



Standards Development and Approval Procedures

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AIA Standards Development and Approval Procedures

Foreword

The AIA is the trade association for the global vision industry. Among the various goals of the association are the furtherance of free trade and the use of voluntary industry standards to promote an even larger market.

Toward that goal, the AIA is willing to take the sponsorship of vision standards, intended to advance the use of vision and to allow equipment/software from multiple vendors to run with equipment/software made by multiple other vendors.

Within the context of the “Cooperation Agreement on Global Coordination of Machine Vision Standardization” entered into by the AIA, the AIA seeks to promote industry standards around the world, and to support its members in their efforts. Membership in any of the cooperating Associations allows full participation on an AIA standards committee under these procedures.

1 General

The AIA supports the development of vision standards for vision and imaging equipment. These standards are considered critical to the productivity of the vision industry, and they allow full interoperability between differing hardware/software. In furtherance of that goal, the AIA establishes these procedures for development of standards. These procedures are intended to be consistent with due process in standards development; however, the AIA projects will limit participation to a selected membership and therefore will not conform to balance requirements called out by traditional national and international organizations such as ANSI and ISO.

1.1 Accreditation

At this time no attempt at ANSI or ISO accreditation is anticipated. Should a later decision be taken to move a standard into a recognized consensus standard, the applicable committee will be re-established using full internationally prescribed procedures.

1.2 Scope

The AIA shall act as a host association to develop vision standards suitable for industry-wide dissemination and use. The AIA shall act as a conduit to promulgate and support global standards developed by the AIA and other Associations. Changes in scope shall be the prerogative of the AIA Board of Directors (BOD).

2 Organization

The organization for the development of standards shall consist of:

- a) The AIA BOD, or its appointed Standards Subcommittee¹ on standards, as applicable;

¹ As used in this document, the “Standards Subcommittee” refers to the AIA Standards Subcommittee sanctioned by the BOD as defined in the AIA charter. This should not be confused with “subcommittees” which are formed by individual standards Technical Committees.

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- b) A Technical Committee for each developed standard consisting of one member and one designated alternate from each of the participating member companies;
- c) A Secretariat, led by AIA Director of Standards Development, including the chair, vice-chair(s), and subcommittee chairs (as applicable) for each developed standard.

3 Responsibilities

3.1 AIA Board of Directors

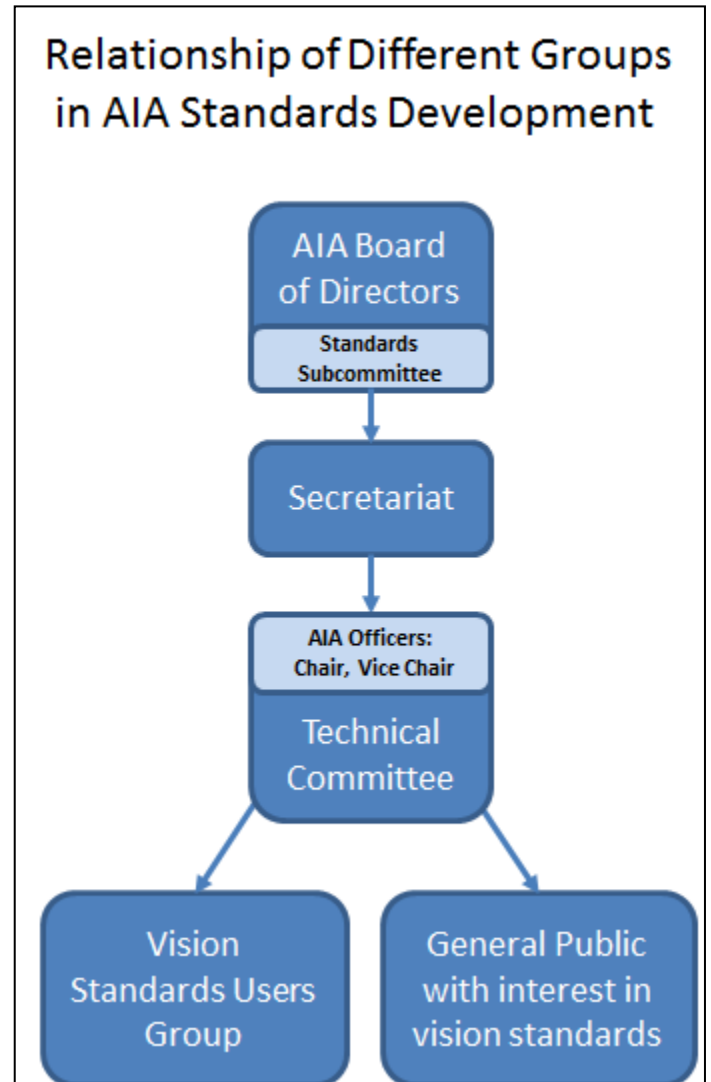
The AIA Board of Directors has the responsibility for the overall direction and oversight of the AIA standards development programs, including:

- a) Approval of the beginning of a new or major revision to a standard under AIA stewardship, including:
 - a. Defining the scope, objectives and general guidelines for the standard
 - b. Approval for releasing the standard for ballot;
- b) Recommendations of new standards development work;
- c) Approval of compliance and licensing models;
- d) Soliciting support for standards development from among the membership and encouragement to actively participate in development work;
- e) Appointing Standards Subcommittee (sub-set of AIA BOD) members to represent the board's interests/perform some or all of the board's duties.

3.2 Technical Committee

The Technical Committee is designated a Standing Committee for its specific standard and shall be responsible for:

- a) Proposing scope of the standard or revision of the standard to the AIA Board of Directors;
- b) Approval and maintaining the technical content of the standard and other approved work;
- c) Report to the board at least semi-annually on latest status
- d) Establishing appropriate subject matter subcommittees for the purpose of developing and writing supporting documentation or related technical papers;
- e) Establishing appropriate technical compliance and validation requirements;
- f) Other matters requiring action as required by these procedures.



3.3 Vision Standards Users Group

The Vision Standards Users Group is a group of people who have active interests in the work of the Technical Committees. Users group meetings will be held at major vision shows and be open to the public at large as well. The users group will have an electronic collaboration mechanism which will be monitored by the technical committees. The secretariat will administer the Users Group including: establishing the Users Group, announcing and holding meetings, collecting and documenting input from the attendees, and disseminating the information to the Technical Committees (TC).

The Users Group will:

- a) Attend users group meetings as appropriate;
- b) Provide requests to the Technical Committee for consideration.

3.4 Secretariat

The Secretariat shall be responsible for:

- a) Overseeing the respective Committee's compliance with these procedures;
- b) Representing the Committees in all activities related to development not requiring action by the committee as a whole;
- c) Acting as a liaison to the AIA Board of Directors on all matters related to the standard development;
- d) Recruiting and selecting qualified officers and persons to membership on the committees and various Technical Committee (TC) subcommittees, excluding the AIA Standards Subcommittee;
- e) Maintaining a roster of the committees and a list of projects for which they are responsible;
- f) Providing a secretary to perform administrative work, including secretarial services; preparation of meeting notices and handling of meeting arrangements; preparation and distribution of meeting agendas, minutes, ballots, and drafts; and maintenance of adequate records;
- g) Publication of the standard and other works developed by the specific Committees;
- h) Performing other administrative functions as required by these procedures.

3.5 AIA Standards Chairs

There shall be a chair for each standard appointed by the AIA Board of Directors. A vice chair(s) may be appointed by the Secretariat, subject to approval by majority (51%) vote of the Technical Committee. Chair terms will be 3 years and will be renewed by a Board of Directors vote.

3.5.1 Roles of AIA Standards Chairs:

- a) Commit to representing the interests of the overall industry
- b) Attend and lead all Technical Committee (TC) meetings
- c) Support standards activities at major industry shows as required

4 Membership

4.1 Technical Committee member

Technical Committee membership shall consist of representatives of AIA member companies who agree to a specific level of active participation in the detailed development and maintenance of the standard including attendance at called meetings. In the case of globally accepted standards, membership may be in their respective Associations. Membership shall be dependent on remaining a paid member in good standing of the participating Association, and payment of any additional committee organization fees assessed. Failure to maintain qualifying requirements and payment of fees assessed shall result in automatic disqualification from the committee.

