



OIF Technical Committee Operating Procedures

Approved by the Technical Committee – 12/04/2020

Contribution: oif2020.425

I. Technical Committee Charter

The Optical Internetworking Forum (OIF) Technical Committee's mission is to accomplish the technical objectives of the OIF with the principal goal to cooperatively produce technical Implementation Agreements to accelerate the deployment of optical networking technology and facilitate industry convergence on interoperability.

II. Technical Committee Operating Procedures

This document specifies the procedures under which the OIF Technical Committee (TC) operates. The OIF Technical Committee is considered a Working Committee as described in the OIF Bylaws. This document must be approved by a Principal Member Ballot, as described below in section XI. Principal Member Ballot.

III. Technical Committee Structure

The Technical Committee reports to the Board of Directors through the Technical Committee Chairperson and is organized into the following types of groups with the responsibilities outlined below:

III.A. Technical Committee

The Technical Committee is the group of Principal Member Representatives charged with the responsibility for the overall operations of the OIF's technical activities. Each Principal Member is represented within the Technical Committee and there are no limits to the number of representatives a Principal Member may have. Technical Committee activities and materials are open to attendance and access by Observers in accordance with Section IV.F below.

The Technical Committee reviews and votes on all proposals submitted for consideration by OIF Working Groups and submits approved proposals to the OIF Board of Directors for review and/or approval. The Board of Directors adds their recommendations and forwards the proposal to the Principal Membership. The process used to produce and review Implementation Agreements/Technical Documents is described below.

The Technical Committee and all of its composite Working Groups are open to (a) participation by representatives of OIF Principal Members in good standing, and to (b) attendance and access, on a non-voting, non-participatory basis, by Observers. An OIF Principal Member is deemed to be in Good Standing if they have submitted a membership application that has been approved and have paid applicable membership dues in full.

III.B. Working Groups

Working Groups of the Technical Committee focus on specific areas where there is a need for Implementation Agreements and/or technical work. Working Groups will be created with a specific charter by a passing vote of the Technical Committee. Modification of Working Group charters require a passing vote of the Technical Committee. Working Groups are dissolved by a passing vote of the Technical Committee. A motion to dissolve a Working Group may not be considered by the Technical Committee unless it has been submitted as a contribution at least 2 weeks in advance. Working Groups organize members to develop the required Implementation Agreements/Technical Documents via the contribution process. Working Groups review contributions and submit Draft Implementation Agreements/Technical Documents to the Technical Committee for review and/or approval.

III.C. Projects

Projects allow the Technical Committee to agree to focus its members on solving a particular problem. The Technical Committee authorizes and initiates Projects in response to a contribution proposing major new work items. Projects will be created from a document that contains:

- a specific name,
- a set of Working Groups involved,
- a problem statement,
- a scope,
- an expected output,
- and a proposed schedule.

Projects are typically assigned to a single Working Group, but Projects may be coordinated across multiple Working Groups. Individual Working Groups may initiate work on specific issues surrounding an existing authorized Project, but may not authorize new Projects by themselves. The expected output of a Project is one or more Implementation Agreements. Authority to terminate Projects lies with the Technical Committee. A motion to terminate a project may not be considered by the Technical Committee unless it has been submitted as a contribution at least 2 weeks in advance. A document will be maintained by the chair or scribe of each Working Group that summarizes the current status of all approved Projects and includes the information above and a pointer to the document that describes the Project.

IV. Technical Committee Officers

The Technical Committee is guided by a Chairperson and a Vice-Chairperson. The Working Groups are led by Working Group Chairpersons. Principal Member Representatives elect the Technical Committee Chairperson and Vice-Chairperson to a one (1) year term. Alternatively, the Board of Directors may appoint the Technical Committee Chairperson and Vice-Chairperson for a period of time determined by the Board of Directors not to exceed one (1) year. The Chairperson may serve for a maximum of three (3) consecutive terms. The Board of Directors may remove the Chairperson and Vice-Chairperson from office at any time.

IV.A. Chairperson

The Chairperson reports directly to the Board of Directors. The Board of Directors, at its sole discretion, has the authority to override decisions made by the Chairperson. The Chairperson sets the overall direction of the Technical Committee in accordance with the Technical Committee Charter. The Chairperson is responsible for:

- Meeting scheduled commitments;
- Completeness of Implementation Agreements/Technical Documents;
- Setting the Technical Committee meeting agenda;
- Setting the Technical Committee meeting schedule;
- Conducting the Technical Committee meetings;
- Managing Technical Committee productivity;
- Managing Technical Committee communication to all Technical Committee Representatives;
- Assigning responsibility for writing meeting minutes in the absence of the Vice-Chairperson;
- Being the liaison between the Technical Committee and the Board of Directors;
- Overall management of the Technical Committee, its Working Groups, and other responsibilities and duties as determined by the Board of Directors.

The Chairperson is responsible for creating and maintaining a work in progress reporting system for the Technical Committee that must at least include:

- Definition of work objectives;
- Deliverables for each objective with time lines;
- Progress to date versus time line for each deliverable.

