

# International Imaging Industry Association Standard Operating Procedures (SOPs) 2008

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# I3A Standard Operating Procedures

## Foreword

The rules and procedures contained herein govern the development of standards by the International Imaging Industry Association, Inc. (I3A) in cooperation with the American National Standards Institute (ANSI) and the participation by I3A in the formulation of standards by other standards developers, or in the development of joint standards - national or international.<sup>1</sup>

I3A is the principal trade organization for providers of image technology products and services. It is I3A's belief that standards play a vital part in the design, production, and distribution of products and services destined for both national and international commerce. Sound technical standards benefit the user, as well as the manufacturer, by bringing about economies in product, eliminating misunderstandings between manufacturer and purchaser, assisting the purchaser in selecting and obtaining the proper product for a particular need, and improving safety.

I3A devotes much of its time, effort, and resources to voluntary standardization activities. I3A Standards or documents as Draft Standards, Recommended Practices or Technical Reports may be offered and recommended for adoption as American National Standards, ANSI Recommended Practices or ANSI Technical Reports following the practices and procedures developed by ANSI. The decision to pursue initial document development as a proposed American National Standard, other category ANSI document, or as an International Standard (via a NP: U.S. Technical Advisory Group (TAG)) is the prerogative of the concerned Imaging Technology Committee (IT).

The *ANSI Essential Requirements: Due process requirements for American National Standards* shall be used in the development of proposed ANSI/I3A SDs.

It is the intent of I3A to continue its support of activities in the designation, drafting, publication, and required periodic maintenance of national standards and their international counterparts as this is considered to be the best method to provide effective documentation for the expanding role of imaging technologies.

In 2008 the *I3A Standardization Procedures* (SPs) and the *Administrative Practices* (APs) were combined into a single set of operational procedures known henceforth as the *I3A Standard Operating Procedures* (SOP's). These operational documents require review on a 5-year basis and the current revision is a result of this requirement.

I3A, concurrent with its function as an ANSI Accredited Standards Developer by the Accredited Organization Method, has accepted ANSI appointment to operate as Secretariat of ISO Technical Committee (TC) 42 Photography using the Accredited Standards Committee (ASC) method. I3A has also accepted assignment as an administrator for the U.S. Technical Advisory Group (TAG) to ISO TC42. The *Operating Procedures for I3A U.S. Technical Advisory Groups* shall be used in the conduct and administration of this U.S. TAG.

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<sup>1</sup> In July of 2001, the Photographic & Imaging Manufacturers Association, Inc. (PIMA) merged with the Digital Imaging Group to form the International Imaging Industry Association (I3A). Prior to 1998, the trade association PIMA was named the National Association of Photographic Manufacturers, Inc. (NAPM). NAPM was accredited as a Standards Developing Organization (SDO) by ANSI in 1991.

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# International Imaging Industry Association - Standard Operating Procedures

## 1 General Scope

I3A shall develop standards and technical or engineering documents primarily in the field of imaging that result from photochemical, electronic, and hybrid technologies. This includes all related system aspects of imaging (acquisition, photo-optics, recording, structure, processing, stabilization, evaluation, viewing), and media (physical properties, storage, preservation, dimensioning, packaging, distribution, recycling), and also includes interfacing, transcoding, and accompanying signals (audio and data). Imaging media includes film, paper, prints, storage materials and devices including, but not limited to magnetic tape, optical discs and removable flash memory.

It is recognized that some aspects of this scope shall require harmonization and liaison of I3A standardization activities with those of other standards developers. I3A shall use established ANSI procedures to resolve such questions of coordination and harmonization.

## 2 Standards Development

### 2.1 National Purpose

The International Imaging Industry Association, Inc. (I3A) recognizes its position and responsibility as a neutral developer, meaning respectful of any and all opinions expressed by any and all materially-affected parties, of standards and other technical documents in the fields of image technology products and applications. As such, I3A shall fulfill a role of providing the organizational structure and required administrative support of a national standards program, and will cooperate with the American National Standards Institute (ANSI) in standards planning and coordination activities of mutual interest.

### 2.2 International Purpose

I3A continues to recognize the importance, need, and acceptance of its documents in the development of multinational and international standards. To maintain this position, I3A shall coordinate its national document development with international standards activities through ANSI.

### 2.3 Strategic Preference for Standards Development

It is preferred that any Standards Document (SD) be published only once, and that imaging SDs be developed and published by ISO as an international SD.

Technical Committees may decide to pursue publication as either I3A SDs or ANSI/I3A SDs in exceptional cases, where more rapid publication is needed, or where there exists an important American National strategic interest. In such cases, there shall be an explanation regarding the reasons why pursuit of an ISO or IEC "SD only" is not satisfactory. This explanation shall be made available to all voting members (IT, SMB, etc.) on the New Work Item Proposal.

**NOTE** In all cases, polices shall be followed for approval of new work (be they ISO, IEC, ANSI or I3A) and approval to publish.

# I3A Standard Operating Procedures

## 3 Terms and definitions

### 3.1

#### **consensus**

after adequate discussion of a proposal to be voted on, voting members present have arrived at a point of substantial agreement. All views and objections shall have been considered, and an effort shall have been made to their resolution. Substantial agreement implies more than a simple majority, but not necessarily unanimity. See sections [7.4.2](#) and [8.17](#).

### 3.2

#### **consensus body**

the group whose vote demonstrates evidence of consensus. The I3A consensus body is composed of the voting members of the SMB and the voting members of the IT committees

### 3.3

#### **I3A Standard**

document that defines a product, process, or procedure with reference to one or more of the following: nomenclature, composition, construction, dimensions, tolerances, safety, operating characteristics, performance, preservation, testing, and design applications.

NOTE I3A standards are typically developed as proposed International or ANSI standards.

### 3.4

#### **standards document (SD)**

standard, recommended practice, technical report, or other final document produced by an I3A Standards Committee.

NOTE The plural form is SDs.

### 3.5

#### **subgroup**

subcommittee, task force, or ad-hoc committee that is formed to expedite the functions of an Imaging Technology Committee (IT). Subgroups prepare recommendations and proposals for action by the parent committee and do not finalize SDs or formulate policies.

### 3.6

#### **Board of Directors (BoD)**

representatives of I3A members who control the business and affairs of the Association as defined in the *I3A By-Laws*.

### 3.7

#### **Board of Standards Review (BSR)**

ANSI BSR is responsible for the approval and withdrawal of American National Standards

### 3.8

#### **Imaging Technology Committee (IT)**

I3A consensus body that develops, reviews and approves various photographic and imaging standards according to its SMB approved scope

### 3.9

#### **Standards Management Board (SMB)**

I3A consensus body having oversight responsibility for the I3A Standards Program and composed of IT chairpersons and various elected members.

### 3.10

#### **Project Initiation Notification System (PINS)**

ANSI process, system and form used to notify any and all materially effected parties, in connection with candidate American National Standards and for submittal by an ANSI accredited standards developer

### 3.11

#### **American National Standards Institute (ANSI)**

ANSI is an administrator and coordinator of the United States private sector voluntary standardization system. ANSI accredits the I3A Standards Program for compliance with the ANSI Essential Requirements in connection with the development of American National Standards.

### 3.12

#### **International Organization for Standardization (ISO)**

the standards development organization of preference for final approval and publication of I3A Standards. ISO members are national standards bodies (NB) representing member countries.

### 3.13

#### **International Imaging Industry Association (I3A)**

I3A is the leading global imaging industry trade association, driving growth of and setting standards for the photographic and imaging industry markets.

### 3.14

#### **New Work Item Proposal (NP)**

I3A form used to submit a new item of work within the IT committees

### 3.15

#### **System Internationale (SI)**

International System of Units

## 4 Organizational structure

The structure of the I3A Standards Program is as follows:

- a) The Standards Management Board (SMB);
  - The Chair of the SMB;
  - The Vice-Chair of the SMB
- b) The Director of Standards and Technology (Director of Standards);
- c) The Imaging Technology Committees (ITs) and their Subgroups.

## 5 Standards Management Board (SMB)

### 5.1 Scope

The SMB is responsible for:

## **I3A Standard Operating Procedures**

- a) Managing the I3A standards program as empowered by the I3A Board of Directors (BoD), including the review of the standards budget, review of standards participation fees and review of resource allocations in order to make recommendations to the BoD. This includes assisting the I3A Director of Standards, in setting priorities for the administration of the ISO TC42 Secretariat and the administration of the U.S. TAG for TC42.
- b) Oversight of financial aspects of the I3A standards program, including approval of non-member fees for participation in IT committees. The I3A Director of Standards shall provide an annual report of revenues and costs of the standards program, preferably at the first SMB meeting following the close of the I3A fiscal year. Standards revenues shall include all participation fees collected, including portions of I3A company member dues equivalent to fees assessed to non-member standards participants. Costs shall be identified to make it clear they are due to the administration of the standards program.
- c) Interpreting relevant policies in the *I3A Standard Operating Procedures (SOPs)*, and developing recommendations for the BoD on enhancements and modifications to the I3A program of standards development and administration;
- d) Reviewing the SOPs at least once every five years and recommending appropriate changes for approval by the BoD. Changes in the SOPs require ANSI notification and review to determine if they affect accreditation status;
- e) Establishing and dissolving ITs and approving their scopes and work items;
- f) Annually reviewing all ITs to ensure that scopes, composition, and work items serve the interests of I3A and the members of I3A;
- g) Reviewing and approving recommendations for new work proposals, reaffirmations, revisions, or withdrawals of I3A or ANSI/I3A SDs;
- h) Maintaining awareness of all imaging related SDs and related technology issues, including USA positions developed by the Technical Advisory Groups (TAGs), and recommending suitable action to the SMB Chair and Director of Standards for I3A to implement in fulfilling its purpose, scope, and interests;
- i) Performing any other function assigned or delegated to it by the BoD.