Participation requirements are:

- Up to 80 hours of work on the standard
- Attendance of Technical Committee (TC) meetings (at least 1 in every three)
- Participation in all ballots

Technical Committee members shall be provided:

- Access to a discussion group consisting of all members of the Technical Committee so that they have a forum to ask questions and communicate regarding the standard.
- Access to a file sharing/versioning system so that they can easily collaborate and maintain the standard and supporting work

4.2 Application

A request for membership on the specific committee shall be addressed to the Secretariat and shall indicate the applicant's direct and material interest in the committee's work, qualifications and willingness to participate. In addition, the application shall identify a primary representative and an alternate(s). All applications shall be reviewed by the Secretariat for verification of Association membership status and product compliance.

If distinct divisions of a company (including as a result of merger or acquisition) can demonstrate independent interests and authority to make independent decisions in the area of the activity of the Committee, each may petition for separate committee membership with voting rights. Multiple divisions of a company may participate in meetings without voting privileges.

4.3 Review of membership

The Secretariat shall review the Committee membership lists annually with respect to the criteria of Clause 4. Members are expected to fulfill obligations of active participation including current dues. Where a member is found in habitual default of these obligations, the Secretariat shall take appropriate action, which may include termination of membership.

4.4 Membership roster

The Secretariat shall maintain a current roster of all committees and committee members. These shall be made available to the public via the AIA web-site.

5 Creation of subcommittees

When one or more subcommittees within a specific standard committee are formed to work on specific topics of interest, their formation (and later disbandment) requires approval by a majority vote of the respective Technical Committee. The scope of the subcommittees shall be approved at the time it is formed, and subsequent changes in scope or duties shall also require approval by the respective Technical Committee.

5.1 Officers and members of subcommittees

Subcommittees shall mirror the Technical Committee in make-up and procedures. Officers and members of a subcommittee shall be appointed by the Secretariat and confirmed by the Technical Committee. The Secretariat shall review the scope, duties, and membership of all subcommittees annually.

5.2 Approval of subcommittee work

Drafts and any substantive change in the content of a draft proposed by a subcommittee shall be referred to the respective Technical Committee for approval.

6 Meetings

Technical Committee meetings shall be held at least once every year, as decided upon by the Technical Committee, the chair, the secretariat, or by petition of five or more members, to conduct business such as receiving reports of work, resolving differences, and considering views and objections from any source.

Technical Committee meeting notices and a preliminary agenda should be provided at least 30 days prior to a scheduled meeting. The Technical Committee and any subcommittees may post shorter notice if agreed by all affected members.

At major industry events, as determined by the AIA BOD, conduct Vision Standards Users Group Meetings, open to the public, to give brief updates on the standards and to solicit input on any revisions or additions desired to the standards.

6.1 Restricted discussions

There shall be:

- a) No discussion which could be interpreted as an attempt to agree or bring about an understanding regarding price, conditions of sale including warranties, and customers;
- b) No discussion regarding cost data of any manufacturer or seller;
- c) No discussion on prices or pricing methods;
- d) No attempt to exclude any products from manufacture or sale by means of standardization requirements greater than needed to affect a legitimate end use.

6.2 Chair

The chair (or vice chair) shall preside at all meetings. In the absence of the chair, and vice chair (if applicable), the secretariat shall preside or appoint a temporary chair to preside at that meeting.

6.3 Quorum

Attendance by twenty percent (20%) of current member companies shall constitute a quorum for conducting business at a meeting. Actions requiring 2/3 approval shall only be taken subject to subsequent confirmation.

7 Voting

7.1 Vote

Except in regard to votes on general questions and officer-related issues, each Technical Committee companies shall vote one of the following positions:

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

For votes on general questions and officer-related issues, the yes/no/abstain method of voting shall be followed.

7.1.1 Vote of alternate

An alternate's vote is counted only if the designated principle representative fails to vote.

7.1.2 Single vote

Generally, no organization shall have more than one vote. However, if two or more organizations appoint the same individual to represent each of them, that individual may cast a separate vote for each organization represented. The organizations shall confirm in writing to the Secretariat that they are aware of the dual role of their representative, and will accept the results. Additionally, representation of more than one organization by the same individual shall require approval by a majority of the Technical Committee, excluding the vote of that individual.

7.1.3 Voting period

The voting period for letter ballots shall end six weeks from the date of issue or as soon as all ballots are returned, whichever comes earlier. An extension may be granted at the Secretariat's option, when warranted.

A follow-up requesting immediate return of the ballot shall be sent, as appropriate, to members and alternate members whose votes have not been received within ten working days before the ballot closes.

