

# INCITS RD-1

## Policies and Guidelines

Version: 2008.11.10



**REVISION HISTORY**

<b>Doc Number</b>	<b>Version Date</b>	<b>Notes/Letter Ballots</b>
in071686	2007.12.03	Converted from .html documents to PDF
in080256	2008.01.15	LB 2457 – New Section 3.2 - – Policy Regarding Document Access and Membership Benefits
in080556	2008.05.08	LB 2561 – New Section 4.13 – Commercial terms and conditions
in081467	2008.11.10	LB2860 – General Clean-up, Removal of Obsolete Information and New Section 5.7 - Reference to ANSI IPR Policy LB2856 – Section 2.2 (formerly Section 3.2), Policy Regarding Document Access and Membership Benefits

**PREVIOUS VERSIONS OF THIS DOCUMENT, INCLUDING A “RED-LINED” VERSION OF THIS DOCUMENT SHOWING CHANGES FROM THE PREVIOUS VERSION, MAY BE FOUND IN THE “REFERENCE DOCUMENTS” SECTION OF THE INCITS WEB SITE.**

## CONTENTS

<b>INTRODUCTION .....</b>	<b>5</b>
<b>1.0 COMMITTEE MANAGEMENT .....</b>	<b>5</b>
<b>1.1 Financial policies</b>	<b>5</b>
1.1.1 Policy for Collection and Accounting of Subgroup Funds.....	5
1.1.2 INCITS Equity Account.....	8
1.1.3 JTC 1 Reserve Account.....	8
1.1.4 INCITS Sponsorship of Special INCITS Subgroup Activities and Events .....	9
<b>1.2 Other</b>	<b>11</b>
1.2.1 Policy for File Retention .....	11
1.2.2 Policy Regarding Formal Interpretation of the INCITS Procedures (INCITS/RD-2).....	11
1.2.3 Policy Regarding INCITS Awards and Recognition Program .....	11
<b>2. MEMBERSHIP.....</b>	<b>16</b>
<b>2.1 Policy Regarding Determination of U.S. Domiciled Organizations</b>	<b>16</b>
<b>2.2 Policy Regarding Document Access and Membership Benefits</b>	<b>16</b>
<b>3. DRAFTING OF AMERICAN NATIONAL STANDARDS, TECHNICAL REPORTS, ETC.</b>	<b>18</b>
<b>3.1 Policy on the Use of Metric Standards</b>	<b>18</b>
<b>3.2 Commercial terms and conditions</b>	<b>18</b>
<b>4 PARTICIPATION IN INTERNATIONAL PROJECTS, TAG RESPONSIBILITIES.....</b>	<b>18</b>
<b>4.1 INCITS Sponsorship of SC Plenary Meetings</b>	<b>18</b>
<b>4.2 Policy Regarding Conflict of Interest in International Standards Activities</b>	<b>18</b>
<b>5 INTELLECTUAL PROPERTY RIGHTS .....</b>	<b>19</b>
<b>5.1 Copyright Policy</b>	<b>19</b>
<b>5.2 Web privacy statement</b>	<b>19</b>

<b>5.3</b>	<b>Reproduction of ISO/IEC Copyrighted Materials</b>	<b>19</b>
<b>5.4</b>	<b>INCITS Patent Policy</b>	<b>20</b>
<b>5.5</b>	<b>Inclusion of Patent Statements in INCITS Standards</b>	<b>20</b>
<b>5.6</b>	<b>INCITS Policy on the National Adoption of ISO/IEC JTC 1 and ISO Standards</b>	<b>21</b>
<b>5.7</b>	<b>Policy on the Use of the ISO/IEC/ITU Patent Statement and Licensing Declaration Form</b>	<b>21</b>

## Introduction

*INCITS/RD-1, Policies and Guidelines*, lists (a) external and internal policies that affect INCITS and (b) guidelines established to assist INCITS and its Subgroups in their programs of work. These policies and guidelines have been developed and approved either by the Information Technology Industry Council (ITI), the American National Standards Institute (ANSI) or INCITS. *INCITS/RD-1* should be used in conjunction with *INCITS/RD-2, Organization, Rules and Procedures of INCITS*, since a number of established INCITS procedures refer the reader back to this document.

The Information Technology Industry Council (ITI) is the Secretariat for INCITS. ITI is a trade association that represents the leading U.S. providers of information technology products and services. ITI promotes understanding of the digital world and the global competitiveness of leading technology companies by advancing the policies identified on the ITI web site at <http://www.itic.org>.

Suggestions and errata for this document should be forwarded to the Director, INCITS Secretariat, c/o ITI.

