

IEEE SA Audit Committee (AudCom) Conventions

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The following conventions are provided to aid Standards Committees and Working Groups in the preparation of Policies and Procedures (P&P) and to aid AudCom in conducting the review.

Each Standards Committee shall operate in accordance with the written set of P&P that have been accepted by the IEEE SA Standards Board. AudCom maintains a list of approved Standards Committee and their P&P, available via the [myProject system](#) and on the [AudCom web pages](#). Updates to this list are approved by the IEEE SA Standards Board.

AudCom, in accordance with Section 4.2.4.1 of the IEEE SA [Standards Board Operations Manual](#), reviews a Standards Committee's P&P every five years to ensure they are consistent with the IEEE SA Standards Board Operations Manual, [IEEE SA Standards Board Bylaws](#) and the current Standards Committee P&P baselines, which are found on the [AudCom web pages](#).

AudCom can revise P&P baselines annually, and it is likely that significant changes may be made in the five-year period following approval of a Standards Committee's P&P. Therefore, when a Standards Committee's P&P are due for their maintenance review, AudCom will request the updated P&P to be consistent with the current version of the AudCom baseline.

AudCom will review the submitted P&P against the current baseline P&P and will respond with required modifications as needed. Once the document has been finalized, AudCom recommends it for acceptance by the SASB.

Standards Committee P&P Review Process

1. The Standards Committee prepares a draft P&P using the [current Standards Committee baseline document](#).
 - a. The Standards Committee's P&P shall address all procedures, responsibilities, or actions necessary to standards development at the Standards Committee level.
 - b. The Standards Committee's P&P shall be limited to topics (major headings) addressed in the baseline, which details procedures, responsibilities, or actions necessary to standards development at the Standards Committee level.

- c. Additional material related to standards development that falls under a topic in the baseline shall be added to that existing topic section. Material that is not covered by a topic in the baseline, but is necessary to standards development, shall be added at the end of the Standards Committee's P&P.
 - d. Material that does not fall under a topic in the baseline and is not necessary to standards development at the Standards Committee level shall be put in a separate document(s). Such document(s) shall not be reviewed by AudCom.
 2. A Standards Committee submits the draft P&P to AudCom by uploading it via the [myProject system](#).
 - a. The draft P&P shall include the date of approval by the Standards Committee or the entity that created the Standards Committee.
 - b. The draft P&P document shall be submitted in .doc or .docx format **with track changes enabled**. Documents that do not have changes, modifications or additions so identified will be returned. The Standards Committee should adhere to the [instructions](#) associated with each baseline P&P template for further details.
 - c. For Standards Committees that already have P&P previously Accepted by the IEEE SA Standards Board, that version will remain in effect during the AudCom review until the draft P&P is accepted.
 - d. Standards activity can begin only after the P&P are deemed "visibly under development" or accepted.
 3. Submission timeline targets are provided as follows:
 - a. The initial draft of a new, interim, or five (5) year update of a P&P should be submitted 26 days before an AudCom meeting to be considered at that meeting.
 - b. A revision draft of a P&P document which has been "Returned for follow up with comments" from AudCom should be submitted twelve (12) days before an AudCom meeting to be considered at that meeting.
 - c. Checklists by AudCom reviewers should be submitted for AudCom member review five (5) days before an AudCom meeting.
 4. Editorial changes found by the AudCom reviewers during P&P reviews should be noted on the checklist but are not, by themselves, a reason to mark a Clause as not acceptable.

Any editorial changes specifically required by AudCom for implementation in the P&P shall be confirmed by the AudCom Administrator prior to posting the Accepted P&P.

