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# ITU-T

TELECOMMUNICATION  
STANDARDIZATION SECTOR  
OF ITU

WORLD TELECOMMUNICATION STANDARDIZATION  
ASSEMBLY

Dubai, 20-29 November 2012

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## **RECOMMENDATION ITU-T A.1 – Working methods for study groups of the ITU Telecommunication Standardization Sector (ITU-T)**

### ***CAUTION !***

#### ***PREPUBLISHED RECOMMENDATION***

This prepublication is an unedited version of a recently approved ITU-T Recommendation. It will be replaced by the published version after editing. Therefore, there will be differences between this prepublication and the published version.

## FOREWORD

The International Telecommunication Union (ITU) is the United Nations specialized agency in the field of telecommunications, information and communication technologies (ICTs). The ITU Telecommunication Standardization Sector (ITU-T) is a permanent organ of ITU. ITU-T is responsible for studying technical, operating and tariff questions and issuing Recommendations on them with a view to standardizing telecommunications on a worldwide basis.

The World Telecommunication Standardization Assembly (WTSA), which meets every four years, establishes the topics for study by the ITU-T study groups which, in turn, produce Recommendations on these topics.

The approval of ITU-T Recommendations is covered by the procedure laid down in WTSA Resolution 1.

In some areas of information technology which fall within ITU-T's purview, the necessary standards are prepared on a collaborative basis with ISO and IEC.

## NOTE

In this Recommendation, the expression "Administration" is used for conciseness to indicate both a telecommunication administration and a recognized operating agency.

Compliance with this Recommendation is voluntary. However, the Recommendation may contain certain mandatory provisions (to ensure, e.g., interoperability or applicability) and compliance with the Recommendation is achieved when all of these mandatory provisions are met. The words "shall" or some other obligatory language such as "must" and the negative equivalents are used to express requirements. The use of such words does not suggest that compliance with the Recommendation is required of any party.

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As of the date of approval of this Recommendation, ITU [had/had not] received notice of intellectual property, protected by patents, which may be required to implement this Recommendation. However, implementers are cautioned that this may not represent the latest information and are therefore strongly urged to consult the TSB patent database at <http://www.itu.int/ITU-T/ipr/>.

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## RECOMMENDATION ITU-T A.1

### **Working methods for study groups of the ITU Telecommunication Standardization Sector (ITU-T)**

(1996; 2000; 2004; 2006; 2008; 2012)

#### **1 Study groups and their relevant groups**

##### **1.1 Frequency of meetings**

**1.1.1** Study groups meet to facilitate the approval of Recommendations. Such meetings shall only be held with the approval of the Director of the Telecommunication Standardization Bureau (TSB), and with due consideration of the physical and budgetary capabilities of the ITU Telecommunication Standardization Sector (ITU-T). To minimize the number of meetings required, every effort should be made to resolve questions by correspondence (No. 245 of the ITU Convention).

**1.1.2** In the establishment of the work programme, the timetable of meetings must take into account the time required for participating bodies (administrations of Member States and other duly authorized entities) to react and prepare contributions. Meetings should not be held more frequently than is necessary to make effective progress and should take into account TSB's capabilities to provide the necessary documentation. A meeting scheduled so that its separation from a preceding meeting, upon which it depends, is less than six months may incur the possibility of full documentation from the previous meeting not being available.

**1.1.3** Meetings of study groups having common interests or dealing with problems possessing affinities should, if possible, be arranged so as to enable participating bodies to send one delegate or representative to cover several meetings. As far as possible, the arrangement chosen should enable the study groups meeting during the period to exchange any information they may require without delay. Furthermore, it should enable specialists from all over the world in the same or related subjects to have direct contacts with each other of benefit to their organizations. It should likewise enable the specialists concerned to avoid leaving their home countries too often.

**1.1.4** The timetable of meetings shall be prepared and communicated to participating bodies well in advance (one year), to give time to study problems and submit contributions within the prescribed time-limits and to give TSB time to distribute the contributions. In this way, study group chairmen and delegates will be given the opportunity to consider the contributions in advance, thus helping to make meetings more efficient and reduce their length. A study group chairman, in conjunction with the Director, may schedule short additional study group or working party meetings for the purpose of making the consent, determination or decision, as appropriate, on a draft new or revised Recommendation.

**1.1.5** Subject to physical and budgetary limitations and in consultation with the Director, the work of the study groups should be on a continuous basis and dissociated from the interval between WTSA's.

##### **1.2 Coordination of work**

**1.2.1** A joint coordination activity (JCA) may be formed to coordinate work relating to more than one study group. Its primary role is to harmonize planned work effort in terms of subject matter, time-frames for meetings and publication goals (see clause 2.2).

### **1.3 Preparation of studies and meetings**

**1.3.1** At the beginning of each study period, an organization proposal and an action plan for the study period shall be prepared by each study group chairman with the help of TSB. The plan should take into account any priorities and coordination arrangements, recommended by the Telecommunication Standardization Advisory Group (TSAG) or decided by the World Telecommunication Standardization Assembly (WTSA).

How the proposed action plan is implemented will depend upon the contributions received from the members of ITU-T and the views expressed by participants in the meetings.

**1.3.2** A collective letter with an agenda of the meeting, a draft work plan and a listing of the Questions or proposals under the general areas of responsibility to be examined, shall be prepared by TSB with the help of the chairman.

The work plan should state which items are to be studied on each day, but it must be regarded as subject to change in the light of the rate at which work proceeds. Chairmen should try to follow it as far as possible.

This collective letter should be received by bodies participating in the activities of particular ITU-T study groups, as far as practicable, two months before the beginning of the meeting. The collective letter shall include registration information for these bodies to indicate participation in the meeting. Each Member State administration, Sector Member, Associate and regional or international organization should send to TSB a list of its participants at least one month before the start of the meeting. In the event that names cannot be provided, the expected number of participants should be indicated. Such information will facilitate the registration process and the timely preparation of registration materials. Individuals who attend the meeting without pre-registration may experience a delay in receiving their documents.

