

# SECTION XIII – ENGINEERING Administrative Practices

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## 1 Engineering Purpose and Scope

The Society is an impartial developer of standards and other Engineering Documents in the fields of moving imaging, television, motion pictures, and related technology. This work includes all technical aspects of images being produced, processed, reproduced, distributed via contribution circuits or via storage media, and viewed on a screen or self-luminescent display device, including accompanying audio, data, metadata, and control signals.

The Society shall evaluate and document, as appropriate, both the needs and applications of new and emerging technologies relevant to the fields of moving images, television, motion picture, and related technologies. The Society shall explore the needs and interests brought about by these technologies and shall assume a leadership role in any necessary standardization efforts.

The Society shall serve as a registrar of identifiers needed by the motion imaging and related industries to identify or process programs or other materials for the purpose of creation, modification, storage, or distribution.

The Society recognizes the importance and acceptance of SMPTE Engineering Documents as international publications. To maintain this position, the Society shall strive to harmonize national engineering document development with international activities and to interrelate with other engineering document developing organizations, drafting committees, and technical organizations.

The Society recognizes and shall maintain its position of influence in the deliberations of other standardization organizations within the fields of television, motion picture, and related technologies. To accomplish this purpose, the Society shall maintain its membership and administrative roles in such other standardization organizations as found appropriate by the Board of Governors.

## 2 Definitions (Informative)

This section provides a summary of defined terms. This is intended to be an aid to the reader only. Refer to the referenced text for the precise definitions and context.

**Ad Hoc Group (AHG)** - a transient Sub Group. See section 4.4.7.

**Administrative Guidelines** - an administrative document that provides extensions and interpretations of these Engineering Administrative Practices. See section 6.4.1.

**Administrative Practices** - this document.

**Administrative Register** - a Register where the criteria for adding, changing and deleting table entries can be implemented without technical experts. See section 6.2.5.

**Administrative Vote** - a vote on a matter requiring a simple majority of YES versus NO votes of the Participant Members. See section 5.3.1.

**Advisory Note** - a brief informative document developed by consensus of a Technology Committee detailing a problem or work item before the Technology Committee. See section 6.4.3.

**Amendment** - a document that modifies the provisions in an existing Standard, Recommended Practice, or Engineering Guideline. See section 6.3.2.

**Archive** - a state of a published document where no further Reviews are made. See section 7.11.

**Ballot** - a Written Vote that may include comments. See section 5.3.4.

**Board of Governors** - the elected governing body of SMPTE.

**Comment** - a reference to a document section with a statement about what is in error, an omission, or a request for an additional feature or function. See section 5.3.4.

**Comment Resolution Document** - an enumeration of every Ballot comment and its proposed resolution. See section 7.13.1.

**Committee Draft (CD)** - a document state in which the Technology Committee has accepted the Working Draft. See section 7.5.

**Conformance Language** - the precise use of terms to indicate required and optional provisions. See section 6.10.

**Consensus** - a state of the group in which either there are no objections to a matter or no more than 1/4 of the Participant Members who responded in favor or opposed were opposed. See section 5.1.

**Consensus Body** - the members of a group that can form a consensus. See sections 4.2.1 and 4.2.4.

**Consensus Vote** - a Vote where Consensus is required to pass the Vote. See section 5.3.2.

**Director of Engineering** - the senior SMPTE headquarters staff position responsible for SMPTE engineering activities. See section 3.3.

**Draft Publication (DP)** - the state of a document after resolution of FCD Ballot comments. See section 7.6.

**Due Process** - rules and guidelines to ensure that the rights of all who may be affected are respected and that the requirements of U.S. and International law are observed. See section 7.2.1.

**Engineering Director** - appointed positions reporting to the Engineering Vice President and providing support to Technology Committee Chairs. See section 3.2.

**Engineering Document** - the collection of types of documents subject to the normal document development process, including Standards, Recommended Practices, Engineering Guidelines and Amendments (i.e. not RDDs). See section 6.2

**Engineering Guideline (EG)** - an informative document, often tutorial in nature, intended to guide Users or to provide designs or procedures for Producers. See section 6.2.3.

**Engineering Report** - an informational finding of a Technology Committee, usually authored by a Study Group. See section 6.4.2.

**Engineering Vice President** - an elected officer of SMPTE responsible for engineering activities. See section 3.1.

**Final Committee Draft (FCD)** - the state of a document after FCD Ballot. See section 7.6.

**Review** - the periodic review process of published Engineering Documents. See section 7.11.

**General Interest** - a member interest category for those members who are not Users or Producers. See section 4.2.5.

**Guest** - a non-member of any Technology Committee present at a meeting. See section 4.2.3.1.

**Liaison** - an individual appointed by the Engineering Vice President to formally communicate liaison communications with an external entity. See section 9.

**Liaison Group** - the collection of members of Technology Committees interested in developing and receiving formal liaison communications with an external entity. See section 9.

**Membership Body** - the roster of members for a meeting or Ballot. See section 4.2.2.

**Normative References** - external documents referenced in Normative Text that are indispensable to the user. See section 12.

**Normative Text** – document language which describes elements of the design that are indispensable or which contains the conformance language keywords: "shall", "should", or "may". See section 6.10.

**Observer Member** - a member of a Technology Committee who has an interest in its work may or may not participate actively in the work, and has no voting rights. See section 4.2.3.1.

**Other Documents** - documents that are not Engineering Documents, such as Engineering Reports, Advisory Notes, etc. See section 6.4.

**Participant Member** - a member of a Technology Committee who commits to active contribution to the work of the Technology Committee and has voting rights and obligations. See section 4.2.3.1.

**Producer** - a member interest category for members who manufacture products or provide services. See section 4.2.5.

**Project** - an item of work undertaken by a Technology Committee. See section 7.3.

**Project Group** - the group of people working on a Project, which may be organized as an individual, Working Group or other Sub Group. See section 7.3.

**Project Summary** - the basic information that defines a Project. See section 7.3.

**Quorum** - the number of members required to be present to conduct business. See section 5.2.

**Rapporteur** - an individual appointed by the Engineering Vice President and designated to give and receive reports between SMPTE and an external entity. See section 9.

**Recommended Practice (RP)** - a document that constrains existing specifications and functions that facilitates effective interchange or interconnection. See section 6.2.2.

**Reconsideration Vote** - an optional Vote following an FCD Ballot when the Comment Resolution resulted in significant changes to the Engineering Document. See section 7.6.

**Register** - a table in an Engineering Document that is published in a medium more convenient for updating (e.g. an online database). See section 6.2.5.

**Registered Disclosure Document (RDD)** – a document published by SMPTE of general interest to the industry (that is not an Engineering Document) that does not represent findings, representations, or recommendations by the Society. See section 8.

**Registration Authority** - the SMPTE registry operations as more fully described at <http://www.smp-te-ra.org>

**Resolved** - the state of a comment in which either the commenter is satisfied or the Technology Committee has reached a Consensus resolution. See section 7.13.

**Revision** - a work in process of a Standard, Recommended Practice, or Engineering Guideline document that is being amended in total. See section 6.3.1.

**Society** - the Society of Motion Picture and Television Engineers (SMPTE)

**Standard** - a document that states basic specifications that are necessary for interchange and interconnection within a system. See section 6.2.1.

**Standards Committee (ST)** - an appointed group consisting mainly of Technology Committee Chairs that provides oversight of SMPTE Engineering processes. See section 4.1.

**Study Group** - a Sub Group formed to examine a system or technology, and prepare report(s) to its parent group. See section 4.4.5.

**Sub Group** - a direct adjunct group to a Technology Committee, Working Group, or the Standards Committee established to expedite and organize the functioning of its parent group. Sub Groups include Study Groups, Task Forces, and Ad Hoc Groups. See section 4.4.

**Task Force** - a Sub Group formed only by the Standards Committee to coordinate specific programs that affect more than one Technology Committee. See section 4.4.6.

**Technology Committee (TC)** - the Due Process Consensus Body for all Engineering Documents within a defined scope. See section 4.2.

**Test Materials** - films, tapes, computer files, and similar materials that facilitate some sort of conformance procedures intended to enhance interoperability. See section 6.2.4.

**User** - a member interest category for members who purchase or use the manufactured products or services. See section 4.2.5.

**Vote** - a formal expression of preference. See section 5.3.

**Withdrawn** - the state of a publication in which a Technology Committee has determined the work has provisions that cause harm to the industry. See section 7.12.

**Work Statement** - a description of a new work item that includes the project objectives, related projects, and expected results. See section 7.3.

**Working Draft (WD)** - the state of an Engineering Document prior to its acceptance by the Technology Committee for processing. See section 7.4.

**Working Group (WG)** - a due process group reporting to a Technology Committee for extended duration Projects. See section 4.3.

**Written Vote** - a Vote put to all Participant Members in which they are asked to respond formally. See section 5.3.3.

## **3 Organization**

### **3.1 Engineering Vice President**

The Engineering Vice President shall be responsible for the coordination and supervision of all engineering activities and objectives under this Section XIII of the Administrative Practices, as authorized by Article IV, Section 4 of the Bylaws. The duties of the Engineering Vice President are described in the Administrative Practices, Section III, D; and in these Engineering Administrative Practices.

### **3.2 Engineering Directors**

Engineering Directors are appointed by the Engineering Vice President as provided in the Bylaws and Section III of the Administrative Practices.

Engineering Directors shall serve a term of one year, but shall not serve more than four complete consecutive terms.

Each Engineering Director shall be responsible for working with all TC Chairs to organize and coordinate meeting schedules, and to ensure that work is correctly placed and is being executed in a timely manner.

From time-to-time, the Engineering Vice President may delegate responsibilities to the Engineering Directors where their areas of expertise would be beneficial to the activities of the Society.

### **3.3 Director of Engineering and Headquarters Engineering Dept**

The Director of Engineering is an employee of the Society and supervisor of the Headquarters Engineering Department, as authorized by Article II of the SMPTE Constitution. The Director of Engineering is administratively accountable to the Executive Director, but operationally accountable to the Engineering Vice President.