This report must be delivered to the Board of Directors at least four times per year at the end of each quarter of the OIF's fiscal year.

IV.B. Vice-Chairperson

The Vice-Chairperson reports directly to the Chairperson and/or Board of Directors. The Vice-Chairperson is responsible for:

- Conducting meetings in the absence of the Chairperson;
- Assisting the Chairperson in the operation of the Technical Committee;
- Keeping roll at all Technical Committee meetings;
- Assuring that participants are registered OIF Principal Member Technical Committee Representatives and that Observers are properly registered;
- Taking minutes for all Technical Committee meetings;
- Ensuring timely distribution of Technical Committee meeting minutes (i.e. within two (2) weeks);
- Getting approval of Technical Committee meeting minutes at the next Technical Committee meeting;
- Ensuring that all contributions are posted to the OIF Contribution Web-site;
- Other responsibilities and duties as assigned by the Technical Committee Chairperson.

IV.C. Working Group Chairpersons

The Technical Committee shall elect Working Group Chairpersons on an as needed basis. The term for a Working Group Chairperson shall not exceed two (2) years. The Technical Committee may remove a Working Group Chairperson from office at any time.

The Working Group Chairperson reports to the Technical Committee Chairperson. The Working Group Chairperson sets the overall direction of the Working Group in accordance with the Working Group Charter. The Working Group Chairperson is responsible for:

- Progressing Working Group work as specified by the Working Group Charter;
- Determining with the Working Group members when a Draft Implementation Agreement/Technical Document is ready to be submitted for Straw Ballot at the Technical Committee;
- Delegating tasks to willing Working Group members, e.g. nominating a Working Group Secretary or Editor;
- Meeting scheduled commitments;
- Completeness of Implementation Agreements/Technical Documents developed by the Working Group;
- Setting the Working Group meeting agenda;
- Setting the Working Group meeting schedule;
- Conducting the Working Group meetings;
- Managing Working Group productivity;
- Managing Working Group communication to all Working Group members and Observers registered for the applicable Working Group;
- Taking minutes for all Working Group meetings;
- Ensuring timely distribution of Working Group meeting minutes (i.e. within two (2) weeks);
- Getting approval of Working Group meeting minutes at the next Working Group meeting;
- Being the liaison between the Working Group and the Technical Committee;
- Overall management of the Working Group, and other responsibilities and duties as assigned by the Technical Committee Chairperson or Vice Chairperson.

The Working Group Chairperson is responsible for creating and maintaining a work in progress reporting system for the Working Group that must at least include:

- Definition of work objectives, i.e. Working Group Charter;
- Deliverables for each objective with time lines;
- Progress to date versus time line for each deliverable.

This report must be delivered to the Technical Committee before the end of each Technical Committee meeting.

IV.D. Editors

It shall be the responsibility of the Working Group Chairperson to ensure that a suitable editor is appointed for each OIF document, including Living Lists, Draft Implementation Agreements and other Technical Documents. The Working Group Chairperson may remove or replace an Editor at any time.

IV.E. Liaisons

The Technical Committee may appoint Liaisons from the OIF to other standards bodies. Liaisons are expected to have dual representation in both the OIF and the other standards body, and to carry messages from the OIF to the other body. The Technical Committee may remove a Liaison from office at any time. The Technical Committee Chairperson or Vice Chairperson will make a call for Liaison nominations. Liaisons will be selected by a simple majority vote of the Technical Committee.

IV.F. Observers

Any person or entity (including OIF Auditing Members) interested in the scope of OIF technical work may access OIF technical materials and/or attend OIF technical gatherings, meetings and activities, strictly in an observer capacity, subject in each case to all applicable access, subscription or attendance fees, registration and attendance requirements, space limitations, and rules of engagement. Those attending OIF events or accessing its technical materials in this observer capacity are referred to as “Observers.” Observers, in that capacity, are not OIF Members, do not constitute an OIF membership class, are not entitled to vote on any OIF matters, and are not permitted to contribute in any way to OIF projects, whether in written or verbal form. Observers are not considered “members” for purposes of this document, obtaining quorum for any OIF meeting or vote, or any other activities of OIF or its committees, working groups or projects, and are required to conduct themselves professionally and not take an active part in OIF activities and proceedings.

V. Meetings and General Procedures

The Technical Committee meets as a whole (i.e. Technical Committee Meetings) and in individual Working Groups (i.e. Working Group Meetings) and Projects.

The Technical Committee and its individual Working Groups and Projects each operate through in person, telephonic and/or virtual meetings called and/or noticed for such purpose in accordance with these OIF Technical Committee Operating Procedures (“Meetings”), as well as through the exchange of information and materials for OIF purposes through OIF-supported email exploders, online document repositories and related OIF activities (such Meetings, exchanges and other activities, collectively, “OIF Activities”).