## 1.0 Committee Management

### 1.1 Financial policies

#### 1.1.1 Policy for Collection and Accounting of Subgroup Funds

INCITS Subgroups often collect funds to pay for services to progress the work of the Subgroup. This section sets forth the policies used to establish, collect, disburse, maintain and account for such funds.

##### 1.1.1.1 Approved Uses of Subgroup Funds

Funds collected under this policy are restricted to the following use(s) for meetings of the subgroup:

- a. meeting room rental;
- b. meeting refreshments;
- c. current meeting document reproduction;
- d. audio-visual, computer and/or office equipment rental; and
- e. contracting for a professional meeting planner.

Additionally, funds may be collected for the following expenses:

- a. bonding fees, if needed, for the Subgroup Chair or Treasurer; and
- b. purchase of durable goods associated with the conduct of subgroup meetings or business (e.g. printers, LANs, routers). The use of all durable goods is restricted to subgroup use only. The current inventory of all durable goods shall be included in the Subgroup annual report.

The acquisition of other services or purchases not listed above which require Subgroup funding (for example, external editing services for specifications) shall be approved by the INCITS Secretariat prior to any funds being collected. Domestic Subgroup funding of approved U.S.-hosted ISO/TC and ISO/IEC JTC 1/SC plenary meetings requires the advance approval of the INCITS Executive Board before invitations are offered or funds are collected.

### *1.1.1.2 Establishment of the Subgroup Fee*

A Subgroup shall only establish a Subgroup fee by issuing a 30-day letter ballot that explains the need for and use of a fee, along with the initial fee to be charged. The letter ballot establishing the fund shall also document the Subgroup procedures for collecting, disbursing and administering these funds; these Subgroup procedures must be consistent with the policies described below. The letter ballot shall pass by a two-thirds vote for the Subgroup fee to be established.

### *1.1.1.3 Allocation of Fees*

When Subgroup fees are instituted to support meeting-related expenses, the fees should be determined based on the number of persons participating in the associated meeting. If a member has not paid all such fees for all principal and alternate members desiring to participate in a meeting, the member can be considered to have failed to attend the meeting. The member's voting privileges would then be subject to the "Termination of Membership" clause of the *INCITS/RD-2, Organization and Procedures*. The Subgroup may grant exceptions to this policy by Subgroup vote.

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

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

### *1.1.1.4 Changes to the Fee*

Changes to an approved fee amount shall be further approved by a majority vote of the Subgroup at least thirty calendar days in advance of the assessment of any revised fee.

### *1.1.1.5 Subgroup Fund Administration*

#### *1.1.1.5.1 Treasurer Appointment*

Any Subgroup establishing a Subgroup fee shall have a Chair-appointed Treasurer. The Chair shall not serve as the Treasurer. The Treasurer shall be a representative of an organization that is a voting member in good standing.

#### *1.1.1.5.2 Treasurer Duties*

The Treasurer shall be responsible for the following:

- a. collection, disbursement and accounting of the Subgroup funds;
- b. maintain a file of all receipts, bank statements, invoices, interest and other pertinent documents. The period of retention for this file shall be in accordance with the INCITS file retention policies; and after the period of retention these records shall be transferred to the INCITS Secretariat. The file will be made available for inspection by any member of the Subgroup or the INCITS Secretariat upon request.
- c. control of all durable goods purchased on behalf of the Subgroup, including maintaining an inventory of durable goods and reporting the inventory to the Secretariat.

### **1.1.1.5.3**      *Reporting Requirements*

#### **1.1.1.5.3.1**      *Subgroup Reporting*

The Treasurer shall prepare a report following each meeting to be distributed with the minutes of that meeting. This report also shall be a standing agenda item of the Subgroup.

This report shall include:

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

#### **1.1.1.5.3.2**      *Annual Report*

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

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

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

### **1.1.1.5.4**      *Account Management*

- a. Bank accounts shall be established for accrued funds that exceed \$500.00. Note: If funds are collected for a one-time purchase of durable goods, this is not considered an accrual of funds and establishing a bank account is not necessary.
- b. All subgroup bank accounts shall be established and maintained by ITI at a full service bank that is federally insured by the FDIC.
- c. Subgroup fund balances shall not exceed \$25,000.00, except when the expected expenses for a planned subgroup meeting may require a higher amount. In such cases, advance written permission to hold such higher balances shall be obtained from ITI, and further a higher bonding limit may be required by ITI for the Treasurer or Subgroup Chair.
- d. Bank accounts shall have ITI, the Treasurer and an elected officer as signatory authorities. Unless otherwise required by Subgroup resolution, only one signature is required for check signatures.
- e. Bank accounts being established shall use the ITI tax ID number for the account.
- f. Subgroups that are not required to establish a bank account shall institute procedures for handling any surplus funds remaining at the end of a meeting. The process for the distribution of excess funds arising from any meeting shall be included in the subgroup meeting minutes.