The Director of Engineering shall:

- a. Represent the Engineering Vice President or serve as alternate to the Engineering Vice President to the extent authorized by that officer;
- b. Administer the functions of the Headquarters Engineering Department;
- c. Conduct the Test Materials and Engineering Document publication programs;
- d. Administratively and technically support the Technology Committees in developing Engineering Documents and, when instructed by the Technology Committee Chairperson, submit them for consideration by other standardizing bodies;
- e. At the direction of the Technology Committees, prepare Engineering Documents for publication;
- f. Schedule and organize the engineering meetings in cooperation with the Technology Committee Chairs, Engineering Directors, and the Engineering Vice President;

- g. Prepare tutorial reports, glossaries, pamphlets, etc. for publication as instructed by the Engineering Vice President;
- h. Make available Test Materials for checking, testing, and measuring television and motion picture systems, as directed by the Technology Committees;
- i. Act as Liaison or Rapporteur to various national and international bodies, as authorized by the Engineering Vice President;
- j. Serve as Secretariat to the Standards Committee and the Technology Committees;
- k. Facilitate and maintain the SMPTE Registration Authority;
- l. Register identifiers and other documentary items as authorized by the Bylaws in Article XIV and by these Administrative Practices;
- m. Ensure that Engineering Documents include appropriate specifications for suitable tolerances and references to suitable test methods necessary for proper interpretation and implementation of the documents;
- n. Initiate the five-year Review process of published documents;
- o. Maintain a complete and accurate Technology Committee roster for each Committee;
- p. Publish these Administrative Practices and all current Engineering Administrative Guidelines on the Society's Internet site so as to be freely available to all interested parties;
- q. Publish, from time-to-time, a "Standards Action" email newsletter announcing any new project, publication or withdrawal of any Engineering Document, Engineering Administrative Guideline, Registered Disclosure Document, Request for Technology, or other significant events; and
- r. Procure and make available documents from other standards bodies referenced by SMPTE documents.

## **4 Engineering Committees and Groups**

### **4.1 Standards Committee**

The scope and operation of the Standards Committee shall be governed by the following provisions:

- a. Scope. There shall be a single Standards Committee at the top of a hierarchy of engineering committees and groups, constituted and having the responsibilities described in this section.
- b. As an advisory committee, the Standards Committee shall advise suitable actions for consideration by the Engineering Vice President in the fulfillment of the engineering responsibilities of that officer.

- c. As an initiating committee, the Standards Committee shall recommend to the Engineering Vice President (for the approval of the Board of Governors) the establishment and dissolution of Technology Committees.
- d. The Standards Committee shall determine the Scopes of Technology Committees and shall oversee the work of all Technology Committees to ensure that their work falls within the appropriate Scopes.
- e. As an Engineering Document review committee, the Standards Committee shall review proposed new work items and documents proposed to be published, amended, reaffirmed, revised, archived, or withdrawn, for the purpose of determining that all appropriate and necessary procedures were followed and that the documents meet the requirements for Society sponsorship.
- f. Where work is appropriate to the Society's interests and not covered by a standing Technology Committee, the Standards Committee may establish Sub Groups, which report to it, to fulfill engineering needs.
- g. The Standards Committee shall approve all Engineering Administrative Guidelines prior to publication.
- h. The Standards Committee shall serve as the focal point for Liaison communications and establish Liaison Groups as needed.
- i. Members of the Standards Committee shall be members of the Society and shall include:
  - i. the Engineering Vice President (Chair);
  - ii. the Engineering Directors;
  - iii. the Past Engineering Vice President;
  - iv. the Chairs of the Technology Committees;
  - v. the Chairs of Sub Groups established by the Standards Committee, who may be members at the invitation of the Engineering Vice President; and
  - vi. the Director of Engineering.
- j. In addition, members of the Standards Committee may be:
  - i. Members of the Board of Governors who request self-appointment; and
  - ii. Up to four additional members knowledgeable in standards activities, nominated by the Standards Committee Chair and approved by the Board of Governors.
- k. All members of the Standards Committee shall be equal voting members, and there shall be only one category of membership.
- l. Procedures. The Standards Committee shall meet in person at least once per year and otherwise by telephone or in person as deemed necessary by its Chair. The Standards Committee shall follow the same process rules as for Technology Committees. At the discretion of the Chair, guests may observe meetings of the Standards Committee.

## **4.2 Technology Committees**

### **4.2.1 Purpose and Scope**

A Technology Committee shall be the Due Process Consensus Body for all Engineering Documents within its defined scope. The Technology Committee Chair and the Participant Members are responsible for accepting and advancing all assigned work by following these Engineering Administrative Practices.

The general scope of all Technology Committees is to develop SMPTE Engineering Documents; to review existing documents to ensure that they are current with established engineering practices and are compatible with international engineering documents, where possible; to recommend and develop test specifications, methods, and materials; and to prepare tutorial material on engineering subjects for publication in the SMPTE Journal or for other means of dissemination benefiting the Society and the industry.

The list and specific scopes of individual Technology Committees shall be defined in the Engineering Administrative Guidelines.

### **4.2.2 Technology Committee Chairs.**

Technology Committee Chairs shall be individual members of the Society. They shall be appointed by the Engineering Vice President for a term to run concurrently with the Engineering Vice President's term of office. Technology Committee Chairs shall not serve the same Technology Committee for more than two full consecutive terms.

Technology Committee Chairs reaching their term limits having not received direction to the contrary from the Engineering Vice President, shall continue to act as Chair pro tem of their Technology Committees for a period not to exceed 120 days after the end of the term.

The Technology Committee Chair may appoint a Vice Chair with the approval of the Engineering Vice President. The Vice Chair shall act as the default pro tem Chair in the absence of the Technology Committee Chair. In the event of absence of Chair or Vice Chair, the Engineering Vice President or the appropriate Engineering Director may appoint a chair pro tem on a per-meeting basis. The appointee shall be an individual member of the Society and, in the case of a Technology Committee, a Participant Member of that Committee.

Technology Committee Chairs shall conduct the business of their Technology Committees according to these Administrative Practices and the Administrative Guidelines, specifically:

- a. Calling Technology Committee meetings and distributing draft agendas;
- b. Convening and presiding over the meetings and expediently conducting their business;
- c. Reviewing and distributing timely minutes after receipt from the Secretary;
- d. Advancing the work of all assigned Projects with expedience, consistent with Due Process;
- e. Facilitating the introduction of new Projects;

- f. Recruiting new Technology Committee members;
- g. Attempting to ensure a balance of membership within the Technology Committee and its Due Process Sub Groups; and
- h. Leading Liaison communications as needed.

#### 4.2.3 Membership

##### 4.2.3.1 Categories

There are two categories of Technology Committee members: Participant Member and Observer Member.

Members are individuals who meet the eligibility requirements defined below and maintain their membership until termination. No alternates are permitted to act on behalf of a Participant Member.

##### ***4.2.3.1.1 Participant Member***

A Participant Member is a person who commits to active contribution to the work of the Technology Committee. A Participant Member has voting rights and obligations with full access to all work in process and Sub Group activity. Participant Members must maintain eligibility requirements as specified in Section 4.2.3.2.

##### ***4.2.3.1.2 Observer Member***

An Observer Member is a person who has an interest in the work and may participate actively in the work of the Technology Committee and/or its Sub Groups, with full access to all work in process. An Observer Member is encouraged to submit ballot comments but has no voting rights.

In addition, there are Guests, who are persons present at the invitation of the Chair on a per meeting basis, or for longer terms with the approval of the Engineering Vice President. Guests are not members and are not subject to the participation fee.

All Members and Guests are subject to these Engineering Administrative Practices and the Administrative Guidelines, specifically including all requirements for confidentiality and observance of the Society's Intellectual Property Policy.

##### 4.2.3.2 Eligibility

Technology Committee membership is open to all persons who have an interest in the work of a Technology Committee.

Technology Committee members shall be individual members of the Society or individuals who have paid the participation fee.

Applicants for membership shall submit complete appropriate contact information as requested by the Director of Engineering, all of which shall be subject to the Society's Privacy Policy. All engineering committee members are required to provide an email address. Members shall use the same email address for all Committees and their Sub Groups.

Participant Members must have attended at least one complete Technology Committee meeting within the previous 12 months and not had their status changed to Observer Member within the 12 months prior to the Technology Committee Meeting.

Observer Members may apply to become Participant Members at any time, provided they meet the requirements herein.

The Technology Committee Chair may waive the eligibility requirement for individual Participant Members in exceptional cases.

#### 4.2.3.3 Maintenance

Membership in a Technology Committee shall be maintained as long as the member meets the eligibility requirements above.

Participant Members, in order to retain their status, also shall not miss more than two meetings in a row and shall not fail to vote on more than three Written Votes in a row. When determining "in a row", the ballot issue date shall be used. When several ballots are issued on the same day, the sequence numbers assigned shall be used. If these criteria are not met, the Participant Member status shall revert to Observer Member status.

Thirty days before all meetings and within 14 days following all meetings, the Director of Engineering and Technology Committee Chairs shall review the meeting attendance, voting history, and fee payment of all members and adjust the membership roster accordingly. The Technology Committee Chair may waive the conversion to Observer Member status in exceptional cases. The Technology Committee Chair shall inform the Director of Engineering and the Engineering Vice President of the waiver, which stands at the pleasure of the Engineering Vice President.

The Director of Engineering shall notify the members and the relevant Technology Committee Chairs when a change has occurred, and inform the members of their right to apply for Participant status again in one year.

All members shall promptly notify the Director of Engineering of any changes in their contact information.

#### 4.2.3.4 Termination

Members may terminate their memberships in a Technology Committee (or all Technology Committees) with written notice to the Director of Engineering and to the Technology Committee Chair(s).

Membership in all Technology Committees may be terminated by the Director of Engineering if the Director verifies that a member's contact information is not current, and the member has been non-responsive for 4 weeks by email or post.

Membership in all Technology Committees may also be terminated by the Engineering Vice President for gross violation of these Engineering Administrative Practices. The following process shall pertain: First, the Engineering Vice President or an Engineering Director must have personally observed the violations. Second, a written notice of violation (which may be via email) must have been sent to the member by the Director of Engineering. If the member then violates these Administrative Practices again within one year of the notice, at that time, the Engineering Vice President may terminate the member

by written notification (which may be by email) and inform the Board of Governors of the action. The terminated member may appeal to the Board of Governors for reinstatement. In any case, a member so terminated may apply for membership after a period of one year.

#### 4.2.4 Membership and Consensus Bodies

The Membership Body for a meeting shall be the membership roster as of 30 days prior to the meeting. The Membership Body for Written Votes between meetings shall be the membership roster as of 14 days after the close of the previous meeting. Membership shall be determined according to section 4.2.3.3.

