

The Society of Cable Telecommunications Engineers
(SCTE)

Engineering Committee EC-STD-001r12

Manual of Operating Procedures of the Society of
Cable Telecommunications Engineers
(SCTE) Standards Program

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Foreword

The Manual of Operating Procedures of the Society of Cable Telecommunications Engineers (SCTE) Standards is consistent with the Essential Requirements for standards developers published by the American National Standards Institute, ANSI (see references). The objective of these procedures is to facilitate the production of technically sound standards in a method consistent with ANSI requirements for accreditation. Its use is required in all SCTE standards processes, whether or not submission of the output as an American National Standard is planned.

This manual is one of a series of standing documents maintained by the SCTE Secretariat. Corrections and suggestions are welcomed, and should be addressed to the SCTE Secretariat, 140 Philips Road, Exton, PA 19341 or via email to standards@scte.org.

This document was originally approved by the SCTE Engineering Committee on April 27 and the SCTE Board of Directors on May 8, 2001.

REVISION HISTORY

Date	Purpose
8/24/01	Response to ANSI public comments
10/16/01	Editorial and clarification changes
12/3/02	Revision – clarify membership and voting
2/25/03	Revision – restructure reconsideration ballot
4/4/03	Minor editorial corrections from ANSI review
4/1/04	Revision – add policy, improve flexibility
6/16/04	Revision – changes from ANSI public review
6/14/06	Minor revisions; ANSI public review not required
6/4/07	Revision
4/4/08	Revision – approved by EC, ANSI comments
9/8/08	Revision – approved by EC
10/9/08	Revision – approved by ANSI
7/5/10	Revision – approved by EC
8/18/10	Revision – approved by ANSI
5/16/11	Revision – approved by EC
6/10/11	Revision – approved by ANSI
7/14/14	Revision – approved by EC
1/7/15	Revision – approved by ANSI

1. Mission and Scope

1.1 Overview

This manual contains the operating procedures for the standards program of the SCTE Engineering Committee, which operates under the authority of the SCTE Board of Directors. These procedures apply to Engineering Committee subgroups or activities, particularly:

- Those that are intended to produce consensus standards from an open process and which are intended to be submitted as Standards to the American National Standards Institute (ANSI) for further approval as American National Standards
- Those that are intended to produce recommended practices, temporary standards, and technical papers rather than normative permanent and/or trial-use documents, and which are not intended for further approval by ANSI. Procedures applicable to this objective are specifically identified in this document.

1.2 Mission

The mission of the SCTE Standards Organization is to lead and facilitate the rapid development of timely and relevant technical standards and best practices to advance the efficiency, quality, and competitiveness of the Global Cable Broadband community.

1.3 Scope

The development of standards, specifications, recommended practices and technical reports in the field of cable broadband telecommunications and related information and communications technologies.

Standardization topics include, but are not limited to, definitions and terminology; methods of measurement and test; products; systems; technology rating structures; thermal limits and application guides; recommended practices; energy usage and sustainability; business continuity and disaster preparedness; materials; and safety.

2.0 Organization

2.1 General

The SCTE standards program is comprised of Subcommittees under the authority of the Engineering Committee. The Engineering Committee has been delegated the following authority by the SCTE Board: the development of standards, specifications, recommended practices, engineering bulletins, or other related documents.

2.2 Engineering Committee

2.2.1 Membership

The Engineering Committee shall have a Chair, appointed by the Chairman of the SCTE Board of Directors. A chair may be appointed for no more than six [6] one-year terms by the Chairman.

The Engineering Committee is composed of at least four and at most fifteen (15) members who are appointed by the Chair of the Engineering Committee for a one year term beginning in November. The SCTE Chairman may also appoint members at his/her discretion.

The Engineering Committee shall have a Vice Chair, who is appointed by the Chair upon the first meeting of the term of the Chair. The Vice Chair is responsible for the Chair's duties when the chair is absent, and will serve as Acting Chair in the case of the resignation of the Chair until a new Chair is appointed.

SCTE staff is responsible for taking and recording the minutes of all meetings held by the Committee.

The Subcommittee chairs shall be appointed from among the membership of the Engineering Committee.

2.2.2 Responsibilities

The Engineering Committee operates under the authority delegated by the SCTE Board of Directors. It provides the overall management of the SCTE standards process, including the following:

2.2.2.1 Approval of and governance by these operating procedures.

2.2.2.2 Establishment and termination of Subcommittees and any other organizations required to conduct the activities of the Engineering Committee.

2.2.2.3 Recording minutes of its meetings and activities and making such minutes available for review by the Board.

2.2.2.4 Reporting quarterly to the Board of its members, activities, and accomplishments as well as that of its Subcommittees and Subgroups.

2.2.2.5 The acceptance of new projects into the SCTE program of work.

2.2.2.6 Approval of SCTE standards actions.

2.2.2.7 Establishment and approval of liaisons with external organizations as defined in Section 2.6.

2.3 Subcommittees

2.3.1 General

Subcommittees are established, appointed and disbanded at the discretion of and by decision of the Engineering Committee. SCTE subcommittees shall act at the direction of the Engineering Committee. SCTE Subcommittees are the consensus bodies within the SCTE standards structure for purposes of conforming to ANSI requirements.

2.3.2 Voting membership

Voting membership in SCTE Subcommittees is open to all member organizations of the SCTE Standards Program. Individual SCTE membership is not a prerequisite for membership in a Subcommittee.

2.3.3 Officers

Subcommittees shall have a Chair, who is appointed by the Chair of the Engineering Committee with the advice and consent of the Engineering Committee for a one year term beginning at the anniversary date of the appointment of the Subcommittee Chair. The Chair may be reappointed.

