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<td>B    IPR Acknowledgement</td>
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<td>C    Call for Participation</td>
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<tr>
<td>D    Member Review Ballot</td>
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1 Introduction

1.1 Objectives and Overview

This document defines the policies applicable to the development of PICMG specifications and the procedures by which those policies are implemented. It also defines specific duties for the Technical Officer and a Technical Advisory Committee.

Chapter 1 lists definitions and documents referenced throughout this specification, and includes a number of general requirements applicable to all PICMG specifications.

Chapter 2 describes the Technical Advisory Committee, which may be created at the discretion of the Technical Officer, and establishes requirements for its formation and operation.

Chapter 3 defines the Specification Development process and the organization and operation of Technical Subcommittees.

Chapter 4 defines the Member Review process.

Chapter 5 defines the Adoption Ballot process.

Chapter 6 describes how the Intellectual Property Policy interacts with the Specification Development, Member Review, and Adoption Ballot processes.

Chapter 7 describes the process for collecting, reviewing, and adopting changes to specifications.

The appendices contain the example forms referenced in the body of the specification.

1.2 Reference documents

The publications cited in this section are relevant to this document. Most of the specifications referred to are subject to periodic and independent updates, and are the responsibility of their respective organizations. The reader is advised to check carefully the version or revision of the referenced specification that is to be used in conjunction with this document.

All documents may be obtained from their respective organizations.

<table>
<thead>
<tr>
<th>Document</th>
<th>Organization</th>
<th>Contact information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bylaws</td>
<td>PICMG</td>
<td><a href="https://www.picmg.org/pdf/Bylaws.pdf">https://www.picmg.org/pdf/Bylaws.pdf</a> (Subject to change. Public access)</td>
</tr>
<tr>
<td>Intellectual Property Policy</td>
<td>PICMG</td>
<td><a href="http://members.picmg.org/apps/org/workgroup/mem-materials/download.php/772/IPR%20Policy%20Final_v1%201.pdf">http://members.picmg.org/apps/org/workgroup/mem-materials/download.php/772/IPR%20Policy%20Final_v1%201.pdf</a> (Subject to change. Members only access.)</td>
</tr>
</tbody>
</table>
1.3 Special word usage

In this document the following key words (in bold text for emphasis) will be used according to the following definitions:

<table>
<thead>
<tr>
<th>Word</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>may</td>
<td>Indicates flexibility of choice with no implied preference. The use of “may not” (in bold text) is prohibited. The verb “shall not” has an equivalent meaning.</td>
</tr>
<tr>
<td>should</td>
<td>Indicates flexibility of choice with a strongly preferred implementation. The use of “should not” (in bold text) indicates a flexibility of choice with a strong preference that the choice or implementation should be prohibited.</td>
</tr>
<tr>
<td>shall</td>
<td>Indicates a mandatory requirement. Designers shall implement such mandatory requirements to ensure interchangeability and to claim conformance with this specification. The use of “shall not” (in bold text) indicates an action or implementation that is prohibited.</td>
</tr>
</tbody>
</table>

**Note:** When included in an enumerated requirements, these words have the normative meanings defined above. If used elsewhere, the words “may,” “should,” and “shall” are being used in the traditional sense; that is, they do not adhere to the strict meanings described above. To avoid confusion these keywords are not to be used in their traditional, non-normative sense.

1.4 Acronyms and definitions

The following terms and acronyms are used in specific ways throughout this document.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adoption (Ballot)</td>
<td>The process by which a Release Candidate becomes an adopted Specification.</td>
</tr>
<tr>
<td>Affiliate</td>
<td>A person, corporation or other legal entity which has paid the required initiation fee and/or annual dues for that level of membership. There are no governance or voting privileges associated with Affiliates.</td>
</tr>
<tr>
<td>Alternate (Representative)</td>
<td>A person designated by a Member to vote on matters brought before the PICMG Voting Members when the regular Representative is absent from the meeting.</td>
</tr>
<tr>
<td>Associate Member</td>
<td>A person, corporation, or other legal entity which has paid the required initiation fee and/or annual dues for that level of membership. An Associate Member is entitled to participate in technical and marketing subcommittees and may vote on matters which come before those subcommittees and the adoption of specifications.</td>
</tr>
<tr>
<td>Bylaws</td>
<td>The body of rules governing the conduct of the Corporation’s affairs. These Policies and Procedures are coordinated with the Bylaw changes of 2008.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>---------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Change Request</td>
<td>A request by an individual for a specific detailed change in a PICMG specification.</td>
</tr>
<tr>
<td>Corporation</td>
<td>The PCI Industrial Computer Manufacturers Group, or PICMG.</td>
</tr>
<tr>
<td>Director or Representative</td>
<td>A person appointed by an Executive Member to serve on the Board of Directors, or the body identified to serve in that capacity by the Bylaws.</td>
</tr>
<tr>
<td>Engineering Change Notice</td>
<td>A set of related changes to a PICMG Specification that has been adopted according to the same review and adoption processes as a Specification.</td>
</tr>
<tr>
<td>Engineering Change Request</td>
<td>A formal proposal for a set of related changes to a PICMG Specification developed by a duly constituted Technical Subcommittee and subject to the same review and adoption processes as a Specification.</td>
</tr>
<tr>
<td>Executive Member</td>
<td>A person or entity (whether corporation, partnership, sole proprietorship, firm or organization, or a department or subdivision thereof) which has paid the required initiation fees and/or annual dues for that level of membership. An Executive Member is entitled to participate in technical and marketing subcommittees and may vote on matters which come before those subcommittees and the adoption of specifications. An Executive Member also has additional governance privileges including approval of Subcommittee Statements of Work.</td>
</tr>
<tr>
<td>Governing Documents</td>
<td>The PICMG Bylaws, Intellectual Property Policy, and these Policies and Procedures.</td>
</tr>
<tr>
<td>IP</td>
<td>Intellectual Property, including but not limited to patents, trade secrets, and copyrighted materials.</td>
</tr>
<tr>
<td>IPR</td>
<td>Intellectual Property Rights. The rights to license and otherwise control the use of Intellectual Property.</td>
</tr>
<tr>
<td>IPR Declaration</td>
<td>A notification that there may be IPR containing Necessary Claims applicable to a specification under development. The declaration may be made in response to a Patent Call, in conjunction with a Submission of Technology, or as a part of the Member Review and Adoption Balloting processes.</td>
</tr>
<tr>
<td>IPR Policy</td>
<td>A document defining the rights and duties of PICMG Executive and Associate Members relating to Intellectual Property which may be necessarily infringed by the implementation of a PICMG specification. These Policies and Procedures are coordinated with the IPR Policy amendments of 2008.</td>
</tr>
<tr>
<td>IPR Response</td>
<td>A document submitted in conjunction with Member Review as provided in Section 3.3 of the IPR Policy or Adoption Balloting as provided in Section 3.4 of the IPR Policy.</td>
</tr>
<tr>
<td>IPR Submission or Submission of Technology</td>
<td>A Submission as defined by the IPR Policy and described in Section 3.2 thereof.</td>
</tr>
</tbody>
</table>
1.5 Order of Authority