The Consensus Body for a meeting and for all actions taken therein shall be all Participant Members who are present. The Consensus Body for a Written Vote shall be all Participant Members of the Technology Committee.

#### 4.2.5 Balance of Membership

Technology Committee Chairs shall endeavor to maintain a balance of interest groups in their Technology Committees among the Participant Members. One's interest group is determined from a stated company affiliation or an explicit declaration, at the option of the Participant Member. The interest groups are:

- a. Producer - one who manufactures products or provides services;
- b. User - one who purchases or uses the manufactured products or services;
- c. General interest - one who is neither a producer nor user of the products or services but has expert or professional interest, concern, or curiosity about the products or services.

#### 4.2.6 Standards Committee Members

To facilitate fulfillment of their responsibilities with respect to the operation of the Standards Committee, all members of the Standards Committee shall automatically be Observer Members of all Technology Committees except those in which they have elected to participate as Participant Members. Except for the inability to terminate their membership, they are otherwise subject to all of the provisions for membership.

#### 4.2.7 Procedures

The Technology Committees shall adhere to the following additional procedures:

- a. Technology Committees shall work to advance all Projects with an approved Work Statement.
- b. The Director of Engineering or an alternate appointed by the Director of Engineering shall function as Secretary at Technology Committee meetings and provide necessary ballot and other data on Technology Committee Projects.
- c. Technology Committees shall meet in person no less than once per year and otherwise as needed and convened by their Chairs in person or by electronic means.

## **4.3 Working Groups**

### 4.3.1 Purpose and Scope

A Working Group may be formed by a Technology Committee when it is desirable to provide a due process forum addressing a specific subset of the Scope of the Technology Committee. A Working Group may be formed or dissolved by a Consensus Vote of the Technology Committee. A Work Statement that clearly identifies the specific Project or the area of technology to be addressed by the Working Group must be approved by the Technology Committee.

### 4.3.2 Working Group Chairs

The Chair of a Working Group shall be appointed by the Chair of the parent Technology Committee, in consultation with the Technology Committee, and shall be an individual member of the Society.

The Working Group Chair shall appoint a Secretary.

### 4.3.3 Membership

Membership in Working Groups shall be open only to members of the parent Technology Committee. All members operate in a Working Group as Observer Members, as defined for Technology Committees. Meetings may have Guests.

### 4.3.4 Procedures

Working Groups are Due Process groups and shall operate administratively the same as Technology Committees, except that there are no Votes. Recommendations to the parent Technology Committee are developed and approved by consensus of the Working Group members. The consensus recommendation of a Working Group shall always be considered by the parent Technology Committee without an explicit motion or second.

The recommendations of a Working Group, together with draft documents, comments, objections, minority reports, Patent Statements, and any Comment Resolution documents, shall be presented to the parent Technology Committee and considered a work product of that Technology Committee.

## **4.4 Sub Groups**

### 4.4.1 Purpose and Scope

Sub Groups are direct adjuncts to Technology Committees, Working Groups, or the Standards Committee and are established to expedite and organize the functioning of their parent groups. Sub Groups include Study Groups, Task Forces, and Ad Hoc Groups. Sub Groups are not due process groups. Sub Groups shall not form Sub Groups. All Sub Groups shall have Work Statements approved by consensus of their parent groups.

### 4.4.2 Sub Group Chairs

The Sub Group Chair shall be appointed by the Chair of the parent group in consultation with the parent group and shall be an individual member of the Society.

#### 4.4.3 Membership

Sub Groups are formed to perform preliminary investigations or studies, to draft document proposals, to make recommendations, or to perform specific administrative or Liaison functions. Membership is open to all members of the parent group. Since all work of a Sub Group will be considered later by a Due Process group, Sub Group membership may be restricted with the prior approval of the Engineering Vice President.

Sub Groups may seek participation by experts or other interested parties who are not members of the parent group and/or not members of the Society. Such membership is at the discretion of the Chair of the Sub Group. All members must submit a Statement of Participation and agree to abide by these Engineering Administrative Practices. The Chair of the Sub Group is responsible for maintaining a roster of membership, which may take the form of an email list.

#### 4.4.4 Procedures

A Sub Group is formed and terminated by the Chair of the parent group in consultation with that group. Sub Groups should follow the meeting notice, agenda, meeting reports and other logistical procedures of the Due Process groups.

#### 4.4.5 Study Group.

A Study Group is a Sub Group formed to examine a system or technology. Its specific role is to prepare reports to its parent group and/or to Society membership through publication in the Journal and/or presentation at SMPTE Conferences. Reports of a Study Group shall be approved by its parent group and the Engineering Vice President prior to publication or presentation. When studies indicate that standardization is needed, a Study Group shall make a suitable recommendation to its parent group.

#### 4.4.6 Task Force

A Task Force is a Sub Group formed only by the Standards Committee to coordinate specific programs that affect more than one Technology Committee or to establish joint activities with groups outside of the Society that are concerned with long term strategic issues.

#### 4.4.7 Ad Hoc Group

An Ad Hoc Group (AHG) is a Sub Group formed to expedite the work of and/or perform studies for its parent group. Tasks may include the preparation of Working Draft documents for consideration by the parent group. The results of AHG action are reported to the parent group.

An Ad Hoc Group is inherently transient in nature. An AHG should normally be created for the period between consecutive meetings of the parent group, to report back to the parent group at its next meeting. Additional time may be provided at the discretion of the Chair of the parent group, and the term of the AHG may be renewed from meeting to meeting. The use of “standing” AHGs is strongly discouraged. Tasks requiring extensive work over a period of time should normally be performed by a Working Group or a Study Group.

## 5 Meeting Procedures

### 5.1 General

All meetings shall be conducted according to the following procedures:

- a. All Technology Committees and Working Groups shall conduct business in accordance with the provisions of these Engineering Administrative Practices and the Administrative Guidelines. For matters not covered by these documents, "*Robert's Rules of Order (Newly Revised, 10th Edition)*" shall apply. All Due Process group Chairs are required to be familiar with Robert's Rules.
- b. Chairs should make use of electronic meeting tools (e.g. phone bridges) when available. Where facilities are provided for meeting participation by telephone or other electronic means, members and Guests so participating shall be considered to be present as if they were physically present, including the determination of quorum and maintenance of membership, but excluding eligibility of membership.
- c. At least 720 hours (30 days) before the scheduled start time of a meeting, the meeting Chair shall distribute a meeting call and a draft agenda. Meeting calls shall include the start time of the meeting and should include an estimated end time. Where the start time may be impacted by other meetings scheduled earlier on the same day, the meeting call should indicate any potential for a variance. The meeting Chair shall make a reasonable attempt to notify the Membership Body of any variance on the day of the meeting. Meetings shall not convene before their announced times (as amended within any notified variance), but may convene significantly after their announced times on the same day. There is no requirement that a meeting end at any specific time, even if an estimated time is provided.
- d. Unless otherwise specifically stated: a) US Eastern Time Zone (as modified by Daylight Saving Time at the current SMPTE headquarters location) shall be used; and b) when only a day is prescribed, deadlines shall be at 23:59:59 on that day.
- e. An agenda, minutes, or contribution document is "distributed" if it is:
  - emailed as an attachment to the official group email list; or
  - deposited on an SMPTE sanctioned Internet server with a pointer sent by email as above; or
  - if during a meeting, deposited on the meeting file server; or
  - by directly contacting (for example, by telephone) each member of the group.
- f. Proxies are not permitted.
- g. For all Due Process groups, attendance shall be recorded in writing by the Secretary. For participation via telephone or other electronic means, the participants shall indicate their presence by voice or similar electronic means and the Secretary shall record their presence on their behalf, noting that they are participating electronically. The attendance list shall be used by the Director of

Engineering to establish membership rights as provided herein and to establish agreement to these Engineering Administrative Practices by all attendees. All attendees shall agree to adhere to these Administrative Practices. At the discretion of the Chair, other persons may be allowed to be physically present in the meeting room without being members of the meeting or being recorded as meeting attendees. The Chair shall ensure all such persons are subject to these Administrative Practices.

- h. For all Due Process groups, Minutes shall be prepared by the Secretary and submitted to the Chair no more than 30 days after a meeting. The Chair shall review, modify as required, and approve the Minutes within 14 days of receipt and then shall distribute the Minutes to all members of the group, with a copy to the Director of Engineering and the Engineering Vice President. Guests may request Minutes from the Director of Engineering. Meeting attendees may suggest changes to the minutes. The Minutes, amended if necessary, shall be approved at the next meeting and distributed by the Secretary.
- i. Consensus. For decisions on significant questions affecting the content of Engineering Documents or motions made in any Due Process group, consensus shall be obtained. Consensus shall be determined to exist either when there are no objections or when no more than 1/4 of the Participant Members who responded in favor or opposed were opposed. All determinations of consensus shall be recorded in the Minutes. The use of "straw polls" and other means of achieving consensus are encouraged.
- j. The Society is a technical and scientific organization and considers the members of its Committees and Sub Groups, and the Guests of its meetings, as individual experts and not necessarily as representatives of their employing organizations. There are, however, occasions during the activities of a group when a formal industry position would materially contribute to the resolution of a question. On these occasions, a member or Guest may state that an opinion given is that of an organization, and that opinion may be so recorded. The Chair may, in addition, solicit the views or opinions of appropriate special interests.
- k. On any matter before a Technology Committee, where the Technology Committee Chair considers that any interest group or corporate entity has caused, by sponsoring an unreasonable number of Participant Members or otherwise, substantial imbalance, so as to affect the outcome of a specific Vote, the Technology Committee Chair shall report this matter to the Standards Committee with a recommendation for appropriate corrective action, such as conducting a Written Vote. The Standards Committee, by a Consensus Vote, may approve the request for a Written Vote to override and replace the Vote in question. It may also recommend other corrective action, subject to approval by the Board of Governors.
- l. In order to assist the Technology Committee Chair in determining a balance of interests, Participant Members should declare at the initial roll call of a meeting all entities whose interests they represent at that meeting. Further, if they

represent more than one entity, they should declare which entity they represent during each Vote (of any kind).