If the meeting in question has not been previously planned and scheduled, a collective letter should be received at least three months before the meeting.

**1.3.3** If an insufficient number of contributions or notification of contributions has been submitted, no meeting should be held. The decision whether to cancel a meeting or not shall be taken by the Director, in agreement with the chairman of the study group or working party concerned.

### **1.4 Conduct of meetings**

**1.4.1** The chairman shall direct the debates during the meeting, with the assistance of TSB.

**1.4.2** The chairman is authorized to decide that there shall be no discussion on Questions on which insufficient contributions have been received.

**1.4.3** Questions which have not elicited any contributions should not be placed on the final agenda of the meeting, and according to provisions of 7.4.1 of WTSA Resolution 1, may be deleted if no contributions have been received for the previous two study group meetings.

**1.4.4** Study groups and working parties may set up working teams (which should be as small as possible and are subject to the normal rules of the study group or working party) during their meetings, to study Questions allocated to those study groups and working parties.

**1.4.5** For projects involving more than one study group, baseline documents may be prepared in order to provide the basis for coordinated study among the various study groups. The term "baseline document" refers to a document which contains the elements of common agreement at a given point in time.

**1.4.6** Chairmen will ask, during each meeting, whether anyone has knowledge of patents or software copyrights, the use of which may be required to implement the Recommendation being considered. The fact that the question was asked shall be recorded in the working party or study group meeting report, along with any affirmative responses.

**1.4.7** Study groups shall establish and maintain a work programme, which includes target dates for consenting or determining each draft Recommendation. The work programme is available in a database which is searchable from the study group website. For each work item under development, the database contains the Recommendation number (or provisional mnemonic designation), the title, scope, editor, timing, priority, identification of any liaison relationships, any editor assigned, the location of the most recent text, the approval process, and the status for documents in the approval process. The database is updated to reflect progress or completion of work, re-planning of in-progress items, or addition of new work items.

The decision to add a new work item to the work programme should be documented in the report of the meeting using the template in Annex A. Note that this may not be necessary to document the continuation of existing work (e.g. an amendment or revision of an existing Recommendation).

A work item may be considered for discontinuation from the work programme if it has not given rise to any contribution in the time interval of the previous two study group meetings.

## **1.5 Liaison statements**

**1.5.1** The following information shall be included in liaison statements prepared at study group, working party or rapporteur group meetings. When necessary, between scheduled meetings, the liaison statement may be prepared by an appropriate correspondence process and approved by the study group chairman in consultation with the study group management team.

- List the appropriate Question numbers of the originating and destination study groups.
- Identify the study group, working party or rapporteur group meeting at which the liaison statement was prepared.
- Include a concise title appropriate to the subject matter. If this is in reply to a liaison statement, make this clear, e.g. "Reply to liaison statement from (*source and date*) concerning ...".
- Identify the study group(s) and working party(s) (*if known*) or other standards organizations to which it has been sent. (*A liaison statement can be sent to more than one organization.*)
- Indicate the level of approval, e.g. study group or working party, or state that the liaison statement has been agreed at a rapporteur group meeting.
- Indicate if the liaison statement is sent for action *or* comment *or* information. (*If sent to more than one organization, indicate this for each one.*)
- If action is requested, indicate the date by which a reply is required.
- Include the name and address of the contact person.

The text of the liaison statement should be concise and clear, using a minimum of jargon.

An example of the information required in a liaison statement is shown in Figure 1-1.

FIGURE 1-1

**Example of the information required in a liaison statement**

|                          |   |         |                 |
|--------------------------|---|---------|-----------------|
| QUESTIONS:               | 45/15, 3/4, 8/ITU-R SG 11   |         |                 |
| SOURCE:                  | ITU-T SG 15, Rapporteur group for Q.45/15 (London, 2-6 October 1997)                                |         |                 |
| TITLE:                   | Object Identifier Registration – Reply to liaison statement from WP 5/4 (Geneva, 5-9 February 1997) |         |                 |
| <b>LIAISON STATEMENT</b> |   |         |                 |
| FOR ACTION TO:           | ITU-T SG 4 – WP 5/  |         |                 |
| FOR COMMENT TO:          |   |         |                 |
| FOR INFORMATION TO:      | ITU-R SG11, ISO/IEC JTC 1/SC 6  |         |                 |
| APPROVAL:                | Agreed to at the rapporteur group meeting   |         |                 |
| DEADLINE:                | Deadline for reply – 22 January 1998  |         |                 |
| CONTACT:                 | John Jones, rapporteur for Q.45/15  | Tel:    | +1 576 980 9987 |
|                          | ABC Company   | Fax:    | +1 576 980 9956 |
|                          | Anytown, CA USA   | e-mail: | jj@abcco.com    |

**1.5.2** Liaison statements should be forwarded to the appropriate destinations as soon after the meeting as possible. Copies of all liaison statements should also be sent to the chairmen of the study groups and working parties involved for information and to TSB for processing.

**1.6 Correspondence activities**

Correspondence activities may be authorized to be conducted via e-mail between meetings. Each correspondence activity should have specified terms of reference. A convener is appointed to moderate the e-mail discussion and prepare a report to a subsequent meeting. A correspondence activity should normally conclude no later than the contribution deadline of the meeting to which it is expected to report.

**1.7 Preparation of reports of study groups, working parties or joint working parties, Recommendations and new Questions**

**1.7.1** A report on the work done during a meeting of a study group, working party or joint working party shall be prepared by TSB. Reports of meetings not attended by TSB should be prepared under the responsibility of the chairman of the meeting. This report should set out the results of the meeting and the agreements reached in a condensed form and should identify the points left to the next meeting for further study. The number of annexes to the report should be kept to a strict minimum by means of cross-references to contributions, reports, etc., and references to material in the documentation of a study group or working party. It would be desirable to have a concise summary of contributions (or equivalent) considered by the meeting.

