

X3T13 Standards Development Policies and Procedures
Proposed
12/16/95

Foreword

The X3T13 Standards Development Policy and Procedures document is based on the **Organization, Rules and Procedures of X3 (X3/SD-2)** which in turn is based on the specific rules prescribed in the **American National Standards Institute (ANSI) Procedures for the Development and Coordination of American National Standards** and **ANSI Procedures for U.S. Participation in the International Standards Activities of the ISO**.

Since X3T13 Standards Development Policy and Procedures do not replace or deviate from any of provisions of Organization, Rules and Procedures of X3 (X3/SD-2) and since the X3 procedures are generalized to address all the Technical Committees regardless of makeup or scope extending the concepts and principles defined by ANSI to apply also to the lower organizational levels of X3, X3T13 has produced this document to emphasize how the X3 rules and procedures are applied to the work of X3T13. In so doing, the X3T13 Standards Development Policy and Procedures do not attempt to address all of the applicable X3 provisions and limit this document to just those items that need clarification to facilitate the mission of X3T13.

These additional operational procedures and any subsequent revisions are first subject to review by the Policy and Procedures Committee of X3 to assure that they are consistent with the procedures contained within the Organization, Rules and Procedures of X3 (X3/SD-2)

The bulk of X3T13 projects and resources are directed towards the computer industry. Among other attributes, the portion of this industry most closely identified with the scope of X3T13 is characterized by dynamic growth, diverse applications, exponential performance growth rates, fierce competition, and short product life cycles. As a key and central aspect of these characteristics, the customers demand standards. Timeliness is paramount. It is important for us to align our process with the facts of the industry. At the same time we must maintain the safeguards of due process that have been a hallmark of X3. The following Policy and Procedures are defined to achieve both needs.

1.0 Policies:

1.1 General:

It is the policy of X3T13 to: focus standards development within the defined scope of X3T13; control the development schedule to achieve timely publication; and to provide regular updates of adopted standards which need enhancements to fuel advancements in the industry. It is also the policy of X3T13 to tailor the activity within the general provisions of the X3 Policies and Procedures.

1.2 Machine Readable Revision Reporting:

X3T13 shall provide on a forward-looking basis a means for software interrogation of the revision level of compliant standard implementations. X3T13 shall also by a majority of the membership determine which document revisions are deemed appropriate for reporting. There is no requirement for revisions ahead of stabilization to be required for reporting, but the revisions at the time of stabilization and forwarding shall as a minimum be included in the appropriate list. For standards which become subject to

the dpANS-(n+1) provisions the reporting shall accommodate a distinction of revisions extending throughout the series. (Examples of dpANS (n+1) are ATA, ATA-2, ATA-3.) In the case of layered standards, the physical layer revision provision may not be appropriate at that layer, however an upper layer protocol standard shall provide provision for the optional reporting of revisions of lower layers without the facility. This provision is included to facilitate the concept of regular publication.

1.3 Extensive Public Review:

In order to further facilitate the timely publication of standards, X3T13 shall proactively seek wide dissemination of proposals, issues, and documents not just during the formal Public Review but throughout the development process including electronic dissemination.

X3T13 shall request the X3 Secretariat to ensure that press releases announcing new X3T13 projects include information on how to access the appropriate reflector and/or www along with the information that is routinely included in new project press releases.

2.0 Procedures:

2.1 Introduction:

These procedures are in accordance with the Organization, Rules and Procedures of X3 (X3/SD-2). They add additional definitions which facilitate timely, proactive standards within the scope of X3T13

2.2 Project Initiation:

A proposal for a new project may be initiated by any participant ~~X3T13~~. The idea can take any form that the proposer thinks will be effective in persuading the committee that it is a worthy project. Depending upon the form and maturity of the idea, a study effort might or might not be required prior to the processing of a new project proposal. Preliminary discussion of the merits of the project should include both E-Mail and Plenary discussion.