- m. The Secretary may record any meeting for the purpose of assisting in the preparation of the Minutes and subsequent confirmation by the Committee. Once the Minutes have been confirmed, the recording and all copies shall be destroyed within 14 days. No person shall electronically record, or assist another person in electronically recording any meeting in any form.

## **5.2 Quorum**

For a Technology Committee, one third of the Participant Members shall constitute a quorum. Determination of a quorum shall be conducted at the beginning of each Technology Committee meeting. For a Working Group, those members present shall always constitute a quorum.

For any Vote, a quorum must be present, whether or not a quorum was present at the beginning of the meeting. All Votes shall be recorded by the Secretary as a tally of the Participant Members. If, as determined from the tally, a quorum is no longer present, then the results of the Vote shall require confirmation as specified below.

Per Robert's Rules, temporary absence of one or more Participant Members from the meeting room does not constitute loss of a quorum and the ability to conduct business, but the Technology Committee Chair shall provide reasonable opportunity for Participant Members to be summoned prior to a Vote.

When a quorum is not present, the meeting may continue. However, all decisions shall be confirmed by the Technology Committee either at its next meeting when a quorum is present or by a Written Vote, at the discretion of the Technology Committee Chair.

## **5.3 Votes**

The Voting within every Technology Committee is carried out by the Participant members only. Comments are welcome from anyone, but do not constitute a Vote. All questions before a Technology Committee that are resolved by a Vote shall be formed so that the response can be clearly made with either a YES or NO answer. Votes shall be initiated by motions. Motions shall only be made and seconded by Participant Members. Each Participant Member present shall cast a vote as either YES, NO or ABSTAIN. All Votes related to an Engineering Document shall be recorded for every Participant Member by roll call and tally.

### **5.3.1 Administrative Vote**

An Administrative Vote is a vote on a matter requiring a simple majority of YES versus NO votes of the Participant Members responding. Lack of a response and ABSTAIN shall be treated identically and not factored into the calculation. A tie vote does not pass.

### **5.3.2 Consensus Vote**

A Consensus Vote is a vote where at least 3/4 of the Participant Members who responded YES or NO, voted YES. Lack of a response and ABSTAIN shall not be factored into the calculation.

### 5.3.3 Written Vote

A Vote conducted to the entire Participant Membership in writing, usually via electronic means. A Written Vote has no comments.

### 5.3.4 Ballot

A Ballot is a Written Consensus Vote (see criteria of section 5.3.2) of a duration that permits comments to be submitted. All comments shall subsequently be Resolved as a condition of the member's vote. A "comment" is a reference with a statement about what is in error or omission. Redlines of a document, while helpful and supportive to the process, are not acceptable alone as comments. Redlines, without accompanying written description of the error, omission, or a request for additional features or functionality, need not be considered in the Comment Resolution process. A passing Ballot must have a total of the YES votes equal to or greater than 1/3 of the Participant membership. Regardless of the vote cast (YES, NO, or ABSTAIN), comments may always be submitted. Comments shall be submitted with all NO votes. Any NO vote without comments shall be discarded and counted as non-responsive.

The default duration of any Ballot is 5 weeks. By consensus of the Technology Committee, an alternative duration of no less than three weeks may be selected.

## 5.4 Meeting Contributions

Any contribution to a meeting for which Technology Committee action may be taken shall be properly presented to the Technology Committee before any action is taken. A contribution has been properly presented if it is directly related to an item that was present on the draft agenda at least 30 days prior to the meeting and one or more of the following is true:

- a. publication to the Technology Committee at least 7 days in advance of the meeting; or
- b. presentation to the Technology Committee at the meeting in full (e.g. reading it in its entirety); or
- c. presentation at the meeting of all changes relative to a version of the contribution that previously met either (a) or (b).

## 6 Documents

### 6.1 Scope

Engineering Documents consist of Standards, Recommended Practices, Engineering Guidelines, and Amendments. SMPTE Engineering Documents may be intended for further submission to the American National Standards Institute, the International Telecommunication Union (ITU), the International Standards Organization (ISO), or other standards bodies.

The Society also publishes Registered Disclosure Documents, but these are not considered to be Engineering Documents and have separately defined procedures.

In addition, there are Other Documents, including the Administrative Guidelines.

## **6.2 Engineering Documents**

### 6.2.1 Standard

A Standard shall be a document that states basic specifications, dimensions, or criteria that are necessary for effective interchange and/or interconnection within the system described. An SMPTE Standard may also define the functions necessary to achieve effective interchange among users. An SMPTE Standard shall contain Conformance Language.

### 6.2.2 Recommended Practice (RP)

An RP shall be a document that states basic specifications, dimensions, or criteria that are not necessary for effective interchange and/or interconnection, but that facilitate implementation of systems. Examples are conformance requirements for test materials or measurement methods; or constraints on existing specifications, dimensions, criteria, forms; and/or functions within the system described. An SMPTE Recommended Practice may contain Conformance Language.

### 6.2.3 Engineering Guideline (EG)

An EG shall be an informative document, often tutorial in nature, that incorporates engineering consensus on specifications, dimensions, and/or practices. It is intended to guide Users or to provide designs or procedures for Producers. It shall not contain Conformance Language, Normative Text, or Normative References.

### 6.2.4 Test Materials

Some Engineering Documents may define what are commonly known as SMPTE "test materials." These are films, tapes, computer files, and similar materials that facilitate some sort of conformance procedures intended to enhance interoperability. Test Materials are encouraged for complex Standards. While not a document type on their own, they form integral parts of the Engineering Documents to which they relate. Test materials shall be enabled by, and form part of, Engineering Documents, usually Recommended Practices. Changes to Test Materials shall follow the processes applicable to their related prose document elements. That is, when Test Materials must be modified, their associated RPs shall be revised or amended following the appropriate procedures herein, even if the prose of the RPs is not altered. Third party test materials, which may be sold by SMPTE, are not considered part of the SMPTE Engineering Documents.

### 6.2.5 Registers

Engineering Documents may include tables intended to be filled in over time. A Register is a table that is published in a medium more convenient for updating (e.g. an online database).

Engineering Documents may provide the criteria for adding, changing and deleting table entries.

An Administrative Register is a Register where the criteria for adding, changing and deleting are specified in an Engineering Document and changes to the Register do not involve the consensus of technical experts. In this case, the Director of Engineering may

make revisions to the Register. The revision of the Engineering Document in all its media and elements must be clearly identified, as it can be altered very frequently.

When the criteria for adding, changing and deleting are not specified in the Engineering Document, or the criteria involve the consensus of technical experts, any alteration shall be subject to the normal Engineering Document process, typically an Amendment.

If Register entries are issued to parties other than the Society itself, then a fee may be charged.

## **6.3 *Modification of Engineering Documents***

### 6.3.1 Revision

A Revision is a Standard, Recommended Practice, or Engineering Guideline document that is to replace a previously published edition. A Revision shall exist only as a work in process, and, when published, shall supersede the previous edition.

### 6.3.2 Amendment

An Amendment is a document that modifies the provisions of an existing Standard, Recommended Practice, or Engineering Guideline. An Amendment shall contain only an enumeration of the changes and not the entire document to which it applies. It shall also contain an introductory statement describing the purpose of the change(s). An Amendment may be published as a separate document; where the edition of the affected document shall continue to be published until the Amendment is incorporated into a new edition of the affected document.

## **6.4 *Other Published Documents***

### 6.4.1 Administrative Guidelines

Administrative Guidelines shall be prepared from time-to-time to provide extensions and interpretations of these Engineering Administrative Practices. Administrative Guidelines may include, but are not limited to, descriptions of group and meeting procedures, templates for documents, rules and procedures for Registers, etc. All Administrative Guidelines shall be issued by the Standards Committee and shall require a Consensus Vote of the Standards Committee for approval or modification. In the event of a conflict, the Society Bylaws, these Administrative Practices or any published Engineering Document shall take precedence over the Administrative Guidelines.

### 6.4.2 Engineering Report

An Engineering Report is an informative document developed by a Study Group, a Technology Committee, or a Task Force on a topic of interest to the industry. Publication shall be with approval of the Engineering Vice President.

### 6.4.3 Advisory Note

An Advisory Note is a brief informative document developed by consensus of a Technology Committee detailing an issue before the Technology Committee. An

Advisory Note generally should have a limited term benefit to the industry and should typically be withdrawn after the issues it describes are resolved. Publication shall be with approval of the Engineering Vice President. An Advisory Note shall be withdrawn automatically 6 months after initial publication or sooner by consensus of the developing Technology Committee.

## **6.5 Procedures**

### 6.5.1 Editorial Revisions

From time-to-time, it may be brought to the attention of the Director of Engineering that there are editorial errors in a published Engineering Document. At the discretion of the Director of Engineering and in consultation with the Chair of the responsible Technology Committee, the publication may be editorially revised. The document identification shall be changed to reflect the different document.

Upon approval of any Amendment, the Director of Engineering may elect to publish a separate document, or may editorially revise the Engineering Document and publish the modified document as a new edition.

### 6.5.2 Avoidance of Proliferation of Modifications

No more than 2 separate Amendments shall be published modifying a single published SMPTE Engineering Document. The development of a third such document shall result in publication of a revision with all amendments applied. The 5 year review process shall also cause such a consolidation.

## **6.6 Criteria for Engineering Documents**

All SMPTE Engineering Documents shall meet the following criteria:

- a. Potential for use. There shall be evidence of national or international use or potential national or international use.
- b. Conflict. Before a proposal is approved, any recognized significant conflict with an existing national standard, international standard, or Engineering Document shall have been resolved. Due consideration shall have been given to the existence of other engineering documents having national or international acceptance in the given field. An alternative to an existing engineering document shall not necessarily be considered a conflict.
- c. Public interest. There shall not be evidence that the Engineering Document is contrary to the public interest.
- d. Fairness. There shall not be evidence that the proposal contains unfair provisions.
- e. Technical adequacy. There shall not be evidence of technical inadequacy.
- f. Intellectual property. Technical specifications shall comply with the Intellectual Property Policy of these Engineering Administrative Practices.
- g. Comparative Ratings. The Society shall not become involved in comparative rating of competitive systems or products. Test methods specified in Engineering

Documents shall be reasonable and adequate to measure the pertinent characteristics.

- h. Purchase specifications. SMPTE Engineering Documents shall not be written as purchase, quality, safety, certification or general design requirements.