Subcommittees shall have a Vice Chair, who is appointed by the Chair or elected by the Subcommittee at the Chair's discretion. The Vice Chair is responsible for the Chair's duties when the chair is absent, and will serve as Acting Chair in the case of the resignation of the Chair until a new Chair is appointed.

Additionally the Chair may appoint a secretary and one or more project editors. (A project editor is an individual who is responsible for a document, and who typically maintains the master text while the standard is being developed.)

2.3.4 Scope

The scope of a Subcommittee shall be established by and approved by the Engineering Committee. The scope must be consistent with the scope of the Engineering Committee.

2.3.5 Responsibilities

2.3.5.1 Develop standards within their scope.

- 2.3.5.2 Recommend to the Engineering Committee approval of standards.
- 2.3.5.3 Submit contributions to recognized international organizations through established US processes.
- 2.3.5.4 Recommend to the Engineering Committee the establishment of projects based on new work item submittals.
- 2.3.5.5 Establish liaisons with external organizations (as defined in Section 2.6) or with other Subcommittees.
- 2.3.5.6 Record minutes of its meetings and activities and make such minutes available for review by the Engineering Committee or the Board.
- 2.3.5.7 Report during Engineering Committee meetings or at the request of the EC Chair on its members, activities and accomplishments as well as that of its subgroups.

2.3.6 Procedures

A Subcommittee may adopt specific procedures to assist in conducting business. Those procedures must be consistent with the procedures stated in this document. Any questions on adherence to this document must be resolved by the Engineering Committee.

2.4 Working Groups

2.4.1 General

A Working Group is established by the Chair of a Subcommittee as deemed necessary, and shall be terminated by the Chair when its work is complete.

2.4.2 Participation

Participation in SCTE Working Groups is open to all members of the SCTE Standards Program.

2.4.3 Officers

A Working Group shall have a Chair appointed by the Subcommittee Chair; s/he serves at the pleasure of the Subcommittee Chair.

2.4.4 Scope

The scope of a working group is established by the Chair of the Subcommittee which established it, and must be consistent with the scope of the Subcommittee.

2.4.5 Responsibilities

Working Groups are responsible for performing technical work in a specific area as defined by their scope, and recommending actions to the Committee or Subcommittee.

2.4.6 Procedures

A Working Group may adopt specific procedures to assist in conducting business as so approved by the Engineering Committee. Those procedures must be consistent with these procedures. Any question on consistency must be resolved by the Engineering Committee.

2.5 Other groups

2.5.1 Subcommittees and Working Groups may create task forces or ad hoc groups to perform specific tasks as required. The leadership and membership of these groups is determined by the Subcommittee Chair or Working Group Leader as appropriate.

2.5.2 The Engineering Committee may create special groups outside the normal Subcommittee structure for the purpose of producing Recommended Practices or other documents which are not intended as formal standards, and which are not expected to be submitted to ANSI for further approval. The membership, scope and procedures for such groups are established on a case by case basis by the Engineering Committee. In order to minimize confusion, such groups shall not be identified as Subcommittees; therefore references to Subcommittees in the remainder of these procedures refer only to the normal structure.

2.6 External Relations

SCTE may engage in a number of different types of external relations as described below. It is possible that several different kinds of relationships may be held with the same organization.

2.6.1 Membership

SCTE may hold organizational memberships in other standards-setting and related organizations when approved by the SCTE Engineering Committee. These may or may not be reciprocal memberships, they may or may not involve dues, and they may or may not have "formal" membership processes. Participation,

including voting, is done in the best interests of SCTE. Positions taken are on behalf of SCTE as determined by staff and the Engineering Committee, and not on behalf of any standards subcommittee. Documents that are confidential to the SCTE standards program are not normally made available to organizations in which SCTE is a member except through formal liaison.

2.6.2 Joint Work

SCTE may engage in joint standards-setting projects when approved by the Engineering Committee. All such projects require the same approvals per normal SCTE standards projects. Joint projects that will become SCTE standards must always be assigned to an SCTE Standards Subcommittee for consensus processing. The details of balloting, meetings and other interactions are left to the joint project leadership with the requirement that any joint document that will be approved as a standard must be approved by the Subcommittee and Engineering Committee using the normal procedures. Submission to ANSI (both the initial PINS declaration and the final BSR9 submission) may be submitted by any of the joint parties capable of doing so with the agreement of SCTE.

2.6.3 Liaison

SCTE may establish liaison agreements with other organizations at either the Engineering Committee or Subcommittee levels in order to further the work program of the SCTE Subcommittees or SCTE as a whole. Characteristics of a liaison agreement include the following:

- There is a written liaison agreement which describes the details of the liaison
- The Chair of the Subcommittee or the Chair of the Engineering Committee as applicable has recommended the establishment of the liaison and it has been approved by the Engineering Committee
- The liaison should be bidirectional, preferably with named individuals on each side

The purpose of a liaison relationship is to provide a mechanism for the notification of each organization by the other of activities that may be of interest to them, or to offer specific recommendations to the other organization relative to work of interest. This notification may take the form of providing reports or other summary information on a periodic basis, or attendance at each other's meetings for the purpose of reporting or receiving information.

New liaison relationships shall be approved by default if there are no objections from the Engineering Committee members following a 7 day notification period initiated by SCTE staff.

Identified liaison representatives have the right to attend Subcommittee meetings, but not the meetings of subsidiary groups unless specifically authorized in the agreement. Liaison attendees have no voting privileges.

Unless specifically identified in the agreement liaison organizations may not receive draft standards or related documentation.

Liaised documents may not be placed on list servers or other information distribution mechanisms that go beyond the liaison organization's standards setting membership.

