

# IEEE-SA Policy Changes Effective 2012

# Summary of Policy Changes

## Effective 1 January 2012:

- Elimination of Reaffirmation & Stabilization
- Elimination of Interpretations
- Elimination of Invited Experts
- Change in Match Rule (Scope & Purpose)
- New Public Notice/Patent Disclaimer
- Access to Sponsor Ballot Group Information

## Effective 1 March 2012:

- New Sponsor Ballot Balance Rule

# New Process for Maintaining Standards

**Elimination of Reaffirmation & Stabilization**

# Why Change?

1. Streamline/simplify the maintenance process to assist participants in complying with the policies and procedures of both IEEE and ANSI
2. Offer Sponsors and Working Groups additional time to review and complete a revision cycle
3. Enable Sponsors to focus on revising standards that require maintenance, rather than expending effort to meet administrative requirements for reaffirmation or stabilization
4. Reduce IEEE's legal risk associated with outdated standards by making needed revisions where warranted
5. Allow standards to be revised when addressing comments during maintenance so the standards remain pertinent and of high technical value.
  - You cannot make changes to a standard when it's being reaffirmed or stabilized.
  - Reaffirmation = The standard contains no significant obsolete or erroneous information and is useful in its current form.
  - Stabilize = The standard meets the criteria for stabilization, has been reaffirmed at least once, and at least ten years have passed since the initial approval (in instances where no subsequent changes were made to the standard), or last revision or amendment of the standard.

# The Changes (1 Jan 2012)

1. Standards will have a 10 year maintenance cycle
  - Extended from 5 years to 10 years after the last date of approval or maintenance action.
2. No new reaffirmation or stabilization ballots
3. The only actions available to Sponsors will be:
  - Revision
  - Amendment/Corrigendum (does not impact maintenance cycle)
  - Withdrawal
4. The status for a standard will be either **active** or **inactive**
5. All standards must have a revision approved by the IEEE-SASB prior to the close of Year 10 in order to remain active
6. Any standard not approved as a revision will become inactive after Year 10.
7. Sponsors will be notified every year of all active standards assigned to the Sponsor, the dates that such standards are scheduled to expire, and a reminder to consider such standards for revision.
8. Standards that are due to expire at the end of 2011 will be granted a standard expiration date of 31 December 2018 unless the Sponsor has requested that administrative withdrawal occur.
9. Sponsors can revise, amend or withdraw their standards at any time prior to Year 10
10. FAQ is available online at: <http://standards.ieee.org/faqs/reaff.html>

# Categories of Inactive Standards

- ***inactive-superseded***: These standards have been replaced with a revised version of the standard, or by a compilation of the original active standard and all its existing amendments, corrigenda, and errata.
- ***inactive-reserved***: These standards are removed from active status through an administrative process for standards that have not undergone a revision process within 10 years.
- ***inactive-withdrawn*** (*valid for standards categorized after 1 January 2012*): These standards have been removed from active status through a ballot where the standard is made inactive as a consensus decision of the balloting group.

# Revisions

- ▣ A revision ballot may result in:
  - Changes to the standard
  - Changes to only the references or bibliography
  - **No changes at all**

# Reaffirmation/Stabilization Transition Plan

- A. Standards reaffirmed/stabilized prior to 1 Jan 2012 – use the latest of the following dates to complete the revision process or standard will be transferred to inactive status:
- By 31 December 2018 – 7 years after start of new program, or
  - 10 years from initial approval, or
  - 10 years from last maintenance action
- B. Reaffirmation/Stabilization in invitation/ballot on 1 Jan 2012:
- 1 year to complete (approved at the December 2012 SASB meeting)
  - If not completed by 31 Dec 2012, then item A applies
- C. No new reaffirmation/stabilization invitations permitted after 31 Dec 2011



# American National Standards

- An ANS can be revised prior to Year 10 if deemed appropriate
- Any standard that is currently an ANS will need to report to the administrator of the Standards Review Committee (RevCom) during Year 5 and explain whether a revision is in progress, or whether a revision is slated to be completed within the next 5 years
- IEEE has informally submitted the procedural changes to ANSI. No objections were obtained. The updated policies and procedures will be submitted to ANSI for audit in early 2012 along with all other 2011 procedural changes.