#### **1.1.1.5.5 Bonding**

Any persons with signature authority over a Subgroup bank account shall be bonded in the minimum amount of \$25,000.00 each; a higher limit may be required if the Subgroup must accumulate a higher level of funds for planned meetings. Subgroups not using bank accounts may also have their Treasurer bonded. Bonding shall be obtained through ITI prior to the collection of any funds. Bonding fees shall be reimbursed from the subgroup funds.

#### **1.1.1.6 Dissolution of the Subgroup Fund**

A fund shall be dissolved in one of three ways:

- a. by a Subgroup Letter Ballot receiving two-thirds approval;
- b. disbandment of the Subgroup; or
- c. Subgroup status is changed to maintenance.

In any case, a final financial statement shall be distributed to the Subgroup members and the INCITS Secretariat. Any remaining balance in the fund shall be transferred to ITI by the Subgroup Chair and/or Treasurer for deposit into the INCITS equity account.

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

When the INCITS Secretariat obtains the durable goods from a Subgroup, it may offer the goods for use by other INCITS Subgroups, or it may dispose of the goods as it sees fit and deposit any proceeds into the INCITS equity account.

#### **1.1.2 INCITS Equity Account**

The INCITS equity account was established to serve as a financial fund into which excess revenues (derived primarily from Secretariat Dues and Fees) over expenses could be deposited. Periodic review of the account is done through reports by the INCITS Secretariat to INCITS and ITI management.

The funds held in this account are to be used for such purposes as meeting expenses when such expenses exceed revenues in any given fiscal year(s), funding the INCITS Secretariat for a period of time in the event of INCITS's loss of sponsorship or items not anticipated within the current fiscal year budget. Use of the INCITS Equity Account funds shall require prior approval by INCITS and ITI management.

No set figure is required to be maintained within the INCITS equity account, however, if the account exceeds six months of INCITS Secretariat operating expenses or the account is depleted to a balance below two month's operating expenses, the equity account should be re-examined by INCITS in light of the current Secretariat Service Fees.

#### **1.1.3 JTC 1 Reserve Account**

The JTC 1 Reserve Account is a special asset account which holds funds used to support US-held Secretariats in JTC 1. Further information on the history of this account may be found in in060759, "*History of the JTC 1 Reserve Account*".

## 1.1.4 INCITS Sponsorship of Special INCITS Subgroup Activities and Events

### 1.1.4.1 Format of Business Plan to Obtain Approval of INCITS Sponsorship of Special INCITS Subgroup Activities and Events

In order for the INCITS Secretariat to provide its recommendation and for INCITS to evaluate and grant its sponsorship of an INCITS Subgroup special activity/event, please provide a business plan answering the following questions.

1. Sponsoring INCITS Subgroup:
  - a. Other INCITS Subgroup(s) to be involved:
2. Title of the activity/event:
3. Activity/Event date:
4. Activity/Event location:
5. Type of activity/event (e.g., symposium, conference, publication, database):
6. Description and purpose of the activity/event:
7. Type and number of participants anticipated:
8. Expected benefits to participants:
9. Expected benefits to INCITS in sponsoring this activity/event:
10. What benefits/opportunities may be missed if INCITS does not sponsor/authorize this activity/event:
11. Who will oversee the planning of the activity/event:
12. Is this a single (one-time) or anticipated recurring event? (Note: A separate business plan and approval will be required for each occurrence)
13. Financial and Staffing Considerations
  - a. What expenses are anticipated for this activity/event:
  - b. Will this be a profit, loss or break-even event:
  - c. Who will fund the costs for this activity/event: (i.e., How much of the costs will be borne by the participants and how did you calculate this number? Do you request Secretariat funding? Do you have other funding?)
  - d. Is INCITS Secretariat time and personnel necessary for the activity/event:
  - e. If "YES", provide rationale for staff involvement (include estimate of staff time and travel expense):
  - f. Are there any provisions to cancel activity/event due to lack of interest:
  - g. If proceedings are published, what is the publication plan? (i.e., Who will print them? Who will sell them? Who will hold the copyright?)

### 1.1.4.2 Sample Business Plan

INCITS Sponsorship of Special INCITS Subgroup Activities and Events

1. **Sponsoring INCITS Subgroup:** INCITS Data Base Study Group
  - a. Other INCITS Subgroup(s) to be involved:  
Other TCs having an interest in object-oriented systems standards. The Chairs of INCITSH2, Database, and X3T3, ODP, have indicated that their TCs are planning to participate.
2. **Title of the activity/event:** Objects in Data Management
3. **Activity/Event date:** January 14-15, 1991
4. **Activity/Event location:** Grand Hotel, Anaheim, CA
5. **Type of activity/event (e.g., symposium, conference, publication, database):** Conference
6. **Description and purpose of the activity/event:**  
The conference will bring together representatives of technical committees, other standards groups and developers of object-oriented database management systems. Through formal presentations of input

papers, general discussion sessions and ad hoc groups, the participants will compare the directions of the various standards bodies relative to technological advances. Areas of potential divergence will be investigated and recommended actions will be identified.