## **5.2 Membership**

Membership terms are based on a two-year cycle with terms or appointments beginning January 1. Exceptions to the two-year cycle are noted below.

### **5.2.1 Voting Eligibility**

Voting members of the SMB in good standing each have one vote and include the following categories:

- a) A representative nominated by an I3A Participating or Strategic member.
- b) A representative nominated by the chair of an I3A Imaging Technology Committee and accepted by the SMB Chair. The representative is normally the IT chair. IT chairs are expected to vote according to the consensus of their respective committee.
- c) A representative nominated by an I3A Associate member and approved by the SMB Voting Members.
- d) A representative nominated by an organization, professional society or other materially affected group and approved by the SMB, subject to such fees as defined for technical committee participation for non-I3A members.
- e) Any voting member of the SMB may appoint an alternate representative on a single meeting basis.

NOTE See 8.21 for voting procedures.

### 5.2.2 Non-voting Membership

Non-voting members of the SMB include:

- a) The President of I3A;
- b) The Director of Standards;
- c) The I3A technical standards staff;
- d) BoD members requesting membership;
- e) Liaisons approved by the SMB;
- f) Others as approved by the SMB.

### 5.3 Maintenance of Voting Membership

Participation at Standards Management Board meetings is essential. Members of the SMB who do not participate in two (2) consecutive meetings, which were unexcused, may be dropped from the membership list. In addition, members who do not reply to two (2) consecutive ballots may be dropped from the membership list. The SMB Chair shall inform the member prior to being dropped from the SMB. However, the SMB Chair has the option, with the concurrence of the I3A Director of Standards and Technology, of retaining such membership or requesting the sponsoring organization (IT or Company) to appoint a new representative in special situations.

### 5.4 Officers

#### 5.4.1 Election of officers

A nominating committee, consisting of no fewer than three Members of the SMB shall recommend candidates for Chair and Vice Chair. I3A By-Laws require that SMB officers are either Strategic or Participating members of the Association<sup>2</sup>.

Election is by simple majority of the Voting Members of the SMB.

The SMB is empowered to hold special elections to fill SMB officer vacancies as necessary.

#### 5.4.2 Chair

The Chair is elected for a two-year term from the SMB voting membership such that the position can be confirmed at the final meeting prior to the beginning of the new term. The SMB may act on recommendations of the Chair-elect to assure continuity of the standards program.

The Chair has the following responsibilities:

- a) Propose the scopes and the establishment or dissolution of ITs to the SMB in response to committee or membership needs;
- b) Appoint or replace IT Chairs, subject to an approval vote by the SMB.

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<sup>2</sup> Membership categories are described in the *I3A By-Laws*.

## **I3A Standard Operating Procedures**

- c) Appoint or replace Standing Committee Chairs, subject to an approval vote by the SMB, for a term to run concurrently with the term of office of the Chair;
- d) Propose or establish task force(s) and ad hoc committees as needed to expedite the functions of the SMB.
- e) Define representation for I3A on other organizations involved in standards activities;
- f) Coordinate the marketing of SDs with the Director;
- g) Prepare reports of the I3A standards program on behalf of the SMB with the intent to present a report to the BoD at least once a year at a regularly scheduled BoD meeting;
- h) Initiate the review of the SOPs at least every five years.

### **5.4.3 Vice Chair**

The Vice Chair is elected from the SMB voting membership for a term concurrent with that of the Chair. If the office of the Chair becomes vacant, the Vice Chair shall assume the position of Chair for the remainder of the current term of office. In the event that the Vice Chair assumes the position of Chair it is the option of the SMB to either elect a new Vice Chair for the remaining term or not. The Vice Chair will also assume the duties of the Chair in the event the Chair is absent from a SMB meeting.

## **5.5 Meetings**

### **5.5.1 Frequency and Notice**

The SMB shall meet as frequently as necessary to fulfill its responsibilities, but not less than two times per calendar year. Meetings may be held by teleconference. A minimum of 30-days written notice is required for meetings anticipated at the previous meeting. A 30-day notice is required to members and others expressing interest on issues requiring ballot. The notice shall identify the purpose of the meeting (an agenda) and a readily available source for further information.

### **5.5.2 Attendance**

SMB meetings shall be open for attendance by SMB members in good standing and approved guests, unless otherwise specified by the Chair.

With the permission of the Chair, non-members shall be allowed to attend and participate at one meeting with no charge, but shall have no voting privileges. Standards Management Board members are expected to attend and participate in all scheduled meetings. Should a member be unable to do so, he or she is expected to notify the Chair of the Committee or SMB in a timely fashion. Such an absence is then noted as "excused" absence. Attendance by teleconference is accepted, when available.

### **5.5.3 Conduct**

At all SMB meetings, all participants shall be made aware and reminded of the rules of conduct encompassed in the I3A Antitrust Checklist.

### **5.5.4 Quorum**

A quorum is a minimum of four (4) Voting Members, except for actions that require a two-thirds vote. In such cases, a quorum is a majority of the SMB Voting Members. Voting members attending via teleconference shall be counted as fulfilling quorum requirements.

NOTE The two-thirds voting requirement applies to document development (see section 8.21.3).

SMB voting procedures shall conform to those defined in section 8.21.

In the absence of a quorum, business may be conducted and proposed resolutions subsequently approved or balloted by e-mail, telephone, or fax.

### 5.5.5 Meeting documentation

Audio recordings may be made as required for the minutes;

Proposed agenda, supporting documents, minutes of the previous meeting, and IT and other standards activity reports shall be provided and circulated to the SMB at least 30 days prior to the SMB meeting.

NOTE Minutes and supporting documents of all ITs are routinely provided to any SMB member upon request.

## 6 Director of Standards and Technology

The I3A Director of Standards is the chief technical officer of the Association and is hired by the I3A chief executive officer. Primary among these responsibilities of the Director of Standards is the satisfaction of the obligations I3A has to ANSI and ISO as described in the Standards Operating Procedures, the USA/TAG for ISO/TC42 Procedures and the ISO Directives.

For the purposes of standards development, the Director has the following responsibilities:

- a) Provide the Secretariat function, including maintenance of the web sites, for ISO TC42 Photography, the U.S. TAG to ISO TC42, the SMB, ITs, and other SD development bodies established by I3A;
- b) Prepare an annual program budget, including a list of required resources for the I3A Standards Department for SMB review and input to the I3A annual budget, prior to the beginning of each fiscal year of the Association.
- c) Maintain membership and mailing lists;
- d) Serve as Secretary of the SMB and the U.S. TAG to TC42;
- e) Notify ANSI through the Project Initiation Notification System (PINS) of initiations of proposed SDs and the revision of existing SDs;
- f) For ANSI/I3A standards administer balloting, vote tabulation, ballot certification, and IT submittals to the ANSI Board of Standards Review (BSR). For ISO TC42 standards, administer balloting and vote tabulation for ISO TC42 and for the U.S. TAG to TC42.
- g) Fulfill the ISO TC42, U.S. TAG to TC42 and SMB Secretariat's function for preparation and distribution of meeting notices, agendas, and reports. Work with the ISO TC42 chair to arrange Plenary meetings of the ISO TC42;
- h) Distribute meeting minutes prepared by IT Chairs or their secretaries;
- i) Forward all proposals for new SD work and requests for liaison or joint development activity to the appropriate IT for review and consideration;
- j) Review all proposed SDs for administrative content and format;
- k) Develop and implement guidelines, policies, and procedures as may be necessary to implement the I3A SOPs;
- l) Serve as I3A's primary contact for standards and technology interests, including responses to inquiries;

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- m) Assist the ITs by preparing status reports for standards activities;
- n) Mediate policy and procedure questions arising from IT activities;
- o) Maintain an online accessible calendar of I3A standards meetings and related standards meetings;
- p) Assist in the recruiting of personnel for ITs and the SMB;
- q) Prepare standards activity information for newsletters, journals, and magazines;
- r) Monitor government policies and regulations that impact standardization activities, and, in consultation with the SMB chair, initiate and recommend SMB action as necessary;
- s) Participate on those non-I3A committees whose work scope and activities have impact or influence the I3A Standards program.
- t) Maintain a repository of records and documents as described in section 8.10

## 7 Imaging Technology Committees (ITs)

### 7.1 Scope

IT scopes are approved by the SMB and maintained by the Director of Standards.

ITs shall work within the *General Scope*, which is documented in the SOPs, and shall apply this *General Scope* to:

- a) Develop SDs, including U.S. expert contributions to ISO SDs under development in ISO TC42;
- b) Review existing SDs to ensure that they are current with established practices and are compatible with International SDs where possible;
- c) Prepare tutorials on technical subjects beneficial to I3A and the industry.