If a majority does not vote against the initial idea, the Chair may authorize a study effort to assess the requirements for the proposed standard, to generate a schedule for the development and publication, and to develop working papers. Although an extensive study effort in terms of ad hoc group meetings will require regular re-authorization, there is no requirement for participants to stop development work unless an actual new project proposal is rejected by X3T13, OMC and/or X3.

If the study effort develops a new project proposal in accordance with the X3 SD-~~X3T13~~ should take a forwarding action on the new project proposal. In any case a draft standard is not forwarded ahead of the approval of the new project by X3.

If a majority does vote against the initial idea, remaining proponents are free, but not necessarily encouraged, to seek additional support for the idea or to adjust the idea to better fit the views of X3T13. The proposer can also move the adoption of the proposal for a new project in spite of formidable odds against its adoption.

There are also some special circumstances for the expedited initiation of new project study effort as outlined later in these procedures (see 2.6). The expedited initiation is a pivotal aspect of the regular publication policy.

2.3 Project Control:

The Chair will appoint a project leader and a project editor for each new project for which the Chair has authorized a study effort and/or for which a project has been approved by X3. The project leader may or may not be the project editor. The project leader shall be responsible for providing a progress report including schedule adherence, key issues, and corrective actions at each plenary. In the case of a motion objecting to the appointment (asking the Chair to change the appointment), the motion shall be subject to a majority of the members voting.

The project editor shall be responsible for maintenance of the document reflecting agreements of X3T13. As a part of that responsibility, the project editor shall make available at each meeting a listing of specific items (a portion of the document covered by a numbered individual proposal [e.g., XYZ proposal X3T13/99-8357]) accepted by X3T13 but not yet included in the current Working Draft .

2.4 Working Draft Acceptance:

A Working Draft is a committee work product or revised work product which has not yet achieved the status of draft standard but is under the responsibility of the project editor.

When a revised or new document is moved for acceptance, the project editor, or proposer if there is no project editor, shall identify the technical changes which are newly included in the revision to be accepted. The identification can take the form of a listing of item document numbers which are newly incorporated. This requirement is facilitated by the fact that the project editor is not authorized to make technical changes without an applicable item proposal as is required for any other participant. For technical items which are instigated verbally through a meeting motion rather than an item paper, such items shall be identified by reference to the meeting minutes document number. Since Working Draft acceptance is not final action, only a majority of those members voting is required for acceptance.

A draft standard is the term applied to a Working Draft after it has entered the Stabilized State or when it is voted for forwarding.

2.5 Working Draft Stabilization:

There can be significant expense involved to test a standard. Since the burden for testing falls on a voluntary membership, it is important that X3T13 assist this process by providing guidance as to the stability of a draft standard or a section of the Working Draft. While there is no requirement that this be indicated ahead of a forwarding vote, for complex projects, X3T13 should take a vote to stabilize when they judge the draft standard or a section of the Working Draft ready for testing by implementors. Since the goal is prompt publication, the reason for a stabilization period is to prepare for publication while confirmation testing is carried out. The voting requirement for stabilization is approval by two-thirds of those voting (two-thirds voting is further defined as at least a majority of the membership for each instance in the procedures). If the vote for stabilization passes, the Working Draft , or draft standard, enters the “Stabilized State”. The Stabilized State ends either by voting outlined below or when the document is forwarded out of X3T13. During the Stabilized State the following special voting rules apply:

- 1) Correction of a technical error shown by inspection or testing to be classified as a technical error - majority of those voting
- 2) Correction of an editorial error - no vote required

- 3) Inclusion of a previously accepted item which is on the Editor's List of Accepted Items but not yet edited into the document - no vote required
- 4) Inclusion of a previously accepted item which is not on the Editor's List of Accepted Items and not yet edited into the document - majority of those voting
- 5) Inclusion of a new item - two-thirds of those voting
- 6) Inclusion of "better wording" - majority of those voting
- 7) Change from stabilized to unstabilized - two-thirds of those voting

2.6 Expedited initiation of a New Study Effort:

The purpose of this section is to facilitate agreement to publish a sound standard and yet account for the need for evolutionary enhancements. There are three periods in the processing of a draft standard or dpANS (assignment of a BSR number to the draft standard changes the status to dpANS which are subject to the expedited initiation: Stabilized State; Public Review; and X3 Letter Ballot. The latter two periods shall be interpreted as commencing with X3T13 forwarding and ending with provision of the standard to the BSR.