7. **Type and number of participants anticipated:**  
Approximately 100 standards developers, implementors and users of object-oriented database systems.
8. **Expected benefits to participants:**  
The conference will provide the opportunity for individuals to present their contributions on object-oriented database technology and standardization, provide a forum for exchange of information and generally raise the participants awareness of current and planned standardization activities.
9. **Expected benefits to INCITS in sponsoring this activity/event:**  
In addition to the benefit of having INCITS's name associated with this conference, the conference will bring together various technical committee representatives (both from INCITS and other groups) to share plans, etc.
10. **What benefits/opportunities may be missed if INCITS does not sponsor/authorize this activity/event:**  
As the conference is intended to investigate areas of potential conflict among standards developing groups, this information, which could help avoid future problems in the standards approval process, would not otherwise be available.
11. **Who will oversee the planning of the activity/event:**  
The XYZ Corporation has volunteered to oversee the planning which includes making hotel arrangements, providing a conference coordinator prior to and during the conference, handling registration, processing input papers and publishing the proceedings of the conference. A letter from XYZ Corporation indicating their sponsorship of this event is attached.
12. **Is this a single (one-time) or anticipated recurring event?**  
(Note: A separate business plan and approval will be required for each occurrence)  
This is a one-time event. Future conferences may be planned on related or other topics based on the success of this conference. It is understood that separate business plans and approval will be required for any future events.
13. **Financial and Staffing Considerations**
  - a. *What expenses are anticipated for this activity/event:*  
The cost of meeting rooms, refreshments and copying at the meeting are the anticipated expenses. XYZ Corporation has agreed to cover other associated costs, e.g. conference coordinator, publication of proceedings, etc.
  - b. *Will this be a profit, loss or break-even event:*  
The event is intended to be break-even; however, subsequent sales of the proceedings could generate a profit. (See 13g.)
  - c. *Who will fund the costs for this activity/event: (i.e., How much of the costs will be borne by the participants and how did you calculate this number? Do you request Secretariat funding? Do you have other funding?)*  
The meeting expenses are intended to be covered by a registration fee. The meeting expenses will be negotiated so that they can be covered by a registration fee of not more than \$100. The exact fee will be determined at the hotel registration cut-off date approximately two months prior to the event.
  - d. *Is INCITS Secretariat time and personnel necessary for the activity/event:*  
No; however, arrangements will need to be made for the on-going sale of the proceedings after the conference.
  - e. *If "YES", provide rationale for staff involvement (include estimate of staff time and travel expense):* Not applicable
  - f. *Are there any provisions to cancel activity/event due to lack of interest:*  
At the time of the hotel registration cut-off date, a final decision will be made on holding the conference. The hotel will be made aware of this during arrangement negotiations.

- g. *If proceedings are published, what is the publication plan? (i.e., Who will print them? Who will sell them? Who will hold the copyright?)*  
 XYZ Corporation will print the proceedings. It is anticipated that INCITS will hold the copyright and handle the sale and distribution of the proceedings through a currently utilized (or new) service bureau. The Secretariat should determine the best means for handling the sales and distribution.

## 1.2 Other

### 1.2.1 Policy for File Retention

Retain for five years:

- INCITS numbered document
- All subgroup membership lists, minutes, and document registers
- INCITS standing documents

### 1.2.2 Policy Regarding Formal Interpretation of the INCITS Procedures (INCITS/RD-2)

Formal interpretation of the standing document on Organization, Rules and Procedures of INCITS ([INCITS/RD-2](#)) will be made by the Policy and Procedures Committee (PPC). Procedures for obtaining interpretations can be found in that standing document.

### 1.2.3 Policy Regarding INCITS Awards and Recognition Program

The purpose of this program is to provide recognition to the INCITS participants for their contributions to national and/or international standards work. There are two distinct types of awards classifications intended to fulfill distinct needs: Tier 1 establishes recognition throughout the year to an unlimited number of INCITS participants; and Tier 2 establishes recognition on an annual basis to a select number of INCITS participants.