It is the intent of OIF that all OIF Activities be conducted strictly in accordance with applicable laws, the OIF Bylaws, and all applicable policies and procedures from time to time adopted by the OIF membership or Board of Directors. In order to help achieve this objective and set appropriate expectations, all Meetings shall begin with a brief reminder (substantially in the applicable form set forth in [Appendix A](#) hereto, as modified from time to time by the Board of Directors) that by becoming an OIF member or Observer, or otherwise participating in OIF Activities, attendees agree that in connection therewith, they will comply with the foregoing, including but not limited to the following:

- OIF Antitrust Guidelines
- OIF Technical Committee Operating Procedures
- OIF Recommendations for Reporting to the Public on OIF Work-in-Progress
- OIF Press Policy
- OIF Intellectual Property Rights Policy (applies to members only)
- OIF Observer Guidelines (applies to Observers only)
- Applicable U.S. and foreign export control laws

V.A. Meeting and Voting Procedures

All Meetings shall operate according to Robert's Rules unless specifically covered in the Technical Committee procedures. No minimum quorum requirement exists for Technical Committee meetings. Voting requirements to approve a Straw Ballot are defined in Section IX and to approve a Principal Member Ballot are defined in Section XII. The formal voting policy will be one vote/one Principal Member. Votes may be cast using the following voting options:

- Yes;
- No;
- Abstain.

Abstain votes will not be counted towards either a Yes or No vote. Formal votes are taken in meetings of the technical committee or working groups through a show of hands, voice vote, or roll call of the Principal Members. Formal votes may also take place via electronic balloting of the technical committee. For all formal votes that take place by electronic balloting a quorum of 51% must be met of “quorum” members as defined in section VIII A. The meeting minutes will contain the number of yes, no, and abstain votes for all formal votes taken during a meeting. For electronic balloting a contribution will be uploaded containing this same information.

Formal votes need not be taken for every decision. The Chairperson of a meeting may, at the chairperson’s discretion, strive to make many decisions by consensus via direct feedback or via email, without a formal vote. The Chairperson of the meeting has sole authority for determining when consensus has been reached. However, the Chairperson or any Principal Member may, at any time and for any reason, call for a formal vote.

In the case of elections for a Technical Committee Chairperson, Vice-Chairperson or Working Group Chairperson, voting will be via secret ballot.

In order to reduce confusion during meetings, and errors in the record of a discussion, all motions to accept or amend textual material shall be written on a suitable device and displayed to the entire meeting. Suitable devices include overhead transparencies and computers with suitable projectors. The Chairperson of a meeting may, at his/her discretion, waive this rule for motions that they consider easily understood or when they consider this rule too onerous.

No proxy votes are allowed. Only representatives of a member company will be allowed to cast a vote for that member company. Company representation must be identified at the time of meeting registration.

V.B. Technical Committee Meetings

Technical Committee Meetings shall be held at least (3) times per calendar year. Technical Committee meetings are called by the Board of Directors and must be announced to all Principal Members at least two (2) months in advance, and posted on the website. Technical Committee Meetings consist of one or more Plenary sessions allowing the entire Technical Committee to meet jointly, and multiple, possibly concurrent, Working Group sessions. A proposed final agenda based on contributions received by the contribution deadline shall be set by the Technical Committee or Working Group Chairperson and shall be distributed to all Technical Committee or Working Group members and applicable registered Observers at least three (3) days prior to the meeting.

V.B.1. Technical Committee Meeting Attendance

Participation in all Technical Committee Meetings is voluntary. Meetings will be attended by Principal Members in person unless the Technical Committee chairperson and Board of Directors allows attendance through audio or video teleconferencing. If participation in meetings is allowed through audio or video teleconferencing, only members present at the meeting site may vote.

V.B.2. Subject Matter Experts

Subject Matter Experts are individuals who are experts in their technical area. Subject Matter Experts who are not employed by a Principal Member may be invited to participate by the Technical Committee Chairperson by electronic mail in advance of the meeting. Once discussions concerning the Expert's area are concluded, the Expert may remain but must refrain from taking an active part in the meeting. It is the Chairperson's responsibility to enforce this rule and see that an orderly meeting takes place.

V.C. Working Group Meetings

Working Group members are expected to participate in Working Group sessions during Technical Committee Meetings. Working Groups may also hold periodic Interim Meetings independently of Technical Committee Meetings as determined by the Working Group Chairperson. Interim Meetings may be held in person or by conference calls. Interim Meetings are always ad-hoc, and must be noticed to all Observers registered for the applicable Working Group and posted on the website. Binding votes may not be taken at interim meetings unless the meeting is face-to-face and held the day(s) immediately before and adjacent to the Technical Committee meetings. Interim meetings should be announced at least four (4) weeks prior for in person meetings and at least two (2) weeks prior for conference calls. All Interim Meeting announcements must include:

- a proposed agenda,
- an outline of the specific meeting purpose, and
- expected meeting date(s) and location.

V.C.1. Working Group Meeting Attendance

Participation in all Working Group Meetings is voluntary. Notice of each face-to-face meeting will be sent via email to all Working Group members and Observers registered for the applicable Working Group, as well as posted on the website. In the case of phone meetings, notice will be sent to the WG email exploder. Only Principal Members and registered Observers are eligible to attend.