Because it is preferred that international SDs be published, IT members should be encouraged to become members of the U.S. Technical Advisory Group (TAG) to TC42 and the corresponding ISO/TC42 working group. The work of the IT should be closely coordinated with that of the corresponding ISO TC42 working group when developing ISO standards. The *Operating Procedures for I3A U.S. Technical Advisory Groups* shall be used in the conduct and administration of the international functions of ITs.

### 7.2 Organization

ITs are created and disbanded by the SMB and are responsible to the SMB.

### 7.3 Officers

Each IT shall have a Chair and SMB representative (having a Vice Chair and Secretary is also preferred). It is not required that an IT Officer be a representative of an I3A member company.

The SMB Chair appoints IT Chairs, subject to SMB approval, as specified in Clause 5.4.2b). Vice Chairs are appointed by the IT Chairs. The Vice Chair will conduct IT business in the event that the IT Chair is unable to do so.

The IT Chair shall define secretarial functions and SMB representation.

### 7.3.1 IT Chair Term Policy

IT Chair terms are generally made for two-year intervals and there is no limit on how many times a person may be the IT Chair.

Periodically at an Imaging Technology Committee (IT) meeting, the IT Chair shall offer the IT members the opportunity to volunteer their name for consideration as IT Chair, IT Vice Chair, or SMB representative for the IT. Interest in any of these positions may be conveyed directly to either the IT Chair or the Director of Standards, who in turn shall notify the SMB Chair of anyone volunteering.

The SMB Chair shall consider all volunteers when making the decision to appoint IT Chairs.

## 7.4 Operating Procedures

### 7.4.1 Due Process

As specified in the SOPs, ITs are guided by the principles of due process, substantive fairness, and openness. The ITs are due process committees and shall observe rules to ensure that the rights of all are respected. Written records are kept of the proceedings of all committees and are made available for examination on the request of any interested party.

These SOPs define those procedures designed to ensure that the requirements of USA law are observed, and that all parties with direct and material interest in the activities of the committees shall have reasonable notice of committee proceedings and an opportunity to be heard on issues before the committees.

### 7.4.2 Consensus

For decisions on significant issues affecting the form or content of SDs, ITs are required to reach a consensus (see definition 0).

Explicit rules facilitate the approval of actions on proposed SDs in an orderly manner. I3A's objective is to produce technically sound standards that will be adopted based on their technical and economic merit. Approval of SDs is therefore based on achieving consensus of the participants rather than a minimum ratio of approvals versus objections.

I3A ITs are the first judge of whether consensus has been achieved. For documents submitted to ANSI for approval or withdrawal as an American National Standard, the ANSI Board of Standards Review (BSR) shall apply as the final judge of consensus their Section 4.2 Approval of actions in connection with American National Standards, documented in the *ANSI Essential Requirements: Due process requirements for American National Standards*.

#### 7.4.2.1 Interpretation of Consensus

Under due process procedures, consensus requires that substantial agreement shall have been reached by directly and materially affected interest categories. All views and objections shall be considered, and an effort shall be made to their resolution.

Substantial agreement implies more than a simple majority, but not necessarily unanimity. It is the IT Chair's responsibility to determine, in conjunction with the committee, when a consensus has been established and to have it so recorded in the minutes.

#### 7.4.2.2 Alternate Two-Thirds Rule

When judicious attempts to apply the test of consensus are delaying the promulgation of an SD, the IT Chair may choose to apply the alternate two-thirds rule to actions on an SD (see section 8.21). Efforts to achieve consensus shall be documented, including objections and attempts at resolution. This rule requires a formal

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recorded vote and achievement of approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions.

It should be recognized that when this procedure is applied, close scrutiny would be applied by the SMB in the review of the committee's actions in subsequent processing of an SD to ensure that the concepts of due process were equitably fulfilled.

### **7.4.3 IT Membership**

#### **7.4.3.1 Qualifications and Requirements**

Membership of ITs is made up of experts representing organizations, companies and government agencies, as well as individuals who are directly and/or materially affected by the work undertaken and/or the jurisdiction of the committee, and who are willing and able to participate actively in committee work.

Participation in the standards development process shall be open to all persons who are directly and materially affected by the activity in question. There shall be no unreasonable financial barriers to participation. Participation shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.

To ensure openness to the standards development process, timely and adequate notice of the initiation and development of a new standard or a substantively revised standard shall be provided to all known directly and materially affected interests. The Director shall provide notification of new standard activities to ANSI through use of the Project Initiation Notification System (PINS). In addition, minutes of the meetings of the ITs or Subgroups shall be available upon request to any directly or materially affected party.

The IT Chair is responsible for the solicitation and maintenance of an active and competent membership of the IT I3A membership is not a prerequisite for participation...

#### **7.4.3.2 Maintenance of Voting Membership**

IT members may continue their participation indefinitely, as long as they remain active in the committee's work and pay any membership fees as required. Technical Committees Members who acquire two (2) consecutive unexcused absences, or who do not reply to two (2) consecutive ballots, or become delinquent in payment of membership fees may be dropped from the membership list. The Chair shall inform the member of this action. However, the Chair has the option, with the concurrence of the Director of Standards and Technology, of retaining such membership in special situations.

#### **7.4.3.3 Membership Categories**

IT membership is divided into four categories: voting (V), alternate (A), liaison (L) and observer (O).

V-Members are parties that have a relevant interest and commitment to actively participate in SD development. Acceptance of a V-Member requires that the member organization request such membership in writing and pay the applicable participation fees. V-members are eligible to vote on ballots and at IT meetings as soon as their membership has been accepted.

A V-Member is limited to one vote regardless of the number of representatives on the IT Committee. Subsidiaries or divisions of the same companies are considered collectively as a single vote. However, distinct divisions of an organization with independent interests, decision-making authority, and separate I3A membership may be granted independent membership by the SMB.

If the IT Chair chooses to be a non-voting member, the respective affiliation may appoint a V-Member. In such cases, the IT Chair may not vote to break a tie.

Multiple representatives from a single company or organization may participate as A-Members when such

membership has been requested by the member organization in writing. A ballot will be provided to all A-Members, but only one ballot from an organization or party will be counted in the absence of the V-Member vote.

L-Members provide a communications channel between the ITs and external groups or between ITs. L-Members are appointed by the IT Chair and serve with the approval of the ITs. L-membership from external organizations requires SMB approval. IT Chairs, with the approval of the SMB, may appoint liaisons to external organizations. Liaison roles may be filled by V-Members. L-Members are non-voting members.

O-Members are organizations, governmental bodies, companies, and interested individuals who may attend meetings for informational purposes or as a consultant. O-Members status is granted by the IT Chair when requested in writing.

O-Members are non-voting members.

### 7.4.3.4 Membership Roster and Mailing List

The Director has the responsibility for maintaining the membership roster and mailing lists on the I3A member's web site. It is the dual responsibility of the IT Chair and the Director to communicate any changes in committee membership or participation.

Membership lists are changed only on the specific instructions of the IT Chair, or through direct communication with the Director by the affected individual. Complete name, representation, and address (mailing and e-mail) shall be furnished.

## 7.5 Imaging Technology Committee Meetings

### 7.5.1 Frequency and Notice

Committee meetings shall be held at least once per year, as decided upon either by the committee, the SMB Chair, the IT Chair, or by petition of five or more voting IT members or a majority of the voting IT members, whichever is less. Meetings may be held via teleconference. An exception to the meeting requirement occurs when the IT is in inactive status (see section 7.11).

A minimum of 30-days written notice is required for meetings anticipated at the previous meeting. A 30-day notice is required to members and others expressing interest on issues requiring ballot. The notice shall identify the purpose of the meeting (an agenda) and a readily available source for further information.

### 7.5.2 Attendance

IT meetings shall be open for attendance by members in good standing and *approved* guests.

With the permission of the IT chair or the Director of Standards, non-members shall be allowed to attend and participate at one meeting with no charge, but *shall* have no voting privileges.

### 7.5.3 Conduct

At all IT meetings, all participants shall be made aware and reminded of the rules of conduct encompassed in the I3A Antitrust Checklist.

### 7.5.4 Technical Committee Minutes

The Chair shall appoint a recording secretary and ensure the preparation of accurate minutes of the meeting. The Chair is responsible for ensuring that adequate notes are taken in order to make possible the preparation of accurate minutes of the meeting. If audio recordings are made in lieu of notes, the recordings shall be retained only until the minutes are approved at a subsequent meeting or by ballot.

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The IT Chair shall provide or administer the preparation and prompt distribution of minutes of IT meetings.

Subgroups may appoint a secretary from the membership. The Chair, however, retains the responsibility for the prompt distribution of the minutes and meeting materials. Prompt distribution is accepted to mean that the minutes must be distributed within 60 days of the meeting, and not less than 30 days prior to the next meeting.

### **7.6 Subgroups**

#### **7.6.1 Function**

Subgroups may be established to expedite the functions of an IT and may be formed at various levels of the committee structure. Subgroups do not finalize SDs or formulate policies.

#### **7.6.2 Formation**

An IT Chair may form Subgroups and appoint Subgroup Chairs subject to IT approval.

The IT shall approve the scope of work for the Subgroup which shall include a statement of the objective(s), a statement of the work to be accomplished including specific tasks that can be identified, a statement of the type of committee output, reporting requirements, and a schedule of work.

The formation of Subgroups and appointment of their Chairs is for the duration of the task(s) assigned to the Subgroups and is subject to review by the IT.

#### **7.6.3 Membership**

Since the IT has responsibility for due process, balance on a Subgroup is not required.