Tier 1 provides recognition to INCITS participants throughout the year as applicable for:

- Officer Appointment
- Officer Training
- Officer Retirement
- Member Retirement
- Standard Adoption

Tier 2 recognizes those INCITS participants making exemplary contribution to the INCITS organization. These awards are presented annually, at the INCITS meeting in June. Listed below are the awards:

- **INCITS Chairman's Annual Award:**  
 This is an honorary award presented to one INCITS participant who has provided outstanding service to the INCITS organization through committee work or duties assigned by the INCITS Chair. This individual is selected by the INCITS Chair. The award is presented at the annual meeting by the INCITS Chair.
- **INCITS Merit Award:**  
 This is an honorary award presented to no more than four participants who have demonstrated continuous support for the work of INCITS.

- **INCITS Service Award:**  
This is an honorary award presented to no more than two participants who have provided outstanding service to the INCITS organization through committee work or duties.
- **The INCITS Gene Milligan Award for Effective Committee Management:**  
This is an honorary award presented to no more than four INCITS members holding an officer position within an INCITS Subgroup. It recognizes individuals holding an officer position, who, in their role, have provided outstanding leadership to the subgroup in its national and/or international work, have demonstrated proficiency in achieving consensus in the national and/or international arenas and have followed the approved procedures in an exemplary fashion.
- **INCITS Technical Excellence Award**  
This is an honorary award presented to no more than four participants to recognize their technical contributions and dedication to the technical program of work. This award is presented with the concurrence of the TC officers.
- **INCITS Award for Exceptional International Leadership**  
This is an honorary award presented to no more than two participants for their exceptional leadership of an international committee.
- **INCITS Team Award**  
This is an honorary award presented to no more than two teams of participants who have provided outstanding service to the INCITS organization through committee work or duties. Any team of INCITS participants meeting the following criteria is eligible for this award.
- **INCITS Lifetime Achievement Award:**  
This is an honorary award presented to no more than one INCITS participant annually who has demonstrated a career-long commitment to INCITS and its national and international standardization activities.

An INCITS Awards Selection Committee shall manage this program. This committee is comprised of the INCITS Chair, INCITS Vice-Chair, and volunteer members of INCITS. A representative from the INCITS Secretariat staff will serve as a non-voting member.

Responsibilities of this committee include:

- Establish procedures for managing the program.
- Ensure that a "call for nominations" is distributed to INCITS participants during the fourth quarter.
- Review nominations by the end of the first quarter.
- Make the final selection award recipients by the end of the first quarter.
- Ensure that awards are prepared and ready for presentation.
- Coordinate the presentation of the awards for the June meeting of INCITS.

### *1.2.3.1 Recognition and Awards Structure*

#### **Tier 1**

<b>Recognition</b>	<b>Criteria</b>	<b>Type and number of Awards</b>	<b>Presented</b>
Officer Appointment	Election to office	Letter and Certificate	As applicable
Officer Training	Successful completion of training	Certificate	As applicable
Officer Retirement	Carried out responsibilities in an ongoing professional manner. Served one term or less	Letter and certificate	As applicable
	Served two or more full terms	Certificate on Plaque	As applicable
Member Retirement	Long standing (10+ years) member of INCITS and/ or INCITS subgroup	Letter and Certificate on Plaque	As applicable
Standard Adoption	Committee has successfully adopted a standard in a timely fashion	Letter to all Principals and Alternates. The Project Editor will receive a special letter and a certificate	As applicable

**Tier 2 -- All Awards are presented at the Annual Awards Ceremony**

<b>Recognition</b>	<b>Criteria</b>	<b>Type and number of Awards</b>
INCITS Chairman's Annual Award	<p>Any INCITS participant meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Provided outstanding service to the INCITS organization through committee work or duties assigned by the INCITS Chair</li> <li>• Assisted the Chair in progressing the work of INCITS</li> </ul>	<p>Letter and Certificate on plaque; No more than 1</p>

<p>INCITS Merit Award</p>	<p>Any INCITS participant meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Long-standing (10+ years) member of INCITS and/or INCITS Subgroup</li> <li>• Demonstrated continuous support for the work of INCITS</li> <li>• Served on at least one management committee for one or more terms</li> <li>• Provided support to the Secretariat in progressing the work of INCITS</li> <li>• Served on at least two or more international committees</li> </ul>	<p>Letter and Certificate on plaque; No more than 4</p>
<p>INCITS Service Award</p>	<p>Any INCITS participant meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Provided outstanding service to the INCITS organization through committee work or duties assigned by INCITS during the past year</li> </ul>	<p>Letter and Certificate on plaque; No more than 2</p>
<p>The INCITS Gene Milligan Award for Effective Committee Management</p>	<p>Any INCITS participant holding an officer position and meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Provided leadership to the subgroup in its national and/or international activities</li> <li>• Demonstrated skill in achieving consensus in the national and/or international arenas</li> </ul>	<p>Letter and Certificate on Plaque; No more than 4</p>
<p>INCITS Technical Excellence Award</p>	<p>This is an honorary award presented to no more that four participants to recognize their technical contributions and dedication to the technical program of work. This award is presented with the concurrence of the TC officers.</p> <ul style="list-style-type: none"> <li>• Minimum of three years of participation in a TC</li> <li>• Visible contributions to the work of the TC, nationally or internationally</li> <li>• Active participation on e-mail lists.</li> </ul>	<p>Letter and Certificate on plaque; No more than 4</p>