The report should concisely present the following: organization of work; references to and possible summary of contributions and/or documents issued during a meeting; main results, including a status of new and/or revised Recommendations consented, determined or under development; directive for future work; planned meetings of working parties, sub-working parties and rapporteur groups; and condensed liaison statements endorsed at the study group or working party level. The table showing the status of Recommendations from the report is used to update the work programme database (see clause 1.4.7).

**1.7.2** To assist TSB in this task, the study group or working party may arrange for delegates to draft some parts of the report. TSB should coordinate this drafting work. If necessary, the meeting will set up an editorial group to improve the texts of draft Recommendations in the official languages of the Union.

**1.7.3** If possible, the report shall be submitted for approval before the end of the meeting; otherwise, it shall be submitted to the chairman of the meeting for approval.

**1.7.4** When existing and already translated ITU-T texts have been used for some parts of the report, a copy of the report annotated with references to the original sources should also be sent to TSB. If the report contains ITU-T figures, the ITU-T reference number should not be deleted even if the figure has been modified.

**1.6.5** Individual reports of meetings should be accessible online to appropriate users as soon as electronic versions of these documents are available to TSB.

**1.7.6** ITU-T participating bodies are authorized to transmit study group or working party reports and documents to any experts they consider it expedient to consult, except where the study group or working party concerned has specifically decided that its report, or a document, is to be treated as confidential.

**1.7.7** The report of a study group's first meeting in the study period shall include a list of all the rapporteurs appointed. This list shall be updated, as required, in subsequent reports.

## **1.8 Definitions**

This Recommendation defines the following terms:

### **1.8.1 Terms defined elsewhere**

**1.8.1.1** Question [WTS Resolution 1 (Rev. Dubai 2012)]: Description of an area of work to be studied, normally leading to the production of one or more new or revised Recommendations.

### **1.8.2 Terms defined in this Recommendation**

**1.8.2.1 amendment:** An amendment to a Recommendation contains changes or additions to an already published ITU-T Recommendation.

NOTE – An amendment is published by ITU-T as a separate document that contains primarily changes or additions. If it forms an integral part of the Recommendation, approval of an amendment follows the same approval procedures as for Recommendations; otherwise, it is agreed by the study group.

**1.8.2.2 annex:** An annex to a Recommendation contains material (e.g. technical detail or explanation) which is necessary to its overall completeness and comprehensibility and is therefore considered an integral part of the Recommendation.

NOTE 1 – As an annex is an integral part of the Recommendation, approval of an annex follows the same approval procedures as Recommendations.

NOTE 2 – In common ITU-T | ISO/IEC texts, this element is called an "integral annex".

**1.8.2.3 appendix:** An appendix to a Recommendation contains material which is supplementary to and associated with the subject matter of the Recommendation but is not essential to its completeness or comprehensibility.

NOTE 1 – An appendix is not considered to be an integral part of the Recommendation and thus it does not require the same approval procedures as Recommendations; agreement by the study group is sufficient.

NOTE 2 – In common ITU-T | ISO/IEC texts, this element is called a "non-integral annex".

**1.8.2.4 clause:** The word clause shall be used to denote single-digit or multiple-digit numbered text passages.

**1.8.2.5 corrigendum:** A corrigendum to a Recommendation contains corrections to an already published ITU-T Recommendation. A corrigendum is published by ITU-T as a separate document that contains only corrections. TSB may correct obvious errors by issuing a corrigendum with the concurrence of the study group chairman; otherwise, approval of a corrigendum follows the same approval procedures as Recommendations.

NOTE – In common ITU-T | ISO/IEC texts, this element is called a "technical corrigendum".

**1.8.2.6 implementers' guide:** An implementers' guide is a document which records all identified defects (e.g. typographical errors, editorial errors, ambiguities, omissions or inconsistencies, and technical errors) associated with a Recommendation or a set of Recommendations and their status of correction, from their identification to final resolution.

NOTE – An implementers' guide is issued by ITU-T following agreement by a study group, or following agreement by a working party with concurrence of the study group chairman. Typically, defect corrections are first collected in an implementers' guide and, at a time deemed appropriate by the study group, they are used to produce a corrigendum or are included as revisions to a Recommendation.

**1.8.2.7 normative reference:** Another document that contains provisions which, through reference to it, constitute provisions to the referring document.

**1.8.2.8 supplement:** A document which contains material which is supplementary to and associated with the subject matter of one or more Recommendations but which is not essential to their completeness or understanding and implementation.

NOTE – Recommendation ITU-T A.13 deals with the subject of supplements to ITU-T Recommendations.

**1.8.2.9 text:** The "text" of Recommendations is understood in a broad sense. It may contain printed or coded text and/or data (such as test images, graphics, software, etc.).

**1.8.2.10 work item:** An assigned piece of work, which is identifiable with a question and which has specific or general objectives, which will result in a product, usually a Recommendation, for publication by ITU-T.

**1.8.2.11 work programme:** A list of work items that are owned by a study group.

## **2 Study group management**

### **2.1 Study group structure and distribution of work**

**2.1.1** Study group chairmen shall be responsible for the establishment of an appropriate structure for the distribution of work and the selection of an appropriate team of working party chairmen and shall take into account the advice provided by the members of the study group as well as the proven competence, both technical and managerial, of the candidates.

**2.1.2** A study group may entrust a Question, a group of Questions or the maintenance of some existing Recommendations within its general area of responsibility to a working party.

**2.1.3** Where the scope of the work is considerable, a study group may decide to further divide the tasks assigned to a working party to sub-working parties.

**2.1.4** Working parties and sub-working parties should be set up only after thorough consideration of the Questions. Proliferation of working parties, sub-working parties or any other subgroups should be avoided.