Subgroup participation is open to invited experts and to all those who are directly and materially affected by the activity undertaken. In some Subgroups, the IT may set a limit on Subgroup size. The Subgroup Chair is responsible for its composition.

#### **7.6.4 Meeting Reports**

Each Subgroup Chair appoints a secretary to prepare the minutes of each Subgroup meeting. Subject to approval by the IT, the minutes shall stand as the official record of the actions taken at the meeting.

#### **7.6.5 Categories**

##### **7.6.5.1 Subcommittee**

A subcommittee is formed by an IT to initiate proposals for SDs, develop SDs for approved projects, and maintain existing SDs. A subcommittee shall attempt to maintain a balanced representation of the interests affected by the topics under consideration.

##### **7.6.5.2 Task Force**

A task force is formed to coordinate a specific program or examine a system or technology. A task force that is internal to an IT is created by the IT. A task force that affects more than one IT is created by the SMB.

##### **7.6.5.3 Ad Hoc Committee**

An ad hoc committee is formed at any organizational level to consider a specific issue. Results of the evaluation are reported to the originating committee and the ad hoc committee is then dissolved.

### 7.7 IT Liaisons

#### 7.7.1 Responsibilities

Individuals appointed by the IT as liaisons shall be formally approved by the SMB and represent the interests and concerns of the I3A standards program to other standards organizations. Through contact and interaction with participants in the I3A standards program, IT liaisons are responsible for keeping themselves and I3A informed on the interests and concerns that relate to the assigned subject area.

IT liaisons need not be members of I3A.

#### 7.7.2 Voting

If allowed or required to vote, copies of all ballots executed by IT liaisons shall be forwarded to the appointing IT Chair or to the SMB for final review prior to submission to the appropriate organization. If votes are taken during the meeting, the IT liaison must exercise judgment appropriate to prior instructions, or abstain.

Votes on proposed ANSI/I3A SDs will require IT and SMB concurrent review to develop the I3A position.

#### 7.7.3 Reporting

IT Liaisons should submit reports to the IT as requested. Significant information and time sensitive reports should be sent to the Director, who in turn will distribute them to the SMB, appropriate ITs, and other interested parties. Meeting minutes and SDs received by the IT liaison should be provided to the Director...

### 7.8 Joint Standards Development

The SMB is responsible for approving formal agreements that establish the role of I3A in area(s) of responsibility with other standards organizations.

### 7.9 IT Annual Report

#### 7.9.1 General

Each Technical Committee (IT) Chair shall submit a written *annual report* to the Standards Management Board (SMB). The *annual report* should be provided to the Secretariat at least 45 days before its scheduled review at an SMB meeting.

#### 7.9.2 Format/Period Covered

The *annual report* should be brief and concise, should cover the time period from the previous report to the date of the current report, include an executive summary and should conform to the following outline.

##### 7.9.2.1 Executive Summary

The *executive summary* should provide a brief statement of the current status and health of the IT and should include these major topics:

- Operation of the IT: Includes the number of subcommittees, number of meetings held per year by the IT and each subcommittee, and a qualitative statement on meeting attendance and participation.
- Number of completed projects. (A project is considered completed when it has been submitted for public review and SMB approval).
- Number of projects currently in progress.

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- Major accomplishments (for example, the completion of standards that required multiple drafts and extended periods of time for development of the final text).
- Current activities that have generated a high degree of interest.
- Liaison activities and relationships with other organizations involved in standards development.

EXAMPLE: This Technical Committee is active and healthy. The IT and each of its three subcommittees had two well attended meetings this year. Five standards have been published during the past year. Currently, four standards are being balloted or are in the later stages of adoption. Two additional standards are under active review.

A major accomplishment of the IT during the year was the completion of project Y (name the completed work and explain why it is considered a major accomplishment).

A current project that has generated a high degree of interest among end users, distributors and producers is project Q (name and describe the activity).

Coordination with the corresponding ISO/TC42 Working Group is very good with several IT members serving on both committees.

### 7.9.2.2 Critical Issues or Concerns

The intent is to provide the IT Chair with an opportunity to report critical issues and any administrative or procedural matters that need to be addressed by the SMB or I3A. (For example, copyright or patent issues).

## 7.10 Status Report & Membership Roster

The latest *status report* and *membership roster* prepared by the Secretariat are to be attached to the *annual report*.

The *status report* should include all IT standards and work items and provide information on recent activity and the current stage in the standards development process.

## 7.11 Inactive Status

An IT, via its Chair, may report to the SMB that it has become temporarily inactive. Subject to SMB approval, the IT may be assigned inactive status. Under inactive status, the IT has no requirements for annual meetings, SMB participation, an annual report, and dues to I3A.

Before reporting inactive status, the IT should consider the transfer of responsibility for maintenance of its standards to the SMB.

Although inactive, the IT still serves as a focal point for USA opinion and may receive and ballot new work proposals.

## 8 Development of Standards Documents (SDs)

The Director and the ITs are responsible for the development and maintenance of I3A and proposed ANSI/I3A SDs that fall within the *General Scope* of the I3A standards program. These standards activities encompass national and international documentation of imaging technology. Documentation of products and procedures not clearly within the *General Scope* or the IT scopes should be avoided.

When a need is identified outside the *General Scope*, the proposal shall be referred to an appropriate standards developer. When questions of appropriate scope arise, the SMB shall determine the role of I3A in

the activity.

One of the primary orders of business of the ITs shall be to identify those areas in which standards development may be appropriate, or necessary.

### 8.1 Standards Document Categories

#### 8.1.1 I3A or I3A/ANSI Standard

An I3A or I3A/ANSI Standard is based upon a national or industry need and relates to a product, process, or procedure with specific or mandatory requirements.

I3A Standards are approved by the Imaging Technology Committee (IT) and submitted to the SMB for final approval. I3A/ANSI standards are approved in the same manner, with the additional steps of ANSI Public Review period and ultimate approval as American National Standards by the ANSI Board of Standards Review.

Official interpretation of an I3A or I3A/ANSI standard shall conform to Clause 8.11.3.

#### 8.1.2 I3A or ANSI Recommended Practice

An I3A or ANSI Recommended Practice is a document in which procedures and preferred positions are presented.

#### 8.1.3 I3A or ANSI/I3A Technical Report

An I3A or proposed ANSI/I3A Technical Report is an alternative type of publication used to disseminate information that does not fit the standards criteria.

NOTE Nothing in these practices precludes I3A from developing and approving its own internal reports of any kind.

A Technical Report is not a standard or consensus document. It contains material of a different kind from that which is normally published as a standard. Technical Reports may include technical research, tutorials, factual data obtained from surveys of standards developers or national bodies, or information on the state-of-the-art in relation to standards of national or international bodies on a particular subject.

A Technical Report shall be entirely informative in nature and shall not contain information implying that it is normative (i.e., a standard). It shall clearly explain its relationship to normative aspects of the subject that are in standards.

When an I3A Technical Report is submitted to ANSI for registration and publication, the following text shall be included in the Foreword:

"Publication of this ANSI Technical Report has been approved by the International Imaging Industry Association (I3A). This document is registered as a Technical Report series of publications according to the *ANSI Procedure for the Registration of Technical Reports with ANSI*. This document is not an American National Standard, and the material contained herein is not normative in nature. Comments on the content of this document should be sent to I3A, 550 Mamaroneck Avenue, Suite 310, Harrison, NY 10528-1615."

The decision to publish a document as a Technical Report shall require approval by the appropriate IT. Technical Reports need not be subjected to consensus by public review before approval action is taken. An ANSI Technical Report shall be registered with ANSI, and the intent to register announced in *Standards Action*.

All ANSI Technical Reports are subject to review by the appropriate IT not later than three years after their

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publication. During this review, the options are: reaffirmation, revision, or withdrawal. The results of this determination are transmitted to ANSI for registration and publications action, as appropriate.

Official interpretation of a Technical Report shall conform to Clause 8.11.3

Developers of ANSI Technical Reports shall take into consideration International Technical Reports and shall, if appropriate, adopt these Technical Reports as ANSI Technical Reports, or base ANSI Technical Reports on the international document. International Technical Reports can be adopted nationally using the procedures found in *Annex F (ANSI Procedures for Synchronization of the National and International Standards Review and Approval Processes)* of the *ANSI Essential Requirements: Due process requirements for American National Standards*.

### **8.2 Preferred Units**

The standards program of the International Imaging Industry Association (I3A) is committed to the System International (SI) metric system for the design, manufacture, and labeling of imaging products.

NOTE In many areas, e.g., chemical standards, preservation standards, eIT., SI metric units are used exclusively.

Metrication is most difficult in the area of hardware and product dimension specifications. The following guidelines are intended to address these areas.

- For any standard employing non-SI units, at its next five-year review process, the standard should be revised to employ SI metric units with customary units referred to only in an annex when considered vital.
- All new standards should be based on SI metric units.
- 

This policy supports the overall philosophy of I3A to adopt International Standards as national standards and is intended not to conflict with any policy defined by the American National Standards Institute (ANSI.).

### **8.3 Illegal Use of Standards**

I3A and proposed International or ANSI/I3A SDs shall not be written so as to attempt to fix prices, exclude competition from the marketplace, curtail production, restrain trade, or otherwise violate the anti-trust or other laws of the United States, any State thereof, or those of the international community.