<p>INCITS Award for Exceptional International Leadership</p>	<p>This is an honorary award presented to no more than two participants for their exceptional leadership of an international committee.</p> <ul style="list-style-type: none"> <li>• At least four years of continuous leadership of an international working group or subcommittee</li> <li>• Tangible results in the form of published International Standards or Technical Reports</li> <li>• Timely completion of projects that open global markets</li> <li>• Chairing of meetings and maintenance of a cooperative committee environment in which the views of National Bodies and their experts are given due consideration.</li> </ul>	<p>Letter and Certificate on plaque; No more than 2</p>
<p>INCITS Team Award</p>	<p>This is an honorary award presented to no more than two teams of participants who have provided outstanding service to the INCITS organization through committee work or duties. Any team of INCITS participants meeting the meeting the following criteria is eligible for this award:</p> <ul style="list-style-type: none"> <li>• Outstanding teamwork in rapidly progressing the subgroup's national and/or international activities; demonstrated skill in developing technically sound standards.</li> </ul>	<p>Letter and Certificate on plaque; No more than 2 teams</p>
<p>INCITS Lifetime Achievement Award</p>	<p>This is an honorary award presented to no more than one INCITS participant annually who has demonstrated a career-long commitment to INCITS and its national and international standardization activities.</p> <ul style="list-style-type: none"> <li>• Long-standing member of INCITS and/or INCITS Subgroup; Demonstrated continuous and outstandingly effective support for the development of ANSI standards; and meeting two or more of the following requirements:</li> <li>• Long-standing (10+ years) participation in INCITS as an officer of an INCITS board, TC, or TG;</li> <li>• Long standing participation (10+ years) in INCITS as a technical editor or key contributor;</li> <li>• Recipient of two or more INCITS awards;</li> <li>• Long-standing participation (10+ years) in international standards development.</li> </ul>	<p>Letter and Certificate on plaque; No more than 1</p>

## 2. Membership

### 2.1 Policy Regarding Determination of U.S. Domiciled Organizations

The ANSI *Procedures for U.S. Participation in the International Standards Activities of the ISO* (approved March 26, 1990) makes U.S. TAG membership open to "U.S. national persons (organizations, companies, government agencies, etc.)". Therefore, the *INCITS/RD-2, Organization & Procedures*, restricts the participation of non-U.S. domiciled organizations in certain INCITS activities devoted to U.S. TAG activities. In determining whether an organization is domiciled in the U.S., the Subgroup Chair should attempt to determine if the organization in question meets any of the following criteria:

- a. is the organization incorporated within the U.S. or its territories;
- b. is the organization headquartered in the U.S. or its territories; or
- c. is the organization's principal place of business within the U.S. or its territories.

If the organization does not meet at least one of these criteria, the organization is not U.S. domiciled and therefore ineligible to participate in the TAG portion of a Subgroup meeting (or the entire meeting if exclusively devoted to TAG business).

If the Chair's decision is challenged, the Chair shall allow the organization to attend and participate according to the rules of their membership status (e.g., member, observer, etc.). Upon completion of the meeting, the Chair shall immediately forward to PPC the challenge via the Director of the INCITS Secretariat. Statements supporting each position shall be included in order to assist PPC in rendering a decision.

Upon notification of a decision by PPC, the Director of the INCITS Secretariat will inform in writing the concerned parties regarding the outcome of the challenge. The Subgroup Chair shall announce the PPC decision and include the announcement in the minutes of the next scheduled meeting.

The PPC decision may be appealed directly to INCITS by requesting in writing that the issue be reviewed at INCITS's next scheduled meeting.