2.6.4 Business Relationships

SCTE may enter into business relationships related to the standards program as desirable. Such relationships will be governed by normal SCTE business processes, and will not necessarily require approval by the Subcommittees or Engineering Committee.

2.6.5 Occasional Exchanges

From time to time the SCTE Standards Organization receives and makes requests for technical information from other standards-setting bodies to foster interoperability and harmonization between standards. SCTE standards staff, is granted discretion in providing and/or requesting such information that is not publicly available on a case by case basis.

3.0 Membership

3.1 General

Except for the Engineering Committee, the term "member" is used throughout these procedures to refer to an organization which has joined the standards program. In no case does it refer to an individual or Expo Partner member of the Society of Cable Telecommunications Engineers, and as noted elsewhere there is no requirement that a member of an SCTE standards Subcommittee or working group also be an individual member of SCTE.

The term "voting member" is also used in these procedures. It refers to a member who holds voting privileges in a particular Subcommittee. Members who are voting members in one Subcommittee may choose to not be voting members in other Subcommittees. Whether or not they are

voting members, they retain as members the rights to be subscribed to Subcommittee email reflectors and receive related material.

As used in these procedures, an “organization” is a corporation, federal or military department or agency, partnership or association, self-employed or self-financed individual, or any other legal or commercial entity. A “member representative” is an individual participating in standards activities on behalf of a member in either a primary or alternate role.

Membership in the Engineering Committee is through individual appointment by the Engineering Committee Chair or the SCTE chairman as described in Section 2.2.1. The remainder of Section 3.0 does not apply to the Engineering Committee unless explicitly noted.

3.2 Types of members

3.2.1 Members

Members are entitled to full Subcommittee privileges, including voting. Members may designate, in writing, primary member representatives and one or more alternate member representatives (who may serve in place of the primary representative) for each Subcommittee in which they wish to have voting membership.

3.2.2 Internal liaison members

Appropriate liaisons may be established between Subcommittees whenever a matter in the work of a Subcommittee may concern another Subcommittee. Liaisons shall be appointed by the Subcommittee Chair.

3.3 Categories of members

3.3.1 Corporation

There shall be one membership for each separate corporation. A separate corporation is defined as an entity that has a controlling body, such as a Board of Directors, that does not report to another controlling body.

Under exceptional circumstances, where two or more parts of a corporation can demonstrate independent interests and authority to make independent decisions, each may apply for membership. Each must pay the appropriate dues and fees as if they were an independent corporation and the Engineering Committee must approve each on a case by case basis. Participation will be limited to employees of that division.

A joint venture company, even when one or all of the joint venture owners are themselves members of the standards program, will

be assumed to be an independent company. Allegations that independence has been compromised will be reviewed, and the Engineering Committee will take action as it deems appropriate.

3.3.2 Government

There shall be one membership for each separate government subdivision or agency.

3.3.3 Consultant

A consultant is defined as an organization whose principal source of revenue is derived from providing consulting services for other organizations. There shall be only one membership for each separate consultant organization. Consultant organizations who are representing, or being funded, by an organization otherwise eligible for membership shall be treated as member representatives from the client organization and that organization must be a member.

3.3.4 Academia

There shall be only one membership for each separate educational institution. A separate educational institution is defined as an entity that has a controlling body such as a Board of Regents.

3.3.5 User groups, professional societies, consortia, and other standards developing organizations

There shall be only one membership for each separate user group, professional society, consortia, or standards developing organization. Such organizations may have representatives who are employed by other organizations who are members or eligible for membership, however it must be clear in meetings and in voting who the individual represents.

3.3.6 All other organizations

For all other legal or commercial entities there shall be only one membership for each separate entity. No employee of an organization that is a member may serve as a representative for organizations in this category.

3.4 Classifications of membership

Members shall be classified in one of the following interest categories. No one category shall be dominant in the Subcommittees, and balance shall be sought. (Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage,

strength, or representation to the exclusion of fair and equitable consideration of other viewpoints.)

3.4.1 User

MSOs (Multiple System Operators), other operators, and users of products and services impacted by the standards

3.4.2 Producer

Manufacturers, suppliers, and distributors of products and services impacted by the standards

3.4.3 General Interest

All other members including consultants acting for themselves, government, educators, publishers, consumers and general interest groups

Because the SCTE Standards Program covers a wide range of topics, it is possible that members may be in different categories in different Subcommittees. (A vendor of products from one, for example, may be a user of products from another.) For this reason, voting members will designate as part of the balloting process at the Subcommittee level their interest category for the standard being balloted.

SCTE will take all steps possible to maintain balance (no more than 50% of the members in any one category for non-safety standards) in the Subcommittees per the ANSI Essential Requirements.

3.5 Membership criteria

3.5.1 Membership

Membership in the SCTE Standards Program is open to all directly and materially affected interests who are willing to meet the financial requirements. Application for membership shall be submitted to the Secretariat and shall specify the reasons for interest, the type of membership desired, and the organization's classification. Membership becomes effective immediately upon staff processing of the submitted application (This includes financial and membership database updates) and notification of the new member. Membership shall be terminated for failure to pay required dues and fees. There is no requirement that members be individual or sustaining members of SCTE.

3.5.1.1 The SCTE standards secretariat is empowered to take appropriate action when a member is delinquent in dues payment.

3.5.1.2 The Engineering Committee, on review of specific circumstances, may terminate the membership of any organization which has consistently violated these procedures. This decision is, as with other decisions in the program, appealable under the procedures listed in Section 5.8.

3.5.2 Voting membership

Voting membership in each Subcommittee is open to any member. Members initiate voting membership in individual Subcommittees after attending one meeting of a Subcommittee Plenary. Voting membership shall be terminated for the following reasons:

3.5.2.1 Resignation as a Subcommittee voting member, which should be in writing to the Subcommittee Chair and with notification to the Secretariat.

