in the following sections may be approved using the Majority Rule.

A.24.2.3.1 Executive Board

Executive Board Action	Voting Method	Approval
Organization		
Establishment of TC	14-day LB or meeting vote	2/3 voting
Establishment of SG	14-day LB or meeting vote	Majority
Disbandment of TC	14-day LB or meeting vote	2/3 voting
Change in U.S. TAG to JTC 1 scope or Termination of U.S. TAG to JTC 1	14-day LB or meeting vote	2/3 voting
Appointment of officers	14-day LB	Majority
Recall of officers	30-day LB	2/3 voting
Approval of the INCITS Policies and Procedures or its content	14-day LB	2/3 voting
Approval of an INCITS Position Statement provided to the public and/or government entities	LB or Meeting Vote	2/3 voting <i>Note 1</i>
Establish a quorum of three members for an IOE	LB or Meeting Vote	2/3 voting
INCITS Code of Conduct Violation Termination of Member or Representative Participation	30-day LB	2/3 voting
INCITS Code of Conduct Violation Reinstatement of Member or Representative Participation	30-day LB	2/3 voting
International		
U.S. position and vote on JTC 1 Level document (USNB vote on SC Document in agreement with default position on JTC 1 Document)	14-day Review	Default
U.S. position and vote on JTC 1 Level document (USNB vote on SC Document NOT in agreement with default position on JTC 1 Document)	14-day LB or meeting vote	2/3 voting
U.S. position and vote on JTC 1 Level ballots, NP, DTR, DIS, DAM, Directives, etc.	14-day LB or meeting vote	2/3 voting
U.S. position and vote on JTC 1 Level ballots FDIS, FDAM	14-day LB or meeting vote	2/3 voting
Recommendation to USNC on international officer positions (e.g., SC Chair, WG Conveners)	14-day LB or meeting vote	2/3 voting
Proposal for U.S. submission of NP, Fast Track Candidate	14-day LB or meeting vote	2/3 voting
Recommendation to USNC on acquisition of a JTC 1 Subgroup Secretariat	14-day LB or meeting vote	2/3 voting
Recommendation to USNC on relinquishment of a JTC 1 Subgroup Secretariat	14-day LB or meeting vote	Majority

Approval for U.S. position regarding a Fast Track ballots, PAS Submitter Application or Transposition ballots	30-day review	Default
Approval for U.S. position regarding a Fast Track ballots, PAS Submitter Application or Transposition ballots (when comments received)	14-day LB or meeting vote	2/3 voting
Vote on USNB Contributions, Comments	14-day LB or meeting vote	2/3 voting

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

A.24.2.3.2 Technical Committee

This clause also applies to those INCITS TGs and SGs holding TAG responsibilities.

Technical Committee Action	Voting Method	Approval
Organization		
Establishment of a TG	14-day LB or meeting vote	Majority
Recommendations on Officer appointments, Chair	14-day LB	<i>Note 1</i>
Establishment of a Fund Fee	14-day LB or meeting vote	2/3 voting
Change to a Fund Fee	14-day LB or meeting vote	2/3 voting
International - Organization/Administrative		
Vote on U.S. Delegation	14-day LB or meeting vote	Majority
Nomination of Project Editors	14-day LB or meeting vote	2/3 voting
Recommendation on Nomination for WG Convenor, SC Chair	14-day LB	<i>Note 1</i>
International - Standards Processing		
Vote on Contributions, Comments	14-day LB or meeting vote	2/3 voting
Vote on SC NP (Answers to seven questions)	14-day LB or meeting vote	2/3 voting
Vote on JTC 1 N document (Other than NP or DTR)	14-day LB or meeting vote	Majority
Vote on CD, DTR	14-day LB or meeting vote	2/3 voting
Vote on Draft Technical Corrigenda	14-day LB or meeting vote	2/3 voting

Recommendation to Executive Board on NP, DTR, DTS, CDV, DAM, FDIS, FDAM	14-day LB or meeting vote	2/3 voting
Submittal of American National Standard to Executive Board as Candidate for JTC 1 Fast Track Procedures	14-day LB or meeting vote	2/3 voting

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

A.24.2.3.3 Task Group

Task Group Action [Note 1 Applies to entire Table]	Voting Method	Approval
Organization		
Establishment of a Fund Fee	14-day LB or meeting vote	2/3 voting
Change to a Fund Fee	14-day LB or meeting vote	2/3 voting
International - Organization/Administrative		
Recommendation to TC on Vote for U.S. Delegation	14-day LB or meeting vote	Majority
Recommendation to TC on Nomination of Project Editors	14-day LB or meeting vote	Majority
Recommendation on Nomination for Convenor	14-day LB	Note 1
International - Standards Processing		
Recommendation to TC on Vote on Contributions, Comments	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on SC NP (Answers to seven questions)	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on JTC 1 N document (Other than NP or DTR)	14-day LB or meeting vote	2/3 voting
Recommendation to TC on CD, DTR	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on Draft Technical Corrigenda	14-day LB or meeting vote	2/3 voting
Recommendation to TC on Vote on NP, DTR, CDV, DAM, FDIS, FDAM	14-day LB or meeting vote	2/3 voting
Recommendation to TC on submittal of American National Standard as candidate for JTC 1 Fast Track procedures	14-day LB or meeting vote	2/3 voting