7.2 Actions requiring approval by a majority

The following actions require approval by a majority (51%) of the membership of the Committees either at a meeting or by letter ballot:

- a) Confirmation of officers appointed by the Secretariat;
- b) Formation of subcommittees and scope;

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- c) Disbandment of subcommittees;
- d) Approval for submission to the AIA Board of Directors of a change of committee scope.

7.3 Actions requiring approval by two-thirds of those voting

The following actions require a letter ballot or an equivalent formal recorded vote with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions:

- a) Adoption of subcommittee procedures, or revisions thereof;
- b) Approval of a new standard or reaffirmation of an existing one;
- c) Approval of revision or addendum to part or all of a standard;
- d) Approval of withdrawal of an existing standard.
- e) Changes to these procedures

Views and objections resulting from the above shall be dealt with in accordance with clause 7.4.

7.4 Disposition of views and objections

When the balloting has been closed, the secretariat shall forward the ballot tally to the chair of the Committee or, if appropriate, of the subcommittee; the chair shall determine whether the expressed views and objections shall be considered by correspondence or at a meeting.

An effort to resolve all expressed objections shall be made, and each objector shall be advised of the disposition of the objection and the reasons therefore. In addition, each objector shall be informed that an appeals process exists within procedures used by the committees. This notification may be in the same correspondence as the disposition of the comments.

Substantive changes to a standard required to resolve objections, and unresolved objections, shall be reported to the Technical Committee members. This report shall include a "reconsideration ballot" with a two week voting period in order to afford all members an opportunity to respond to the objections or changes and to reaffirm or change their previously registered vote.

7.5 Report of final result

The final result of the voting shall be reported, by company, to the Technical Committee.

8 Approval of standard

Approval of a standard shall proceed as follows:

- a) Technical Committee (TC) prepares final release candidate, including compliancy process structure
- b) Chair submits items in a) above to AIA BOD for approval
- c) Upon approval, Technical Committee (TC) completes and votes on items from a) above
- d) Technical Committee (TC) completes compliancy process

Upon completion of a)-d) above, disposition of views and objections, and appeals, the proposed standard(s) shall be declared approved by the Secretariat and processed for publication.

9 Records

9.1 Files

The Secretariat shall maintain appropriate files for documents relative to activities of the Technical Committee, subcommittees, and other activities supported by the AIA and the Secretariat.

9.2 Retention

Minimum record retention is necessary to provide a coherent record of significant standards development activity:

- | | |
|--|--------------------------------------|
| a) General correspondence | - 3 years |
| b) Records concerning new or revised standards | - 5 years |
| c) Withdrawn standards
withdrawal | - 5 years from date of
withdrawal |
| d) Other, not covered above | - 3 years |

10 Communications

Correspondence of committee officers should be directed to the Secretariat for preparation on suitable letterhead, template, or suitable electronic communication. At no time may individual corporate letterhead be used for communications implying the support of the AIA or its committees.

10.1 Formal internal communication

If correspondence between subcommittees or between working groups of different subcommittees involves issues or decisions (i.e., non-routine matters) affecting other subcommittees, copies shall be sent to all affected subcommittee chairs, and the Secretariat.

The AIA, through the Secretariat, will host necessary electronic communications as deemed appropriate, i.e. e-mail reflector and conference calling capabilities.

10.2 External communication

Inquiries relating to the committees should be directed to the Secretariat, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the Secretariat.

At major industry events, as determined by the AIA BOD, conduct Vision Standards Users Group Meetings, as covered in the Communications section above.

10.3 Requests for interpretation of standards

Written requests for interpretation shall be addressed to the Secretariat. The Secretariat in turn will forward the request to the appropriate Technical Committee for comment if necessary. At the discretion of the Secretariat, the request will be submitted to the Technical Committee for review. Revisions to the standard resulting from requests for interpretations shall be processed in accordance with these procedures.

11 Appeals

Persons who have directly and materially affected interests and who have been or may be adversely affected by a substantive or procedural action or inaction of the Committee shall have the right to appeal.

11.1 Complaint

The appellant shall file a written complaint with the Secretariat within thirty days after the date of notification of action, or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the clause(s) of these procedures or the standard that is 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 objections(s) and the outcome of each shall be noted.

11.2 Response

Within thirty days after receipt of the complaint, the Secretariat shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the responder's knowledge.