3.5.2.2 Censure per circumstances described in Section 3.5.1.

3.6 Dues and Fees

The SCTE Board of Directors shall from time to time establish dues and fees for the participation in the SCTE Standards Program. Members who believe that the required dues and fees constitute a hardship for their participation may apply to the Standards Program Administration for a full or partial waiver. Such waivers will be granted on a case by case basis for a single calendar year.

Subcommittees and participants may not collect funds – even on a voluntary basis – for any purpose.

3.7 Secretariat

SCTE shall be the Secretariat for the Engineering Committee as well as all SCTE Subcommittees and their subgroups. The Secretariat staff performs the day-to-day administrative functions, assists the officers and members in the SCTE standards program as required, makes recommendations on dues and fee structures and waivers thereof, maintains all standing documents, and performs any other duties as assigned.

4.0 Operations

4.1 Meetings

4.1.1 Requirements to hold

4.1.1.1 Meeting notice

Notice of the meeting, including date, time and location shall be distributed electronically to the appropriate group(s) at least three weeks before a purely physical meeting and one week before a meeting where teleconferencing is provided. (Note: A virtual meeting is acceptable; the “location” of record would be the teleconference information.)

4.1.1.2 Agenda

An agenda shall be prepared for the meeting by the Subcommittee Chair and should be submitted to the Secretary for distribution to the appropriate email reflector at least two weeks before the meeting. Where possible, background information should be included which would be helpful in consideration of agenda items.

4.1.1.3 Document distribution

Documents for consideration at the meeting should be distributed to the appropriate email reflector no later than two weeks before the meeting. Documents distributed later than that may be considered by the Subcommittee only if the Subcommittee chair approves the discussion. (NOTE: per these procedures, no standards approval action can be taken at meetings.)

4.1.2 Quorum

A quorum shall consist of a simple majority of the voting members. If a quorum is not present no final action may be taken, but material for letter ballot action by the full Engineering Committee or Subcommittee may be formulated and issued.

4.1.3 Remote participation

Remote participation via teleconference, videoconference, and the like is permitted. Voting members participating remotely may cast meeting votes in the same way as voting members physically present.

4.1.4 Parliamentary procedure

Unless otherwise stated in these procedures, meetings shall be conducted in accordance with Robert’s Rules of Order (see references).

4.1.5 Minutes

The Secretary of the Engineering Committee or Subcommittee is responsible for the preparation and approval of minutes of all meetings. They shall include the time and place of the meeting, a list of voting members present, and others present. The minutes shall also include a statement of all matters discussed and actions taken, with appropriate reasons, and a record of voting. Minutes should be distributed to the appropriate Subcommittee email reflector at least two weeks before the next meeting.

4.1.6 Non-member Attendance at Meetings

Individuals who do not represent members of the standards program may attend SCTE standards meetings, logistics permitting, with the permission of the chair. The chair may, but is not required to, allow non-members to speak.

Members of the press are allowed to attend meetings as noted above. They are required to sign in as such. The meeting chair shall notify the attendees that the press is present, and has the latitude to exclude press (and any other attendees who are not members) if he believes that to be in the best interest of the program. Staff or the meeting chair should request the press representative to submit any articles for review of facts prior to publication.

4.1.7 Recording in meetings

Electronic recording of the deliberations of any part of a meeting is prohibited. This prohibition does not apply to purely informative presentations to a meeting as long as written permission is received by the SCTE Secretariat from the presenter prior to the presentation and the Subcommittee is notified in advance.

4.2 Approvals

4.2.1 General

Development of standards in SCTE is meant to be a consensus process; that is, when substantial agreement is reached. Substantial agreement is defined as more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and a solid effort be made toward their resolution. Not all consensus development requires formal voting. However where voting is required to determine the outcome, this section defines the process to be followed.

4.2.2 Voting positions

All votes shall be of one of the following

4.2.2.1 **Affirmative.** On ballots, the vote may be accompanied by comments suggesting corrections or improvements.

4.2.2.2 **Negative.** On ballots, the vote must be accompanied by specific reasons for the vote in sufficient detail so that the wording provided, if incorporated, would cause the voter to change the vote to affirmative. Negative votes on ballots without reasons shall be counted, but no attempt at resolving the negative is required.

4.2.2.3 **Abstain.** Abstentions may be cast because of conflict of interest, lack of expertise, insufficient time for review, or other reasons. On ballots, a reason should be given for abstaining.

4.2.3 **Types of votes**

4.2.3.1 **Meeting votes**

Votes may be taken at meetings if a quorum is present. Each voting member present, including voting members present remotely, shall have one vote. Voting members who are unable to participate in a meeting may submit votes by physical or electronic means as long as the vote is received by the Chair prior to the beginning of the meeting. The method of counting votes is at the discretion of the chair (voice, show of hands, etc).

4.2.3.2 **Balloting**

Ballot periods shall be for a period of two weeks (or earlier, if all voting members have cast a vote) from the issuance of the ballot and all accompanying materials. The Subcommittee or Engineering Committee Chair may extend this period at his/her discretion. Only those members who are voting members in good standing as of the issuance of the ballot are allowed to vote.

The results of the ballot shall be reported as soon as possible on completion and again after any reconsideration.

4.2.4 **Definition of Voting Criteria**

4.2.4.1 **Majority vote**

A majority is defined as approval by more than half of those voting, excluding abstentions.

4.2.4.2 Two-thirds vote

Two-thirds is defined as approval where:

- A majority of the voting membership voted, including abstentions, AND
- at least two thirds of those voting, excluding abstentions, voted to approve

4.2.5 Subcommittee approvals

Subcommittees may vote on the following questions in a meeting; approval is by majority vote.