**2.1.5** A study group may exceptionally, by agreement with other relevant study group(s) and taking account of any advice from TSAG and the Director of TSB, entrust a joint working party with Questions or parts of Questions of common interest to the study groups concerned. This study group shall act as the lead study group for the joint working party and shall coordinate and have responsibility for the work concerned. The contributions used as a basis for discussion in the joint working party shall be sent exclusively to those registered in the joint working party. Only the reports shall be sent to all participating bodies of the study groups concerned.

**2.1.6** As the promotion of study group activities is an essential element in any ITU-T marketing plan, each study group chairman, supported by other study group leaders and subject matter experts, is encouraged to establish, maintain and participate in a promotion plan, coordinated with TSB, whose emphasis is the dissemination of study group information to the telecommunication community. Such study group information dissemination should cover, but is not limited to, new work initiatives and significant accomplishments regarding technologies and technical solutions.

## **2.2 Joint coordination activities (JCAs)**

**2.2.1** A joint coordination activity (JCA) is a tool for management of the work programme of ITU-T when there is a need to address a broad subject covering the area of competence of more than one study group. A JCA may help to coordinate the planned work effort in terms of subject matter, time-frames for meetings, collocated meetings where necessary and publication goals including, where appropriate, release planning of the resulting Recommendations.

The establishment of a JCA aims mainly at improving coordination and planning. The work itself will continue to be conducted by the relevant study groups and the results are subject to the normal approval processes within each study group. A JCA may identify technical and strategic issues within the scope of its coordination role, but will not perform technical studies nor write Recommendations. A JCA may also address coordination of activities with recognized standards development organizations (SDOs) and forums, including periodic discussion of work plans and schedules of deliverables. The study groups take JCA suggestions into consideration as they carry out their work.

**2.2.2** Any group (study group or TSAG) may propose that a JCA be established. The proposal to establish a JCA should first be discussed within the proposing group's management team, then among the relevant study group chairmen and the TSAG chairman. Discussions may be held with external SDOs and forum leaders.

If the study group proposing the establishment of the JCA has been designated as the lead study group by WTSA or TSAG according to Section 2 of WTSA Resolution 1, and if the subject is under their responsibility and mandate as described in WTSA Resolution 2, then a study group may establish a JCA on its own authority. If a study group meeting is pending within the next two months, then an electronic notification<sup>1</sup> proposing the JCA, including the terms of reference (including scope, objectives and anticipated lifetime) and the chairman, is published four weeks prior to the study group meeting, giving opportunity for the membership to give their position at the meeting. If this is done at least four weeks prior to the study group meeting, following the

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<sup>1</sup> This electronic notification should be sent to the general e-mail reflector for the proposing study group and should also be a temporary document to the next meeting of the study group.

resolution of any comments, the JCA may be established by the study group by consensus at its meeting. If a study group meeting is not pending within the next two months, then an electronic notification as above is sent for the membership to give their position by electronic response. If the notification is sent less than four weeks before the study group meeting, no decision is taken at the study group meeting; the decision may be taken four weeks after the notification, excluding the meeting time. If necessary, the proposal is adjusted taking into consideration comments received and made available to the study group electronically for decision with a further four-week interval. If there are no substantive comments, the JCA is considered approved. TSAG will be informed for review, possible comment, and endorsement. TSAG may consider the terms of reference of the JCA in the context of the overall work programme of ITU-T and may provide comments to modify the terms of reference.

Where the lead study group has not yet been designated by WTSA or TSAG for the subject, or where the subject for the JCA is a broad subject potentially falling under the responsibility and mandate of a number of study groups as described in WTSA Resolution 2, then the proposal has to be made available to the membership for consideration. If a TSAG meeting is pending within the next two months, then an electronic notification<sup>2</sup> proposing the JCA, including the terms of reference (including scope, objectives and anticipated lifetime) and the chairman, is published four weeks prior to the TSAG meeting, giving opportunity for the membership to give their position at the meeting. If this is done at least four weeks prior to the TSAG meeting, following the resolution of any comments, the JCA may be established by TSAG by consensus at its meeting. If a TSAG meeting is not pending within the next two months, then an electronic notification as above is sent for the membership to give their position by electronic response. If the notification is sent less than four weeks before the TSAG meeting, no decision is taken at the TSAG meeting; the decision may be taken four weeks after the notification, excluding the meeting time. If necessary, the proposal is adjusted taking into consideration comments received and made available to the membership electronically for decision with a further four-week interval. If there are no substantive comments, the JCA is considered approved. The decision includes the designation of the group responsible (a study group or TSAG), the terms of reference (including scope, objectives and anticipated lifetime) and the chairman.