This Policies and Procedure document is intended to implement, and is subordinate to, the Intellectual Property Rights Policy of PICMG, as from time to time amended ("IPR Policy"). That policy can be found at:


In the event of any contradiction or ambiguity between the terms of the IPR Policy and this document, the terms of the IPR Policy shall in all cases control.
## 1.6 Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision</th>
<th>Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sept 16, 2011</td>
<td>R4.0</td>
<td>Changed Adoption and Member Review Ballot durations</td>
</tr>
<tr>
<td>March 13, 2008</td>
<td>R3.0</td>
<td>Adopted by the Voting Members</td>
</tr>
</tbody>
</table>
2 Technical Advisory Committees

2.1 Policy

One or more Technical Advisory Committees may be formed to advise the Technical Officer on the governance of the specification development process by the promulgation and administration of these Policies and Procedures, and on such other matters as the Technical Officer may be called to rule.

It is possible that there will be multiple Technical Advisory Committees in existence at the same time. Only one of these would advise on matters of general governance. Additional Committees formed pursuant to this section would have more tightly focused tasks detailed in their charter.

2.2 Procedures

REQ 2.1 The Technical Officer may at his option form one or more Technical Advisory Committees from among the Executive Membership.

REQ 2.2 The Voting Members may direct the Technical Officer to form a Technical Advisory Committee from among the Executive Members.

REQ 2.3 If a new Technical Officer is elected, he may at his option dissolve any existing Technical Advisory Committees after assuming office.

2.2.1 Organization

REQ 2.4 The Technical Officer shall form a Technical Advisory Committee by issuing a Call for Participation to all the Executive Members accompanied by a Preliminary Charter. The deadline for response to this Call for Participation shall be no less than two calendar weeks from the date of issue, and the Technical Officer shall issue at least one reminder during that two week period.

REQ 2.5 The Preliminary Charter shall enumerate specific tasks to be accomplished, and/or a term of service for the Committee upon completion of which it is intended that the Committee be dissolved.

REQ 2.6 The Technical Officer shall serve as the chairman of all Technical Advisory Committees.

REQ 2.7 At its first meeting following a Call for Participation, a Technical Advisory Committee shall elect a Recording Secretary responsible for keeping the minutes and attendance records of the Committee, who shall be a person other than the Technical Officer.

REQ 2.8 At its first meeting following a Call for Participation a Technical Advisory Committee shall approve a Charter containing specific tasks to be accomplished, and/or a term of service for the Subcommittee. The charter for a Technical Advisory Committee shall not overlap with the charter of any other Technical Advisory Committee then in existence.
REQ 2.9 Upon the completion of either the specific tasks or the term of service enumerated in the Charter, whichever occurs first, a Technical Advisory Committee shall be dissolved.

REQ 2.10 The Technical Officer shall report the results of organization of a Technical Advisory Committee by posting the minutes and the approved Charter on the Executive Membership email reflector.

2.2.2 Active Status

REQ 2.11 For the first four meetings after the Call for Participation all Members who designated Technical Representatives in response to the Call shall be considered Active Members of a Technical Advisory Committee.

REQ 2.12 During the first four meetings there shall be no quorum requirement.

REQ 2.13 After the fourth meeting, only those Members who have been represented at two of the last four meetings shall be considered Active Members.

REQ 2.14 After the fourth meeting a quorum shall be defined as greater than 50% of the Active Members.

2.2.3 Operation

REQ 2.15 Only active Members shall have the right to vote in Technical Advisory Committee meetings.

REQ 2.16 All votes taken shall be deemed advisory, and the Technical Officer may decide a question contrary to the vote of a Technical Advisory Committee.

REQ 2.17 When issuing a decision that was the subject of a Technical Advisory Committee vote, the Technical Officer shall disclose whether the decision was in accordance with that vote or contrary to it.

REQ 2.18 Any Executive Member shall have the right to designate a Technical Representative in a Technical Advisory Committee meeting, and to have his Technical Representative speak.

REQ 2.19 A Technical Representative designated by any Executive Member shall have the right to subscribe to any Technical Advisory Committee reflector.

REQ 2.20 Once enrolled in a Technical Advisory Committee, an Executive Member may designate any of its employees as Technical Representatives to it by giving notice to the Technical Officer.

REQ 2.21 All Technical Representatives attending a meeting of the Technical Advisory Committee shall have an IPR Acknowledgment on file.

REQ 2.22 The minutes of all Technical Advisory Committee meetings shall be promptly posted to the Technical Advisory Committee email reflector.

2.2.4 Removal of privileges from a Technical Representative

REQ 2.23 If a Technical Representative is disruptive or behaves offensively in the conduct of the Committee’s business, the Technical Officer shall issue at least one warning, which
may be verbal or written (including via email), that the individual is in danger of losing participation privileges.

REQ 2.24 If after a written warning a Technical Representative continues to be disruptive or offensive, a vote to remove the participation privileges of that Technical Representative shall be held by a process determined by the Committee.

REQ 2.25 Removal of participation privileges from a Technical Representative in a Technical Advisory Committee shall not disqualify that individual from service on any other Committee or Technical Subcommittee.