If during the Stabilized State a new item receives a majority of those members voting but not two-thirds of those voting, a follow up vote shall be taken to initiate a study effort. The study effort is authorized with a majority of those members voting. Any other subsequent new items which receive a majority of those members voting but not two-thirds of those voting, are automatically assigned to the study effort. Note that "study" may be a full fledged development effort depending upon the availability of resources. A preliminary schedule for publication should be targeted early in the study.

If problems develop such that X3T13 destabilizes the project, any items are then eligible for consideration in the Working Draft.

2.7 Comments on Draft Standards, dpANS, and ANS After Forwarding:

Comments that arise in the Public Review and X3 letter ballot should be handled similarly to items arising during the Stabilized State:

- 1) Correction of a technical error shown by inspection or testing to be classified as a technical error - majority of those members voting determines if the dpANS should be recalled for correction or if an amendment should be published with the ANS by processing the amendment according to 5.2.6.3.3 of the X3 SD-2 (for X3T13 this process is the same as for a draft standard except that a new project is not required).

- 2a) Correction of an editorial error - no vote required if prior to the publication of the ANS.

- 2b) Correction of an editorial error - processed according to the defect management and erratum process (5.2.4 and 5.2.6.3.2 of the X3 SD-2) if after the publication of the ANS (to forward an erratum from X3T13 requires LB or roll call with two thirds voting yes).

3) Inclusion of a previously accepted item which is on the Editor's List of Accepted Items but left out of the document - expedited new study effort or inclusion without a vote on the list if at least a study effort has already been initiated.

4) Inclusion of a previously accepted item which is not on the Editor's List of Accepted Items and not yet edited into the document - expedited new study effort or inclusion on the list if at least a study effort has already been initiated.

5) Inclusion of a new item - treated as a new proposal or (7) applies

6) Inclusion of "better wording" - majority of those members voting providing it does not cause additional public review or a new X3 ballot. Otherwise subject to (7)

7) Request to X3 by X3T13 for recall of the dpANS for any reason except (1) - two-thirds of those voting

2.8 Revision of the X3T13 Policies and Procedures:

0) Adoption of the X3T13 Policies and Procedures shall be by a majority of the membership with effectivity after approval by X3. Since a majority of the membership concludes that these operational procedures are consistent with the X3 SD-2, after approval by X3T13 they will serve as helpful information to X3T13 participants pending the review by the Policy and Procedures Committee of X3

1) Substantive change to the X3T13 Policies and Procedures is approved by a majority of the membership with effectivity after approval by X3.

2) Correction of an editorial error (e.g., capitalization, spelling) does not require a vote.

3) Inclusion of "better wording" - majority of those voting

4) Discontinuance of the X3T13 Policies and Procedures for any reason except disapproval by X3 is by a majority of the membership with immediate effectivity.

Appendix A

Definitions

Note: These definitions are largely extracted from the X3 SD-2 and in no case do they supersede the X3 SD-2. Editorial changes or additions to those definitions are underlined