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

A.25 Consideration on Views and Objections to Ballots

The TA, in cooperation with Chair and Secretary of the USNC TAG, shall determine whether the expressed views and objections shall be considered by telephone, correspondence, or at a meeting.

Prompt consideration shall be given to the expressed views and objections of all participants, including those commenting on a Final Draft International Standard (FDIS) listed in ANSI's *Standards Action* publication. A concerted effort to resolve all expressed objections shall be made and each objector shall be advised of the disposition of the objection and the reasons, therefore.

Comments, including objections or differing views, shall be reported to the USNC TAG members to afford all members an opportunity, with appropriate time limits, to object to the submittal of comments to the INCITS Executive Board and USNC Office.

If a consensus position cannot be determined for some differing views, neither view shall be presented. If the differing view is with regard to voting yes or no, an abstention shall be submitted.

A.26 Submittal of U.S. Positions

U.S. positions shall be processed as follows:

A.26.1 Responsibility for Submission

Upon completion of the procedures for voting, consideration of views and objections, and appeals, the U.S. position shall be submitted to the USNC Office by INCITS Secretariat in electronic format and utilizing the required ISO/IEC/CEN/CENELEC electronic balloting commenting template for comments. All votes and comments shall be submitted to USNC@ansi.org email address.

Some back-up mechanism among the INCITS Secretariat Staff must be identified in the event of unusual circumstances for filing ballots that are required to maintain "P" member status for the USNC. If a USNC TAG's recommended vote/comments are not received by the USNC Office by the required deadline, typically one week before the IEC deadline, a "STAFF ABSTENTION" will be submitted and those involved will be so notified.

The USNC Office, representing the U.S. IEC member body, is responsible for providing all official U.S. positions to IEC.

A.26.2 Information to be Submitted

By the designated deadline, normally one week prior to the announced IEC deadline, INCITS Secretariat shall transmit to the USNC Office:

- a) title and designation of the document
- b) recommended votes and/or comments, proposals, documents, or other informational material suggesting the course of action to be followed on matters before the international committee
- c) status of any appeal action related to approval of the proposed U.S. position
- d) identification of all unresolved views and objectives, names of the objector(s), and a report of attempts toward resolution

The INCITS Secretariat shall ensure transmittal of the recommendations, positions, and related reasons to the members of the USNC TAG.

The USNC Office shall transmit to the IEC Central Office or TC/SC/SyC Secretary votes, comments, proposals, or informational material for consideration by the international Technical Committees or Subcommittees.

Note: When a national standard is recommended as a New Work Item Proposal, the authorization of the standard's originating organization must be obtained prior to submittal.

A.27 Conflict of Interest

In the event of a potential or apparent conflict of interest between the USNC TAG consensus position (comments or votes) and that of the TA, the issue shall be resolved in a USNC TAG meeting to the satisfaction of the USNC TAG, such that the USNC TAG has confidence that the USNC TAG's consensus position and its interests in that subject will be advanced and championed in IEC.

The intent of this resolution is to reconcile any USNC TAG/TA differences. Should resolution between the USNC TAG and TA not be possible, other provisions or actions must be made. For instance, in the case of an international meeting, this resolution could require the USNC TAG to authorize a special delegate to the meeting to carry the USNC TAG's consensus position and interests on that subject, or the USNC TAG may select a Head of Delegation (HOD)³ for that meeting other than the TA. Depending on circumstances it may not be appropriate for the TA to be part of the delegation to that meeting.

International Chairpersons and Conveners are officers of their parent body committees (ISO/IEC JTC 1 SCs). In their capacity as SC Chairpersons and WG Conveners, they operate under the relevant procedures established by ISO/IEC JTC 1.

In their capacity as officers of SCs, SC Chairpersons and WG Conveners nominated or endorsed by the U.S. shall maintain an international point of view and shall not represent and advocate U.S. positions or positions of the organizations that employ them.

SC Chairpersons and WG Conveners nominated and endorsed by the U.S. shall:

- Not serve concurrently as members or HoD of US Delegations, or US appointed experts to the SC or WG that they chair.
- Not serve concurrently as US appointed experts to any WG or other subgroup (e.g., Ballot Resolution Meeting) of the SC or WG that they chair.
- Represent voting member organizations of the counterpart USNC TAG, although they need not be Principal or Alternate representatives.