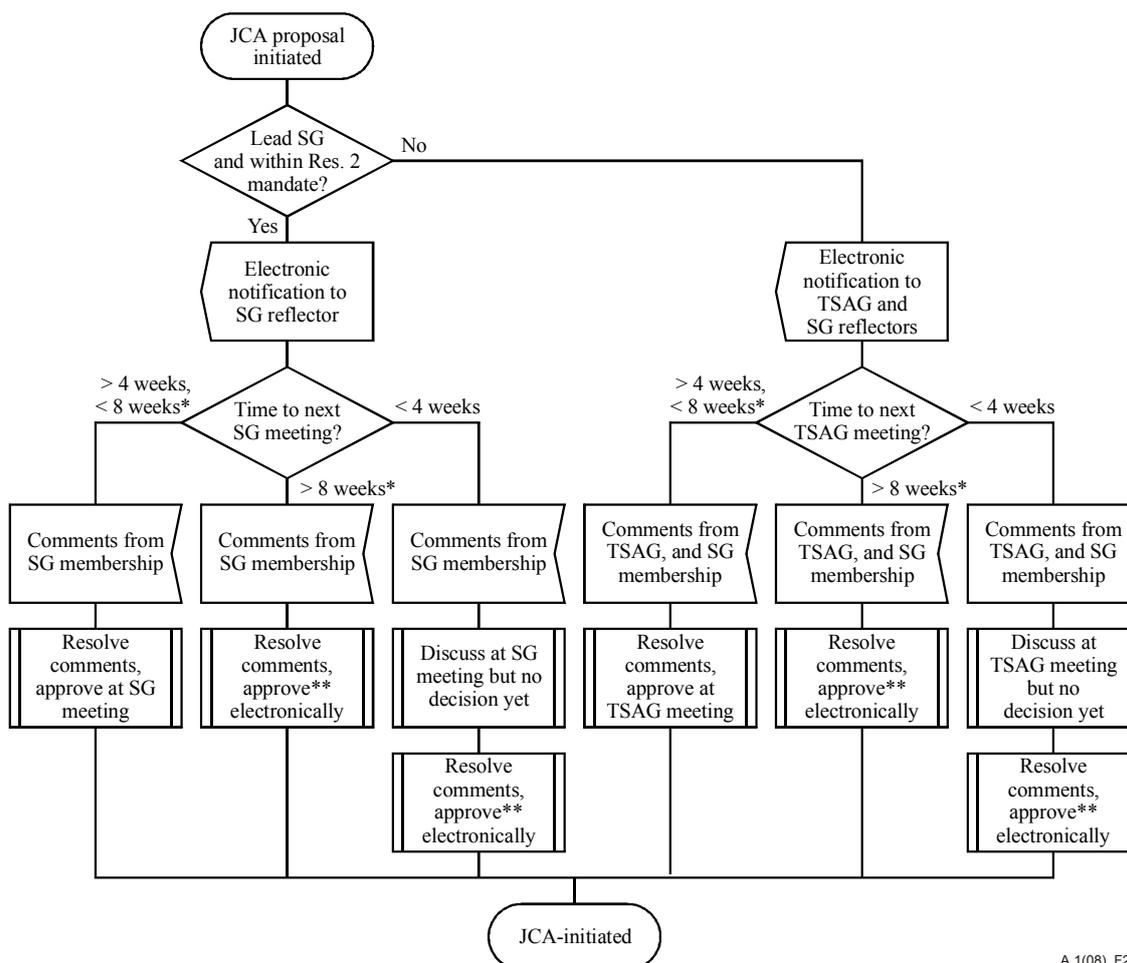
Figure 2-1 provides a schematic of the alternatives in proposing and approving the creation of a JCA.

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<sup>2</sup> This electronic notification should be sent to the general e-mail reflector for the potentially involved study groups and TSAG and should also be a temporary document to the next meeting of TSAG.

FIGURE 2-1

**Alternatives in proposing and approving the creation of a JCA**



\* Nominal time period.

\*\* If there are no substantive comments, the JCA is considered approved. If the JCA proposal is modified per comments received, it is again circulated for a four-week review. If there are no substantive comments, the JCA is considered approved.

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**2.2.3** JCAs are open, but (to restrict their size) should primarily be limited to official representatives from the relevant study groups that are responsible for work covered by the scope of the JCA. A JCA may also include invited experts and invited representatives of other SDOs and forums, as appropriate. All participants should confine inputs to a JCA to the purpose of the JCA.

**2.2.4** The establishment of a JCA is to be announced in a TSB circular, which should include the terms of reference of the JCA, the chairman of the JCA, and the study group responsible for the JCA.

**2.2.5** JCAs should work primarily by correspondence and electronic meetings. Any physical meeting considered necessary should be convened by the chairman of the JCA. Physical meetings should be supported by conferencing capabilities where possible, and both physical and electronic meetings should be scheduled as far as practicable at times that will provide maximum opportunity for broad participation. It is anticipated that physical meetings will be in conjunction with the involved study group meetings (in which case it is reflected in the collective letter for that study group) as far as practicable, but if a separate meeting is to be held, it is to be announced at least four weeks in advance by an (electronic) collective invitation letter.

**2.2.6** Inputs to the work of a JCA should be sent to the JCA chairman and to the concerned TSB counsellor, and the latter will make these available to the members of the JCA.

**2.2.7** JCA may submit proposals to the relevant study groups to achieve alignment in the development of related Recommendations and other deliverables by the respective study groups. A JCA may also issue liaison statements.

**2.2.8** JCA input and output documents and reports are made available to the ITU-T membership. Reports are issued after each JCA meeting. TSAG may monitor JCA activities through these reports.

**2.2.9** TSB will provide support for a JCA, within available resource limits.

**2.2.10** A JCA may be terminated at any time if the involved study groups agree that the JCA is no longer required. A proposal to do so, including justification, may be submitted by any study group involved or by TSAG, and examined for decision by the study group responsible for the JCA, after consulting the involved study groups and TSAG (via electronic means, if a TSAG meeting is not pending in the near future). A JCA may continue across a WTSA but will automatically be reviewed at the first TSAG meeting following the WTSA. A specific decision must be taken on the continuation of the JCA, potentially with adjusted terms of reference.

**2.2.11** A JCA may propose, in justified cases and on an exceptional basis, the establishment of a global standards initiative (GSI) in the area of work covered by the JCA, where it is considered necessary to provide a visible focus for the work. A GSI is not a working entity but is a name for the package of work being conducted through collocated meetings of the involved study groups and rapporteur groups under the umbrella of a coordinated work plan managed by the JCA. The proposal, which includes the terms of reference, a justification and a scheduled lifetime of the GSI, should be developed by the study group leading the JCA, in consultation with the chairmen of the concerned study groups, and submitted to TSAG for approval. A GSI automatically stops at the end of its scheduled lifetime unless there is a decision by TSAG to prolong it. A GSI may continue across a WTSA but will automatically be reviewed at the first TSAG meeting following the WTSA. A specific decision must be taken on the continuation of the GSI, potentially with adjusted terms of reference.