REQ 2.26 If an officer of a Technical Advisory Committee other than the Chairman loses participation privileges by the foregoing process, his position shall be immediately be filled by a vote of the Committee.

REQ 2.27 A Member whose Technical Representative in a Technical Advisory Committee has lost participation privileges by this process may designate a replacement.

REQ 2.28 An individual who loses participation privileges as a Technical Advisory Committee Technical Representative by the foregoing process, may have them restored by a 2/3 vote of the Committee.

REQ 2.29 In the event that a vote on the removal of privileges of a Technical Representative fails to carry, no further vote shall be conducted for at least one calendar year.

2.3 Specific Responsibilities

REQ 2.30 When at least one Technical Advisory is in existence, one of them shall have the following specific responsibilities:

Administration of the CR process.

Maintenance of a master list of PICMG defined IPMI command codes

Maintenance of a master list of keying combinations used in the various PICMG specifications that define keying
3 Specification Development

3.1 Policy

PICMG specifications are developed by Technical Subcommittees with the approval of the PICMG Executive Membership. Technical Subcommittees are formed at the request of three or more PICMG Executive Members. The deliberations of PICMG Executive Members contemplating a request to form a Technical Subcommittee is normally outside the scope of these Policies and Procedures.

The Technical Officer is obligated to initiate the formation process when duly requested to do so. Technical Subcommittees are formally approved by the Executive Membership after they have completed their formation.

The specification development process is open to all PICMG Executive and Associate Members at the time of subcommittee formation. The Technical Subcommittee controls its membership thereafter. The elected leadership of a Technical Subcommittee is accountable to its active membership at all times. Affiliate Members are not eligible to participate in Technical Subcommittees.

A Technical Subcommittee disbands when it has concluded the tasks defined in the Statement of Work approved by the Executive Membership, or by a vote of the Subcommittee, or by recommendation of the Technical Officer and a vote of the Executive Membership when a subcommittee lapses into inactivity.

3.2 Procedures

3.2.1 Subcommittee Formation and Disbanding

REQ 3.1 Upon the presentation of a Preliminary Statement of Work and application by three sponsoring Executive Members, the Technical Officer shall cause a Call for Participation to be issued to all Executive and Associate Members of the Corporation with a closing date no less than two calendar weeks after the date of issue. The sponsoring Executive Members shall make their request to the Technical Officer by submitting a Call for Participation, an example of which is contained in Appendix C.

REQ 3.2 In the course of responding to a Call for Participation individuals shall identify their corporate affiliation, and any other corporate entities providing financial support for their participation.

REQ 3.3 The Technical Officer shall cause the names of all who respond to a Call for Participation to be gathered into a roster of Technical Representatives, which he shall cause to be delivered to at least one of the sponsoring Executive Members within one calendar week of the closing date of Call for Participation.

REQ 3.4 The sponsoring Executive Members shall cause an Organizational Meeting to be held within two calendar weeks after receiving the roster, inviting all those identified in the roster to attend, the purpose of which shall be to elect permanent officers, agree on a Permanent Statement of Work, and adopt a set of ground rules for voting.

REQ 3.5 The permanent officers of a Technical Subcommittee shall be:
A chairman elected from among the Executive Members represented
A recording secretary
A document editor

A subcommittee Technical Representative shall not hold multiple positions.

REQ 3.6 A Technical Subcommittee may adopt the ground rules for voting contained in
Appendix A without modification, but if it does not the Subcommittee shall provide in
writing the full text of its operating procedures to the Technical Officer as a part of its
request for approval by the Executive Membership. In the event interpretation is needed of
the subcommittee operating procedures, the provisions of these Policies and Procedures, or
a parliamentary issue not explicitly dealt with in the governing documents, the Technical
Officer shall be consulted for a ruling based on the language of the Governing Documents
and Roberts Rules of Order.

REQ 3.7 Upon notification by a Technical Subcommittee that it has finished organizing, and
presentation of the meeting minutes, Permanent Statement of Work, and the text of its
operating procedures if different from those in Appendix A, the Technical Officer shall
forward such documents to the PICMG Executive Membership for their review, and shall
provide at least one subsequent reminder of the posting. If no Executive Member objects
within two weeks of the forwarding of such documents, with at least one reminder by the
Technical Officer during that interval, the subcommittee shall be deemed to have been
approved. If there are one or more objections, a meeting of the Executive Membership shall
be called to approve the subcommittee by a majority vote.

REQ 3.8 A Technical Subcommittee may begin development of its deliverables while
approval of the Executive Membership is pending.

REQ 3.9 A Technical Subcommittee shall be disbanded upon a majority vote by the
Members eligible to vote at a meeting at which a quorum exists.

REQ 3.10 A Technical Subcommittee shall be disbanded upon completion of the
deriverables or the expiration of the time limit, if any, contained in the Permanent Statement
of Work.

3.2.2 Subcommittee Operation

REQ 3.11 The chairman of a Technical Subcommittee shall cause regular meetings to be
held in person or by teleconference at a time and location (in the case of meetings held in
person) acceptable to the majority to the active members of the subcommittee and in
accordance with the ground rules for voting adopted by the Subcommittee.

REQ 3.12 In order to be considered active a Technical Subcommittee shall conduct least
one meeting per calendar month.

REQ 3.13 In order to be considered active a Technical Subcommittee shall have at least
three sponsors as active members. The chairman of a Technical Subcommittee shall give
notice to the Technical Officer whenever one of the original sponsors ceases to be active.
An original sponsor may be replaced by any active Executive Member of the subcommittee.
A new sponsor shall give notice in writing to the Technical Officer.

REQ 3.14 The Technical Officer, with the advice of the Technical Advisory Committee and
if possible consultation with the mandatory officers (see REQ 3.5) of a Technical
Subcommittee, shall formulate a recommendation to the Executive Membership regarding
the disposition of that Technical Subcommittee if it has ceased to be active for a period of
more than three months.

REQ 3.15 The officers of a Technical Subcommittee shall cause all documents produced in
the process of organization and operation to be stored in an electronic repository accessible
to all its members and to the officers of the Corporation.