VI. Contributions

A contribution is the method for Principal Members to submit a proposal to the OIF. A contribution can be either a technical, procedural, organizational or an industry related submission. All contributions are submitted to the Technical Committee for review and approval. The Technical Committee will then determine if the document fits within the scope of its respective OIF charter and may delegate the contribution to a Working Group. If the Chairperson or Vice-Chairperson considers a contribution to be a new work area, the Technical Committee will vote on the creation of a new Project or Working Group to address the contribution, or may consider the contribution to be for information only.

VI.A. Contribution Submission

All Principal Members are eligible to submit a contribution to the Technical Committee.

All contributions are submitted electronically via the OIF Contribution Web-site located at:
www.oiforum.com

Members must use their assigned OIF login and password in order to access the Web-site. All

contributions shall be submitted in accordance with the OIF Antitrust and IP Policy documents, with a clear understanding and goal of public distribution following the completion of OIF voting procedures.

VI.B. Contribution Deadline

The deadline for submitting a new contribution for a particular meeting is one (1) week prior to the meeting. After this deadline, contributions will be deferred to the next scheduled meeting, unless otherwise approved as a Late Contribution by the Technical Committee Chairperson, Vice-Chairperson, or applicable Working Group chairperson. Contributors who expect to contribute a Late Contribution are requested to indicate their desire to do so before the deadline to the Chairperson and Vice-Chairperson so that they may set a final agenda prior to the meeting.

VI.C. Contribution Style and Format

All contributions should be submitted in a PDF format. (Microsoft Word, PowerPoint and Excel files, zip files or text files will also be accepted.) Contributions must follow a contribution template designated by the Technical Committee chair. If a member cannot readily format contributions into an accepted file format, please contact the OIF Management Company for assistance (info@oiforum.com or 510-492-4040).

VI.D. Contribution Numbering

All OIF contributions will be numbered, including documents that the OIF distributes that are not contributions to a specific meeting, including meeting minutes. All Contributions Numbers must be obtained via the OIF Contribution Web-site or from the OIF Management Company.

VI.E. Numbering Format

The numbering for contributions will be in the following format:

OIFyyyy.nnn, or a project specific prefix

where yyyy represents the digits of the year and nnn represents a sequential number, including leading zeroes. For example, a document for 1998 might have the reference OIF1998.005.

Individual projects within the TC may be numbered with a project number prefix. For example, oif-p0037.001.00.

VI.F. Contribution Revision Numbers

Revisions to a contribution (which do not create a new contribution) will be denoted by a suffix z where z is the sequential revision number. For example, an updated contribution could be designated OIF1998.001.02.

VI.G. Contribution Language

English is the official language of the OIF and all contributions shall be submitted in English. It is the responsibility of the contributors to translate documents in any other languages to English.

VI.H. Contribution Cover Sheet

Each contribution shall have a cover sheet; the OIF website has a sample contribution cover sheet. The cover sheet shall provide the following information in the following order:

1. Contribution number;
2. Working Group;
3. Contribution Title;
4. Contributor (organization and author with full address, phone, fax and e-mail details);
5. Date of creation (should be the date of the Technical Committee meeting at which the contribution was presented);
6. An abstract of up to 100 words;
7. OIF disclaimer (copyright and IP).

VI.I. Contribution Size

Bearing in mind the international membership of the OIF, all contributions should be laid out so as to ensure they will fit both US (8 1/2" x 11") and A4 (210mm x 297mm or 8.27" x 11.7") paper sizes. A top, right and left margin of 1", and a bottom margin of 1 1/2" will fit both paper sizes.

VI.J. Contribution Register

The register of submitted contributions will show the following:

1. Contribution number;
2. Working Group;
3. Contribution title;
4. Contributor (organization);
5. Date of creation;
6. Abstract;
7. Document file format.

The register will be arranged in contribution number sequence. The register will begin anew at the beginning of every calendar year.

VI.K. Contribution Availability

At a minimum, at each Technical Committee Meeting, all contributions that are posted by the contribution deadline for that TC meeting will be available to the membership on CD. OIF members and Observers registered for the Technical Committee may also download copies of contributions, both historic and current, from the OIF Contribution Web-site. Late contributions may be allocated agenda time at Technical Committee Meetings at the discretion of the Working Group chair.

VI.L. Contribution Disposition Recommendation

No one likes to write a contribution and have it be ignored or forgotten. Contributors are recommended to conclude a contribution with a motion as to the intended status of the text within the contribution. For example, text may be moved into a Living List or directly into a Draft Implementation Agreement.

VII. Implementation Agreement/Technical Document Development Process

OIF Implementation Agreements/Technical Documents may be produced within the Technical Committee or Working Groups and must receive approval from the Technical Committee and the Principal Members before they may be issued. This section of the procedures describes the steps to be followed in preparing Draft Implementation Agreements/Technical Documents for approval. Adherence to these procedures will ensure a smooth and timely path to approval. Subsequent sections describe the rest of the approval process.