- Sending a question to ballot.
- Sending a new project (PAR) for approval by the Engineering Committee (if drafted on behalf of the Subcommittee).
- Rejecting a new project that has been forwarded from the Engineering Committee for development.
- Approving a project that does not require Engineering Committee approval.
- Sending a recommendation for termination of an existing project for new work to the Engineering Committee

If a quorum is not present at the meeting, these questions may be approved by letter ballot and approval is still by majority vote.

All other Subcommittee votes must be by ballot with at least two-thirds approval, not counting abstentions. These include, but are not limited to, the following (where noted, actions are recommendations to the Engineering Committee, which must also approve them):

- An SCTE standards action (new, revised, reaffirmed, withdrawal, amendment, interpretation). This action may include a recommendation that the standard in question not be further processed for approval as an ANSI or other organizational standard (except as noted below for ITU, ISO and IEC) consistent with the requirements of those organizations. Engineering Committee approval of these actions is required.

Subcommittees may also decide to submit documents as proposed contributions to international or regional standards organizations such as ITU (International Telecommunication Union), ISO (International Organization for Standardization) or IEC (International Electrotechnical Commission) for further processing in those organizations. Such decisions are made by consensus in the committee; formal voting or ballots are not required. When such an action is taken the Secretariat shall forward the contribution to the appropriate organization on behalf of the chair.

4.2.6 Engineering Committee votes

Engineering Committee votes may be meeting votes or ballots and require a two-thirds approval. For meeting votes a quorum must be present.

The Engineering Committee will vote on the following questions:

- Approval of these procedures
- All approvals forwarded from Subcommittees
- Project proposals with assignment to a Subcommittee
- Withdrawal of a previously approved project
- Forwarding any SCTE document or portion thereof to an external organization for further use or processing except as covered in Sections 2.6 or 4.2.5.
- Withdrawal of a standard other than when a Subcommittee recommendation exists.
- Approval of recommendations from Recommended Practices groups.

4.2.7 Voting positions

All votes shall be of one of the following.

4.2.7.1 Affirmative. On ballots, the vote may be accompanied by comments suggesting corrections or improvements.

4.2.7.2 Negative. On ballots, the vote must be accompanied by specific reasons for the vote in sufficient detail so that the wording provided, if incorporated, would cause the voter to change the vote to affirmative. Negative votes on ballots without reasons shall be counted, but no attempt at resolving the negative is required.

4.2.7.3 **Abstain.** Abstentions may be cast because of conflict of interest, lack of expertise, insufficient time for review, or other reasons. On ballots, a reason should be given for abstaining.

5.0 Development of Standards

The SCTE standards process consists of six major phases; project initiation, project authorization, standards development, approvals, appeals (if required), submission as an American National standard and publication.

5.1 Project Initiation (including withdrawal of an existing standard)

Projects are initiated by the submission of a project proposal from any directly and materially interested party inside or outside of the SCTE standards program or from an SCTE Standards Subcommittee. A project proposal shall be submitted to the Secretariat and shall contain the following information:

- A title for the project which is expected to be the title of the finished standard.
- The type of project from the list in Section 5.3.
- A statement of the scope of the expected work.
- An explanation of the need for the project.
- Identification of the stakeholders (e.g. operators, equipment vendors, consumers) likely to be directly impacted by the standard.
- Information about existing standards or standards efforts which may be relevant to the proposed project.
- Any supporting materials required.

5.2 Standards Approaching Their Fifth Anniversary

Standards must be revised, reaffirmed or withdrawn prior to the fifth anniversary of their approval by the Engineering Committee. If necessary, an extension to this may be granted to the subcommittee by the Secretariat.

5.3 Project Types

Standards development projects may be any of the following:

5.3.1 Standards

The development of a new standard.

5.3.2 Trial-use Standards and Recommended Practices

Trial-use Standards may be developed and published in the event that a technology is in development and may need interim benchmarks or established technical parameters from which to further develop standards, or accelerate the standards setting process for settled technologies or processes in response to industry needs. The Engineering Committee shall be empowered to approve such projects, define procedures, and assign the work to designated groups as necessary.

Project approvals are initiated per Section 5.1

Trial-use standards are not intended to be processed as proposed American National Standards.

5.3.2.1 Expiration

Trial-use standards shall expire at the end of the eighteenth month following initial approval by the Engineering Committee, unless it is determined by the EC that it should be terminated earlier than originally planned, in which case the termination will be publicized using the appropriate communications methods.

5.3.3 Revisions

The modification of an existing standard that introduces technical or other substantive changes. (A substantive change is one that directly and materially affects the use of the standard such as changing "shall" to "should" or "should" to "shall"; addition, deletion or revision of requirements, regardless of the number of changes; addition of mandatory compliance with referenced standards.)

5.3.4 Amendments

Revisions which are published as separate documents. An amendment may be approved by the Subcommittee and then incorporated by staff in a revision as part of the Engineering Committee voting process, or it may be left as an amendment for further processing and publication.

5.3.5 Withdrawals

Withdrawal of an existing standard.

5.3.6 Interpretations

A clarifying comment on a standard that does not introduce a technical change or a change in what it means to conform to the

standard. Interpretations are only issued in response to a specific request, which may come from inside or outside of the SCTE standards process.

5.3.7 Editorial Changes

Changes to a standard of an editorial nature that do not introduce any substantive change. Editorial changes can be handled by the Secretariat based on publication considerations without formal approval by the Subcommittee or the Engineering Committee. This includes, unless otherwise directed, the combination of amendments into the base document (resulting in a new document) at any stage in the process such that the document voted on by the Engineering Committee, or submitted to ANSI for public review, is different than the text approved by the consensus body. (Note that in this case, the date of consensus body approval remains the date of the base document, not the date of the amended document.)