REQ 3.16 The officers of a Technical Subcommittee shall cause detailed minutes of all
meetings, whether in person or by teleconference, to be created and stored in the document
repository:

REQ 3.17 Nothing in the forgoing REQ 3.15 and 3.16 shall be construed as requiring the
posting of documents in an editable format.

3.2.3 Specification format

REQ 3.18 Specification documents shall be composed according to a template provided by
the Technical Officer with revision levels assigned in accordance with the guidance of the
Technical Officer. Specification documents shall specifically enumerate all normative
requirements using a format specified by the Technical Officer.

3.2.4 Changes to the Statement of Work

REQ 3.19 The Technical Subcommittee Chairman shall inform the Technical Officer of
any changes made by the subcommittee to the Statement of Work adopted at the time of
subcommittee organization.

REQ 3.20 The Technical Officer shall forward a copy of a changed Statement of Work to
to all Executive Members and shall ask whether any Executive Member objects to the changes.
If no Executive Member objects within two weeks of the forwarding of such document, with
at least one reminder by the Technical Officer during that interval, the change shall be
deemed to have been approved. If there are one or more objections, a meeting of the
Executive Membership shall be called to vote on the approval.

3.2.5 Removal of Privileges from Subcommittee Technical Representative

REQ 3.21 If a Technical Representative is disruptive or behaves offensively in the conduct
of the Subcommittee’s business, the Chairman shall issue at least one warning, which may
be verbal or written (including via email), that the individual is in danger of losing
participation privileges.

REQ 3.22 If after a written warning a Technical Representative continues to be disruptive
or offensive, a vote to remove the participation privileges of that Technical Representative
shall be held by a process determined by the Subcommittee.

REQ 3.23 Removal of participation privileges from a Technical Representative in a
Technical Subcommittee shall not disqualify that individual from service on any other
Committee or Technical Subcommittee.

REQ 3.24 If an officer of a Technical Subcommittee other than the Chairman loses
participation privileges by the foregoing process, his position shall immediately be filled by
a vote of the Subcommittee.
REQ 3.25 The Chairman of a Technical Subcommittee may be removed from office by a vote of the subcommittee according to the rules of Appendix A. The vacancy in the office of Subcommittee Chairman shall immediately be filled by a vote of the Subcommittee. A former Chairman removed from office pursuant to this REQ 3.25 shall retain participation privileges unless they are removed pursuant to REQs 3.21 and 3.22 above.

REQ 3.26 A Member whose Technical Representative in a Technical Subcommittee has lost participation privileges by this process may designate a replacement.

REQ 3.27 An individual who loses participation privileges as a Subcommittee Technical Representative by the foregoing process, may have them restored by a 2/3 vote of the Subcommittee.

REQ 3.28 In the event that a vote on the removal of privileges of a Technical Representative fails to carry, no further vote to remove the privileges of that individual shall be conducted for at least one calendar year.

3.2.6 Confidentiality of PICMG Documents

REQ 3.29 Except as provided in REQ 3.29 below, access to the documents produced during Subcommittee deliberation shall be restricted to registered Technical Representatives of a subcommittee, and the officers, including but not limited to meeting agendas, minutes, presentations, messages distributed on the subcommittee’s email reflector, and draft specifications.

REQ 3.30 A Technical Representatives may distribute documents to colleagues within the Member corporation he represents for purposes of consultation, provided the Technical Representative also warns such colleagues of their duty to disclose any IPR known to them that may apply to the documents disclosed. The Technical Representative should provide a copy of the IPR Acknowledgement form to all such colleagues, and should provide the chairman with a list of all colleagues being consulted.

REQ 3.31 The subcommittee may vote to authorize posting of draft specifications for examination by the full Executive and Associate Membership prior to the commencement of Member Review.

REQ 3.32 Subcommittee documents shall not be disclosed outside of PICMG without permission of the Technical Officer. If the subcommittee wishes to make such disclosure, the request shall be made to the Technical Officer, who shall in turn consult with the other elected officers to determine the process by which the request will be approved.

3.2.7 Citations from non-PICMG Specifications and Standards

REQ 3.33 PICMG specifications may make reference to requirements from non-PICMG specifications and standards which are publicly available. When doing so the PICMG specifications shall list the cited specification or standard as an applicable document.

REQ 3.34 Citations to a non-PICMG document shall be made in keeping with US copyright law and any agreements with the owners of those documents. A citation shall contain the minimum amount of information needed to avoid ambiguity, and shall not extensively quote the content of a requirement without explicit permission of the owner.
3.2.8 Respect for Confidential Documents

REQ 3.35 Technical Representatives shall not disclose the confidential information of the Member they represent, or of any other party with whom they have an agreement, in a Subcommittee meeting or on a Subcommittee reflector without explicit permission of the owner.

REQ 3.36 The disclosure of information in a meeting or on a reflector shall be deemed an implicit declaration of non-confidentiality regardless of the any disclaimers that may be attached.
4 Member Review of Specifications

4.1 Policy

When a Technical Subcommittee deems that a specification is complete, that specification is forwarded for review by all PICMG Executive and Associate Members for technical content and intellectual property content.

4.2 Procedures

REQ 4.1 Upon a vote by a Technical Subcommittee that a specification document is complete to their satisfaction, and such standards of completeness as may be promulgated by the Technical Officer, the Technical Officer shall cause a draft of that specification to be posted in an electronic repository accessible to all PICMG Executive and Associate Members, and he shall circulate a Member Review Ballot of the form found in Appendix D to all PICMG Executive and Associate Members soliciting their comments on technical content and disclosure of intellectual property. The deadline for submission of technical comments and intellectual property disclosures shall be 30 calendar days from the date of posting.

REQ 4.2 A specification shall not be posted for Member Review prior to the approval of the Subcommittee by the PICMG Executive Membership, while the subcommittee is inactive, or while the approval of a change to the Statement of Work is pending.

REQ 4.3 PICMG Executive and Associate Members wishing to comment on the technical content of a draft specification posted for Member Review shall submit a Member Review Ballot, an example of which is found in Appendix D, accompanied by detailed change requests on a form provided by the Technical Officer, and shall indicate for each change request whether it must be addressed in order to secure the approval of the submitting Member.