### **8.4 Voluntary Adherence to Standards**

Adherence or non-adherence to an I3A Standard or an International or ANSI/I3A SD developed by I3A shall be left to the individual discretion of every user, supplier, or manufacturer, unaffected by agreements, understandings, or direction of any type by I3A.

### **8.5 Engineering, Technical, and Safety Considerations**

I3A activity in the field of standardization shall be confined to the engineering, technical, and safety aspects of image technology products or procedures, as set forth in the *General Scope*.

### **8.6 Commercial Practices**

I3A and proposed International or ANSI/I3A SDs shall not include provisions that are a part of the business relations between a manufacturer and a purchaser, such as guarantees, warranties, and other commercial terms and conditions.

For statements in an SD that relate to the determination of product/service conformity to one or more standards, the process or criteria for determining conformity can be standardized as long as it is limited to technical and engineering concerns and does not include commercial terms or brand names.

### 8.7 Standard Practice

The statement that a method or procedure shall be the "standard practice" shall refer only to an engineering, technical, or safety method or procedure and shall not constitute a recommendation or statement of what should be the actual practice of various manufacturers.

### 8.8 Reference to Brand Name Products

It is permissible to include the proper name and address of a source of essential equipment or material in an SD, as long as the reference is placed in either a footnote or an informative annex, includes the words "or the equivalent", and is not construed to be an endorsement.

### 8.9 Patented Items

There is no objection in principle to drafting I3A and proposed International or ANSI/I3A SDs in terms that include the use of a patented item, if it is considered that technical reasons justify this approach. The procedures to incorporate patents shall follow ANSI and International patent policies.

#### 8.9.1 International standards

For International Standards, I3A will observe the requirements of ISO/IEC Directives.

#### 8.9.2 I3A or ANSI/I3A SDs

For I3A or ANSI/I3A SDs, I3A will observe the following requirements:

##### 8.9.2.1 Responsibility for identifying patents

The Association shall not be responsible for identifying all patents for which a license may be required by an American National Standard or for conducting inquiries into the legal validity or scope of those patents that are brought to its attention.

##### 8.9.2.2 Notice

A published standard, for which no patent rights are identified during the preparation thereof, shall contain the following notice:

"Attention is drawn to the possibility that some of the elements of this Standard may be the subject of patent rights. The International Imaging Industry Association (I3A) shall not be held responsible for identifying any or all such patent rights."

##### 8.9.2.3 Procedures

If technical reasons justify the preparation of a standard in terms that include the use of items covered by patent rights, the following procedures shall be complied with.

- a) The originator of a proposal for a standard shall draw the attention of the committee to any patent rights of which the originator is aware and considers pertinent to any item of the proposal. Any party involved in the preparation of a standard shall draw the attention of the committee to any patent rights, to the best of their personal knowledge, of which it becomes aware during any stage in the development of the standard.

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- b) If the proposal is accepted on technical grounds, the originator shall ask any holder of such identified patent rights for a statement that the holder would be willing to negotiate worldwide licenses under his rights with applicants throughout the world on reasonable and non-discriminatory terms and conditions. Such negotiations are left to the parties concerned and are performed outside I3A. A record of the right holder's statement shall be placed in the registry, and shall be referred to in the introduction to the relevant standard [see item d) below]. If the right holder does not provide such a statement, the committee concerned shall not proceed with inclusion of an item covered by a patent right in the standard without authorization from the I3A Standards Management Board
- c) All drafts submitted for comment shall include on the cover page the following text:
- "Recipients of this document are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation."
- d) A standard shall not be published until the statements of the holders of all identified patent rights have been received, unless the Standards Management Board gives authorization.
- e) A published standard for which patent rights have been identified during the preparation thereof, shall include the following notice in the introduction:
- "The International Imaging Industry Association (I3A) draws attention to the fact that it is claimed that compliance with this document may involve the use of a patent. I3A takes no position concerning the evidence, validity and scope of this patent right. The holder of this patent right has assured I3A that he is willing to negotiate licenses under reasonable and non-discriminatory terms and conditions with applicants throughout the world. In this respect, the statement of the holder of this patent right is registered with I3A. Information may be obtained from: ... name of holder of patent right ..... address ...
- Attention is drawn to the possibility that some of the elements of this Standard may be the subject of patent rights other than those identified above. I3A shall not be held responsible for identifying any or all such patent rights."
- f) Should it be revealed after publication of a standard that licenses under patent rights, which appear to cover items included in the standard, cannot be obtained under reasonable and non-discriminatory terms and conditions, the standard shall be referred back to the relevant committee for further consideration.

### 8.9.2.4 Record of statement

A record of the patent holder's statement shall be placed and retained in the files of I3A. For American National Standards, a record of the patent holder's statement shall be forwarded to the American National Standards Institute.

## 8.10 Records

Records shall be prepared, maintained, and made accessible to those having a direct and material interest under reasonable conditions of time, location, cost, and convenience to all concerned.

Records to be maintained by the I3A Director of Standards (Director) shall include:

- draft standards;
- meeting minutes (including attendance, decisions, and a synopsis of discussions);
- copies of current and past membership lists;
- copies of all documents pertaining to a IT or its Subgroup's work;

- a list of all documents referred to in clause 8.13, with reference to the specific meeting at which each proposal was made;
- a voting summary for each ballot including abstentions and unreturned ballots in each interest category;
- copies of promulgated standards;
- status reports on existing standards referred to in clause 8.13.

These records shall be retained for at least one revision cycle or five years, whichever is longer, after the adoption, reaffirmation, revision, or withdrawal of an I3A, international or ANSI/I3A SD.

### 8.11 Interpretation of Standards

#### 8.11.1 General

Every effort shall be made by I3A to develop standards documents (SDs) that are clear and precise in their scope and specification. However, in the process of using any document, it is possible that questions may arise. There is, therefore, a need for a systematic and uniform approach for disseminating responses to inquiries on standards.

In the event that an official interpretation of an SD is requested, the originating Imaging Technology Committee (IT) or Subcommittee (SC) shall develop a response for consensus approval of the Standards Management Board (SMB).

NOTE This Policy pertains to I3A-developed SDs only. Inquiries concerning International Standards shall be referred to the appropriate International Standards Secretariat.

#### 8.11.2 Informational Requests

Simple requests for information about a SD shall be answered by either the Director in consultation with the appropriate IT or SC Chair or by the IT Chair in consultation with the SC that developed the standard.

#### 8.11.3 Interpretation Inquiries

Formal inquiries requesting official interpretation of the language of an I3A SD, or an I3A-developed ANSI/I3A SD, shall be in writing and submitted to the Director for routing to the appropriate IT Chair. An interim acknowledgement of the inquiry shall be made to the originator within thirty days of its receipt.

The full IT or a designated Ad-Hoc Committee of no less than four members (including either the Committee Chair or Vice Chair) shall consider the inquiry and determine whether the SD was intended to answer the question posed. If so, the IT shall prepare a written response that is supported by explicit technical reasoning for submission to the SMB Chair and the Director for review and subsequently to the full SMB for an approval ballot. Approval of the recommended technical response shall require at least two-thirds affirmation votes of the SMB members, excluding abstentions. Resolution of any negative vote shall conform to the same procedure as used for the approval of a proposed SD.

Upon completion of the review/approval process, a written response shall be prepared by the SMB Chair for transmittal to the inquiry originator.

Should the request for interpretation necessitate that a revision be made to an SD, the revision shall be processed in accordance with the *I3A Standard Operating Procedures*

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### **8.12 Representation of Interests**

The standards development process should have a balance of interests.

It is expected that IT Chairs and the Director shall make a diligent effort to achieve a balance in the representation of interests. However, unless it is claimed by a directly and materially affected person that a single interest category dominated the standards development process, no test for dominance is required.

#### **8.12.1 Interest Categories**

The interest categories appropriate to the development of consensus in any given standards activity are a function of the nature of the SDs being developed. In defining the interest categories appropriate to a standards activity, consideration shall be given to at least the following:

a) producers;

A member who represents an organization that produces or sells materials, products, systems, or services covered in the scope of the document(s) developed by the committee shall be classified as a producer.

b) users – consumers;

A member, or a member who represents an organization, that in the context of his/her profession purchases or uses materials, products, systems, or services covered in the scope of the document(s) developed by the committee shall be classified as a user provided that the member could not also be classified as a producer.

c) users – government;

A member, or a member who represents a government interest, that in the context of his/her profession purchases or uses materials, products, systems, or services covered in the scope of the document(s) developed by the committee shall be classified as a user provided that the member could not also be classified as a producer

d) general interest.

A member who does not fit into any of the preceding categories (e.g., Universities)

Where appropriate, more detailed subdivisions should be considered, e.g., distributor, professional society, trade association, etc.

Appropriate and representative user views shall be actively sought and fully considered in standards activities.

### **8.13 New Projects or Work Items**

#### **8.13.1 Scope**

This section describes the process for submission and approval of ANSI and I3A new work item proposals (NP). ISO TC42 NPs are processed and balloted according to the ISO Directives. The US approval of ISO TC42 NPs follows the ANSI-Accredited US TAG to TC42 Procedures.

#### **8.13.2 Project Requests**

Any IT may request initiation of an NP or early revision of an existing standard. Any interested party may request initiation of a NP. Membership in I3A or on an IT is not a prerequisite for submission of a project proposal.