5.4 Project Authorization

All proposals shall be approved by the Engineering Committee except as noted below. The Engineering Committee shall assign the project to a Subcommittee. The Engineering Committee determines whether to approve a proposal based on a number of factors. Consideration will be given to whether the proposed project is within the scope of the SCTE Standards Program, whether there appears to be a need for the standard, whether it is likely to become a standard, and whether the resulting standard will be a credit to SCTE. The Engineering Committee may provide further direction to the Subcommittee as to the scope or direction of the project.

Subcommittees may approve projects for interpretations or withdrawals without Engineering Committee approval.

For revision projects, the Engineering Committee will receive notice of the initiation of work from the Secretariat. Engineering Committee members shall have one week from the date of notification to request further discussion regarding initiation of revisions; if there is no such request, the revision project is deemed approved.

Upon approval of the project proposal (explicitly or implicitly) by the Engineering Committee a PINS (Project Initiation Notification System) notification form shall be submitted to ANSI unless the Engineering Committee determines that this should not be done (as in, for instance, the case of a Recommended Practice that will not be sent to ANSI.) Any comments received as a result of a PINS announcement shall be addressed in accordance with section 2.5.1 of the current version of the ANSI *Essential Requirements*.

5.5 Standards Development

Once a project is approved, it becomes the responsibility of the Subcommittee (and its Working Groups as appropriate). The Chairman of the Subcommittee or the Leader of the Working Group should appoint a project editor, who will be responsible for the creation of the deliverable. The Chairman must ensure that the project runs smoothly, including the development and maintenance of a work plan; the collection of necessary data; the drafting of the deliverable; reaching consensus on the results; responding to comments; recommending defect management actions; recommending revisions; and any other tasks appropriate to the particular effort.

For existing standards, the Secretariat will contact the appropriate Subcommittee before the fifth anniversary of the last approval. The Subcommittee is responsible for determining whether revision or withdrawal is most appropriate and initiate action accordingly.

5.6 Approvals

5.6.1 Subcommittee

When the Subcommittee Chair determines that a ballot is appropriate (which may be, but is not required to be, the result of a meeting vote), a two week ballot will be issued to voting members. Such determination shall take place at a meeting, either by voting or by the chair's announcement of the action. The ballot will be issued as soon as practicable following the meeting. A chair may authorize a ballot between meetings only when the Subcommittee is notified and no objection is received at the end of a two week period. (NOTE: This requirement applies only to new ballots. It does not apply to a reballot which occurs as the result of technical changes from the resolution process or to a reconsideration ballot. In the latter cases balloting may take place when the resolution process is completed.) Voting will take place in accordance with these procedures.

If the ballot fails (i.e., less than two thirds approval or failure to reach quorum) then the ballot is completed. The Subcommittee is provided with a final ballot report including all comments. Any further work by the Subcommittee on the document will result in a new ballot.

If comments are received as part of the balloting process, the Subcommittee Chair shall establish a resolution process; this may be an existing group, a group established for this purpose, or any other mechanism that the Chair selects. Whatever process is established must make a good faith effort to resolve all expressed objections. All comments (including those on YES or ABSTAIN ballots) must be considered, and a written (including electronic

communication) response must be provided (normally the ballot report) on the disposition of the comment and the rationale therefore. The complete resolution report (containing final voting results and the result of all attempts at resolution of all comments submitted) will be made available to the Subcommittee via electronic means. Comments received after the ballot closes need not be considered; such comments will, however, be retained for consideration in the next normal cycle for that standard. If the resolution process results in substantive change to the standard then the Subcommittee shall re-ballot.

If the resolution process does not result in substantive change, but fails to resolve all negative votes, then a two week reconsideration period will commence. Previous attempts at resolution will be made available to all members of the consensus body. During this period voting members who voted on the original ballot may change their vote. Members who were eligible to vote at the time the original ballot were issued but who did not vote then are allowed to submit votes. Following the reconsideration period, those parties who did not withdraw their negative votes will be notified of their rights to appeal.

5.6.2 Engineering Committee Approval Ballot

Upon approval by the Subcommittee, the proposed standard (accompanied by documentation on any unresolved negative comments) is balloted by the Engineering Committee in accordance with these procedures. The balloting period shall be two weeks; this may be extended at the request of the Engineering Committee Chair. In the event that all Engineering Committee members cast votes a ballot may be closed prior to the two week period. The purpose of the Engineering Committee ballot is to ensure that;

- The standard has been prepared in accordance with these procedures.
- The standard is a credit to SCTE.

The SCTE Engineering Committee may vote independently to withdraw a standard if it determines that the standard is no longer in the best interest of SCTE.

5.6.2.1 If the ballot fails (i.e., less than two thirds approval or failure to reach quorum) then the ballot is completed. Any further work on the document will result in a new ballot.

If comments are received as part of the balloting process, the Engineering Committee Chair shall establish a resolution process; this may consist of a group established for this purpose or any other mechanism that the Chair selects. Whatever process is

established, it must make a good faith effort to resolve all expressed objections. All comments (including those on YES or ABSTAIN ballots) must be considered, and a written (including electronic communication) response must be provided (normally the ballot report) on the disposition of the comment and the rationale therefore. The complete resolution report (containing final voting results and the result of all attempts at resolution of all comments submitted) will be made available to the Engineering Committee via Kavi.

5.6.3 Impact on previous revisions

Unless explicitly noted in an approval action, the approval of a document cancels the approval of all earlier versions of that document at that approval level.