REQ 4.4 PICMG Executive and Associate Members required under the IPR Policy to disclose Necessary Claims shall use the IPR Response form contained in Appendix B of the IPR Policy, according to the provisions of Section 3.3 of that Policy and Section 6 of these Policies and Procedures.

REQ 4.5 PICMG Executive and Associate Members wishing to vote for approval or disapproval of the draft specification shall submit a Member Review Ballot, an example of which is found in Appendix D, prior to the deadline for technical comment and intellectual property disclosure. The submission of a Member Review Ballot shall be a requirement for participation in the ballot review process.

REQ 4.6 After the deadline for technical comment and intellectual property disclosure, the Technical Subcommittee shall review each change request submitted and decide whether or not to make the requested change, or take other action. The results of this review shall be reported to those who submitted ballots, inviting them to change their ballots if warranted by the disposition of the change requests.

REQ 4.7 Upon notification by the Technical Subcommittee that the ballot review process is complete, and that at least 75% of the Member Review Ballots cast approve of the specification as amended pursuant to the ballot review process, the Member Review shall be deemed to be closed.
REQ 4.8 At his discretion, the Technical Officer may extend the submission period to accommodate holiday schedules or otherwise ensure a reasonable review period for the specification.
5 Adoption of Specifications

5.1 Policy

When the Member Review is complete a specification is presented for adoption to all PICMG Executive and Associate Members for an affirmation that it meets the goals set out in the Permanent Statement of Work and that all Intellectual Property Rights necessary to implement the mandatory and recommended features of the specification are available under acceptable licensing terms.

5.2 Procedures

REQ 5.1 Upon submission by the Technical Subcommittee of a release candidate for a specification, incorporating the changes made pursuant to the ballot review process and submitted for review by those who submitted Member Review Ballots and having the approval of at least 75% of those who submitted Member Review Ballots, the Technical Officer shall cause the release candidate to be posted in a repository accessible to all PICMG Executive and Associate Members that release candidate. The Technical Officer shall then circulate an Adoption Ballot of the form contained in Appendix B of the IPR Policy to all PICMG Executive and Associate Members that release candidate. The deadline for return of the Adoption Ballot shall be 15 calendar days from the date of posting. This shall be extended to 30 calendar days from the posting date if previously undisclosed Necessary Claims, as defined in the IPR Policy, are disclosed during Member Review or prior to the posting date of the Adoption Ballot.

REQ 5.2 PICMG Executive and Associate Members required under the IPR Policy to disclose Necessary Claims shall use the IPR Response form contained in Appendix B of the IPR Policy, according to the provisions of Section 3.4 of that Policy and Section 6 of these Policies and Procedures.

REQ 5.3 A specification shall not be posted for Adoption Ballot while approval of a change to the Statement of Work is pending.

REQ 5.4 No change shall be made to the normative provisions of a release candidate as a result of the Adoption Ballot.

REQ 5.5 The Technical Officer may make editorial changes to a release candidate prior to publication.

REQ 5.6 The Technical Officer shall add to the applicable section of the specification a summary of any new or updated Intellectual Property Declarations made during Adoption Ballot.

REQ 5.7 At his discretion, the Technical Officer may extend the submission period of the Adoption Ballot to accommodate holiday schedules or otherwise ensure a reasonable review period for the specification.
6 Intellectual Property

6.1 Policy

Intellectual property policy is governed by the PICMG IPR Policy.

6.2 Procedures

6.2.1 Admission of Individuals to Subcommittee Membership

REQ 6.1 All individuals designated by a Member to participate in a Technical Subcommittee shall complete an Acknowledgement of PICMG’s Intellectual Property Rights Policy form (hereafter called the Acknowledgement) contained in Appendix B.

REQ 6.2 A listing of persons having the Acknowledgement on file shall be created and updated regularly to reflect new forms filed, and removal of persons losing eligibility by virtue of their employment or the membership status of their company.

REQ 6.3 An Acknowledgement form shall become void when an individual leaves the employ of a member company, when an individual’s employer ceases to be a member, or when it ceases to exist as an independent business entity.

REQ 6.4 Whenever a Call for Participation is issued for a new subcommittee, those who have Acknowledgements on file shall be added to the initial roster of the subcommittee by a simple email request. Members wishing to be added to the roster of any subcommittee after its organizational meeting, and having an Acknowledgement on file, may be admitted by vote of the existing members.

REQ 6.5 All elected officers of PICMG shall execute an Acknowledgement, whether or not they represent a member company.

REQ 6.6 All elected officers of PICMG shall be granted access to all PICMG subcommittees once they have an Acknowledgement on file. They may vote only if they represent a PICMG Executive or Associate Member and meet the voting eligibility requirements imposed by the subcommittee.

6.2.2 Declaration of Intellectual Property Rights during Subcommittee Deliberations

REQ 6.7 At the beginning of each meeting the chairman of a Technical Subcommittee shall notify the members in attendance of their obligations under the Intellectual Property Rights Policy by reading aloud the Patent Call appearing as Appendix D to the IPR Policy.

REQ 6.8 The secretary of a Technical Subcommittee shall record the response to the Patent Call in the minutes of that meeting, either by noting that there was no response or by listing the individuals who responded with a summary of the content of their response.

REQ 6.9 The draft editor of a Technical Subcommittee shall record all Intellectual Property Rights declarations, whether made in response to the Patent Call or with a submission of technology, in the appropriate section of the draft specification.

REQ 6.10 Any Technical Representative in a Technical Subcommittee who responds to a patent call identifying IPR that the represented Member owns or has control of licensing
rights, **shall** within two calendar weeks file an IPR Submission form. The Technical Representative **shall not** be required to file IPR Responses with respect to such submissions at the time of Member Review or Adoption Ballot, except for the purpose of modifying the licensing terms.

REQ 6.11 Any Technical Representative in a Technical Subcommittee who responds to a patent call identifying IPR owned or controlled by a third party **shall** within two calendar weeks file a declaration in a form of his choice describing the Necessary Claims to the greatest extent possible and, if known to the Technical Representative, the applicable licensing terms to the extent required by PICMG. This filing **shall not** be deemed to relieve the Technical Representative from filing an IPR Response at the time of Member Review or Adoption Ballot.