Requests may be directed to ANSI, but more typically are directed to an IT of the appropriate standards developer. In most cases, a new work item originates from either an IT review of industry needs or a response to international activity.

Depending upon the nature of the project and the level of expertise required to complete the task, it may be necessary for the proposer to solicit or provide experts to participate in the NP. The project proposer will be encouraged to participate in the development of the project and where possible to assume the responsibility of Project Leader (PL).

All NP proposals shall be in writing and addressed to the I3A Director of Standards & Technology (Director). An NP proposal form (attached as Annex) should be used. At a minimum, the project proposal shall contain the following information:

- Project Title;
- Scope (specific subject area to be considered);
- Need (why project is important, identification of proposed audience, and benefits expected to be gained by the industry or a segment thereof);
- Project Management (identification of participants and recommendation of a candidate to function as the PL);
- Time Line (schedule for initial draft completion and estimated time to complete the NP).

### 8.13.3 IT Assessment

The Director shall provide the NP to the most appropriate I3A IT Chair. The IT Chair shall make an assessment as to whether the NP:

- falls within its scope;
- is not in conflict with an existing SD or the work of other standards developers;
- represents a "bona fide" need;
- or is not in conflict with the Strategic Preference for Standards Development (See section 2.3);
- and that the IT has the expertise to handle the NP.

If the assessment is satisfactory the IT Chair shall notify the Director and request that an SMB letter ballot on NP approval be initiated. The IT is encouraged to begin work immediately on the NP while the SMB review is in progress.

If the assessment is not satisfactory, the IT Chair shall document the specific reason(s) for disapproval and provide this information to the Director. The Director shall then initiate a 30 day ballot of the IT to confirm agreement with the Chair's assessment. The Director shall submit the IT ballot results and comments to the SMB for review and approval.

### 8.13.4 SMB NP Approval

The SMB NP Approval ballot shall include attachments of all appropriate documentation, e.g., a copy of the NP proposal and results of the IT Assessment (section 8.13.3).

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The SMB may refuse a project proposal if the work is outside the general scope of I3A, overlaps the work of another standards developer, conflicts with international activity, fails to meet a needs assessment, or there is insufficient expertise and resources needed to accomplish the project.

Objection to a NP proposal shall be promptly conveyed in writing to the requestor by the SMB Chair. This notification shall stipulate the specific reason(s) for work denial and shall inform the submitter that the decision may be appealed at the next full meeting of the SMB.

### 8.13.5 Public Notification

If the NP is approved by the SMB, an announcement shall be placed on the appropriate I3A public and member's web page. In addition, ANSI shall be informed of the activity via the submittal of the Project Initiation Notification (PINS) form. ANSI will, in turn, place an NP listing in *Standards Action* for a 30-day comment period

### 8.14 Reaffirmation, Revision, or Withdrawal of SDs

I3A and ANSI/I3A SDs are reviewed by the appropriate IT as required for technical change following either the periodic or stabilized maintenance process<sup>3</sup>. Standards on the periodic maintenance process are reviewed on a schedule not to exceed five years from the date of its approval, with a view towards reaffirmation, revision or withdrawal. Those standards that are on the stabilized maintenance process are not required to be revised or reaffirmed on a 5-year cycle; however, the standards shall be subject to a review of such status by I3A on a 10-year cycle.

In addition, any interested party may request review for revision or withdrawal of any SD at any time, by submitting to the SMB Chair or the Director a letter that details the proposed revisions, or the reasons for withdrawal.

SDs to be reviewed, with written proposals if any, are submitted to the IT voting members at their next meeting or by letter ballot. The ballot shall offer the following voting choices:

- a) Reaffirm;
- b) Revise with technical or editorial changes (include reasons);
- c) Withdraw for noted reasons;
- d) Abstain.

#### 8.14.1 Reaffirmation, Revision, and Withdrawal Due Process

Any change in the reaffirmation, revision, or withdrawal of an I3A or ANSI/I3A SD shall be subject to the same due process procedure as is followed with new proposals.

#### 8.14.2 Reaffirmation, Revision, and Withdrawal Notice

In the case of ANSI/I3A SDs undergoing reaffirmation, revision, or withdrawal, the Director shall provide notice to ANSI via documentation fulfilling the Board of Standards Review (BSR) criteria. Subsequently, notice is published in *Standards Action* to comply with ANSI requirements.

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<sup>3</sup> See the *ANSI Essential Requirements* section on Maintenance of American National Standards.

### 8.15 Document transfer between Technical Committees

#### 8.15.1 Introduction

On occasion, it might be appropriate to transfer responsibility for a Standards Document (SD) from one Imaging Technology Committee (IT) to another. To facilitate an orderly SD transfer between ITs, the following procedure has been established.

#### 8.15.2 Transfer Initiation

Once an IT has identified an SD under its jurisdiction that is considered more appropriate for another IT, the IT Chair shall inform the Director of Standards and request that consideration be given for the transfer of SD responsibility.

#### 8.15.3 Request Review Process

The Director shall review the transfer request and either confirm or determine the appropriate IT for the SD transfer. If the Director supports the transfer, notification shall be provided to the respective IT Chairs and request made that transfer discussions be started between the ITs.

The proposed receiving IT shall review the transfer proposal, determine whether or not to accept SD responsibility, and provide feedback on their decision to the Director and to the IT Chair that has SD jurisdiction.

If transfer agreement cannot be achieved between the ITs, the Director shall forward the issue to the SMB for resolution.

#### 8.15.4 Transfer of Files

Once the SD reassignment has been agreed to by the IT Committees involved, all documents and records pertaining to the SD shall be forwarded to the receiving IT Chair.

#### 8.15.5 Future SD Activity

If members of the departing IT wish to participate on future work on the SD, this can be accomplished by the creation of a Task Force under the receiving IT.

### 8.16 Standards Document Process

In developing a draft SD, the assigned IT either addresses the project in committee, or assigns it, or specific portions of the project, to a Subgroup. In the development of technical specifications, the committee should continually identify those items in which there is complete accord, partial accord, or little accord.

Sound management practices should dominate the project's progress. These practices include identification of key issues, specific requests for preliminary positions, early establishment of goals, frequent meetings, adequate notice of future agenda items, and prompt circulation of committee minutes.

### 8.17 Technical Committee Ballots

When the IT and/or its Subgroup have developed and completed the SD in accordance with the SOPs such that it is ready for a formal IT ballot, the Director shall process the ballot to the full membership of the IT

#### 8.17.1 Authorization of Ballots

Ballots may be authorized by any of the following:

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- a) The IT Chair;
- b) A petition of five or more members of the IT committee;
- c) A majority vote of those present at a IT committee meeting;
- d) The SMB.

The above authorizations shall not be used in a manner that would limit open committee discussion of relevant issues. The Chair may decline to conduct the ballot when further discussion is warranted.

### **8.17.2 Ballot Format**

Ballots shall offer the following voting choices:

- a) Affirmative;
- b) Affirmative with comment;
- c) Negative (reasons for a negative vote shall be given, and if possible should include specific wording or actions that would resolve the objection);
- d) Abstain (reason for the abstention should be provided.)

### **8.17.3 Ballot Response Time**

The normal voting period for a ballot shall be 30 days from the date of issue. Special consideration shall be given to requests for an extension. When warranted, the Chair may also grant an extension in order to obtain sufficient ballot returns.

### **8.17.4 Ballot Approval**

A ballot is approved when it conforms to the requirements of clauses 8.21.2 and 8.21.3. SD ballots must also meet BSR criteria "that consensus was achieved". If such affirmative vote is not received, the ballot shall not be approved.

### **8.17.5 Ballot Voting Results**

Within 15 days after the closing of the voting period, the IT Chair will be provided with a status report of the ballot voting including copies of all comments for disposition by the IT.

To ensure that the principles of consensus are followed, prompt consideration shall be given to the expressed views and objections of all participants during the document drafting process, Imaging Technology Committee (IT) balloting, and those commenting on the listing in *Standards Action*.

If a ballot includes any comments, the Responsible Person (RP, e.g., project leader, Chair, etc.) shall provide to the Director a ballot resolution report documenting how all comments were handled.

The voting results on all ballots shall be reported to the responsible IT. Voting results by interest categories, as defined in 7.4 of the SPs, shall be used in submittals to the BSR.

### **8.17.6 Resolution of comments**

To ensure that the principles of consensus are followed, prompt consideration shall be given to the expressed views and objections of all participants during the document drafting process, Imaging Technology committee (IT) balloting, and those commenting on the listing in *Standards Action*.

When a ballot has been closed, the Director shall forward the vote summary and comments, if any, to the IT Chair or, if appropriate, to the Subcommittee (SC) Chair. The Chair shall determine whether the expressed views and objections shall be considered by telephone, correspondence (written or electronic), or at a meeting. A concerted effort shall be made to resolve all objections (with the objectors' participation where possible), and each objector shall be promptly advised of the disposition of the objection and the reason(s) thereof.

### **8.17.6.1 Resolving Affirmative vote with comments**

#### **8.17.6.1.1 Editorial Comment**

Editorial corrections or comments, i.e., proposed changes that do not affect the intent of the SD, shall be considered by the RP. *Acceptance or rejection of editorial comments shall not affect the approval of the SD* The RP determines whether the comment is truly editorial in nature. The RP can accept or reject an editorial comment, and shall document whether a comment was accepted, or why a comment was rejected, in the ballot resolution report.