**2.2.12** If a GSI is established in the area of work covered by a JCA, a technical and strategic review (TSR) process may be set up by the JCA, if deemed necessary, to operate at every GSI event. The TSR process addresses specific issues within the broader coordination provided by the JCA, and should ensure that the JCA is made aware of any issues requiring guidance or additional attention. If the JCA creates a TSR process, the JCA will choose a TSR coordinator to ensure that the TSR process proactively examines issues, and adequately addresses any concerns of the GSI event participants, for example, regarding work allocation.

### **2.3 The roles of rapporteurs**

**2.3.1** The chairmen of study groups and working parties (including joint working parties) are encouraged to make most effective use of the limited resources available by delegating responsibility to rapporteurs for the detailed study of individual Questions or small groups of related Questions, parts of Questions, terminology, or amendment of existing Recommendations. Review and approval of the results reside with the study group or working party.

**2.3.2** Liaison between ITU-T study groups or with other organizations can be facilitated by the rapporteurs or by the appointment of liaison rapporteurs.

**2.3.3** The following guidelines should be used as a basis within each study group or working party to define the roles of rapporteurs, associate rapporteurs and liaison rapporteurs; however, they may be adjusted following careful deliberation of the need for change and with the approval of the relevant study group or working party.

**2.3.3.1** Specific persons should be appointed as rapporteurs to be responsible for progressing the study of those Questions, or specific study topics, that are felt to be likely to benefit from such appointments. The same person may be appointed as the rapporteur for more than one Question, or topic, particularly if the Questions, parts of Questions, terminology, or amendment of existing Recommendations concerned are closely related.

**2.3.3.2** Rapporteurs may be appointed (and their appointments may be terminated) at any time with the agreement of the competent working party, or of the study group, where the Question(s) are not allocated to a working party. The term of the appointment relates to the work that needs to be done rather than to the interval between WTSA's. If the related Question is modified by WTSA, for continuity purposes, the rapporteur may, at the discretion of the new study group chairman, continue to progress the relevant work until the next meeting of the study group.

**2.3.3.3** Where the work so requires, a rapporteur may propose the appointment of one or more associate rapporteurs, liaison rapporteurs or editors, whose appointments should then be endorsed by the relevant working party (or study group). Again these appointments may be made or terminated at any time in accordance with the work requirements. An associate rapporteur assists the rapporteur, either in general or to deal with a particular point or area of study in a Question. A liaison rapporteur assists the rapporteur by ensuring there is effective liaison with other groups, by attending meetings of other designated groups to advise and assist in an official capacity, by correspondence with such groups or by any other means considered appropriate by the rapporteur. In the event that a liaison rapporteur is not appointed, the responsibility to ensure effective liaison resides with the rapporteur. The editor assists the rapporteur in the preparation of the text of draft Recommendations or other publications.

**2.3.3.4** Rapporteurs, and their associate and liaison rapporteurs as well as the editors, play an indispensable role in coordinating increasingly detailed and often highly technical study. Consequently, their appointment should be primarily based on their expertise in the subject to be studied.

**2.3.3.5** As a general principle, work by correspondence (including electronic messaging and telephone communications) is preferred and the number of meetings should be kept to a strict minimum, consistent with the scale and milestones agreed by the parent group. Where possible, meetings in related areas of study or within a work area covered by a JCA should be coordinated. In any case, this work should proceed in a continuous fashion between meetings of the parent group.

**2.3.3.6** The rapporteur's responsibilities are:

- to coordinate the detailed study in accordance with guidelines established at working party (or study group) level;
- to the extent authorized by the study group, to act as a contact point and source of expertise for the allocated study topic with other ITU-T, ITU Radiocommunication Sector (ITU-R) and ITU Telecommunication Development Sector (ITU-D) study groups, other rapporteurs, other international organizations and other standards organizations (where appropriate) and TSB;
- to adopt methods of work (correspondence including the use of the TSB EDH system, meetings of experts, etc.) as considered appropriate for the task;
- in consultation with the collaborators for the study topic, to review and update the work programme, which should be approved and reviewed periodically by the parent group (see clause 1.4.7);
- to ensure that the parent working party (or study group) is kept well informed of the progress of the study, particularly of work proceeding by correspondence or otherwise outside of the normal study group and working party meetings;

- in particular, to submit a progress report (e.g. of a rapporteur's meeting or editor's work) to each of the parent group's meetings (see suggested format in Appendix II), in the form of a temporary document to be submitted as soon as possible and not later than the first day of the meeting; when such a temporary document contains draft new or revised Recommendations, then it is encouraged, where possible, that it be submitted at least six weeks prior to the parent group's meeting;
- to give the parent working party or study group and TSB adequate advance notice of the intention to hold any meetings of experts (see clause 2.3.3.10 below), particularly where such meetings are not included in the original programme of work;
- to establish a group of active "collaborators" from the working party (or study group) where appropriate, with an updated list of those collaborators being given to TSB at each working party meeting;
- to delegate the relevant functions from the list above to associate rapporteurs and/or liaison rapporteurs, as necessary.

**2.3.3.7** The basic goal of each rapporteur is to assist the study group or working party in developing new and revised Recommendations to meet changing requirements in telecommunication techniques and services. However, it must be clearly understood that rapporteurs should not feel under any obligation to produce such texts unless a thorough study of the Question reveals a clear need for them. If it turns out that this is not the case, the work should be concluded with a simple report to the parent group establishing that fact.

**2.3.3.8** Rapporteurs are responsible for the quality of their texts, submitted by the study group for publication. They shall be involved in the final review of that text prior to it being submitted to the publication process. This responsibility extends only to text in the original language and should take into account applicable time constraints. (See Recommendation ITU-T A.11 on the publication of ITU-T Recommendations.)

**2.3.3.9** Rapporteurs should normally base any draft new or substantially revised Recommendations on written contribution(s) from ITU-T members.