REQ 6.12 Any member of a Technical Subcommittee who submits technology for inclusion in a draft specification **shall** concurrently file an IPR Submission of the form found in Appendix A of the IPR Policy describing the Essential Claims to the greatest extent possible and the applicable licensing terms to the extent required by the form.

REQ 6.13 The chairman of a Technical Subcommittee **shall** exercise due diligence in securing IPR declarations for all Intellectual Property Rights disclosed, whether in response to the Patent Call or in conjunction with a submission. All IPR declarations filed **shall** be forwarded to the Technical Officer and the PICMG Administrative Office.

### 6.2.3 Declaration of Intellectual Property Rights during Member Review

### 6.2.4 A Member that is required for the first time to disclose Intellectual Property Rights or wishes to correct mistakes to previous disclosures during Member Review **shall** do so using the IPR Response form found in Appendix B of the IPR Policy.

### Declaration of Intellectual Property Rights during Adoption Ballot

REQ 6.14 A Member that is required for the first time to disclose Intellectual Property Rights or wishes to correct mistakes to previous disclosures during Adoption Ballot **shall** do so using the IPR Response form found in Appendix C of the IPR Policy.

### Declaration of Intellectual Property Rights for which Licensing is not available

REQ 6.15 Prior to Member Review, the Technical Subcommittee **shall** remove sections of the draft specification that relate to declared Necessary Claims for which there are no licensing options.

REQ 6.16 The Technical Subcommittee **shall** as a part of Negative Ballot Review remove sections of the draft specification that relate to Necessary Claims for which there are no licensing options.

REQ 6.17 A Member **may** at the time of Adoption Ballot submit an Intellectual Property Declaration indicating the disclosed Intellectual Property is not available for licensing under reasonable and non-discriminatory terms. Such disclosure **shall** be deemed null and void unless accompanied by a notice of withdrawal from PICMG Membership by the submitter. The Technical Officer **shall** notify the remaining Members of the event, and order the Technical Subcommittee to reconvene to remove the Necessary Claims of such disclosure.
6.2.6 Licensing

REQ 6.18 A PICMG specification shall not be forwarded for Member Review or Adoption Ballot while the availability of licensing terms is in question for any Necessary Claims declared during deliberation. A vote whether to retain or exclude technology for which licensing terms are in doubt shall be held within 60 days of the time the availability of terms are called into question.

REQ 6.19 Any question as to the availability of licensing terms raised during Member Review shall be resolved during Negative Ballot Review.

REQ 6.20 No discussion of licensing terms, other than the question of their availability, shall be permitted in any PICMG sanctioned meeting.

6.2.7 Changes to the Statement of Work

REQ 6.21 When a change to the Statement of Work is submitted to the Technical Officer, the Technical Officer shall inform all who have filed Intellectual Property Declarations of that event providing to them a copy of the proposed revisions of the Statement of Work.

REQ 6.22 An Executive or Associate Member who has provided any Intellectual Property Declaration(s) may within 30 days of that notification provisionally withdraw or modify any Declaration(s) made by them relative to the effected specification. If no modification or withdrawal is made within that 30 day period, the Declaration(s) are deemed to be affirmed.

REQ 6.23 If the proposed change to the Statement of Work is approved, any provisional withdrawals or modifications shall be deemed accepted.

REQ 6.24 If the proposed change of the Statement of Work is not approved, any provisional withdrawals or modifications shall be deemed null and void.

6.2.8 Withdrawals and Modifications of Declarations

REQ 6.25 Once delivered, all Intellectual Property Declarations shall be irrevocable (except as provided by section 6.2.6, above) and may not be modified.

REQ 6.26 During Adoption Ballot, any withdrawal, or modification to less favorable terms, of an Intellectual Property Rights Submission or Response shall be deemed null and void unless accompanied by a notice of withdrawal from PICMG membership.
7 Maintenance of Specifications

7.1 Policy

It is the policy of PICMG not to provide official interpretations of approved specifications, except by the process for dealing with errata.

Any interpretations made by an Officer, Voting Member, or other Designee of a Member are the responsibility of the individual. PICMG may collect and post answers to frequently asked questions from time to time as long as the individual providing an answer is identified.

It is the policy of PICMG not to render opinions as the compliance of specific products with PICMG specifications. Any statement made by an Officer, Voting Member, or other Designee of any Member as to the compliance of a specific product with a PICMG specification is a statement of that individual alone. PICMG disclaims responsibility for any such statements, and will not take any part in their dissemination.

PICMG will not make substantive changes to its specifications without the same due process used to develop specifications. Errata which correct inconsistencies or obvious errors in the body of a specification may be incorporated by the Technical Officer with the advice of the Technical Advisory Committee.

The Engineering Change Request/Notice process is intended as the mechanism for capturing changes that are easily described as a series of sequential editing instructions. Extensive changes that are most conveniently captured as a collection of change pages warrant the issue of new revision of the specification.

7.2 Procedures

7.2.1 Errata and Editorial Changes

REQ 7.1 Any purported errata shall be communicated to the Technical Officer in the form of a change Request. If the cognizant technical subcommittee is still active, the Technical Officer may refer such reports to said subcommittee for disposition. The cognizant technical subcommittee, or the Technical Officer in the absence of an active subcommittee, shall draft a statement either dismissing the purported error or correcting it. In either case the Technical Officer shall present the statement to the Voting Members for their consent. Upon consent of the Voting Members the Technical Officer shall cause the statement to be posted in a repository accessible to all Executive and Associate Members.

REQ 7.2 Upon consent of the Voting Members, statements which recognize the validity of an error and provide a correction shall be distributed with all copies of the effected specification.

REQ 7.3 The Technical Officer may cause editorial changes to an approved specification to be made, providing that such changes do not materially change the intent of the specification.