ANSI	American National Standards Institute
ASC	Accredited Standards Committee
BSR	Board of Standards Review (ANSI)
CD	Committee Draft (ISO/IEC)
DIS	Draft International Standard (ISO/IEC)
dpANS	draft proposed American National Standard
ECMA	European Computer Manufacturers Association
HoD	Head of Delegation
IEC	International Electrotechnical Commission
IEEE	Institute of Electrical and Electronics Engineers
IR	International Representative
ISO	International Organization for Standardization
ISP	International Standardized Profile
ISSB	Information Systems Standards Board (ANSI)
ITI	Information Technology Industry Council (ITI)
JTC 1	Joint Technical Committee 1 (ISO/IEC)
JTC 1 TAG	Joint Technical Committee 1 Technical Advisory Group
LB	Letter Ballot
NP	New Work Item Proposal (ISO/IEC)
OMC	Operational Management Committee
P-member	Participating Member (ISO/IEC)
LRPC	Long Range Planning Committee
SC	Subcommittee (ISO/IEC)
SG	Study Group
TAG	Technical Advisory Group
TC	Technical Committee (X3, ISO and IEC) <u>(X3T13)</u>
TG	Task Group <u>(X3T10.1)</u>
TIB	Technical Information Bulletin
TPMC	Technology Program Management Committee (ITI)
TR	Technical Report
VR	Vocabulary Representative
WG	Working Group (JTC1)

Accredited Standards Committee (ASC)

A committee accredited by ANSI to develop standards, (e.g., X3 is an ASC; X3 Subgroups are not).

Ad Hoc Groups

Ad hoc groups are established by the Chair of the parent body (X3T13) for one or more specific tasks to be completed not later than the end of the second following meeting of the parent body

(X3T13). Such a group may consist of one or more persons. Its function is to do a specific job and report back. Upon completion of its report, or at the second meeting of the parent body following the ad hoc group's establishment, the group is dissolved. Examples of ad hoc groups which have been appointed from time to time for specific tasks are the ATA ad hocs. (Although it does not match the official definitions many participants refer to these ad hoc groups as "working groups".)

Board of Standards Review (BSR)

The ANSI board responsible for approval and withdrawal of American National Standards.

Compound TAG

A subgroup under X3 with responsibility to deal with special international issues which involve subjects of a wider scope than those assigned to individual X3 technical committees, task groups or study groups.

Draft Standard (DS)

The term applied to a Working Draft during the Stable State or after forwarding to X3 but prior to the assignment of a BSR number at which time it becomes a dpANS.

Draft Proposed American National Standard (dpANS)

The official designation of an X3 draft standard after it has been assigned a BSR number (e.g. X3. 279-199X).

Fast Track

An ISO/IEC procedure adopted by JTCl which allows for certain members of JTCl to propose that an existing **approved** standard from any source be submitted directly for vote as a DIS.

Information Systems Standards Board (ISSB)

The standing organization within ANSI with planning and coordination responsibility for information systems standards.

Joint Technical Committee 1 (JTCl)

The first Joint Technical Committee of the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC) formed to work in the area of Information Technology.

Joint Technical Committee 1 Technical Advisory Group (JTCl TAG)

A group consisting of any interested or materially affected parties that serves as the U.S. Technical Advisory Group to ANSI for the JTCl Activities.

Joint Technical Committee 1 Technical Advisory Group Administrator (JTClTAG Administrator)

The organization or individual responsible to ANSI for the administration of the JTCl Technical Advisory Group. Currently, the JTCl TAG Administrator is the Information Technology Industry Council (ITI).

Liaisons

Subgroups of X3 or entities external to X3 that have an interest in the work of any X3 Subgroup. In order to establish liaison, the peers must agree to a fair exchange of documentation of equal value and may provide technical experts to attend meetings of the other groups.

Memorandum of Agreement

The March 9, 1992 agreement (ISSB 1215, X3/92-1063, JT/92-534) endorsed by the ANSI Information Systems Standards Board which allows various entities to assume TAG responsibility for a specific project, area of work, working group, or Subcommittee of JTCl.

National Body (NB)

A member Body of ISO and/or a National Committee of IEC that is a registered member of JTCl (one per country)

Operational Management Committee (OMC)

The advisory committee to X3 on new standards, on requirements, and on review of proposed standards. This group also manages the standardization process within X3.

Other Working Group

A group established by the JTCl or its SCs to undertake specific tasks, generally between meetings. These tasks shall be defined at a meeting of the parent body.

Long Range Planning Committee (LRPC)

The advisory committee to X3 that provides a strategic overview of Information Technology standards and standards organizations.