5.7 Submission to ANSI for approval as an American National Standard

When standards are to be submitted to ANSI for approval as American National Standards (ANS), all ANSI procedures shall be followed. These include at least the following:

- Copies of all unresolved objections shall be included in the submission;
- Written notice of the right to appeal shall be provided to any objector whose comments cannot be resolved by SCTE;
- Copies of any disclosures of claimed intellectual property rights (see section 6.7.1) shall be provided to ANSI as received;
- Requests for extensions when approaching the fifth anniversary of ANSI approval shall be provided based on the requirement in section 5.2.

It should be noted that all standards submitted to ANSI shall undergo a public review consistent with ANSI procedures. If comments are received, those who voted on the original action will be given the opportunity to reconsider their vote and those who did not vote will be given the opportunity to cast a vote, consistent with the procedure described in Section 5.6.1. The comment resolution process described in section 5.6 shall be followed for all public comments, and in the case of substantive changes the standards shall be re-listed with ANSI for public comment following successful re-balloting.

5.8 Appeals

Persons who have directly and materially affected interests and who believe that they have been or will be adversely affected by a standard approved by the SCTE Engineering Committee or any action or inaction

relative thereto within SCTE's jurisdiction shall have the right to appeal. The appellant shall file a written complaint with the SCTE Secretariat within thirty (30) calendar days after the date of notification of action or at any time with respect to inaction. Appeals must be based on procedural error; the technical content of a standard cannot be appealed. [NOTE: In the case of voting members of the standards program, as noted elsewhere in these procedures, an unresolved negative will result in notification to the voter of their right to appeal. This notification will come immediately following the final resolution of the Subcommittee ballot. Members receiving this notification may file an appeal at that time (anticipating Engineering Committee approval) or at any time thereafter until the expiration of the thirty day period following Engineering Committee approval.]

The complaint shall state the nature of the objection(s) as thoroughly as possible, including any adverse effects, the clause(s) of these procedures or the standards that are at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be recorded.

Within thirty (30) calendar days after receipt of the complaint or Engineering Committee approval, whichever is later, the SCTE Secretariat will respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

If the appellant and the SCTE Secretariat are unable to resolve the written complaint informally in a manner consistent with these procedures within fifteen (15) calendar days of the response, the SCTE Secretariat shall schedule a hearing with an appeals panel on a date and in a place agreeable to all parties with at least fifteen (15) days advanced notice of the meeting.

The appeals panel shall consist of three (3) individuals who have not been directly involved in the matter in dispute. The panel members do not have to represent members of the Standards Program. At least two panel members shall be acceptable to the appellant and at least two shall be acceptable to the SCTE Secretariat. One shall be selected by the appellant and one by the SCTE Secretariat. In the event that the appellant does not wish to select a panelist or a third panelist cannot be agreed on, the SCTE Secretariat shall appoint these individuals to the panel in order to hold a hearing.

The appellant has the burden of demonstrating adverse effects, improper actions or inaction, and the efficacy of the requested remedial action. The SCTE Secretariat has the burden of demonstrating that all actions were in compliance with these procedures and that the requested remedial action would be ineffective or detrimental.

The appeals panel shall render its decision in writing within thirty (30) calendar days, stating finding of fact and conclusions. The Engineering Committee shall take action based on this decision as it deems appropriate.

In the case of a standard submitted for approval as an American National Standard, the appellant shall be notified of the possibility of appeal of an ANSI approval of a standard. (This action, if taken, has no effect on the SCTE approval). If the appellant chooses to forego the SCTE process detailed above or gives notice to the SCTE Secretariat that further appeal to ANSI is intended, then the SCTE Secretariat shall forward to ANSI all documents relevant to the matter. NOTE: The ANSI appeals process is a completely separate process from the SCTE appeals process and is conducted by ANSI when relevant.

5.9 Interpretations

Technical interpretations may be requested in writing as defined in Section 5.3.5. All interpretations will be processed by the appropriate Subcommittee and approved according to the voting procedures described in Section 4.2.5. Approved written responses shall be sent in a timely manner to the submitter, detailing the action taken and the interpretation provided, if any. Interpretation requests and responses shall be treated as submitted comments for the next revision of the standard unless the Subcommittee determines that more immediate action is required.

6.0 Policy statements (Normative)

6.1 Adopting international standards

Where international standards fall within the scope of SCTE activities and where it is appropriate for SCTE to do so, SCTE will adopt those standards as SCTE standards and submit them for approval as American National Standards.

6.2 The use of normative references

SCTE standards may include normative references to other documents which are reasonably available to the public. When used, the reference must be in one of two forms:

- A reference to a specific version of the document, with sufficient information to identify it unambiguously.
- A reference to the 'latest' version of the document with information on how to find it. This method is only recommended when the first method cannot be used, and care should be taken in its use.

Some normative references have conditions of acquisition beyond simple purchase such as licenses or non-disclosure agreements. The terms and conditions must meet the same reasonable and non-discriminatory conditions as are described for patents in Section 6.7.1.

6.3 Metric

Units of the International System of Units (SI), the modernized metric system, are the preferred units of measurement in American National Standards. SCTE standards will use SI where that use is consistent with the technology being standardized and in the best interest of the members.

6.4 Records retention

Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning new, revised or, reaffirmed standards shall be retained until the standard is revised or for five years, whichever is longer. Records concerning withdrawn standards shall be maintained for at least five years from the date of withdrawal. Patent declarations shall be maintained for the life of the standard or the patent, whichever is longer.

6.5 External distribution of documents

SCTE documents may not be sent outside the SCTE standards process without the permission of the Subcommittee Chair and the Secretariat unless

- a) Otherwise allowed in these procedures, or
- b) Covered under a previously established 'blanket' authorization for specific document types.