**2.3.3.10** In conjunction with their work planning, rapporteurs must give advance notice of any meetings they arrange, not only to the collaborators on their Question or project, but also to the study group (see clause 2.3.3.11) and to TSB. TSB is not required to circulate convening collective letters for meetings below working party level. TSB will post a convening letter for rapporteur meetings (using a TSB-defined template), normally at least two months prior to the meeting, on the study group webpage, as provided by the study group.

**2.3.3.11** The intention to hold rapporteur meetings, along with details of the issues to be studied, should be agreed in principle and publicized with as much notice as possible (normally at least two months) at study group or working party meetings (for inclusion in their reports) and via the study group webpage, for example. Not only should confirmation of the date and place of any meeting normally be provided to the collaborators (and any other ITU-T members who have indicated an interest in attending or submitting a contribution to the meeting), to the relevant working party chairman and to TSB at least two months prior to the meeting, but also visa support should be provided by the meeting host.

**2.3.3.12** Rapporteurs should prepare a meeting report for each rapporteur meeting held and submit it as a temporary document to the next study group or working party meeting. See clause 3.3 for submission and processing of temporary documents.

This report should include the date, venue and chairman, an attendance list with affiliations, the agenda of the meeting, a summary of technical inputs, a summary of results and the liaison statements sent to other organizations.

Rapporteurs will ask, during each meeting, whether anyone has knowledge of patents or software copyrights, the use of which may be required to implement the Recommendation being considered. The fact that the question was asked shall be recorded in the meeting report, along with any affirmative responses.

**2.3.3.13** Rapporteur meetings, as such, should not be held during working party or study group meetings. However, rapporteurs may be called upon to chair those portions of working party or study group meetings that deal with their particular area of expertise. In these cases, rapporteurs must recognize that the rules of the working party and study group meetings then apply and the more relaxed rules described above, particularly those that relate to document approvals and submission deadlines, would not apply.

**2.3.3.14** The parent working party (or study group) must define clear terms of reference for each rapporteur. The general direction to be followed in the study should be discussed, reviewed as necessary and agreed periodically by the parent group.

**2.3.3.15** When meetings are arranged to be held outside ITU premises, participants should not be charged for meeting facilities, unless agreed in advance by the study group. Meeting charges should be an exceptional case and only done if, for example, the study group is of the opinion that a meeting charge is necessary for the work to proceed properly. However, no participant should be excluded from participation if he or she is unwilling to pay the charge. Additional services offered by the host shall be voluntary, and there shall be no obligation on any of the participants resulting from these additional services.

### **3 Submission and processing of contributions**

#### **3.1 Submission of contributions**

**3.1.1** Member States and other duly authorized entities registered with a study group or its relevant group should submit their contributions to current studies via electronic means, in accordance with guidance from the Director of TSB (see Recommendation ITU-T A.2, clause 2).

**3.1.2** Chairmen and vice-chairmen of study groups and working parties may at any time submit inputs as temporary documents, including, in particular, proposals likely to accelerate the debates; see clause 3.3 for submission and processing of temporary documents.

**3.1.3** These contributions shall contain comments or results of experiments and proposals designed to further the studies to which they relate.

**3.1.4** Contributors are reminded, when submitting contributions, that early disclosure of patent information is desired, as contained in the statement on Common Patent Policy for ITU-T/ITU-R/ISO/IEC (available at the ITU-T website). Patent declarations are to be made using the "Patent Statement and Licensing Declaration Form for ITU-T/ITU-R Recommendation | ISO/IEC Deliverable" available at the ITU-T website. See also clause 3.1.4 below.

**3.1.5** General Patent Statement and Licensing Declaration: Any ITU Member State or ITU-T Sector Member or Associate may submit a general patent statement and licensing declaration using the form available at the ITU-T website. The purpose of this form is to give patent holders the voluntary option of making a general licensing declaration relative to patented material contained in any of their contributions. Specifically, the submitter of the licensing declaration declares its willingness to license, in case part(s) or all of any proposals contained in contributions submitted by

the organization are included in ITU-T Recommendation(s) and the included part(s) contain items that have been patented or for which patent applications have been filed and whose use would be required to implement ITU-T Recommendation(s).

The general patent statement and licensing declaration is not a replacement for the individual (per Recommendation) patent statement and licensing declaration but is expected to improve responsiveness and early disclosure of the patent holder's compliance with the Common Patent Policy for ITU-T/ ITU-R/ISO/IEC.

**3.1.6** Material such as text, diagrams, etc., submitted as a contribution to the work of ITU-T is presumed by ITU to have no restrictions in order to permit the normal distribution of this material for discussions within the appropriate groups and possible use, in whole or in part, in any resulting ITU-T Recommendations that are published. By submitting a contribution to ITU-T, authors acknowledge this condition of submission. In addition, authors may state any specific conditions on other uses of their contribution.

**3.1.7** A contributor submitting software for incorporation in the draft Recommendation is required to submit a software copyright statement and licensing declaration form available at the ITU-T website. The form must be provided to TSB at the same time that the contributor submits the software.

**3.1.8** Contributions that are to be considered at a study group or working party meeting shall reach TSB at least twelve calendar days before the meeting.

## **3.2 Processing of contributions**

**3.2.1** Contributions received at least two months before a meeting may be translated (see clause 3.2.2 below) and will be posted in the original and, if applicable, in translated languages, on the web as soon as practicable after they are received. They will be printed and distributed at the beginning of the meeting only to the participants present who request paper copies.

**3.2.2** If a chairman, in agreement with the participants of his study group (or working party), states that his study group (or working party) is willing to use documents in the original language, no translations will be made.

**3.2.3** Contributions received by the Director less than two months but not less than twelve calendar days before the date set for the opening of a meeting cannot be translated.

**3.2.4** Contributions should be posted on the web no more than three working days after they are received by the secretariat.

**3.2.5** Contributions received by the Director less than twelve calendar days before the meeting will not appear on the agenda of the meeting, will not be distributed and will be held for the next meeting. Contributions judged to be of extreme importance may be admitted by the Director at shorter notice. The final decision as to their consideration by the meeting shall be taken by the study group (or working party).