Policy and Procedures Committee (PPC)

The advisory committee to X3 on matters of procedures and policy.

Special Working Groups (SWG)

Several standing organizations established by the JTCI as part of its permanent structure.

Stabilized State

A special term used by X3T13 to formally describe the status of a section of a Working Draft or a draft standard prior to forwarding to X3 as opposed to a Working Draft which has not been declared stable by X3T13. The establishment of the Stabilized State is governed by committee votes.

Study Group (SG)

An X3 Subgroup responsible to and established by OMC to conduct a study on the standardization potential of a specific proposal, group of proposals, or a general sub-area of information processing technology.

Subcommittee (SC)

The JTC 1 organization responsible for international standards development for a specific area of information processing.

Subgroups

The term used to collectively refer to all entities under Accredited Standards Committee X3.

Task Group (TG)

An organization established under a Technical Committee or a Study Group to deal with a specific segment or segments of the work assigned to that parent group. X3T10.1 is a Task Group

Technical Advisory Group (TAG)

The TAG is the ANSI-recognized group that has the primary responsibility for participation in the ISO Technical Committee or Subcommittee work. It is the TAG's job to recruit delegations, supervise their work, and determine ANSI positions on proposed standards.

Technical Advisory Group (TAG) Administrator

The organization or individual responsible to ANSI for the administration of a Technical Advisory Group.

Technical Committee (TC)

A subgroup established under X3 responsible for developing dpANS and/or draft TRs, submitting to OMC requests for new projects in its general area of interest, and serving as a U.S. TAG upon assignment by ~~X~~X3T13 is a Technical Committee.

Technology Program Management Committee (TPMC)

The ITI committee responsible for oversight of the X3 Secretariat.

Working Draft

A term applied to a draft document of X3T13 under the control of the project editor which is intended to be processed when ready as a draft standard leading eventually to a dpANS.

Working Groups (WG)

A group established by the JTCl or its SCs to undertake specific tasks. These tasks shall be defined at a meeting of the parent body. (Also see Ad Hoc.)

Appendix B

Draft Cover Page Examples

B 1.0 Working Draft

**Working draft proposed
American National Standard
for information systems -**

X3T13 #

Title

Date

Secretariat: Information Technology Industry Council (ITI)

Abstract:

This standard defines fill in.

Notice:

This is an internal working document of X3T13, a Technical Committee of Accredited Standards Committee X3. As such, this is not a completed standard. The contents are actively being modified by X3T13. This document is made available for review and comment only.

Project Editor:

Name
Organization
Address
Telephone
Facsimile
Email

B 2.0 Draft Standard

**draft standard for an
American National Standard
for information systems -**

X3T13 #

Title

Date

Secretariat: Information Technology Industry Council (ITI)

Abstract:

This standard defines fill in.

Notice:

This is a draft standard for an American National Standard of Accredited Standards Committee X3. As such this is not a completed standard. The X3T13 Technical Committee may modify this document as a result of comments received during its processing and its approval as a standard.

Project Editor:

Name
Organization
Address
Telephone
Facsimile
Email

B 3.0 dpANS

**draft proposed
American National Standard
for information systems -**

BSR #

Title

Date

Secretariat: Information Technology Industry Council (ITI)

Abstract:

This standard defines fill in.