## **6.7 Interpretation of Engineering Documents**

### 6.7.1 Commercial Conformance

SMPTE shall not give an interpretation as to whether a particular product, process, or procedure conforms or does not conform to the Engineering Document in question. Moreover, no person shall have the right or authority to issue such an interpretation in the name of the Society.

### 6.7.2 Interpretations Policy

From time-to-time interpretations may be requested. All interpretations shall be processed by the responsible Technology Committee and approved by consensus Vote. Approved responses shall be sent in a timely manner to the requestor, detailing the action taken and the interpretation provided, if any. Interpretation requests and responses shall be treated as submitted comments for the next revision or review of the Engineering Document unless the Technology Committee determines that more immediate action is required.

## **6.8 Records**

Records shall be prepared and maintained by the Director of Engineering to provide evidence of compliance with these procedures. Records concerning the processes for new, revised, or reaffirmed Engineering Documents shall be retained at least until the Engineering Documents are next revised, reaffirmed, withdrawn or archived. Records concerning the withdrawal or archiving of Engineering Documents shall be retained for at least five years from the date of withdrawal or archiving.

## **6.9 Metric Policy**

Units of the International System of Units (SI) shall be the preferred units of measurement in Engineering Documents.

## **6.10 Conformance Language**

Normative Text is that which describes elements of the design that are indispensable or which contains the conformance language keywords: "shall", "should", or "may".

Informative text is text that is potentially helpful to the user, but not indispensable, and can be removed, changed, or added editorially without affecting interoperability. Informative text does not contain any conformance keywords.

All text in a Standard, Recommended Practice, or Amendment to either of them is, by default, normative, except: the Introduction, any section explicitly labeled as "Informative" or individual paragraphs that start with "Note:".

The keywords "shall" and "shall not" indicate requirements strictly to be followed in order to conform to the document and from which no deviation is permitted.

The keywords, "should" and "should not" indicate that, among several possibilities, one is recommended as particularly suitable, without necessarily mentioning or excluding others; or that a certain course of action is preferred but not necessarily required; or that (in the negative form) a certain possibility or course of action is deprecated but not prohibited.

The keywords "may" and "need not" indicate courses of action permissible within the limits of the document.

The keyword "reserved" indicates a provision that is not defined at this time, shall not be used, and may be defined in the future.

The keyword "forbidden" indicates "reserved" and in addition indicates that the provision will never be defined in the future.

## **7 Engineering Document Development Procedures**

### ***7.1 Introduction***

Engineering Documents are created by a two-stage process – a Development Phase and an Approval Phase.

The Development Phase is conducted by a Project Group and is relatively informal. The intent of this phase is to engage all interested parties and to permit exchanges of view, and iteration of the document without the need for cumbersome record keeping. Nevertheless, Due Process (see below) needs to be followed to ensure that all relevant views are received and considered. The final step of the Development Phase is to circulate a draft document to the Technology Committee for informal comment, and to further iterate the document in response to inputs received. If the development phase is successful, little change to the document should be necessary in the Approval Phase.

When the document represents the best available outcome of the informal work, the Approval Phase begins. Approval procedures are based on Written Ballots to the Technology Committee and a formal Comment Resolution process, also described below. The Approval Phase permits disposition of comments by consensus of the committee, rather than by full agreement and therefore must be fully documented. The Approval Phase forms the formal record of the document.

### ***7.2 General***

#### ***7.2.1 Due Process***

All Due Process groups (Technology Committees and Working Groups) involved in the development of Engineering Documents shall observe the rules and guidelines as follows:

- a. Participation shall be open to all parties, without undue financial barriers, who are directly and materially affected by the activities in question;
- b. Reasonable efforts shall be made to make such parties aware of work that is proposed or underway;
- c. All meetings shall be open meetings;
- d. The Engineering Document development process shall have a balance of interests and thus not be dominated by any single interest category or group;
- e. Consistent procedures shall govern the methods used for Engineering Document development and such procedures shall be available to any interested person;
- f. An identifiable, realistic, and readily available appeals method shall be included in the written procedures;
- g. Notification of Engineering Document activities shall be announced in suitable media to demonstrate compliance with the requirements of (b);
- h. Prompt consideration and acknowledgment shall be given to the written opinions and submissions of all who wish to be heard, including a concerted effort to resolve all expressed objections;
- i. Notification shall be given to an objector of the disposition of the objection and the reasons therefore; and
- j. The disposition of such opinions and submissions shall be documented.

### **7.3 New Projects**

A Project is an item of work undertaken by a Technology Committee. A Project may be proposed by any individual. A proposal for a new Project shall include the following Project Summary information:

- Problem to be solved and scope of work;
- Document(s) affected and/or proposed new document(s);
- Proponent(s), Secretary and document editor of the work who are, or will become, Technology Committee members; and
- Estimated Completion Date.

The proposal shall be submitted to the Engineering Vice President, who may assign the new Project to a Technology Committee.

The Technology Committee shall review the proposal to ensure that the stated requirements have been met and that there is no obvious conflict with existing work or the basic Criteria for Engineering Documents.

The Technology Committee shall decide the type of Project Group that is appropriate to accomplish the work. If only a single person or a small number of members are interested in collaborating on the Working Draft, and the life of the Project is not anticipated to be more than 1 or 2 meeting cycles, then an Ad Hoc Group should be formed. If a

considerable number of people are interested in the Project or preparation of a Working Draft is expected to continue significantly beyond the next Technology Committee meeting, then a Working Group or Study Group should be formed. A Study Group is appropriate for Projects that are expected to produce an Engineering Report and no Engineering Documents. At any point during the Project, the chair of the Project Group may solicit additional members to the Project Group to assist in drafting and/or in the resolution of comments. The membership makeup may change over time.

If the submission requirements are met, then the Technology Committee shall accept the New Project, pending approval of the Work Statement, and solicitation and appointment of one or more Technology Committee members to conduct the work.

If a Working Group or Sub Group is to be formed, then the Technology Committee Chair shall promptly complete the Work Statement for it and forward it to the Technology Committee, the Director of Engineering, and the Standards Committee.

Everyone receiving a new Work Statement for review shall have 2 weeks in which to object to the new Project, stating their reasons for objecting. Without objection, the Project shall be considered accepted and active in the Technology Committee. A reviewer should object only if the Work Statement is incomplete, the project fails the Criteria for Engineering Documents, or the Project is not assigned to the proper Technology Committee. If needed, consensus of the Standards Committee shall be used to resolve any objections.

#### ***7.4 Working Draft (WD) Development***

Most Projects will create some type of a Working Draft, which is an Engineering Document before it is presented to the Technology Committee. A Working Draft is developed through consensus of the Project Group. Working Drafts can be revised as necessary by the Project Group.

When the chair of the Project Group determines, by consensus, that the WD is complete and ready for consideration by the Technology Committee, then it is submitted to the Chair of the Technology Committee, together with all IP disclosures received. Supporting material such as comments and responses may be submitted for information, but do not form part of the formal record.

All of the steps in processing a Project submission may be conducted either by email or in a meeting of the Technology Committee, at the discretion of the Technology Committee Chair.

#### ***7.5 Committee Draft (CD) Development***

Upon receipt by a Technology Committee of a WD from a Project Group, it shall be distributed promptly by the Technology Committee Chair to the Technology Committee, for a period of 2 weeks, to seek comments and determine whether the work should be sent to Ballot. At the conclusion of the 2 week period, the Project Group shall address all comments received. Full Comment Resolution is encouraged but not required. Once the

Project Group concludes by consensus that the comments have been addressed, the document shall be revised as necessary and returned to the Technology Committee Chair.

The document then is considered a Committee Draft (CD). At this stage the Technology Committee Chair should ensure that the requirements of the Intellectual Property Policy have been complied with.

The Technology Committee Chair then conducts a Ballot (FCD Ballot) asking the question: “Should this CD be made a Final Committee Draft?” Participant Members should be encouraged to comment, regardless of their votes, with the understanding that their comments shall be Resolved before advancing the work. Observer Members also should be encouraged to comment.

At the conclusion of the FCD Ballot, the Technology Committee Chair shall direct the Project Group to resolve all the comments, following the Comment Resolution Process. If the FCD Ballot fails, then the result of this work shall be another CD. All comments not Resolved shall be handled according to the Comment Resolution Process and this CD development process shall be repeated. If the ballot passes, the work shall advance to Final Committee Draft (FCD).

### **7.6 Final Committee Draft (FCD) Development**

If the FCD Ballot fails the Project Group shall attempt to resolve all comments, according to the Comment Resolution Procedure described in Section 7.13, and submit the revised document for another FCD Ballot.

If the FCD Ballot passes without comment, the document shall be designated a Draft Publication, and the Technology Committee Chair shall forward the work to the Director of Engineering for Standards Committee Audit and preparation for publication.

If the FCD Ballot passes, but with comments, the Project Group shall attempt to resolve all comments, according to the Comment Resolution Procedure described in Section 7.13 (including one or more Disposition Votes if necessary). When all comments are Resolved the Technology Committee shall conduct a Consensus Vote to elevate the document to Draft Publication. Consideration should be given to the extent of the changes made, the impact to implementations, and the time transpired since the FCD Ballot. If this vote passes the Technology Committee Chair shall forward the work to the Director of Engineering for Standards Committee Audit and preparation for publication.

If the Draft Publication Vote fails; or, if by Consensus of the Committee, the document has been revised to a substantial degree; the revised document shall again be sent to FCD Ballot. Consideration should be given to impact on compliant systems when deciding if the document’s changes are substantial.

### **7.7 Standards Committee Audit**

Prior to Standards Committee Audit, the Director of Engineering shall ensure:

- a. The FCD Ballot(s) passed;
- b. The Disposition Vote(s), if issued, passed;
- c. There is no evidence that any Ballot comments were not Resolved;

- d. The Technology Committee has revised the document according to the Ballot comments; and
- e. All Normative References meet these Administrative Practices requirements for Normative References and are published.

In parallel with the editorial preparation of the document for publication, the Director of Engineering shall prepare a Process Audit Report for the Standards Committee that includes:

- The type and results of each Ballot and Vote related to the document;
- The results of Disposition Votes (if any);
- Confirmation of the existence of a Comment Resolution Document for each ballot on file at SMPTE headquarters;
- A list of all Normative References, including their publication status;
- Copies of all Patent Statements submitted during the document development;
- Copies of all Patent Statements received relating to the document;
- A summary of any Appeal(s) concluded or in process;
- A recommendation as to whether the work was processed correctly; and
- Notification of pending appeals related to the Project that produced the document.