VII.A. Implementation Agreement/Technical Document Style and Format

Before a Draft Implementation Agreement/Technical Document can be submitted to the Technical Committee, the Editor should ensure that the Draft Implementation Agreement/Technical Document adheres to the current stylistic guidelines adopted by the OIF. An Implementation Agreement Template is posted on the OIF website.

VII.B. Implementation Agreement/Technical Document Naming Guidelines

To allow simple identification of the type and applicability of an Implementation Agreement/Technical Document, a suggested naming format is as follows:

- Type-(speed|function)-(version)
- “Type” refers to the general purpose of the IA, such as SFI, CEI, E-NNI or CDR.
- “Speed|function” refers to optional information which supplements the “Type” information. For example, a PLL interface may designate the speed with 3, 4 or 5 indicating 2.5, 10 or 40 Gbps rates, respectively. A two-digit format may be used if there is more than one IA for a given Type/Speed (such as SFI5-1, SFI5-2). Alternatively, this field may denote an additional function. For example the “P” in CEI-P indicates it covers protocol for CEI, or “routing” in ENNI-Routing.
- “Version” refers to optional information indicating the specific version of an IA, for example UNI-1.0 or UNI 2.0. The version field may consist of a major revision and a minor revision separated by a period.

The identifier for the document follows the same syntax but is preceded by “OIF” and uses acronyms concatenated by dashes. This identifier is used to reference the OIF document as opposed to its OIF contribution number. Examples are:

OIF-SFI5-01.1

OIF-ENNI-OSPF-01.0

VII.C. Working Group and Technical Committee Agreement

Once a Working Group has reached agreement that a Draft Implementation Agreement/Technical Document is ready, it shall make a recommendation to the Technical Committee that the document be sent to Straw Ballot. The Technical Committee shall forward the draft Implementation Agreement/Technical Document to straw ballot by executing a formal vote with a simple majority constituting passing. If the vote by the Technical Committee fails then the draft Implementation Agreement is returned to the Working Group for further work. Once the Technical Committee has voted to proceed to Straw Ballot, the Technical Committee Chairperson will direct the OIF Management Company to coordinate the Straw Ballot process.

VII.D. Living List Procedures

In the process of creating Implementation Agreements, Working Groups often conceive of a number of issues, develop a large number of ideas, and draft a significant amount of text that has not reached a state of completion that could garner the majority of votes necessary to approve an Implementation Agreement. In order to keep a record of these issues, ideas, and text, a Working Group may keep a Living List to contain them. Items may be added to or removed from the Living List by vote of the Working Group. Living Lists are not Implementation Agreements that are expected to reach the balloting process. Rather, Living Lists are expected to be discarded when their associated Project is concluded.

VII.E. Technical Documents for Publication

A variety of different technical documents can be published. This list is not exclusive, but is meant to show examples of technical document types, including (but not limited to):

- Electrical or optical interface specifications: physical layer specifications that describe an electrical or optical interface over which devices or subsystems may interface.
- Control plane interface specifications: logical interface specifications of control plane protocol messages and behavior.
- Hardware assembly multi-source agreements: open multi-source agreements that specify physical, mechanical, thermal, power, timing electrical, optical and logical requirements for devices or subassemblies.
- Software APIs and benchmarking methodologies.
- Computer models or tools: computer software used for design or verification with other IAs.
- Guideline documents: implementation and deployment documents that guide the operational introduction or usage of Implementation Agreements in networks or network elements.
- Interworking guides: methods to enable dissimilar or incompatible entities (such as control plane protocols) on either side of an interface to work together.
- Requirement documents and technical reports: documents that describe required functionality as determined by Working Groups whose charter includes requirement definition. The charter of the Working Group may also specify the approval authority for requirement documents.

VII.F. Technical Document Distribution

All Technical Documents will be published when approved. All technical work in process is to be made accessible to Members and Observers. The Technical Committee also may decide by a motion to distribute Technical Documents that are in draft form to be published to selected external recipients.

VIII. Balloting Process

Implementation Agreements are required to complete the Balloting Process defined in this section for approval. The approval process for other Technical Documents is determined by the Technical Committee.

OIF has two (2) steps in the Balloting Process: Straw Ballot and Principal Member Ballot. All ballot processes will take place electronically. It is the responsibility of the Technical Voting Representatives of each Principal Member to ensure that the OIF Management Company has the most up to date e-mail address on file.

All Straw Ballots and Principal Ballots will be distributed to the Technical Voting Representative of all Principal Members via e-mail and the ballot will be due by a date specified by the Technical Committee Chairperson, and not less than two (2) weeks from the date of distribution.

There shall be NO posting of member ballot submittals (including ballot comments) to exploder e-mail lists or to the contribution site BEFORE a ballot period has closed.