If the appeal is not satisfied, the process shall be repeated with the AIA Board of Directors.

11.3 Hearing

If the appellant and the respondent are unable to resolve the written complaint informally in a manner consistent with these procedures, the Secretariat shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least ten working days notice.

11.4 Appeals panel

The appeals panel shall consist of three individuals who have not been directly involved in the matter in dispute, and who will not be materially or directly affected by any decision made or to be made in the dispute. At least two panelists shall be acceptable to the appellant and at least two shall be acceptable to the respondent. If the parties to the appeal cannot agree on an appeals panel within four weeks, the matter shall be referred to the AIA Board of Directors, which shall appoint the members of the appeals panel.

11.5 Conduct of the hearing

The appellant has the burden of demonstrating adverse effects, improper actions or inactions, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that the Committee and the Secretariat took all actions in compliance with these procedures and that the requested remedial action would be ineffective or detrimental. Each party may adduce other pertinent arguments, and members of the appeals panel may address questions to individuals. *Robert's Rules of Order* (latest edition) shall apply to questions of parliamentary procedure for the hearing not covered herein.

11.6 Decision

The appeals panel shall render its decision in writing within thirty days, stating findings of fact and conclusions, with reasons therefore, based on a preponderance of the evidence presented

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to the appeals panel. Consideration shall be given to the following positions, among others, in formulating the decision:

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

12 Parliamentary procedures

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

13 Metric policy

The AIA herein adopts the International System of Units (SI) as the universally accepted method of expressing measurements in all standards developed under its auspices. Standards prepared and published by the AIA shall annotate measurements using the following convention.

13.1 Technical interest

Documents intended solely for use within the engineering community shall use the SI exclusively.

13.2 General interest

Documents expected to have a broader appeal shall use the SI primarily, with English units provided parenthetically.

14 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 a standard developed by the AIA. Generally, the inclusion of proper names or trademarks of specific companies or organizations should not be included in the text of a standard except as they are required for compliance with the standard. Where a sole source exists for essential equipment or materials, the name and address of the source shall be included in a footnote or informative annex with the words "or the equivalent" 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 is limited to technical and engineering concerns and does not include what would otherwise be a commercial term or proper name.

15 Patent and Intellectual Property policy

15.1 Participating committee member

Members of the respective Technical Committees shall agree in writing to grant the AIA a royalty free, worldwide, irrevocable, non-exclusive, non-transferable and non-assignable license to reproduce, create derivative works, distribute, display, perform and sublicense the rights to reproduce, distribute, display and perform any of such member's contribution to the standard development effort, including without limitation, any innovation or intellectual property rights of the granting member and its affiliates or subsidiaries included in such contribution, solely for the purposes of implementing, developing, publishing and distributing the Standard as well as products based on or containing the Standard.

15.2 Potential claims from third parties

When the Technical Committee determines that technical reasons justify the inclusion in the standard of requirements to use an invention subject to potential patent and Intellectual Property claims by non-participating parties, the procedures in 15.3 through 15.5 shall be followed.

15.3 Statement from claimant

Prior to submitting such a proposed standard to balloting, the Secretariat shall receive from the identified claimant party or patent holder either: 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) a license will be made available without compensation to the applicants desiring to utilize the license for the purpose of implementing the standard; or
- b) a license will be made available to applicants under reasonable terms and conditions that are demonstrably free of any unfair discrimination as determined by the committee.

15.4 Record of statement

A record of the claimant's statement shall be placed and retained in the files for that standard.

15.5 Notice

When the secretariat receives from a claimant the assurance set forth in 15.3a) or b), the general disclaimer in the standard shall have added a note as follows:

NOTE – The user's attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights not included in the general licensing agreement for use of this standard. By publication of this standard, no position is taken with respect to the validity of this claim or of any patent rights in connection therewith. The patent holder has, however, filed a statement of willingness to grant a license under these rights [a] without compensation; or [b] on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from the standards developer.

15.6 Responsibility for identifying patents

Committees developing standards under AIA sponsorship shall exercise due diligence when requiring provisions for which a license may be required because of patent rights. Each standard shall contain the following standard disclaimer: *“The AIA and participating Technical Committee (TC) companies shall not be responsible for identifying all patents for which a license may be required by a standard or for conducting inquiries into the legal validity or scope of those patents that are brought to its attention.”*