7.2.2 Collection of Change Requests

REQ 7.4 The Technical Officer shall cause to be posted in a repository accessible by all PICMG Executive and Associate Members change requests proposed by any Technical Subcommittee or PICMG Member to any adopted PICMG specification.
REQ 7.5 If there is an active Technical Subcommittee deliberating on a adopted PICMG specification, the Technical Officer shall immediately forward any change requests pertaining to that specification to the cognizant Technical Subcommittee.

REQ 7.6 If there is not an active Technical Subcommittee deliberating on a adopted PICMG specification, the Technical Officer shall consolidate all change requests pertaining to that specification in a single document until such time as a Technical Subcommittee is formed for the purpose of revising that specification.

7.2.3 Engineering Change Request/Notice Process

REQ 7.7 An Engineering Change Request may be developed by a duly constituted subcommittee for a specification mentioned in and consistent with its Statement of Work.

REQ 7.8 An Engineering Change Request shall be formatted as a sequence of editing instructions to an existing specification on a form specified by the Technical Officer.

REQ 7.9 An Engineering Change Request shall be subjected to the Member Review procedures of Section 4.2.

REQ 7.10 Upon completion of Member Review an Engineering Change Request shall be presented for Adoption Ballot according to the procedures of Section 5.2.

REQ 7.11 Upon successful completion of the Adoption Ballot an Engineering Change Request shall be posted as an Engineering Change Notice.

REQ 7.12 The Technical Officer may incorporate the editing instructions of a single adopted ECN into the effected specification.

REQ 7.13 The revision level of a specification shall be incremented by 0.1 after the incorporation of a single ECN.

REQ 7.14 When multiple ECNs have been approved for a specification, a Technical Subcommittee shall be formed to incorporate them.

REQ 7.15 When multiple ECNs have been incorporated by a Technical Subcommittee, the revision level shall be changed to the next major revision level.

REQ 7.16 When a Technical Subcommittee incorporates a large number of changes so as to make the use of the standard ECR form unwieldy, the resulting work shall be reviewed and balloted for adoption as a major revision of the specification.

REQ 7.17 Engineering Change Notices shall be designated by a number of the form “ECN X.X-Y.Y-ZZ” where “X.X” is the designation of the parent specification, “Y.Y” is the revision of the parent specification to the ECN to which it refers, and “ZZZ” is the number of the ECN. The first ECN referring to PICMG 2.0 Revision 3.0 would therefore be “ECN 2.0-3.0-001”

REQ 7.18 Claims of compliance shall have the form, “This product complies with PICMG X.X Revision Y.Y as amended by ECN(s) X.X-Y.Y-001, X.X-Y.Y-002, etc.”
A PICMG Technical Sub-committee Rules

1. Notice of a formal meeting of a Technical Subcommittee shall be given at least one full business day in advance of said meeting. Such notice shall give the time, place in the case of a face to meeting, contact information in the case of a teleconference and an agenda. Such notice shall be disseminated using the email reflector assigned to that Subcommittee.

2. No binding vote or action shall be taken by a Subcommittee except at a formal meeting satisfying the notification requirements above, and having a quorum in attendance as set forth forth in these Rules.

3. Only one vote shall be cast per Member by a registered Participant who is present at the meeting, providing such Member meets the voting eligibility requirements set forth in these Rules. Proxy votes, whether cast by one company on behalf of another, or submitted to the chair, editor, secretary, etc. or by email in advance of the meeting are not allowed.

4. A simple majority, greater than 50% of the eligible voters present at the meeting and casting a vote other than “Abstain” shall determine the outcome providing a quorum exists.

5. A decision shall be reopened for debate and/or re-vote by a motion to reconsider passed with a 2/3 majority of the eligible voters present providing there is a quorum.

6. Greater than 50% of the members eligible to vote shall be present at a meeting in order to constitute a quorum as determined by the roll call.

7. Roll call shall be made no later than 15 minutes after the start of the meeting. Roll call will be made by company with individuals identifying themselves for IPR purposes. Failure to answer the roll call shall signify absence. Latecomers may establish attendance by announcing themselves to the chair at the time they join the meeting or at a roll call at the end of the meeting. Attendance by one or more participants from a given member company shall constitute attendance by that company.

8. Teleconferencing in to a face-to-face meeting shall constitute attendance.

9. The Chair may initiate votes by a call for dissension. If any member objects to taking a vote by a call for dissension, a roll call vote or a vote by anonymous secret ballot shall be taken. A vote by secret ballot may be ordered by the Chair, or by a motion made, seconded and voted prior to the beginning of a roll call vote on the question. All vote results shall be recorded in the meeting minutes and if a roll call vote was taken, each member company’s vote shall be recorded. Vote results shall include tallies of each vote type, and verification of the presence of a quorum as specified in rule 13.

10. A member company shall have attended two of the previous four formal meetings in order to be eligible to vote starting with the fifth formal meeting of the subcommittee. For the purposes of determining voting eligibility attendance at any formal meeting satisfying the notification requirements given above shall be counted whether or not a quorum is present. All members shall be eligible to vote during the first four formal subcommittee meetings. The number of members who attend the first four formal meetings shall be deemed to constitute a quorum for those specific meetings.
11. Loss of eligibility to vote shall not result in removal from the subcommittee reflectors. Members may be added to, or deleted from, the subcommittee roster by a simple majority vote of the subcommittee. The intent of the subcommittee is to encourage all members to actively contribute to the subcommittee efforts.

12. There shall be four options for voting in a Yes/No roll call vote, as shown in the following table. There shall be three sets of options for voting in a multiple choice roll call vote as shown in the following table.

<table>
<thead>
<tr>
<th>Vote</th>
<th>Meaning</th>
<th>Counts Toward Majority</th>
<th>Part of Quorum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Voting for the motion</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>No</td>
<td>Voting against the motion</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Abstain</td>
<td>Either option is acceptable</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Non-Vote</td>
<td>Not participating in this vote</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

13. The objective is to have members that are informed make the decisions. An informed member should be prepared to vote either for or against a motion or would know that either position is acceptable by abstaining. A member should cast a Non-Vote if they feel they are not informed enough to take a position. In the Non-Vote case, they shall not be counted as part of the quorum and the quorum could be lost if enough members cast a Non-Vote. This would force the motion back into discussion until members feel informed enough to take a position.