The Director of Engineering shall issue a 3-week Ballot to the Standards Committee that includes the proposed document and the Process Audit Report. At that time, the Standards Committee shall consider evidence that:

- due process requirements were met;
- consensus was achieved;
- the Criteria for Engineering Documents have been met;
- the Normative References meet these Engineering Administrative Practices;
- all necessary Patent Statements have been received in acceptable form; and
- there is no effect of any in-process Appeal(s) upon the timing of the publication

When the Standards Committee Ballot results in comments (regarding processing by the Technology Committee), the Project shall be returned to the Technology Committee for a response to each comment. Resolution of its ballot comments shall be accomplished by consensus of the Standards Committee.

Technical comments shall not be submitted with a Standards Committee ballot. A Standards Committee member who has technical comments to be addressed should propose a new Project, such as an Amendment.

## **7.8 Publication**

When the Standards Committee confirms that all procedural requirements have been met and all Standards Committee comments have been Resolved, then the document shall be

published by the Director of Engineering. Prior to publication the Director of Engineering shall request review of the proposed publication by the Technology Committee Chair to ensure that the correct version of each drawing or table has been incorporated and that editorial changes, if any, have been correctly applied. The Technology Committee Chair should circulate the document to the proponents and/or the document editor; and may circulate it to others or to the Technology Committee.

The Director of Engineering shall provide means for any interested party to submit comments on the published documents, and such comments shall be available to all Technology Committee members.

### **7.9 Review of Publications**

All new Standards, Recommended Practices and Engineering Guidelines shall undergo the Review process of Section 7.11 one year from initial publication.

Within 6 months following the 4th anniversary of the publication of each Engineering Document that has not previously been Archived or Withdrawn, the Director of Engineering shall submit a copy of the current publication along with a request to the responsible Technology Committee Chair to review the publication according to the Review process of Section 7.11.

### **7.10 Submission to Other Standards Development Organizations**

Proposals to submit Engineering Documents to other standards development organizations shall follow the Liaison communication process, with notice to the Director of Engineering. Such documents shall be accompanied by a liaison statement. Proposals to submit Committee Drafts and Final Committee Drafts shall also require the approval of the responsible Technology Committee Chair and the Vice President of Engineering. Working Drafts shall not be submitted outside the responsible Technology Committee.

### **7.11 Engineering Document Review**

The Director of Engineering shall advise the relevant Technology Committee Chair of any documents to be reviewed. The list of such documents shall be added to the next Technology Committee agenda for discussion.

During or following the Technology Committee meeting, provided no alternative process is started (such as a new Project to revise it), the Technology Committee Chair shall conduct a Consensus Vote to re-affirm each document. If the Vote passes, the document is re-affirmed and shall be published without revision, but with a revised date. If the Vote fails, the document shall be Archived. Other than revision identification, no changes shall be permitted to the document.

A document should be Archived if it is believed to be substantially correct, does not contain harmful or misleading recommendations, may still be relevant to equipment or practices in use, is stable but does not represent current technology, and need not be subject to future reviews.

An Archived document shall still be made available and offered for sale by the Society, but it shall be prefaced by a cover page explaining its current status.

At any time, a Technology Committee may revise, amend, or otherwise initiate a new Project on an Archived document.

### **7.12 Engineering Document Withdrawal Process**

A document should be Withdrawn only if there is a significant possibility of its use causing harm. A Withdrawn document shall still be made available and offered for sale by the Society, but it shall be prefaced by a cover page explaining its current status including a statement that some or all of the content is no longer endorsed by the Society.

If a Participant member proposes that an Engineering Document be Withdrawn, then that person shall provide a brief (approximately one-page) justification to the responsible Technology Committee. The Committee shall then decide by Consensus Vote whether to conduct a Ballot to Withdraw. If the Consensus Vote to conduct a ballot passes, the Ballot shall be issued.

If a Ballot to Withdraw passes, the document is Withdrawn.

At any time, a Technology Committee may revise, amend, or otherwise initiate a new Project on a Withdrawn document.

### **7.13 Comment Resolution Process**

To maintain the integrity and efficiency of the document development process, it is essential that there be a complete record of all Comment Resolutions made in response to a Ballot. After every Ballot and prior to further consideration by the Technology Committee or another Ballot, the Project Group responsible for a document shall prepare three items:

- a version of the document clearly showing all the changes, relative to the document that was balloted, proposed in response to the Ballot comments. The format of this document should be redline/strikeout;
- a clean version (no redlines) of the document; and
- a Comment Resolution Document.

These items shall be made available to the Technology Committee and notice sent by email. All comments shall be submitted in English. Comments should include a recommended resolution; however the proponent is under no obligation to accept the recommended resolution.

#### **7.13.1 Comment Resolution Document**

A Comment Resolution Document shall show each and every Ballot comment and its proposed resolution. The Comment Resolution Document shall contain, at a minimum for every Ballot comment: the comment text verbatim, a response indicating generally what was done to address the comment, and whether or not the comment was resolved to the satisfaction of the commenter. A comment shall be Resolved if the commenter has indicated that he/she is satisfied with the response, or the Technology Committee has reached disposition by Consensus Vote.

### 7.13.2 Resolution

Following publication of a revised document and the associated Comment Resolution Document to a Technology Committee, the commenters on the ballot shall have 2 weeks in which to review the responses and the changes to the revised document and to indicate whether their comments have been resolved. If they consider their comments not to be resolved, commenters shall indicate what specifically should be changed to resolve their comments. During this 2 week period, a commenter may request of the Technology Committee Chair an extension period of an additional 2 weeks, which shall not unreasonably be denied. Failure of a commenter to respond in any manner within 2 weeks or failure of the commenter to indicate specifically why the comment is not resolved shall be deemed non-responsive, and the comment shall be considered Resolved without further process or action by the Project Group or the Technology Committee. If any comments remain unresolved, then the Technology Committee shall undertake a Disposition Vote as described below.

The Project, Work Statement, or Ballot appearing on the Technology Committee agenda shall be deemed adequate notice of intent to discuss comments relative to any work in process.

### 7.13.3 Records

All revised documents and the Comment Resolution Document for every Ballot shall be maintained in an archive accessible to the Technology Committee.

### 7.13.4 Late Comments

Comments may be submitted at any time outside a Ballot process. These are “late comments”. Project Groups are encouraged to address all late comments but are under no obligation to do so. All comments not addressed should be retained until the next Revision of the document.

## **7.14 Disposition Vote**

In the event that a Project Group is unable to resolve all the comments from a Ballot, it shall develop consensus recommendations to the Technology Committee for the disposition of all comments not Resolved, and for each comment shall include the proposed change(s) from the commenter. The Chair of the Technology Committee shall then issue a Consensus Vote on the recommendations for the comments not Resolved (the Disposition Vote). The Disposition Vote shall include the revised document and an abbreviated Comment Resolution Document containing only those comments that remain not Resolved. The Chair of the Technology Committee may break the comments and their proposed resolutions into separate, or even "line item," Votes in order to help advance the work.

# **8 Registered Disclosure Documents**

## **8.1 Definition**

The Society may publish documents of general interest to the industry that are not Engineering Documents. Such documents are known as Registered Disclosure

Documents (RDDs) and do not represent findings, representations, or recommendations by the Society. Registered Disclosure Documents are documents within the scope of interest of the Society, submitted by any entity that wishes to make a disclosure available to the public and to use the Society's publication and distribution mechanisms for this purpose. Documents that may be suitable as Registered Disclosure Documents include, but are not limited to, specifications of existing products, instructions for interfacing to products, instructions for controlling products and systems, and descriptions of design approaches intended to encourage design of similar or compatible systems. Registered Disclosure Documents shall not be used as Normative References in Engineering Documents.

## **8.2 Registered Disclosure Criteria**

All SMPTE Registered Disclosures shall meet the following criteria:

- a. Public interest - There shall be no evidence that the document is contrary to the public interest.
- b. Technical adequacy - There shall be no evidence of technical inadequacy.
- c. Comparative ratings - Documents shall not relate to comparative rating of competitive systems or products.
- d. No advertising - The documents shall not contain any advertising or marketing content.

## **8.3 Registered Disclosure Process**

### 8.3.1 Initiation

Any interested party may request initiation of a new Registered Disclosure Document. The request shall be sent to the Director of Engineering in the form determined by the Director of Engineering together with a release of copyright and the appropriate processing fee. The processing fee shall be determined from time-to-time by the Engineering Vice President in consultation with the Director of Engineering and the Financial Vice President and is due and payable prior to work on the document beginning.

### 8.3.2 Format of Document

There is no required template or format for the body of a Registered Disclosure, but the document should contain technical information, not advertising material. The document shall be supplied to the Director of Engineering in electronic form suitable for publication. The following information should be provided on a cover page(s).

- Name, affiliation, and contact information (including email address) of the person responsible for maintenance of the document.
- A scope statement indicating the intended purpose of the document.
- (Optional but recommended) An intellectual property (IP) statement indicating whether known or claimed IP applies to the content of the document and, if appropriate, a declaration as to terms under which users of the document may have access to the IP.

### 8.3.3 New Project Process

When such a request is received with a completed cover page, the Engineering Vice President shall assign the request to the appropriate Technology Committee, which shall assign a new Project Group, as for any new Project.

### 8.3.4 Technology Committee Ballot

After processing by the Project Group, the document shall be submitted for a Ballot to the Technology Committee. The Ballot question shall be: “Does the document meet the Registered Disclosure Criteria, is it technically consistent, and does it provide information sufficient for the intended purpose as stated in its scope?”

Following the Ballot, the Project Group should contact each person who submitted comments and attempt to resolve the comments. Modification of the document shall be at the discretion of the proponent. At the discretion of the Engineering Vice President, all comments not Resolved to the satisfaction of the commenter may be appended to the document and published, together with any explanation the proponent may choose to add. If any Technology Committee member, including the proponent, believes that appending particular not Resolved comments and responses would be beneficial to the industry, the member may so request such action. This request shall be promptly considered by the Technology Committee and a decision rendered by Consensus Vote.

A member or Guest who has actual knowledge of Intellectual Property essential to the implementation of the document (other than that disclosed by the proponent) shall comment accordingly. If the owner(s) of the Intellectual Property is/are prepared to make a Patent Statement according to Section 10.1, one or more Patent Statements should be added to the document.