#### **8.17.6.1.2 Substantive/Technical Comment**

The RP may communicate directly to the person commenting or review the comment at a formal IT meeting.

If the RP determines that the comment should be adopted, then a formal IT re-ballot is required. This shall be in the form of a 30-day ballot.

If the RP decides to reject the comment, the RP shall document the reason why the comment was rejected in the ballot resolution report.

#### **8.17.6.1.3 Resolving negative votes**

##### **8.17.6.1.3.1 Basic principles**

Negative votes may be cast on IT or SC ballots. A written statement should accompany negative votes. *Any negative vote that is not accompanied by explanatory comments shall not be considered further and shall be recorded as a negative vote without comment.*

The RP shall attempt to resolve the issues concerning the negative vote with the person submitting the negative ballot. This can be done by (1) the negative vote may be changed at any time (e.g. even after the ballot period has ended) to approval or abstention by written notice from the voter. (2) the RP may modify and re-ballot the SD in order to address the negative vote, (3) the SD may be approved, with one or more negative votes, by the consensus of the IT during a reconsideration ballot.

##### **8.17.6.1.3.2 Technical Committee resolution of negative votes**

All negative votes with explanatory comments shall be considered, including those received from non-members of the IT. Negative votes received on ballots shall be addressed in a timely fashion, but not later than the next IT meeting.

If the negative vote is changed, the ballot is approved.

If the RP believes the SD should be modified to address the comment, the SD can be revised and re-balloted using another 30-day ballot.

If the RP believes that the SD should be approved despite the negative ballot, the RP can request that the Director notify all IT members of the negative votes and accompanying explanatory comments and simultaneously issue a reconsideration ballot to the IT to allow members the opportunity to review the comments accompanying any negative vote and to change their vote if they deem it appropriate. The

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reconsideration ballot shall be a ballot by exception and can include recommendations from the IT Chair on the validity of the comments accompanying the negative ballot.

The Director or IT Chair shall notify the negative voter in writing of the means by which the negative vote will be addressed. It is recommended that the explanatory comments accompanying the negative vote be sent to IT members prior addressing the negative vote.

Actions on all negative votes including the vote record and IT disposition shall be recorded. Negative voters shall be notified in writing of these actions. The following dispositions are possible for negative votes:

- a) *Accepted*: Acceptance of comments accompanying the negative vote by discretion of the IT Chair, majority vote at an IT meeting or IT letter ballot. Acceptance of negative comments shall require the re-ballot of the modified document.
- b) *Not Accepted*: Rejection of the balloted comments accompanying the negative vote by two-thirds vote (see section 8.21.3) at an IT meeting or by IT ballot. The document shall be forwarded for final approval and the person casting the negative ballot shall be informed in writing of the "Right to Appeal."
- c) *Withdrawn*: This requires written confirmation of withdrawal of the negative vote by the negative voter. The voter may change the vote to either approval or abstention

### 8.18 SMB Review and Approval

When an IT has completed and approved an SD, the SD, voting summary, and resolution of comments documentation shall be provided to the SMB and a 30 day SMB ballot shall be issued. The SMB ballot shall consider evidence that:

- a) The SD is within the *General Scope*;
- b) Criteria for an SD has been met;
- c) Consensus was achieved;
- d) Due process requirements were met.

Once affirmed, the Director shall proceed with any required editing and prepare the BSR documentation and promptly process the SD. The Director is expected to make editorial modifications required to make a SD conform to format and proper grammar, or to clarify intent. Informational copies of the edited SD will be sent to the responsible IT.

### 8.19 I3A Standards Documents

SDs that are not processed as proposed ANSI/I3A SDs shall complete the authorization process as I3A SDs by approval of the SMB. I3A SDs are developed by the same due process procedures as used in proposed ANSI/I3A SDs.

### 8.20 Public/Other Review

I3A attaches great importance to public review as the final critical phase of the open development of consensus SDs. Public review is required for all proposed ANSI/I3A SDs. Proposals for new ANSI/I3A SDs and reaffirmation, revision, or withdrawal of existing ANSI/I3A SDs shall be transmitted by the Director to ANSI for listing in *Standards Action*.

The SMB Chair and/or the Director shall determine whether the listing of proposed standards actions should be concurrent with the final committee ballot and whether announcement in other suitable media is appropriate. At the same time, the Director shall transmit a copy of the proposed new SD to the

Administrator(s) of the appropriate U.S. TAG(s).

Views and objections resulting from the above shall be dealt with in accordance with these SOPs, by forwarding them to the appropriate IT for disposition and subsequent development of a timely written response by the SMB Chair or Director (See SOP Clause 8.17.6). If comments result in substantive technical change, the proposed ANSI/I3A SD shall be re-listed in *Standards Action* and IT re-balloting and SMB review shall take place.

### 8.21 Voting Procedures

#### 8.21.1 Voting Method

Voting may be conducted:

- a) At meetings;
- b) By ballot (e-mail, fax, or telephone).

Telephone ballots are permitted only if the issue at question has been previously communicated to the membership. Also, telephone ballots are done only by the Director and shall be recorded.

#### 8.21.2 Actions Requiring Majority Approval

The following actions require approval by a majority of the V-Members either at a meeting or by ballot:

- a) SMB confirmation of officers appointed by the SMB Chair;
- b) Formation of an SMB Subgroup, including its procedures, scope, and duties;
- c) Dissolution of SMB Subgroups;
- d) Withdrawal of an existing SD.
- e) Approval of minutes;

#### 8.21.3 Actions Requiring Two-Thirds Approval

Unless otherwise identified in these practices, the following actions require a ballot or an equivalent formal recorded vote at a meeting with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions:

- a) SMB approval of new or revised IT procedures;
- b) IT approval of new, reaffirmed, or revised SDs;
- c) SMB approval to change the General Scope or the IT Scope (see section 5.1);
- d) SMB approval to establish or dissolve an IT (see section 5.1).
- e) Rejection of comments accompanying a negative vote on a technical committee ballot.

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### **8.22 Communications**

#### **8.22.1 Internal Communication**

If correspondence between Subgroups involves issues or decisions (i.e., non-routine matters) affecting other ITs or Subgroups, copies shall be sent to all affected Subgroup Chairs and to the IT officers.

#### **8.22.2 External Communication**

Inquiries relating to I3A or its SD development activities should be directed to the SMB Chair or Director, and IT or Subgroup members should so inform individuals who raise such questions. All replies to inquiries shall be made through these officers or a designated IT Chair.

#### **8.22.3 Interpretation of Standards Documents**

See SOP section 8.11

##### **8.22.3.1 Conformance Questions**

Under no circumstances, shall I3A or its IT Chairs provide an interpretation as to whether a particular product, process or procedure conforms or does not conform to the SD in question. Moreover, no person in the I3A standards program shall have the right or authority to issue such an interpretation in the name of I3A.

#### **8.22.4 Standards Correspondence**

The use of the I3A letterhead paper is restricted to official I3A correspondence by I3A staff. Three options are available for I3A IT activities that are not prepared by staff personnel:

- a) IT or Subgroup Chairs, secretaries, and members may use the letterhead of their respective organization for such correspondence, with the IT and/or project number referenced. Preparers should sign their name and list their title in the IT or Subgroup;
- b) IT or Subgroup Chairs, secretaries, and members may use plain paper with the IT and/or project number referenced. Preparers should sign their name and list their title in the IT or Subgroup;
- c) I3A may choose to supply IT officers or members with I3A letterhead stationary especially identified for standards or other IT work by incorporating a designator such as "Committee or Standards Correspondence" as part of the heading.

#### **8.22.5 Document Distribution**

##### **8.22.5.1 I3A Standards Documents**

I3A may provide, as needed, a copy of I3A standards documents. Requests for I3A standards documents shall be made to the Standards Department. Documents shall be provided at a nominal charge to non-members of either the IT or I3A.

##### **8.22.5.2 American National Standards**

I3A may provide, as needed, a copy of an American National Standard documents (ANS) to members of the responsible Imaging Technology Committee (IT) or Subcommittee (SC) when the ANS document is undergoing revision, or when the ANS document is a reference in a standard under development or revision. All other requests to I3A for an ANS documents shall be directed to the American National Standards Institute (ANSI) for handling.

Requests to I3A for either drafts of new standards in development or for the text of proposed ANS revisions shall be provided at a nominal charge to non-members of either the IT or I3A.

### 8.22.5.3 International Standards

Document requests for International Standards shall be referred to the ISO/TC42 Secretariat.

## 8.23 Parliamentary Procedures

On questions of parliamentary procedure not covered in these SOPs, *Robert's Rules of Order* (latest edition) shall be used to expedite due process.

## 8.24 Appeals Process

### 8.24.1 General

The provision for appeals is important for the protection of directly and materially affected interests as well as for I3A. The procedure provides a two-step process: first to I3A as the Standards Document (SD) developer and subsequently to the American National Standards Institute (ANSI) as the final appeal.

ANSI will not normally hear an appeal of an action or inaction by a standards developer relative to the development of an American National Standard until the appeals procedure provided by the standards developer has been completed.

The burden of proof to show adverse effect shall be on the appellant. Appeals of actions shall be made within reasonable time limits; appeals of inactions may be made at any time. Appeals shall be directed to the SMB.

### 8.24.2 Right to Appeal

The right to appeal is guaranteed as stipulated in the I3A Standards Operating Procedures and is required as a part of due process.