Documents that originate outside of the SCTE standards process are submitted from time to time by members or by non-members, including other membership organizations, for use within SCTE. These documents may have additional restrictions on use and distribution; for example, they may only be available to the individuals in a specific working group. Recipients will be advised as to the rules in effect when the document is distributed.

6.6 Harmonization

The decentralized standards development system is a major strength of the U.S. process, but can lead to duplicative or conflicting efforts between standards developers. It is the policy of SCTE to minimize or eliminate any unnecessary duplication or conflict of effort between its standards program and those of other standards developers. This will take place by ensuring that there is clear delineation of scope, purpose, and intended application of each standard; public notice of standardization activities;

and joint and cooperative activities, including liaison with other standards developers. All SCTE Subcommittees will, as part of their deliberations, give careful consideration to standards or standards efforts which are claimed to be duplicative or conflicting. When objections to new projects are received, SCTE staff will establish a meeting with the objectors within 90 days and prepare a resulting report which will be submitted to the ANSI Board of Standards Review for any standard which is intended to move forward as a candidate for designation as an American National Standard.

6.7 Intellectual Property

6.7.1 Patents

There is no objection in principle to drafting an SCTE standard in terms that include the use of a patented item, if it is considered that technical reasons justify this approach.

It is incumbent on members in the SCTE Standards Program to immediately notify the SCTE Secretariat if they hold, believe they hold, or believe someone else holds a published patent or patents which may be essential in implementing a standard. When the notifier is not the same as the identified holder, the SCTE Secretariat shall notify the identified holder in writing of the claim and seek assurance of one of the following in writing:

- Assurance in the form of a general disclaimer to the effect that such party does not hold and does not currently intend holding any invention the use of which would be required for compliance with the proposed standard; or
- Assurance that a license will be made available without compensation to the applicants desiring to utilize the license for the purpose of implementing the standard; or
- Assurance that a license will be made available to applicants under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

When the identified rights holder is unwilling to provide any one of the three statements above, the standard shall be returned to the Subcommittee for further work.

The process described above applies to both standards under development and standards which have already been approved.

SCTE standards shall always contain the SCTE “all purpose patent notice form”, available from the SCTE web site, which calls attention to the possibility of patents and provides information about obtaining declarations.

This policy does not require members in SCTE standards activities to search for all patents that might apply. The disclosure obligation is limited to the personal knowledge of the individual participant in the standards process.

It is SCTE's policy that terms and conditions associated with the licensing of patents is a matter between the licensor and licensee, and not a matter for standards developers. Such discussions may not be held in SCTE meetings.

Copies of all patent statements received will be forwarded to ANSI.

The procedures defined in this section are consistent with the ANSI patent policy.

6.7.2 Copyrights

Proper maintenance of all intellectual property rights is an important part of SCTE's obligation to provide an open and fair process. This includes the rights of others as well as the rights of SCTE. Consequently all external contributions of documents must be accompanied by an SCTE Rights Management form which establishes the uses to which SCTE may put the document.

Members in SCTE standards activities agree that, as a condition of their participation, copyright of any new material created during the course of an SCTE meeting will be held by SCTE and may be used for any purposes that SCTE chooses. Participants who contribute material to be used in an SCTE standard must have agreed, via the Rights Management Form, to provide a free, irrevocable license to use the contribution in any SCTE publication. (Where the information is not subject to copyright protection, no license is necessary.)

Agreements between SCTE and other organizations which do not conform to the above scenarios are possible, but must be in writing and must be approved by the Engineering Committee and the SCTE Secretariat.

6.7.3 Commercial Terms and Conditions

Provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions shall not be included in SCTE standards. The appearance that a standard endorses any particular products, services or companies must be avoided. Therefore it is generally not acceptable to include manufacturer lists, service provider lists, or similar material in the text of a standard or in an annex (or the equivalent). Where a sole source exists for essential equipment,

materials, or services necessary to comply with or to determine compliance with the 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. In connection with standards that relate to the determination of whether products or services conform to one or more standards, the process or criteria for determining conformity can be standardized as long as the description of the process or criteria is limited to technical and engineering concerns and does not include what would otherwise be a commercial term.

6.8 Conformance Language

SCTE standards may specify test procedures and they may also specify what test results are needed to meet the standard.

6.9 Improper Activities

Participants in SCTE standards activities are reminded that SCTE does not countenance any behavior which violates any laws. Therefore the following activities are not permitted and may not be discussed: restraint of trade agreements; prices and pricing policies; terms and conditions of purchase and sale; costs; future plans; or boycotting customers, products, intellectual property or any other matter forbidden by law.

6.10 Use of SCTE Name and Logo

The use of the SCTE name and logo and reference or attribution to the SCTE standards development process in publications for commercial purposes is prohibited. This shall not preclude identification of an SCTE standard as such.

6.11 Intellectual Property Notice

The following text shall be posted on the SCTE Standards website, with all posted events and on the “Standards Workspace home page” and shall be read aloud prior to the start of all meetings:

“Member representatives are reminded of their obligation to abide by the procedures of the SCTE standards organization. These procedures, and appropriate forms, are available at <http://www.scte.org>. Participants are obligated to notify SCTE of any patents of which they are personally aware that would be essential to the implementation of an SCTE standard. Participants also agree to abide by all applicable laws, particularly antitrust legislation. Participation in SCTE standards activities does not convey or assign any intellectual property rights from rights holders to SCTE or to participants in SCTE standards activities. Audio or video recording of any portion of an SCTE meeting is prohibited without permission of the secretariat.”

7.0 References (Informative)

- *ANSI Essential Requirements* at <http://www.ansi.org>, the American National Standards Institute, Washington, DC.
- *Robert's Rules of Order Newly Revised (10th Edition)*, Perseus Book Group.