If Intellectual Property is claimed, other than by the proponent, and such Patent Statements cannot be obtained, an additional note describing the claim shall be added to the document.

If the Ballot fails, then the work shall be returned to the Engineering Vice President without further action. If the Ballot passes, then the Technology Committee Chair shall forward the revised document, along with all comments not Resolved and their responses, to the Director of Engineering, and a normal Standards Committee Ballot shall be conducted.

### 8.3.5 Standards Committee

The Director of Engineering shall prepare a normal Process Audit Report on the proposed Registered Disclosure for the Standards Committee and shall issue a ballot to the Standards Committee. The Standards Committee shall consider evidence that the Technology Committee Ballot processes were followed and that the document meets the Registered Disclosure Criteria.

Standards Committee YES votes shall be without comment. NO votes shall state exactly what process was violated and/or which Registered Disclosure Criteria was not met. Technical comments shall be forbidden.

If the Standards Committee Ballot fails, comments shall be resolved by consensus of the Standards Committee. If it is found that Technology Committee process was violated, the document shall be returned to the Technology Committee Chair for resolution and re-ballot. If the Standards Committee comments are resolved by consensus of the Standards Committee and the Ballot passes, then the Registered Disclosure Document proceeds to publication.

#### **8.3.6 Publication**

The Director of Engineering shall not make any changes to the approved RDD before publication, except as provided herein.

The Director of Engineering shall add a cover page indicating the status of the document as an SMPTE Registered Disclosure Document and stating that the document does not represent a finding, representation, or recommendation of the Society. The cover page shall state specifically that SMPTE makes no representation as to the IP status of the Registered Disclosure Document but shall draw attention to any Patent Statement(s) by the proponent or others.

Registered Disclosure documents shall be included on appropriate periodic distribution media and also shall be available for purchase from SMPTE Headquarters and from the SMPTE website. Pricing of documents shall be determined by the Engineering Vice President in consultation with the Director of Engineering and the Financial Vice President. All revenues from sale of Registered Disclosures shall be the property of the Society.

### **8.4 Revision and Amendment**

Upon request from the original proponent or its/his/her successor at interest, a published document may undergo a revision process. The kind of revision may be of any type applicable to Engineering Documents – Revision or Amendment– using the same tests as provided herein.

Revisions and Amendments shall follow the process for new Registered Disclosure publication described herein. Additional fees may apply. Editorial revisions shall follow the process described in Section 6.5.1.

### **8.5 Review and Withdrawal**

Registered Disclosures shall not be subject to the Review process. It is the intent of the Registered Disclosure process to provide continued availability of specifications. Withdrawal shall be initiated using the same care as with Engineering Documents and shall follow the normal Withdrawal process, requiring a specific proposal to withdraw the work as described in section 7.12.

## **9 Liaisons and Rapporteurs**

It is sometimes necessary for the Society to be represented as a member of other organizations and to participate in the decision-making processes of those organizations. This shall be a Liaison. Additionally, it is sometimes convenient to have a representative present at meetings of other organizations to gather information on engineering and

standardization activities, acting only as a facilitator of communications but not presenting an official Society position. This shall be a Rapporteur.

Liaisons and Rapporteurs shall be appointed by the Engineering Vice President and shall serve at his/her pleasure for a period not to exceed his/her term. Alternate Liaisons and Rapporteurs may be appointed by the Engineering Vice President.

The list of organizations for which Liaisons and Rapporteurs have been assigned shall be maintained by the Director of Engineering. Such lists shall be available at each Technology Committee meeting, and anyone serving such a role present at Technology Committee meetings shall identify himself/herself as a Liaison or Rapporteur.

It is the responsibility of all Liaisons and Rapporteurs to facilitate the exchange of information. All formal communications from external organizations shall be promptly communicated to the Standards Committee, which shall disseminate the communications as necessary to the Technology Committees. All Liaisons should provide periodic meeting summaries to the Standards Committee.

Formal Society positions communicated to external organizations shall be formed using consensus of a group of Participant Members of one or more Technology Committees with an interest in the subject or organization. This shall be the Liaison Group, and membership shall be open equally to any Technology Committee member. It shall be a Sub Group of the Standards Committee. All formal communications from the Society shall be made in writing and only after approval of the communication has been given by the Liaison Group. The Liaisons and Rapporteurs shall not communicate a position of the Society other than in writing and not without prior consensus of the Liaison Group.

## **10 Intellectual Property Policy**

### ***10.1 Patent Policy***

Engineering Documents may include technology that is subject to Essential Claims (see section 10.1.2), but only if all known patent holders are prepared to agree to terms that are “Reasonable and Non-Discriminatory” (RAND) for all Essential Claims. All Engineering Committees and Groups, as described in section [4](#) (Committee) are entitled to give preference to technologies that are believed to be free of Essential Claims, or where a free-of-charge license will be available, provided any such solution is believed to be technically adequate. A Committee shall not discuss or otherwise consider specific licensing terms for such technologies.

It is important that, wherever possible, Committees are able to make a choice of technology based on all relevant information, including the existence, or potential existence, of any Essential Claims that may encumber a technology under consideration.

This Policy imposes an obligation on all Committee Participant Members and Observer Members (Members) and Guests, in accordance with section 10.1.4, to notify the Technology Committee (TC) Chair, as early as possible in the development process if they are aware, based on their actual personal knowledge, of patents or patent

applications that might contain Essential Claims to a technology being proposed for inclusion in an Engineering Document.

#### 10.1.1 Notice to Meetings

At the start of each meeting the Chair shall read a statement in the form approved by the Standards Committee reminding Members and Guests of the obligations imposed by this Policy.

#### 10.1.2 Essential Claims

An Essential Claim is “essential” to an Engineering Document only if it is necessarily infringed by implementing the Normative Text of that Engineering Document, and is “necessarily infringed” only when there is no commercially reasonable non-infringing alternative for implementing the Engineering Document. Essential Claims to an Engineering Document exclude those essential to enabling technologies, which are those technologies that may be necessary to make or use any implementations but are not expressly set forth in the Engineering Document. Essential Claims to an Engineering Document also exclude claims essential to any Normative Reference included in the Engineering Document.

#### 10.1.3 Patent Statement to Accompany Document Submission

A completed SMPTE Patent Statement is required when a draft document, or a written contribution of Normative Text to a draft document, is submitted to SMPTE, by an individual or any other entity. The Patent Statement shall be made using the form approved by the Standards Committee. The Patent Statement shall identify as clearly as possible the part(s) of a document believed to be subject to Essential Claims.

A Committee may agree by Administrative Vote to consider a draft document, or contribution to a draft document, without a Patent Statement provided assurance is received from the submitter that the Patent Statement will be provided within 45 days. The Committee Chair will notify the parent groups, including the TC, of such decision. If no Patent Statement is received within 45 days of the submission, the TC Chair shall inform the Engineering Vice President, who may suspend work on the submission.

#### 10.1.4 Declaration of Knowledge of Relevant Intellectual Property

This Policy imposes an obligation on all Members and Guests to notify the TC Chair, as early as possible in the development process, if they are aware, based on their actual personal knowledge, of patents or patent applications that might contain Essential Claims to a technology being proposed for inclusion in an Engineering Document.

The requirement to notify the TC Chair of actual personal knowledge of actual or potential Essential Claims is an ongoing obligation that begins with becoming a Participant Member or Observer Member of a Committee, or attending a meeting as a Guest, and continues through any form of participation in the work or proceedings of the Committee, including any form of participation by electronic means such as receipt of emails. Any required notice shall be made as soon as practically possible, and in all cases shall be made within 45 days after the knowledge is obtained, and in advance of any Vote on the Engineering Document. The notice shall be either in the form of a verbal statement

at a meeting, which shall be recorded in the minutes of the meeting, or in written form to the Chair of the responsible TC. The notice shall include all relevant information available to the Member or Guest, such as patent or application numbers(s), owner of the intellectual property, and shall identify as clearly as possible the part(s) of the Engineering Document believed to be subject to Essential Claims.

The receipt of such a notice shall create a TC action item for the Director of Engineering who shall follow the procedures of Section 10.1.5, to solicit a Patent Statement from the reported owner of the intellectual property.

This Policy does not require any patent search and, specifically, recognizes that sponsorship of a Member or Guest does not create any obligation to perform a patent search.

The Policy recognizes that all Members and Guests act as individuals and that obligations imposed by these Administrative Practices apply to the Member or Guest rather than to any sponsoring organization. For this reason the obligation to disclose is created by the actual personal knowledge of the Member or Guest, and applies to any potential Essential Claims known to the Member or Guest, whether or not the patent or patent application is owned by a sponsor. Nothing in the Policy shall impute knowledge of a Member or Guest by reason of employment, sponsorship, or any other association or connection with a patent applicant or holder.

This Policy does not require the Member or Guest to form a legal opinion as to the applicability or enforceability of Essential Claims, but does require a disclosure if the Member or Guest has actual personal knowledge of a patent or patent application that, in the good faith judgment of the Member or Guest, is likely to include Essential Claims to implementation of the proposed Engineering Document.

It is recognized that on occasions this obligation may conflict with terms of employment or contractual agreements. Members and Guests shall use reasonable efforts to obtain clearance to declare any relevant Essential Claims. No Member may support the adoption of an Engineering Document or technology while knowing or believing that undeclared Essential Claims exist. A Member or Guest who cannot obtain clearance to reveal an Essential Claim shall notify the TC Chair that s/he will cease to participate in discussion of, and withdraw from all ballots concerning, the proposed document.

#### 10.1.5 Inquiry to Possible Patent Holders

Following notice of possible Essential Claims, the Director of Engineering shall perform a Patent Inquiry, which shall consist of contacting the reported owner of the intellectual property in question with the intent of securing a completed SMPTE Patent Statement. The Patent Statement, in a form approved by the Standards Committee, shall identify whether the entity does own or control patents or pending applications containing Essential Claims for implementation or use of the Engineering Document. Further, the Patent Statement will identify whether licensing of any Essential Claims would be available under RAND terms.

If no reply is received within 30 days, the Director of Engineering shall repeat the Patent Inquiry by registered mail. If no reply is received within a further 30 days, the Director

of Engineering shall report this to the TC and no further correspondence with the entity shall be required.