### 2.2 Policy Regarding Document Access and Membership Benefits

For the purpose of access to INCITS internal information, the following three access categories are defined as of December 1, 2007:

- a. INCITS Member Organization
- b. "Friends of the Committee" (FoC) – any non-INCITS Member organization as defined and approved by an INCITS Technical Committee
- c. Public – any organization not in the above two categories

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

- a. Public

1. Organization structure
  2. Program of work
  3. Membership list (by organization only)
  4. Press releases
  5. Notification of new work, when approved
  6. Public TC home pages
  7. Draft proposed American National Standards (dpANS) for purchase
  8. Meeting Calendar
  9. Meeting Notices and Agendas (posted/linked documents shall not be included)
- b. Friends of the Committee (for TC or TC outreach activity – it is not mandatory to establish any FoC)
1. Draft proposed American National Standards (dpANS) to them at no charge (milestone 4, may be iterative)
  2. Notice of new work same time it is submitted to ANSI for Standards Action
  3. Access to public information as described above
  4. Information, as noted above (items B1 and B2), “pushed” from the TC chair or designee via the IT system’s reflector
- c. Members
1. Access to all documents and information for their specific committees
  2. Eligible to attend or participate at meetings
  3. Representatives of voting members may serve as delegates to international meetings
  4. Representatives of voting members may hold national and international offices

TCs or their subgroups wishing to identify any external organization as a FoC shall do so by a valid committee motion, recorded in the meeting minutes, and shall notify the INCITS Secretariat of any such action. There is no requirement for any committee to establish a FoC. TCs may begin to use this new FoC distribution mechanism as of December 1, 2007.

TCs and their subgroups have the option, by a 2/3 vote of the committee of making all documents available to the public, with the following exceptions:

1. Final versions of draft proposed American National Standards (dpANS) as submitted for management Review (milestone 5)
2. Confidential liaison reports and confidential documents from liaison organizations
3. Documents regarding personnel issues
4. ISO or ISO/IEC JTC 1 documents
5. International position documents

When documents normally restricted to FoC or members are made available to the public via access to the website or via participation in a reflector, the TC or TC subgroup shall ensure that a notification is accepted by the person seeking access (the “user”) before access is granted. The notification, which will be provided by the INCITS Secretariat, shall reference the INCITS Patent Policy, the INCITS Antitrust Guidelines and the INCITS RD-1 and RD-2. By accepting the notification, the user:

- Agrees that he or she has read the INCITS Patent Policy and the INCITS Antitrust Guidelines
- Acknowledges that the activities of the committee are governed by the INCITS policies and procedures as specified in the reference documents RD-1 and RD-2 available at [www.incits.org](http://www.incits.org).
- Acknowledges that draft documents may change at any time, without notice.

When adopting this public access model, the TC or TG subgroup may allow short-term guest attendance at committee meetings, to facilitate the work of the committee and to encourage membership growth. The committee shall require guest attendees to sign in and to acknowledge they have read the INCITS Patent Policy and the INCITS Antitrust Guidelines and that they agree to follow INCITS policies as specified in the RD-1 and RD-2. Only voting members of the TC or TC subgroup shall have the opportunity to vote, serve on US delegations or hold official positions in the TC or TC subgroup.

The INCITS Executive Board may at any time take steps which could include eliminating the use of public access by a TC or TC subgroup or the assessment of an increased fee for members of a committee that has chosen public access.

A TC and its subgroups may rescind its decision to utilize public access at any time by a 2/3 vote of the committee. TCs and their subgroups which choose to provide or rescind public access must notify the INCITS Secretariat within 30 days of their decision.

### **3. Drafting of American National Standards, technical reports, etc.**

#### **3.1 Policy on the Use of Metric Standards**

INCITS follows the ANSI Metric Policy as shown in the ANSI Essential Requirements: “International System of Units (SI) are the preferred units of measurement in American National Standards”.

#### **3.2 Commercial terms and conditions**

INCITS and its subgroups adhere to the American National Standards Institute (ANSI) policy for use of commercial terms and conditions (as prescribed in the ANSI Essential Requirements) when developing American National Standards.

### **4 Participation in international projects, TAG responsibilities**

#### **4.1 INCITS Sponsorship of SC Plenary Meetings**

INCITS does not fund SC Plenary meetings. For the INCITS procedures regarding the hosting of international meetings, see RD-2 Section 5.7.7.5, Hosting International Meetings.

#### **4.2 Policy Regarding Conflict of Interest in International Standards Activities**

In order to avoid conflicts of interest, a U.S. convenor of an International WG cannot also act as Head of Delegation or chief spokesperson to that WG or to its parent SC.

## 5 Intellectual Property Rights

### 5.1 Copyright Policy

INCITS uses the following 5-point Copyright Policy. Questions on this policy should be addressed to the Director, INCITS Secretariat, c/o ITI.

1. INCITS shall establish procedures that result in a valid copyright in its documents.
2. The copyright shall be held and administered by ITI on behalf of INCITS.
3. Copyright of all works created during the standards process shall be solely for INCITS's benefit.
4. Pre-existing works shall be submitted with a non-exclusive license permitting the work to be used in the standard development process, incorporated into a final standard, published, and copies in any medium or form of the standard may be sold or given away at INCIT's discretion.
5. TC participants may freely make copies of all works covered in 3 and 4 to carry out the standards development process but shall not make copies for any other purpose.