# Elimination of Interpretations

# Why Change?

- **Interpretations should not alter the original standard**
  - At present, they are permitted to provide meaning to text that is ambiguous
- **Current process is inefficient and a risk**
  - Interpretation responses are not derived from a process that informs all materially interested parties
  - Does not require consensus to be achieved through the Sponsor balloting process.
- **More sensible to simply funnel comments on standards to Sponsors for handling**
  - Document changes would appear in a revision, amendment, or corrigendum
  - All document changes would require PARs and follow an open process & consensus through balloting

# The Changes (1 Jan 2012)

- Eliminate interpretations
- In order to maintain ANSI accreditation, we are required to have an interpretations policy.
  - Our interpretations policy can be that we do not supply Interpretations
- Changes to SASB Ops Man, ByLaws, etc
  - “The IEEE does not offer interpretations of its standards”

# Elimination of Invited Experts

# Why Change?

- Prior to 1998, IEEE membership was required to ballot on an IEEE standard, but IEEE membership requires certain technical/educational credentials. Having invited experts included standards expertise in a ballot who could not qualify for IEEE membership
- IEEE-SA created in 1999. IEEE membership no longer required to ballot a draft standard. Only IEEE-SA membership is required.
  - There are no technical/educational criteria to obtain an IEEE-SA membership; the only requirement is payment of annual dues
- The need for invited experts is no longer needed as anyone can qualify for IEEE-SA membership or pay the per-ballot fee.
  - Also reduces concern that only those “favored” or known to the working group are made aware of the option for invited experts
- Effective 1 January 2012, “Invite an Expert” will not be available

# Change to Match Rule for Scope & Purpose

# Why Change?

- **Current Policy:** For new and revision projects, the Scope and Purpose in the draft document shall match the scope and purpose on the approved PAR. (aka “Match Rule”)
- Match rule created unnecessary Modified PAR requests late in the process to change the PAR scope statement to match the draft scope statement.
  - It is also feared that sponsors simply place the scope text from the PAR in the draft so they can get through RevCom - regardless of what the scope of the draft actually is.
  - This puts us at risk of failing to meet the openness imperative principle.
- It is the job of the balloters to determine if the scope of the final standard is within the scope of the work authorized by the PAR
  - It is okay for the scope of the draft to be less than the scope of the PAR
  - The scope of the draft cannot exceed the scope of the PAR, because materially interested persons may not have had the opportunity to participate



# The Changes (1 Jan 2012)

- Update ballot announcement in myProject to make it clear that one of the balloter's responsibilities is to ensure that the scope and purpose of the draft is within the scope and purpose of the approved PAR.
- **If sponsor balloting was initiated after 30 June 2011**, RevCom does not need to review the scope and purpose text.
- **If sponsor balloting for a new or revision PAR was initiated prior to 1 July 2011 and:**
  - If the PAR was approved prior to 1 January 2007, the scope and purpose in the draft document (if included) shall be within the scope and purpose of the PAR.
  - If the PAR was approved on or after 1 January 2007, the scope and purpose (if included) shall match the PAR's scope and purpose.

# New Public Notice/Patent Disclaimer

# Why Change?

- There are two options for frontmatter disclaimer language (“Public Notice”) in a standard based upon whether or not a patent letter of assurance (LOA) was on file at the time of publication. (See IEEE-SASB Ops Man Section 6.3.1)
  
- Having only one public disclaimer will eliminate:
  - The possibility of including the incorrect statement
  - Miscommunication if an LOA is accepted
  - Timing of the receipt of the patent LOA if received after a standard is approved
  - Misunderstanding by implementers as to whether or not they should refer to the patent listing for LOAs
  
- Effective 1 January 2012, all necessary components will be collapsed into one Public Notice statement

# Access to Sponsor Ballot Group Information

# The Change (1 Jan 2012)

- Driven by ANSI Essential Requirements of “Openness”.
- Effective 1 January 2012, IEEE-SA will provide Sponsor ballot group member information after the standard is approved.
  - Requests for Sponsor ballot group membership lists will be sent to the Sponsor Chair. Sponsor Chair will forward the requests to the IEEE-SA Staff Liaison.
  - The Staff Liaison shall fulfill the request if the standard has been approved or upon its approval.
    - For individual-based balloting, the supplied membership list shall consist of each member’s name, affiliation, and interest category.
    - For entity-based balloting, the supplied membership list shall consist of each entity’s name, the entity’s designated primary voting representative (and, if designated, the alternate voting representative), entity affiliation, and entity interest category.

# New Sponsor Ballot Balance Rule

# Why Change?

1. ANSI Essential Requirements require that interest categories for “safety-related” standards balloting not be greater than 1/3 of balloters
2. ANSI’s 2009 audit of IEEE-SA’s procedures determined that IEEE-SA’s balance rule is not ANSI compliant.
  - IEEE-SA’s current rule is that no one classification be 50% or more of the balloting group
  - A resolution must be reached to close the 2009 ANSI audit.
3. ANSI has not defined “safety-related standard”, so IEEE left with three choices:
  - Adopt the 1/3 rule across the board
  - Define “safety-related standard”
  - Implement the 1/3 rule if the word “safety” is used in the document
4. Changing the ANSI Essential Requirement will be difficult

# The Changes (1 March 2012)

- After significant deliberation, the IEEE-SA Standards Board approved a motion:
  - Balance will be achieved by not permitting any single interest category to comprise more than 1/3 of the Sponsor balloting group
- Other categories can be considered beyond user, producer, general interest, etc.
- IEEE- SASB Ops Man will be updated
- ProCom will develop FAQs and address implementation issues



# Questions?

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# Thank You!