#### 10.1.6 Conduct of Ballots, Votes and Audits with Associated IP Statements

When an Engineering Document is balloted for elevation to FCD, the Director of Engineering shall issue, in conjunction with the ballot notification, a “Call for Patents” in a form approved by the Standards Committee. The FCD Ballot shall reference any Patent Statements already submitted with respect to the proposed Engineering Document. If a notice of possible Essential Claims has been made as described in section 10.1.4, the Director of Engineering has not received an affirmative response to the Patent Inquiry described in section 10.1.5, then the Director of Engineering shall post a comment against the FCD Ballot regarding the outstanding Patent Inquiry.

Receipt of a statement in response to a Patent Inquiry shall be noted as a comment response and shall resolve the comment unless the Patent Statement indicates that Essential Claims exist and that there is no RAND assurance. If any entity provides a completed Patent Statement that indicates Essential Claims exist and that there is no RAND assurance, the TC may either revise the Engineering Document to exclude the protected technology or terminate work on the Engineering Document. If the TC considers that the completed Patent Statement may be frivolous or invalid it may choose to seek the direction of the Standards Committee. If any entity has not responded to a Patent Inquiry and there is no suitable alternative technology, this shall be noted as a comment response and the TC may choose to retain the technology in question by conducting a Disposition Vote on the comment.

All relevant Patent Statements, Patent Inquiries, and Disposition Votes shall be part of the Standards Committee Audit.

#### 10.1.7 Patent Statement in Published Documents

All published Engineering Documents shall include an appropriate statement, in a form approved by the Standards Committee; calling attention to the possibility that implementation of the Engineering Document may require the use of Essential Claims.

## **10.2 Trademark Policy**

Standards and Recommended Practices shall not include proper names, trade names or trademarks of specific companies or organizations (other than SMPTE) or lists of acceptable manufacturers, service provider lists, or similar material in the body of a document or in an annex; except with the explicit approval of the Standards Committee. Engineering Guidelines may include proper names or trademarks if considered necessary, but they should be avoided if possible. Registered Disclosure Documents may include proper names or trademarks.

Entries in a Register may include proper names or trademarks when permitted by the Engineering Document that creates the Register.

Where there is reason to believe that a sole source exists for essential equipment, materials, or services necessary to determine compliance with a standard, it is permissible

to supply the name and address of the source in a footnote or informative annex as long as the words “or the equivalent” are added to the reference.

Authors desiring an exception to inclusion in a Standard or Recommended Practice are encouraged to seek approval early in the document process. Authors shall first obtain the Consensus of the TC on the proposal. Upon the Consensus recommendation of the TC, the Standards Committee shall conduct a Ballot and inform the TC Chair of the results.

### **10.3 Copyright Policy**

The Society shall own the copyrights of all Engineering Documents and Registered Disclosure Documents, whether in draft or published form. Conditions of use are as specified below.

#### 10.3.1 Draft Engineering Documents

The draft documents, reports, correspondence and all work of the TCs and their subgroups are SMPTE confidential and shall not be disclosed to non-Members without the prior approval of the Engineering Vice President, except that work in process documents only may be shared with individual technical experts in the field and with fellow employees for the express purpose of technical review and soliciting comments on the work.

In particular, draft documents shall not be shared with external groups, mail lists, or other Standards Development Organizations without the prior approval of the Engineering Vice President. Committee correspondence and other work of the TC shall not be shared without the prior approval of the Engineering Vice President. Communications to external Standards Development Organizations shall follow the processes described in the Liaison Section [9](#).

Electronic or hard copies of in-process documents may be made as necessary for the permitted purposes described above, but members shall employ reasonable efforts to ensure that draft documents are not retained unnecessarily, or used for any purpose other than document development, or in any place or form in which they might be used as a substitute for a published document.

Submission of any document to any Due Process group for consideration for standardization constitutes a grant to the Society of a permanent, royalty-free, irrevocable, copyright license, including the right to make derivative works. Submission in this context includes contribution to the online servers, meeting file server, or any mail list managed by the Society. The organization(s) submitting the document(s) shall retain ownership to copyright in such materials. The organization submitting the materials may make derivative works such as technical papers but must not publish or make available by any means any document being, or purporting to be, an alternative to a published Engineering Document. If the Society adopts an alternative proposal or technology, not incorporating any substantial part of the original document, such restrictions to the rights of the original copyright owner shall cease to apply.

### 10.3.2 Published Engineering Documents

No copying or distribution of any published Engineering Document in electronic- or hard-copy form is permitted except as specifically permitted by a license obtained from the Society.

### 10.3.3 Registered Disclosure Documents

Submission of a document for adoption as an SMPTE Registered Disclosure Document confers on the Society the right to reproduce and sell (in electronic- or hard-copy form) the final version of the document without any compensation to the submitting entity, as if such a document were a published Engineering Document. The submitting entity may also publish the final document in electronic- or hard-copy form, provided the document is identical to that adopted by the Society.

The submitting entity may also publish an amendment to the document provided it is promptly submitted to the Society for processing as an addition to or replacement of a portion of the Registered Disclosure Document according to the process defined in section [8.3](#). If the Society does not approve publication of the amended version, the Registered Disclosure Document shall be withdrawn, but SMPTE shall retain the right to make the document available according to the policy for withdrawn documents.

## 11 Code of Conduct

### 11.1 Purpose

Members of Technology Committees have a responsibility to demonstrate the standards of behavior that are appropriate for members of a professional body. The purpose of this code of conduct is to indicate the standard of professional behavior to which the members aspire.

### 11.2 The Code of Conduct

In all professional and personal dealings, Technology Committee, Working Group and Sub Group members shall:

- a. Take all reasonable care to ensure that his/her work and the products of his/her work cause no danger or physical harm.
- b. Take all reasonable steps to minimize waste of natural resources, damage to the environment, and damage to products of human skill and industry.
- c. If his/her professional advice is not accepted, take all reasonable steps to ensure that all persons neglecting or over-ruling this advice are aware of the possible danger or damage that may result.
- d. Only offer, or claim to offer, opinions or services that lie within the member's actual knowledge or competence.

- e. In the case of financial or material conflict between personal and professional interests or between two professional interests, declare this conflict to all interested parties.
- f. Respect the generally accepted norms of etiquette for human communications, especially by avoiding communications that are false or are likely to be considered as discourteous, objectionable, malicious, unwanted, or causing unjustified loss of prestige. Avoid fraudulent or deceptive statements.
- g. Treat all colleagues fairly and on equal terms.
- h. Respect legitimate intellectual property rights, do not plagiarize the work of others, and give credit to the originators of ideas.
- i. Encourage others to follow this code of conduct and discourage breaches of this code. Offer and accept honest and constructive criticisms of opinions and work as they relate to this code.
- j. Not associate with, and not allow the SMPTE name to be associated with, persons or organizations consistently in breach of this code.

## 12 Normative References

A Normative Reference is an external document that is indispensable to the application of an Engineering Document. Reference may be made to an entire external document or to parts of the external document. Normative References in Engineering Documents shall adhere to the following procedures:

- a. Except as provided herein, a Normative Reference in SMPTE Engineering Documents only shall be to publications from organizations and their publications approved and published by the Standards Committee.
- b. An approved organization is generally a standards development organization accredited by a national or international standards body or those industry consortia determined to operate in a manner substantially consistent with these Administrative Practices for developing Engineering Documents, specifically in regard to Due Process and intellectual property.
- c. In general, a Normative Reference shall meet the following criteria:
  - i. The text shall be publicly available for evaluation without contractual restrictions other than those reasonably intended to restrict duplication and redistribution (which may include the obligation to pay reasonable fees).
  - ii. The text shall be reasonably expected to be available indefinitely.
  - iii. The text shall be stable, and under published revision control.
- d. The Standards Committee shall approve each such standards development organization or industry consortium and its specific types of documents, giving due consideration to the provisions of this section. These organizations and document types shall be published from time-to-time.

- e. The Standards Committee may make an exception to the provisions above on a case-by-case basis if it determines that an exception is in the interest of the industry. Before the Standards Committee considers such an exception, the Technology Committee requesting a reference exception shall provide a statement stating that there are no reasonable and timely available alternative technological approaches that may be accessed in a manner consistent with this policy.
- f. Application for an exception or for consideration of a new organization or type of document shall be made in writing to the Standards Committee by the Technology Committee Chair. The Standards Committee shall consider the matter and provide a ruling by Consensus within 60 days of application.

### **13 Appeals Process**

Any person who believes that their dissenting view remains unresolved regarding a proposed document or any Technology Committee action or inaction shall have the right to appeal the matter at any stage of the document development process, or within one year of the occurrence, by notice in writing to the Director of Engineering, who shall forward the appeal to the Standards Committee. The Standards Committee Chair shall place the item on the agenda for the Committee's next meeting (which may be by electronic means and no more than 90 days hence), shall develop a consensus view of the Standards Committee, and shall communicate it to the appellant in writing no later than 30 days after the meeting.

If, in the opinion of the appellant, the appeal has not been satisfactorily resolved by the Standards Committee, within 30 days after receiving from its Chair notice of the Standards Committee's decision, a written appeal may be submitted for appropriate disposition to the Board of Governors, which shall act as the Society's Board of Appeals. The appeal shall be submitted to the Board of Governors through the office of the Director of Engineering. The appeal shall be forwarded by email by the Director of Engineering to the Board of Governors within 15 days after receipt, and it shall have a disposition period of 30 days for Board of Governors action, unless the next scheduled meeting of the Board of Governors is within 60 days after the filing of the appeal. The appellant may appear before the Board of Governors to make an oral presentation of his/her viewpoint.

Any member of the Board of Governors who is a member of the Standards Committee or who participated in any way in the development of the document shall not be eligible to participate in the Board of Governors' consideration of an appeal.

The eligible members of the Board of Governors shall vote on the appeal. A vote of at least 2/3 of those casting ballots and at least a majority of the eligible members shall be required to overturn the decision of the Standards Committee.

The disposition of a formal appeal to the Board of Governors shall be reported within 10 days to the appellant and to the appropriate Technology Committee and to the Standards Committee at the next scheduled meetings of those groups. In the event a meeting of those groups is not scheduled within 30 days after the disposition action, a report shall be forwarded to those groups by email within 10 days of the Board of Governors' decision.

During an appeal process, any affected projects and other work of the relevant Technology Committee shall continue.