VIII. A. Reaching Quorum

For each and every balloting process there will be a listing of “quorum” voters and “non-quorum” voters. The “quorum” voters will comprise those members that did submit a ballot within the two previous ballot processes, and/or those members that are new to OIF since the second to last balloting process. The “non-quorum” voters will comprise those members that failed to submit a ballot (see VIII B.). In each balloting process, it is the number of voting “quorum” voters that determines whether the required quorum has been reached on that particular balloting process.

VIII. B. Failure to Submit Ballot

If a Principal Member fails to vote in two (2) consecutive Balloting procedures, the Principal Member will be counted in the listing of “non-quorum” voters in the next balloting process. Once a valid ballot is received during a balloting process from a Principal Member listed as a “non-quorum” voter, that Principal Member will be listed with the other “quorum” voters for the next balloting process.

The OIF Board of Directors reserves the discretion to resolve any issues about what constitutes a valid ballot, and to intervene if the Balloting Procedures are not followed correctly.

IX. Straw Ballot Process

The purpose of the Straw Ballot is to obtain feedback from Principal Members in the form of comments for incorporation into the final Draft Implementation Agreement for Principal Member Ballot.

At this time in the balloting process, members are invited to submit their comments on the Draft Implementation Agreement. The Straw Ballot shall contain the following voting options:

- Yes;
- Yes with comments;
- No with comments;
- Abstain.

Ballots returned from a simple majority of Principal Members from the current quorum group (see VIII. B.) are required for a valid balloting process. Once quorum has been established, a simple majority is required for approval using the one vote/one Principal Member policy. Abstain votes will be counted towards quorum but will not be counted towards a Yes or No vote.

The results of each Straw Ballot will be made available to the membership shortly after the ballot deadline. This information shall include:

- Number of eligible voters;
- Number of quorum voters;
- Number of valid votes from quorum voters;
- Number and percentage of valid votes cast;
- Number of Yes and Yes with comment votes;
- Number of No with comment votes;
- Number of Abstains.

Comments submitted through the Straw Balloting process, along with a listing of how each Principal Member voted, will be compiled into a contribution by the OIF Management Company

and submitted to the Technical Committee.

IX.A. Comment Review

The Working Group will schedule time to review Straw Ballot comments and will seek to address all the comments. The Working Group shall compile and submit its responses as a contribution that will be posted on the OIF Contribution Website for access to all members and Observers registered for the applicable Working Group. The Working Group may revise the Draft Implementation Agreement in response to the comments.

IX.A.1. Comment review with No Comments or Minor Editorial or Minor Technical Changes

If no comments are submitted, or the Working Group Chairperson, Technical Committee Chairperson, and Technical Committee Vice-Chairperson determine that the revision of the draft implementation agreement contains only changes of a minor editorial or minor technical nature, then the document may be forwarded for principal member ballot. A passing vote of the Technical Committee is required to forward the revised Draft Implementation Agreement to the Board of Directors for further processing to the Principal Member Ballot.

IX.A.2. Comment Review results in Significant Technical Changes

If the Working Group Chairperson, Technical Committee Chairperson, and Technical Committee Vice-Chairperson determine that the revision of the draft implementation agreement contains changes that are of significant technical nature, then the revised Draft Implementation Agreement must go back through the Straw Ballot process.

X. Board of Directors Approval

Once a Draft Implementation Agreement has passed Straw Ballot and is recommended to move forward by the Technical Committee, it goes to the Board of Directors with a recommendation that it goes out for Principal Member Ballot.

The Board of Directors will review the recommendation and decide if the Draft Implementation Agreement is ready for such ballot. If yes, it is then prepared for Principal Member Ballot. If no, it is then returned to the Technical Committee along with an explanation of why the Board of Directors decided it was not ready for balloting.

XI. Principal Member Ballot

The purpose of the Principal Member Ballot is to obtain final approval from Principal Members before a Draft Implementation Agreement becomes an OIF Implementation Agreement. This is the last opportunity for a Principal Member to cast a vote on a Draft Implementation Agreement.

The Principal Member Ballot shall contain the following voting options:

- Yes;
- Yes with comments;
- No with comments;
- Abstain.

Ballots returned from a simple majority of Principal Members from the current quorum group (see VIII. B.) are required for a valid balloting process. Once quorum has been established, 3/4 of the total "Yes" and "No" votes must be "Yes" for approval using the one vote/one Principal Member policy.

The results of each Principal Member Ballot will be made available to the membership shortly after the ballot deadline. This information shall include:

- Number of eligible voters;
- Number of quorum voters;
- Number of valid votes from quorum voters;
- Number and percentage of valid votes cast;
- Number of Yes and Yes with comment votes;
- Number of No with comment votes;
- Number of Abstains.

Comments submitted through the Principal Member Balloting process, along with a listing of how each Principal Member voted, will be compiled into a contribution by the OIF Management Company. If the principal member ballot passes, the document becomes an implementation agreement. There is no requirement to review or respond to the comments from the balloting process. The comments remain part of the ballot record but not part of the implementation agreement. However, if Working Group chairperson and Technical Committee chairperson agree they want to incorporate submitted comments, they should follow the following procedure:

1. Update the Document;
2. Determine if the Document had material changes;
3. If not, obtain approval of the Technical Committee chairperson and publish the Document
4. If yes, the Technical Committee Chairperson, Technical Committee Vice Chairperson and Working Group Chairperson will decide if the document should go through the straw ballot process or be sent directly to principal member ballot.