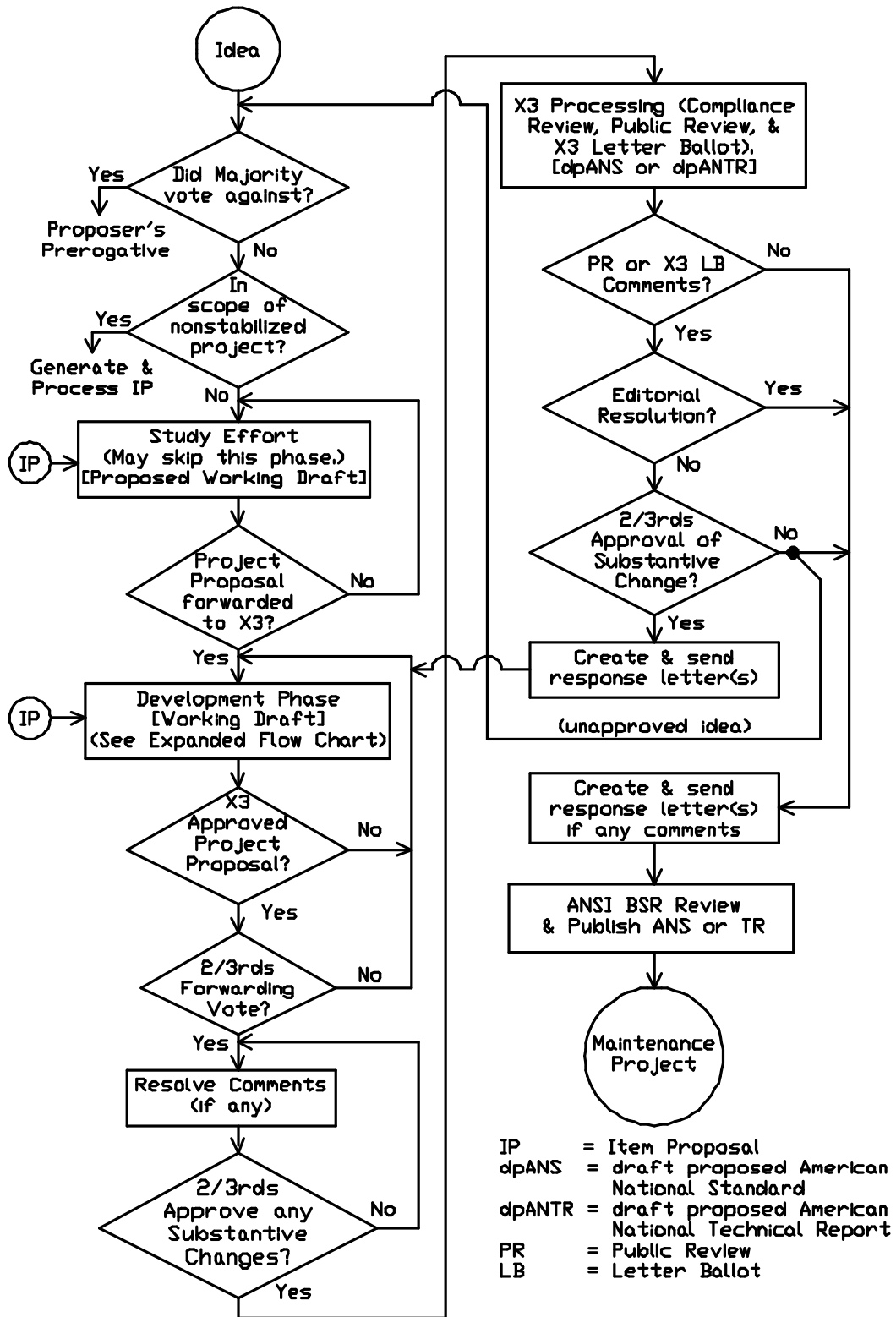
Notice:

This is a draft proposed American National Standard of Accredited Standards Committee X3. As such this is not a completed standard. The X3T13 Technical Committee may modify this document as a result of comments received during public review and its approval as a standard.

Project Editor:

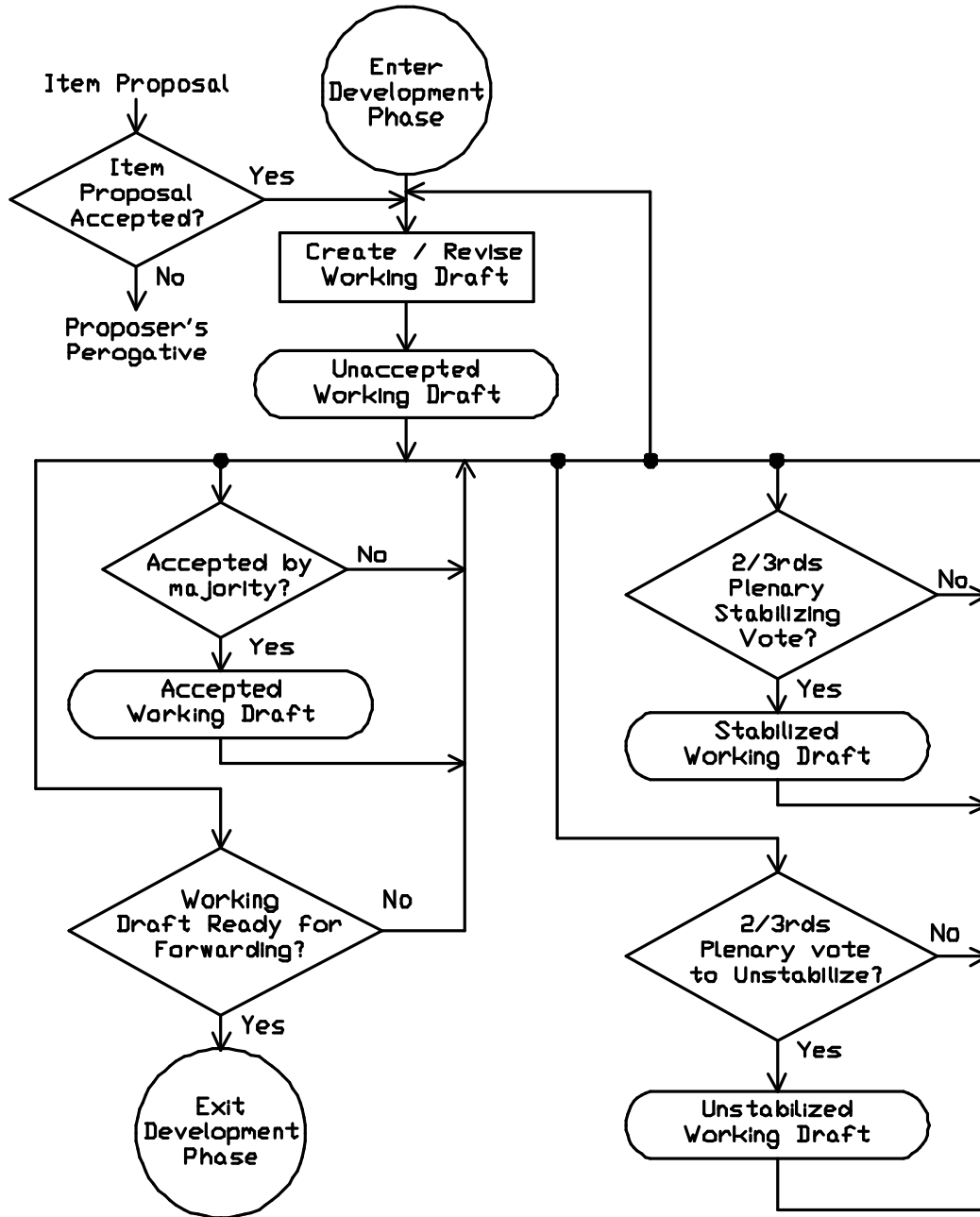
Name
Organization
Address
Telephone
Facsimile
Email

Appendix C X3T13 Development Flow Chart



IP = Item Proposal
 dpANS = draft proposed American National Standard
 dpANTR = draft proposed American National Technical Report
 PR = Public Review
 LB = Letter Ballot

X3T13 Development Phase Expanded Flow Chart



Notes:

- 1) Multiple Item Proposals may be accepted for each project.
- 2) Item Proposals may be accepted by a simple majority vote of the Working Group unless the Working Draft is Stabilized. Item Proposals are accepted by a 2/3rds vote of the Plenary if the Working Draft is Stabilized.
- 3) When a Working Draft is Stabilized, previously accepted Item Proposals (prior to Stabilization) and editorial improvements may be incorporated without a 2/3rds plenary vote.