A.28 Termination of USNC TAG

Failure to meet the requirements of Section A.7.1, Criteria for Viability, voting membership of TC not sufficient to meet quorum requirements or TC Program of work has been eliminated, are reasons for termination of the USNC TAG (by the INCITS Executive Board and TMC).

Any directly and materially affected interested party may propose to terminate a USNC TAG. The proposal shall be submitted in writing to the USNC Office and to the TA and INCITS Secretariat and shall include the reasons why the USNC TAG should be terminated. The INCITS Executive Board shall take action in accordance with Section A.24.2.3, Actions Requiring Specific Voting Methods and the Criteria

³ Head of Delegation (HOD) – If there is more than one delegate the USTAG designates one individual as Head (Leader) of the U.S. delegation to an IEC TC or SC meeting. He/she will be the delegation's principal spokesperson and will be responsible for casting the official U.S. vote on issues coming before the committee. The HOD may be the TA or another member of the USTAG.

for Approval. Based on the results of the vote and concurrence of the TMC, the INCITS Secretariat and USNC Office shall take action promptly to change the USNC's ISO/IEC JTC 1 SC registration accordingly.

In the event that the U.S. holds the secretariat for an IEC SC for which the USNC TAG is considering termination, INCITS Secretariat shall submit their position regarding termination of the USNC TAG to the USNC Office.

As a result of action taken in accordance with Section A.24.2.3, Actions Requiring Specific Voting Methods and the Criteria for Approval, should termination of the USNC TAG be approved, notification of such action shall be announced in ANSI's *Standards Action* publication. The announcement shall note that dissolution of the USNC TAG will result in the U.S. relinquishing its participating ("P") status in the international activity. Also, if the U.S. serves as international Secretariat, the announcement shall state that the U.S. will resign this position. The appropriate notification(s) shall be sent to the IEC Central Office regarding the change in status, and the relinquishment of the Secretariat, if applicable.

A.29 Communications

The primary form of USNC TAG communications shall be via electronic means or through INCITS ICMS. Written correspondence of the USNC TAG, its Officers, and Secretary should preferably be on "USNC TAG correspondence" letterhead. If not, correspondence should clearly show in the title/subject that it concerns USNC TAG matters. E-mail correspondence should indicate in the subject field that it is USNC TAG business.

External communications such as inquiries relating to the USNC TAG should be directed to the TA and/or the INCITS Secretariat, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the TA or INCITS Secretariat.

A.30 Reports and Review

A.30.1 Technical Activity Annual Reports

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

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

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

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

A.30.2 Head of Delegation Reports

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

A.31 Appeals Procedure

A.31.1 Right of Appeal

U.S. National Interested Parties who have directly and materially affected interests and who believe they have been or will be adversely affected by any procedural action or inaction relative thereto and within the INCITS jurisdiction shall have the right to appeal.

A.31.2 Appeals Principles

The following general criteria are adopted:

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

A.31.3 Complaint

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

A.31.3.1 Response

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

A.31.3.2 Hearing

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

A.31.3.3 Appeals Panel

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

- The appellant selects one;
- The INCITS Secretariat selects one; and
- The appellant and the INCITS Secretariat mutually agree on one.

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

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

A.31.3.4 Conduct of the Hearing

The appellant has the burden of demonstrating adverse effects, improper procedural actions or inaction, and the efficacy of the requested remedial action. The INCITS Secretariat has the burden of demonstrating that INCITS and the INCITS Secretariat took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to either party. The current edition of *Robert's Rules of Order Newly Revised* (Da Capo Press, A Member of the Perseus Books Group; Current edition) shall apply to questions of parliamentary procedure not covered herein for the hearing.

A.31.3.5 Decision

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

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

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

A.32 Further Appeal

If the appellant gives notice that further appeal to the USNC TMC is intended, a full record of the complaint, response, hearing, and decision shall be submitted by the INCITS Secretariat to the USNC

Office. The ruling of the USNC TMC may be appealed to the USNC Council. USNC Council is to review and provide a decision on the appeal. Subsequent to the USNC Council ruling, a final appeal is possible, if appropriate, to the standing ANSI Appeals Board.

A.33 Informal Settlement

INCITS and USNC encourages settlement of disputes at any time if the settlement is consistent with the objectives of these Procedures. Any settlement to which the parties agree in writing that is consistent with these procedures, or an agreement to withdraw the appeal, will terminate the appeal process.

A.34 International Appeals

All international appeals proposed by an INCITS IOE or the INCITS Secretariat shall be submitted to the Executive Board for consideration and approval at least 15 days prior to the international appeal deadline. This will permit the Executive Board to consider whether the appeal is appropriate on behalf of U.S. interests by holding an accelerated 7-day Executive Board LB and, if necessary, a Resolution Meeting.