If updates will be incorporated into the approved Implementation Agreement, they should be handled in an expeditious manner. If updates will take longer than two (2) weeks, the Working Group Chairperson must provide the Technical Committee with a proposed schedule for completion.

XI.A. Approved

If the Principal Members approve the Draft Implementation Agreement, it shall become an OIF Implementation Agreement and be made available to the public. The editor of the Implementation Agreement shall provide the final copy of the approved document in the original file format (e.g. Microsoft Word) and the OIF management company shall archive both this document and the document in its published format (e.g. Acrobat Reader).

XI.B. Not Approved

If the Principal Members do not approve the Draft Implementation Agreement, it shall go back to the Technical Committee and/or Working Group for disposition. If the Draft Implementation Agreement is revised, then upon completion of the revision, the Technical Committee Chairperson, Technical Committee Vice-Chairperson and Working Group Chairperson will decide whether the draft Implementation Agreement should go through the straw ballot process or be sent directly to principal member ballot process. Initiation of the balloting process requires a passing vote of the Technical Committee.

XII. Revisions to Approved Implementation Agreements

Revisions to a previously approved Implementation agreement are handled like changes to a

Draft Implementation Agreement which has already passed Straw Ballot. If the Working Group Chairperson, Technical Committee Chairperson, and Technical Committee Vice-Chairperson determine that the revision of the draft implementation agreement contains only changes of a minor editorial or minor technical nature, then the Technical Committee may vote to forward the revised Implementation Agreement to the Board of Directors for review. Board of Directors approval and Principal Member Ballot then proceed as described in sections X and XI.

If the Working Group Chairperson, Technical Committee Chairperson, or Technical Committee Vice-Chairperson determine that the revision of the Implementation Agreement contains changes that are of significant technical nature, then the revised Implementation Agreement must start with the Straw Ballot process.

XIII. Proprietary or Confidential Information

Each OIF Member acknowledges and agrees that all technical and product development information disclosed to the OIF in connection with the OIF technical development process is and will be made public without restrictions on further dissemination, and will not be subject to any confidentiality obligations. Accordingly, there will be no non-disclosure requirement imposed on OIF members, and the OIF is in no way responsible for individual OIF member companies' product or company information, nor is it responsible for holding any information confidential. Each OIF member company is responsible for all of its own information, and for determining when and whether to disclose that information in connection with OIF activities.

Notwithstanding the foregoing, individual members may agree to non-disclosure requirements for interoperability testing or other special circumstances, where doing so does not violate or cause the OIF to violate applicable export control laws.

OIF Members are not authorized to provide quotes or comments on behalf of the OIF. OIF Members are required to comply with the content in the Press Contact Policy.

XIV. Other Documents:

The Technical Committee will maintain the following documents to enhance the working of the committee:

- Sample Contribution cover sheet
- OIF Implementation Agreement template in Word format
- A current roster of active projects, with references to the project plan and related documents

APPENDIX A

OIF MEETING COMPLIANCE STATEMENTS

User Note: The following statements (the “Long Form”) shall be read or presented at the start of all OIF technical meeting series or single session OIF technical meeting events (whether F2F, telephonic or online).

General Compliance Statement

It is the intent of OIF that all OIF activities be conducted in a transparent manner, in accordance with applicable laws, the OIF Bylaws, and all applicable policies and procedures from time to time adopted by the OIF membership or Board of Directors. By becoming an OIF member or otherwise attending or participating in its activities, attendees agree to comply with the foregoing, including but not limited to the matters described below. Attendees are strongly encouraged to consult their own legal counsel for input on what conversations, disclosures and other activities are appropriate in connection with OIF activities. If you have compliance concerns regarding any OIF-related matter, please raise them with OIF staff and feel free to object or request that the conversation be redirected.

Antitrust Guidelines

OIF meetings necessarily involve participation by industry competitors, and it is the intention of OIF to conduct all of its activities in accordance with applicable antitrust and competition laws. It is therefore extremely important that attendees adhere to meeting agendas, and be aware of, and not participate in, any activities that are prohibited under applicable US state, federal or foreign antitrust and competition laws. Examples of types of actions that are prohibited at OIF meetings and in connection with OIF activities are described in the OIF Antitrust Guidelines, and include (without limitation): any discussion or agreement (real or perceived) regarding price fixing, agreements to allocate markets, boycotts and other "concerted refusals to deal." The current OIF Antitrust Guidelines are available here: https://www.oiforum.com/wp-content/uploads/OIF_Antitrust_Guidelines.pdf