**3.2.6** The Director should insist that contributors follow the rules established for the presentation and form of documents set out in Recommendation ITU-T A.2, and the timing given in clause 3.1.7. A reminder should be sent out by the Director whenever appropriate.

**3.2.7** The Director, with the agreement of the study group chairman, may return to the contributor any document that does not comply with the general directives set out in Recommendation ITU-T A.2, so that it may be brought into line with those directives.

**3.2.8** Contributions shall not be included in reports as annexes, but should be referenced as needed.

**3.2.9** Contributions should, as far as possible, be submitted to a single study group. If, however, a participating body submits a contribution that it believes is of interest to several study groups, it should identify the study group primarily concerned; a single sheet giving the title of the contribution, its source and a summary of its contents will be issued to the other study groups. This single sheet will be numbered in the series of contributions of each study group to which it is issued.

### **3.3 TDs**

**3.3.1** TDs should be provided to TSB in electronic format. TSB shall post electronically those temporary documents submitted as electronic files as soon as they become available; those submitted as paper copies will be posted as soon as practicable.

**3.3.2** Extracts from reports of other study group meetings or from reports of chairmen, rapporteurs or drafting groups shall be published as temporary documents. They will be printed and distributed during the meeting only to the participants present who request paper copies.

**3.3.3** TDs input before the start of the study group or working party meeting, including documents from the ITU secretariat, should be posted on the relevant page of the website not later than three working days from the date on which they are received by the secretariat, to ensure their availability not later than seven calendar days before the start of the meeting. This deadline shall not extend to administrative documents or reports on events that have taken place less than 21 calendar days before the start of the meeting, nor to proposals from Chairmen and convenors of ad hoc groups, compilations of proposals prepared by chairmen or the secretariat, or documents specifically requested by the meeting. Reports on events that have taken place less than 21 calendar days before the start of the meeting should normally be posted on the relevant page of the website not later than two calendar days before the beginning of the discussion of the item in question at the meeting, unless otherwise agreed by the meeting.

**3.3.4** TDs containing extracts from reports of other study group or working party meetings shall not be reissued by TSB as contributions, since they have usually served their purpose at the meeting and some relevant parts may already have been included in the report of the meeting.

**3.3.5** TDs can be produced during the meeting.

**3.3.6** TDs will be printed and distributed at the beginning of the meeting (and during the meeting) only to the participants present who request paper copies.

### **3.4 Electronic access**

**3.4.1** TSB will post electronically all documents (e.g. contributions, temporary documents (including liaison statements)) as soon as electronic versions of these documents are available. Appropriate search facilities for posted documents should be provided.

## **APPENDIX I**

### **Rapporteur progress report format**

(This appendix does not form an integral part of this Recommendation)

The following format is recommended for the progress reports of rapporteurs to enable a maximum transfer of information to all concerned:

*a)* brief summary of contents of report;

- b)* conclusions or Recommendations sought to be endorsed;
- c)* status of work with reference to work plan, including baseline document if available;
- d)* draft new or draft revised Recommendations;
- e)* draft liaison in response to or requesting action by other study groups or organizations;
- f)* reference to contributions considered part of assigned study and summary of contributions considered at rapporteur group meetings (see Note);
- g)* reference to submissions attributed to collaborators of other organizations;
- h)* major issues remaining for resolution and draft agenda of future approved meeting, if any;
- i)* response to question on knowledge of patents;
- j)* list of attendees at all meetings held since last progress report.

A meeting report shall clearly indicate in its title the Question number, meeting venue and meeting date. In general, the title shall be of the form "Rapporteur Report Q.x/x".

Any draft Recommendations produced shall be presented as separate Temporary Documents (one document per Recommendation). The title of the Temporary Document shall be of the form "Draft new Recommendation ITU-T X.x: abc", where "abc" stands for the title of the draft Recommendation, or "Draft revised Recommendation ITU-T X.x: abc", or "Draft Amendment 1 to Recommendation ITU-T X.x: abc", etc.

A progress report shall not be used as a vehicle to violate the rules concerning the submission of contributions that are inappropriate to the assigned study task.

NOTE – The progress report may make reference to the meeting reports (see clause 2.3.3.12) in order to avoid duplication of information.

## ANNEX A

### Template to describe a proposed new Recommendation in the work programme

(This annex forms an integral part of this Recommendation)

|   |                                      |  |                                       |
|---|--------------------------------------|--|---------------------------------------|
| <b>Question:</b>  | /                                    | <b>Proposed new ITU-T Recommendation</b> | <Meeting date>                        |
| <b>Reference and title:</b>   | Recommendation ITU-T <X.xxx> "Title" |  |                                       |
| <b>Base text:</b>   | <C nnn> or <TD nnnn>                 |  | <b>Timing:</b> <Month-Year>           |
| <b>Editor(s):</b>   | <Name, membership, e-mail address>   |  | <b>Approval process:</b> <AAP or TAP> |
| <b>Scope</b> (defines the intent or object of the Recommendation and the aspects covered, thereby indicating the limits of its applicability):                |                                      |  |                                       |
|   |                                      |  |                                       |
| <b>Summary</b> (provides a brief overview of the purpose and contents of the Recommendation, thus permitting readers to judge its usefulness for their work): |                                      |  |                                       |
|   |                                      |  |                                       |
| <b>Relations to ITU-T Recommendations or to other standards</b> (approved or under development):  |                                      |  |                                       |
|   |                                      |  |                                       |
| <b>Liaisons with other study groups or with other standards bodies:</b>   |                                      |  |                                       |
|   |                                      |  |                                       |
| <b>Supporting members that are committing to contributing actively to the work item:</b>  |                                      |  |                                       |
| <Member States, Sector Members, Associates, Academia>   |                                      |  |                                       |