14. In any vote in which a selection of options is made, including an election of officers, a majority of the votes as defined in rules 4 and 13 above shall be explicitly cast for a particular option or candidate in order for that option or candidate to be selected. When three or more options are considered on the initial ballot, and no one receives the required majority, a runoff vote shall be held by eliminating the option polling the least votes. If there is a tie among options not allowing a reduction in options, the entire vote shall be deemed inconclusive. The subcommittee may elect to adopt a different runoff procedure by modifying this rule at the time of subcommittee organization subject to the requirement to report modifications of these rules to the Technical Officer.
B  IPR Acknowledgement

The IPR Acknowledgement is used to insure that the Technical Representatives in Technical Subcommittees are aware of their obligations under the IPR Policy, as required in Section 6.
Acknowledgement of PICMG’s Intellectual Property Rights Policy

PICMG requires all Technical Subcommittee Technical Representatives to conform to the PICMG Intellectual Property Rights Policy, as supplemented by the PICMG Policies and Procedures for Specification Development. Some of the more important rules are summarized as follows:

1. In any Technical Subcommittee meeting Technical Representatives are obliged to disclose all patents and patent applications known to them, and all disclosures made by them that may be applicable to the specification under development.

2. Submitters of technology agree to license all Necessary Claims owned by them and inherent in their Submission on a perpetual, non-exclusive and worldwide basis, without compensation and otherwise on a RAND basis, to all Implementers; or agree to the same terms, but reserving the right to charge a royalty or other consideration on RAND terms. The details of this provision are contained in Section 3.2 of the IPR Policy.

3. Except as noted below, Technical Representatives agree that if the Specification is finally approved by the Consortium, they will license all Necessary Claims that are owned by them on a perpetual, non-exclusive and worldwide basis, without compensation and otherwise on a RAND basis, to all Implementers; or agree to the same terms, but reserving the right to charge a royalty or other consideration on RAND terms. The details of this provision are contained in Sections 3.3 and 3.4 of the IPR Policy.

4. Technical Representatives may identify any IPR that is owned by them that would be Necessarily Infringed by an implementation of the Draft Specification, and identify the portion(s) of the Draft Specification that would result in such infringement, and indicate that no guarantee of license rights is being made (or that such rights will in fact be denied in at least some cases). The details of this provision are contained in Section 3.3 of the IPR Policy.

All Technical Representatives are required to acknowledge the PICMG IPR Policy. Any future Technical Representatives designated by the Member Company will also be required to sign a copy of this document. It is an obligation of subcommittee chairmen and company Technical Representatives to insure that all Technical Representatives have filed this acknowledgement with the PICMG Office

Acknowledgment

I, the undersigned, representing the PICMG Executive or Associate Member Company identified below, acknowledge that I have read the Intellectual Property Rights Policy of PICMG and understand my obligations as described therein, and make application to participate in the development of PICMG specifications in accordance with that policy.

<table>
<thead>
<tr>
<th>Affiliation</th>
<th>Technical Representative</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed Name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signature</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

All information except the signature must be printed or typed in English or transliterated into the English alphabet. Signatures may use the alphabet or symbols of the Technical Representative’s native language.

###
C Call for Participation

This form is used by Sponsors of a Technical Subcommittee to request formation, and by PICMG Administration to issue a Call for Participation as provided in Section 3.
Call for Participation

New Technical Subcommittee

PICMG Executive and Associate members are invited to participate in a new technical subcommittee, to develop the above-entitled specification,

The sponsoring Executive members, as required by PICMG Policies and Procedures, are

<table>
<thead>
<tr>
<th>Corporate Member</th>
<th>Representative</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Interim chairman</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sponsor</td>
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<td>Sponsor</td>
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</tbody>
</table>

The proposed technical subcommittee will create a draft PICMG specification as described in the attached Preliminary Statement of Work.

Individuals who have an Acknowledgement of PICMG’s Intellectual Property Rights on file may request membership simply by responding to the PICMG Administrative Office by email. Those who do not have the Acknowledgement on file, must execute one and send it to the PICMG Administrative Office by fax, scanned email attachment or mail along with the email request.

Requests for membership received within two weeks of the date of issue will automatically be granted. Later applications may be granted at the discretion of the Technical Officer until such time as the Subcommittee holds a formal Organizational Meeting.
D Member Review Ballot

This form is used to submit a formal ballot during Member Review as defined in Section 4.
PICMG Member Review Ballot Issued: <YYYY/MM/DD>

FOR IMMEDIATE ACTION

Please return ballot within 30 days of issue.

Any votes to disapprove must be accompanied by a specific reason and the specific changes that must be made to change the vote to approval. The subcommittee is required to conduct a formal Negative Ballot Review, and may only forward the specification for adoption when ¾ of the final balloting subcommittee approves.

______ Approve with or without comment

______ Disapprove for reasons you have attached

The IPR Policy requires that a Member make certain licensing elections at the time of Member Review. Please check one of the following and provide any indicated attachments in order to make the Ballot valid:

______ Member owns or controls IPR containing Necessary Claims and attaches the IPR Disclosure Form signed on behalf of the Member Company by a person qualified to make the commitments contained therein. The Member Review Ballot with this IPR Disclosure affords the last opportunity to declare IPR that will not be offered under RAND licensing terms without the necessity of withdrawing from membership.

______ Member affirms IPR Submissions made during specification development.

______ Member is unaware of any IPR containing Necessary Claims, but commits to elect one of the alternatives of Section 3.3(a)i – iii with respect to any Necessary Claims as may be disclosed after Adoption.

MEMBER NAME: _______________________________________________

VOTER NAME (Print): ____________________________________________

SIGNATURE/DATE: ______________________________________________

ADDRESS: ______________________________________________________

EMAIL: _________________________________________________________

All information except the signature must be printed or typed in English or transliterated into the English alphabet. Signatures may use the alphabet or symbols of the representative’s native language. The date should be expressed numerically in the form YYYYMMDD

Comments (check one):  ___ Attached ________ pages  ___ Separately by email
Subcommittee may provide a format for submission of comments and change requests