IPR Policy

All OIF members are subject to the terms of the OIF intellectual Property Rights (IPR) Policy. Among other things, the IPR Policy requires members to disclose any intellectual property (IP) (obtained or potential) they may own relating to any OIF specification or document before straw ballot. The goal is to offer Reasonable And Non-Discriminatory terms if you do have IP. The current OIF IPR Policy is available here: https://www.oiforum.com/wp-content/uploads/OIF_IPR_Policy.pdf

Export Compliance

In order to ensure the transparency and accessibility of its technical development work and processes, all technical information and materials developed or disclosed in connection with OIF activities shall be publicly available. As a US-based entity, OIF is required to comply with U.S. export control laws, including the U.S. Export Administration Regulations. Accordingly, all meeting attendees are required to comply with all applicable export control laws in connection with OIF activities, and OIF expressly prohibits the release or exchange of any U.S. export controlled technology, software, materials, or information in connection therewith. Prior to releasing any of the foregoing in connection with OIF activities, attendees are strongly

encouraged to consult with their own legal advisors and are reminded that they are solely liable and responsible for their own conduct and compliance with applicable export control laws.

OIF Technical Committee Operating Procedures

All Technical Committee, Working Group and Project activities are subject to the OIF Technical Committee Operating Procedures, available at https://www.oiforum.com/wp-content/uploads/OIF_Technical_Committee_Operating_Procedures.pdf for additional information.

OIF Recommendations for Reporting to the Public on OIF Work-in-Progress

In order to help promote consistency and avoid confusion in the marketplace, meeting attendees are encouraged not to broadly disclose ongoing work, ballot schedules, Working Group decisions, or OIF internal discussions. Please see https://www.oiforum.com/wp-content/uploads/OIF_Reporting_to_Public_on_OIF_Work.pdf for additional information.

OIF Press Policy

Pursuant to the OIF Press Policy, refer all press inquiries regarding OIF general info, quotes, IA info, articles or work in progress to OIF/AMS, who will work this with our PR firm to ensure clear and consistent messaging. Consider any discussions with press to be on the record. See https://www.oiforum.com/wp-content/uploads/OIF_Press_Contact_Policy.pdf for additional information.

OIF Observer Guidelines (applies to Observers only)

Non-Member observers (Observers) may register to attend OIF meetings and activities and are subject to applicable requirements specified in the OIF Observer Guidelines. Among other things, Observers may not vote or make contributions, and agree to participate on an observer only (non-participating) basis. For additional information, please see the Observer Guidelines at https://www.oiforum.com/wp-content/uploads/OIF_Observer_Guidelines.pdf

Hallway Behavior

During or in connection with OIF meetings and other activities, opportunities may arise for interactions between or among members or attendees that are not sanctioned, managed or otherwise controlled by OIF ("Non-OIF Activities"). These may include, for example, informal discussions, conversations and exchanges during breaks or meals, in hallways, at side meetings or elsewhere. Meeting attendees are required to comply with all applicable laws and OIF policies and procedures in connection with all Non-OIF Activities, and are reminded that they are solely liable and responsible for such compliance.

User Note: The following abbreviated set of statements shall be read or presented at the start of each OIF technical meeting or session (f2f, calls and online) where the Long Form is not presented, and also may be used as meeting intermission slide.

General Compliance Statement

In connection with OIF activities, all attendees must comply with the OIF Bylaws and all applicable laws and OIF policies and procedures. Attendees should consult their legal advisors regarding appropriate conduct, conversations, and disclosures. If you have compliance concerns regarding OIF-related matters, please raise them with OIF staff and feel free to object or request that the conversation be redirected.

Antitrust Guidelines: https://www.oiforum.com/wp-content/uploads/OIF_Antitrust_Guidelines.pdf

OIF activities must be conducted in accordance with applicable antitrust and competition laws. Attendees must adhere to meeting agendas, and be aware of, and not participate in, any activities that are prohibited by applicable antitrust and competition laws, including but not limited to, any discussion or agreement (real or perceived) regarding price fixing, allocation of markets, boycotts, or other "concerted refusals to deal."

Export Compliance: (Ctrl + Click to follow link)

OIF expressly prohibits the release or exchange of any U.S. export controlled technology, software, materials, or information in connection with its activities. Attendees are solely liable and responsible for their own conduct, disclosures and legal compliance, and should consult appropriate legal advisors regarding such matters.

IPR Policy (Members only): https://www.oiforum.com/wp-content/uploads/OIF_IPR_Policy.pdf

OIF Technical Committee Operating Procedures: https://www.oiforum.com/wp-content/uploads/OIF_Technical_Committee_Operating_Procedures.pdf

OIF Recommendations for Reporting to the Public on OIF Work-in-Progress:

https://www.oiforum.com/wp-content/uploads/OIF_Reporting_to_Public_on_OIF_Work.pdf

OIF Press Policy: https://www.oiforum.com/wp-content/uploads/OIF_Press_Contact_Policy.pdf

Hallway Behavior: (Ctrl + Click to follow link)

OIF Observer Guidelines (Observers only): https://www.oiforum.com/wp-content/uploads/OIF_Observer_Guidelines.pdf