A.35 Appeal of USNC TAG Administrator Imposed Fees

- a) In the case of the failure of INCITS Executive Board to resolve an issue regarding INCITS TAG fees, an appeal of the Executive Board decision to the TMC is the initial step in the appeals process (affected existing or prospective TAG members submits appeal).
 - i. USNC Office requests that the INCITS Secretariat submit to the USNC Office a written response to the allegations included in the complaint along with evidence of attempted resolution. The response should include an explanation, supported by relevant documentary evidence, of why the fees at issue do not constitute an undue financial barrier to participation, and if a fee waiver or reduction was requested, a brief explanation of how it was considered and the reason for its denial. A TMC appeal Ad Hoc Group, consisting of not less than 3 nor more than 5 TMC members, is established by the TMC to review the complaint and response. Membership may not include individuals who are part of the appellant, the affected USNC TAG or the affected INCITS Staff.
 - ii. Within 1 month of the appeal submittal, the TMC Appeal Ad Hoc Group provides a proposed decision to the TMC for ratification.
- b) If the resulting decision of the TMC is appealed, then the USNC Council is the next to review the issue.
 - i. A USNC Council Appeal Ad Hoc Group, consisting of not less than 3 nor more than 5 Council members, is established to review the TMC decision and the fee justification documentation. Membership may not include individuals who are part of the appellant, the affected USNC TAG or the affected INCITS Staff.
 - ii. Within 1 month of the request for Council appeal review, the USNC Council Appeal Ad Hoc provides a proposed decision to the USNC Council for ratification.
- c) If the decision of the USNC Council is appealed, the ANSI Appeals Board is next and last to review the issue.

A.36 Procedure for USNC Coordination of Subject Matter of Interest to Two or More IEC Technical Committees or Subcommittees

A.36.1 Systems Approach

The fundamental strength of the IEC over the decades has been the quality and market acceptance of its technology-based product standards and specifications, standards that also are the reference in the Commission’s conformity assessment schemes. The need for such product or product family standards will continue for the foreseeable future and the IEC must maintain its efforts, and its reputation, in this traditional area of pre-eminence.

The multiplicity of technologies and their convergence in many new and emerging markets, however – particularly those involving large-scale infrastructure – now demand a top-down approach to standardization, starting at the system or system-architecture rather than at the product level. System standards are also increasingly required in sectors such as environment, safety, and health. Although the introduction of such processes in the IEC began some years ago, a major effort is now required to improve understanding of them and to widen their application. It will be necessary to take account of the implied need for increased cooperation with many other standards developing organizations, as well as with relevant non-standards bodies in the international arena. There will also be implications for the IEC’s conformity assessment systems and processes.

A.36.2 Process

- a) When an IEC or national document is posted by the IEC Central Office on which a U.S. position is needed and it is of interest to two or more TCs/SCs, its availability will become known to those USNC TAG Officers and members of interested USNC TAGs, who sign up for notification by communication tools such as IEC NEWDOCs and MY IEC.

The Technical Advisors will inform the USNC Office of known interested committees.

- b) If a USNC TAG has an interest in a document for which it is not the primary, the primary USNC TAG shall be notified and asked to acknowledge and record the continuing interest of the other USNC TAG(s).
- c) A decision may be made by the USNC TAGs involved to establish a Joint Task Force subject to approval by INCITS Executive Board consisting of representatives of each of the USNC TAGs to develop a draft USNC position for the consideration and approval of the USNC TAGs within the required timeframe.
- d) The representatives of the interested USNC TAGs will be asked to send their comments on the document to the representative of the “primary” USNC TAG. That representative will consider and collate the comments, and taking them into account, will establish a proposed U.S. position on the subject matter. Copies of this proposed position will be sent to all the representatives who commented, and to the USNC Office. The representative of the primary committee will call a meeting of interested persons where this may be constructive.
- e) Any USNC TAG, having made substantive comments, that is not satisfied with the proposed position will promptly notify the USNC Office and the Joint Task Force who prepared the position, giving specific reasons for the objection.
- f) The USNC office will attempt to bring about resolution by correspondence or by meetings and, failing to do so, will promptly notify the President and the TMC of the USNC for necessary action.

- g) In the event a comment cannot be supported by a consensus of the USNC TAGs, it will be withdrawn. In the event a vote cannot be supported by a consensus of the USNC TAGs, the USNC will file an abstention.

Note 1: This procedure may also be utilized when coordination with USNC TAGs for ISO TCs/SCs is desired.

Note 2: If the USNC is not a Participating Member, contact the USNC Office for guidance.

Note 3: Communicate with the USNC Office for guidance when necessary.