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

---

**Copyright © Information Technology Industry Council 1999 - 2008**  
**All rights reserved**

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

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

Any requests to reproduce INCITS documents in a manner other than expressly granted, whether in whole or in part, should be submitted in writing to the Director, INCITS Secretariat, c/o ITI.

---

Should any INCITS member or the public believe material has been published on the INCITS website which is not in accordance with the INCITS Copyright Policy, they should contact the Director, INCITS Secretariat, c/o ITI.

### 5.2 Web privacy statement

INCITS does not collect identifying information about people visiting this web site. Only summary information about the **number of visitors** to particular sections of our web site is collected. If you decide to send personally-identifiable information to the Webmaster, it will not be disclosed to third parties without your consent. See [http://www.INCITS.org/INCITS\\_privacy.htm](http://www.INCITS.org/INCITS_privacy.htm) for further information.

### 5.3 Reproduction of ISO/IEC Copyrighted Materials

Permission to reprint ISO/IEC publications must be obtained from ANSI. The INCITS Secretariat has permission to redistribute international documents with the following notices:

For DIS/FDIS etc.:

*"Permission is granted by ANSI to electronically reproduce this draft International Standard for the purpose of review and comment related to the preparation of the U.S. position, provided this notice is included. All other rights are reserved."*

For published standards:

*"Permission is granted by ANSI to reproduce this International Standard for the purpose of review and comment related to the preparation of a U.S. position, provided this notice is included. All other rights are reserved."*

## 5.4 INCITS Patent Policy

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

## 5.5 Inclusion of Patent Statements in INCITS Standards

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

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

*CAUTION: The developers of this standard have requested that holders of patents that may be required for the implementation of the standard disclose such patents to the publisher. However, neither the developers nor the publisher have undertaken a patent search in order to identify which, if any, patents may apply to this standard.*

*As of the date of publication of this standard, following calls for the identification of patents that may be required for the implementation of the standard, notice of one or more such claims has been received.*

*By publication of this standard, no position is taken with respect to the validity of this claim or of any rights in connection therewith. The known patent holder(s) has (have), however, filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from the publisher.*

*No further patent search is conducted by the developer or publisher in respect to any standard it processes. No representation is made or implied that this is the only license that may be required to avoid infringement in the use of this standard.*

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

*CAUTION: The developers of this standard have requested that holders of patents that may be required for the implementation of the standard disclose such patents to the publisher. However, neither the developers nor the publisher have undertaken a patent search in order to identify which, if any, patents may apply to this standard.*

*As of the date of publication of this standard and following calls for the identification of patents that may be required for the implementation of the standard, no such claims have been made. No further patent search is conducted by the developer or publisher in respect to any standard it processes. No representation is made or implied that licenses are not required to avoid infringement in the use of this standard.*

## 5.6 INCITS Policy on the National Adoption of ISO/IEC JTC 1 and ISO Standards

INCITS currently functions as the Technical Advisory Group to most of the subcommittees and working groups under ISO/IEC/JTC 1, Information Technology, and to some of the technical committees, subcommittees and working groups of ISO. As noted in ANSI procedures, INCITS and its technical committees perform the following functions on behalf of the U.S. National Body:

- Recommend registration of the U.S. as a P or O member on international committees or recommend a change in U.S. membership
- Initiate and approve U.S. proposals for new work items for consideration by an international committee
- Initiate and approve U.S. working drafts for consideration as committee drafts
- Determine the U.S. position on an ISO/IEC or ISO draft international standard, draft technical report, committee drafts, etc.

Given the responsibilities and the expenditures associated with U.S. participation in the international standards activities, INCITS considers participation as a "P" member a declaration of support for the technical work. Accordingly, INCITS will adopt as national standards all ISO/IEC or ISO standards that fall within its program of work. Similarly, INCITS will withdraw as a national standard all ANSI/ISO/IEC or ANSI/ISO standards that have been withdrawn as international standards. Exceptions will be made, on a case by case basis, provided that a case for the exception has been demonstrated to INCITS.

Implementation: As this is INCITS's policy, the additional processing steps will be assigned to INCITS Secretariat staff, who will initiate the public reviews, respond to the commenters, and advise INCITS of the results. Technical comments will be forwarded to the TAGs for consideration in the development of future U.S. positions.

## 5.7 Policy on the Use of the ISO/IEC/ITU Patent Statement and Licensing

### Declaration Form

In order to meet the declaration requirements described above concerning patent declarations by a patent holder, INCITS shall use the approved ISO/IEC/ITU "Patent Statement and Licensing Declaration Form for ITU-T/ITU-R Recommendation | ISO/IEC Deliverable" (found at [http://www.incits.org/patdec\\_form.doc](http://www.incits.org/patdec_form.doc)).