Parties or persons that have directly and materially affected interests and who have been or will be adversely affected by a SD within the jurisdiction of I3A, or by the lack thereof, shall have the right to appeal substantive or procedural actions or inactions of I3A or its Imaging Technology Committees (ITs).

#### 8.24.2.1 Appeals Mechanism Criteria

The following general criteria shall apply to any appeals mechanism provided pursuant to this procedure:

- a) Appeals shall be addressed promptly and a decision made expeditiously;
- b) The right of the involved parties to present their cases shall not be denied;
- c) The appeals procedure shall provide for participation by all parties concerned without imposing an undue burden on them;
- d) Consideration of appeals shall be fair and unbiased and shall fully address the concerns expressed;
- e) Records of appeals shall be kept and made available to the involved parties.

### 8.24.3 Complaint Requirement

The appellant shall file a written complaint (including electronic communications) with I3A within 30 days after the date of notification of action, or at any time with respect to inaction.

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The complaint shall state the nature of the objection including any adverse effects, the clause of I3A procedures or the SD that is at issue, action or inaction that is at issue, and the specific remedial action that would satisfy the appellant's concern. Previous efforts to resolve the objection and its outcome shall be noted.

### **8.24.4 Complaint Response**

Within 30 days after receipt of the complaint, the respondent (the SMB Chair, the Director, or an I3A Officer) shall respond in writing (including electronic communications) to the appellant and specifically address each allegation of fact to the extent of the respondent's knowledge.

Prior to the formal response, the appropriate IT shall review and report on the technical issues and applicable committee actions or inactions.

### **8.24.5 Appeals Hearing**

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, I3A shall schedule a hearing with an I3A Appeals Panel within 120 days of the receipt of the complaint. The hearing shall be held on a date agreeable to all participants, giving at least 10 working days notice.

### **8.24.6 Appeals Panel Composition**

The Appeals Panel shall consist of three individuals with knowledge of standards development procedures. These individuals shall not have been directly involved in the disputed matter, and shall not be materially or directly affected by any decision made in the dispute. At least two members shall be acceptable to the appellant, and at least two shall be acceptable to the respondent.

As a guideline, one member should be chosen from the I3A Board of Directors (BoD), one from the Standards Management Board (SMB), and one person mutually agreed upon from an imagery organization that is not a member of I3A or the SMB. If the above distribution cannot be effectively achieved, the three panel members shall be selected by negotiation.

### **8.24.7 Conduct of the Hearing**

The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the IT and I3A took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may cite other pertinent arguments, and members of the appeals panel may address questions to individuals.

For this hearing, *Robert's Rules or Order* (latest edition) shall apply to questions of parliamentary procedures.

### **8.24.8 Appeals Panel Decision**

The Appeals Panel shall render its decision in writing (including electronic communications) within 30 days, stating findings of fact, conclusions, and reasons based on a preponderance of the evidence. Consideration may be given to the following positions, among others, in formulating the decision:

- a) Finding for the appellant and remanding the action to I3A with a specific statement of the issues and facts in regard to which fair and equitable action was not taken;
- b) Finding for the respondent with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections;
- c) Finding that new, substantive evidence has been introduced and remanding the entire action to I3A BoD for appropriate reconsideration.

### **8.24.9 Appeal to the I3A BoD**

If the appellant provides notice that the decision of the Appeals Panel regarding a proposed I3A SD is unacceptable, further appeal may be made to the I3A BoD.

### **8.24.10 Further Appeal to ANSI**

In lieu of resolution of an appeal by either the Appeals Panel or the I3A BoD, a materially affected and interested party may elect to appeal the matter to ANSI. If this action is taken, I3A shall provide ANSI a full record of the complaint, response, hearing, and decision.

**Annex A**  
(informative)

**I3A New Project Form**



<b>NEW WORK ITEM PROPOSAL</b>	
Date of presentation	Reference number (to be given by the Secretariat)
Proposer	<b>I3AIT      N</b>

A proposal for a new work item within the scope of an existing IT committee shall be submitted to the I3A Director of Standards. Proposals not within the scope of an existing IT committee shall be submitted to the secretariat of the Standards Management Board.

The proposer of a new work item may be a member of the IT Committee, the secretariat itself, another IT committee, or organization in liaison, the Standards Management Board or the I3A Board of Directors.

The proposal will be circulated to the members of the Standards Management Board for approval.

**IMPORTANT NOTE: Proposals without adequate justification risk rejection or referral to originator.** Guidelines for proposing and justifying a new work item are given overleaf.

**Proposal** (to be completed by the proposer)

<b>Title of proposal</b> (in the case of an amendment, revision or a new part of an existing document, show the reference number and current title) Title
<b>Scope of proposed project</b>
<b>Concerns known patented items</b> (see ISO/IEC Directives Part 1 for important guidance) <input type="checkbox"/> Yes <input type="checkbox"/> No    If "Yes", provide full information as annex
<b>Envisaged publication type</b> (indicate one of the following, if possible) <input type="checkbox"/> ANSI Standard <input type="checkbox"/> I3A Standard <input type="checkbox"/> I3A Technical Report <input type="checkbox"/> I3A Technical Paper
<b>Purpose and justification</b> (attach a separate page as annex, if necessary)
<b>Target date for availability</b> (date by which publication is considered to be necessary)
<b>Relevant documents to be considered</b>
<b>Relationship of project to activities of other standards developing organizations</b>

## I3A Standard Operating Procedures

<b>Liaison organizations</b>	<b>Need for coordination with:</b> <input type="checkbox"/> IEC <input type="checkbox"/> CEN <input type="checkbox"/> Other (please specify)	
<b>Preparatory work</b> (at a minimum an outline should be included with the proposal) <input type="checkbox"/> A draft is attached <input type="checkbox"/> An outline is attached. It is possible to supply a draft by The proposer or the proposer's organization is prepared to undertake the preparatory work required <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Proposed Project Leader</b> (name and address)	<b>Name and signature of the Proposer</b> (include contact information)	
<b>Comments of the IT Secretariat</b> <b>Supplementary information relating to the proposal</b> <input type="checkbox"/> This proposal relates to a new ISO document; <input type="checkbox"/> This proposal relates to the amendment/revision of an existing ISO document; <input type="checkbox"/> This proposal relates to the adoption as an active project of an item currently registered as a Preliminary Work Item; <input type="checkbox"/> This proposal relates to the re-establishment of a cancelled project as an active project. Other:		
<b>Voting information</b>  The ballot associated with this proposal comprises a vote on: <input checked="" type="checkbox"/> Adoption of the proposal as a new project <input type="checkbox"/> Adoption of the associated draft as a draft I3A Standard  <input type="checkbox"/> Adoption of the associated draft as a draft I3A American National Standard Other:		
<b>Annex(es) are included with this proposal</b> (give details)  <input type="checkbox"/>		
Date of circulation	Closing date for voting	Signature of the TC or SC Secretary

**Use this form to propose:**

- a) a new I3A SD (including a new part to an existing document), or the amendment/revision of an existing I3A SD document;
- b) the establishment as an active project of a preliminary work item, or the re-establishment of a cancelled project;
- c) the change in the type of an existing document, e.g. conversion of a Technical Report into an ANSI Standard.

This form is not intended for use to propose an action following a systematic review - use ISO Form 21 for that purpose.

Proposals for correction (i.e. proposals for a Technical Corrigendum) should be submitted in writing directly to the secretariat concerned.

**Guidelines on the completion of a proposal for a new work item**

(see also the I3A SOPs Clause 8.13)

**a) Title:** Indicate the subject of the proposed new work item.

**b) Scope:** Give a clear indication of the coverage of the proposed new work item. Indicate, for example, if this is a proposal for a new document, or a proposed change (amendment/revision). It is often helpful to indicate what is not covered (exclusions).

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**c) Envisaged publication type:** Details of the types of I3A deliverable available are given in the I3A SOPs.

**d) Purpose and justification:** Give details based on a critical study of the following elements wherever practicable.

1) The specific aims and reason for the standardization activity, with particular emphasis on the aspects of standardization to be covered, the problems it is expected to solve or the difficulties it is intended to overcome.

2) The main interests that might benefit from or be affected by the activity, such as industry, consumers, trade, governments, distributors.

3) Feasibility of the activity: Are there factors that could hinder the successful establishment or general application of the standard?

4) Timeliness of the standard to be produced: Is the technology reasonably stabilized? If not, how much time is likely to be available before advances in technology may render the proposed standard outdated? Is the proposed standard required as a basis for the future development of the technology in question?

5) Urgency of the activity, considering the needs of other fields or organizations. Indicate target date and, when a series of standards is proposed, suggest priorities.

6) The benefits to be gained by the implementation of the proposed standard; alternatively, the loss or disadvantage(s) if no standard is established within a reasonable time. Data such as product volume or value of trade should be included and quantified.

7) If the standardization activity is, or is likely to be, the subject of regulations or to require the harmonization of existing regulations, this should be indicated.

If a series of new work items is proposed having a common purpose and justification, a common proposal may be drafted including all elements to be clarified and enumerating the titles and scopes of each individual item.

**e) Relevant documents:** List any known relevant documents (such as standards and regulations), regardless of their source. When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendment), indicate this with appropriate justification and attach a copy to the proposal.

**f) Cooperation and liaison:** List relevant organizations or bodies with which cooperation and liaison should exist.