Examples of editorial changes include, but are not limited to:

- a. Formatting (e.g., italics, line or paragraph spacing)

- b. Punctuation, repeated words, or grammatical corrections
 - c. Typos, misspelling, or broken list items
5. Within five (5) days of submission, the AudCom Chair or AudCom Administrator assigns at least two AudCom members to review the submitted draft P&P and serve as mentors to the Standards Committees for resolving any issues. One of the assigned AudCom reviewers is designated as the Lead Reviewer and the other the Co-Reviewer. AudCom reviewers may change due to changes in AudCom membership.
 6. Within twenty one (21) days of being assigned to review the draft Standards Committee P&P, the AudCom reviewers evaluate the draft Standards Committee P&P and use a checklist to compare the draft Standards Committee P&P to the baseline P&P document and provide comments. Comments, and comment iterations, shall be tagged with a revision number.

The Lead Reviewer is responsible for comparing the Co-Reviewer's checklist with their own, contacting the Co-Reviewer for discussion if their comments are conflicting, and uploading the merged checklist into myProject.

Examples of issues that AudCom reviewers look for include:

- a. Adherence to the "mandatory" elements of the baseline P&P document.
 - b. Consistency and logic in the selection of optional or added elements.
 - c. Addition of substantial amounts of "new" text, beyond the limits of the baseline P&P. Note: Additional text is not cause for disapproval but does result in additional scrutiny.
 - d. Significant deviation of the text from that of the baseline P&P.
7. The Standards Committee reviews the comments and suggestions offered in the checklist posted in the myProject system. The time for this review and revision will be dependent on the Standards Committee's processes, but expedited consideration and processing is desired.
 8. The Standards Committee submits a revised draft Standards Committee P&P in myProject. Track-changes shall still be employed so that changes are tracked from the baseline, not from the previous submitted version. Documents not in track-change mode will be returned.
 9. A myProject notification is sent to the assigned AudCom reviewers that a revised Standards Committee P&P document is available for review.

10. Within fourteen (14) days of notification that the revised P&P is available, the AudCom reviewers will review the new draft, revise the checklist, confer on any differences and upload the merged checklist into myProject.
11. Steps 7-10 are repeated until all of the outstanding issues identified in the checklist are resolved.

The AudCom reviewers are available for telephone conferencing with appropriate Standards Committee representatives to assist in resolving issues and to clarify comments and suggestions provided in the checklist so that any unresolved issues can be resolved quickly.

12. The AudCom Administrator will post the AudCom agenda that contains the checklist and the checklist history at least two (2) weeks in advance of the meeting. The checklist shall include a recommendation from the AudCom reviewers to AudCom regarding further action:
 - a. Accepted
 - b. Not accepted
 - c. Visibly under development
13. P&P that are recommended for acceptance will be submitted to the IEEE SA Standards Board, with the recommendation for final acceptance. Those that are not recommended for acceptance or are visibly under development will remain under review for continued work, and their status shall be reported to the IEEE SA Standards Board.

The AudCom Revision Process for Baseline P&P Documents

AudCom continually reviews the baseline P&P, based on comments/feedback received by the AudCom Administrator, AudCom member review, etc. AudCom makes recommendations on changes to the following P&P baselines typically every two years and no more than annually:

- Standards Committee Baseline P&P
- WG Baseline P&P – Individual
- WG Baseline P&P – Simplified Individual
- WG Baseline P&P – Entity

The process for revising the P&P baselines is as follows:

- I. AudCom collects inputs for proposed changes and prepares revised baselines by the third quarter AudCom meeting.

- II. AudCom reviews revised baselines at the third quarter AudCom meeting and votes whether to forward the revised baselines to the IEEE SA Standards Board for its consideration.
- III. The AudCom Administrator sends the revised baselines to the IEEE SA Standards Board Administrator for an email ballot by the IEEE SA Standards Board prior to the fourth quarter meeting series.
- IV. Comments collected during the IEEE SA Standards Board email ballot will be adjudicated by AudCom, which acts as the ballot resolution committee for these comments.
- V. The IEEE SA Standards Board may act on any recommendations from the ballot resolution at the close of the fourth quarter meeting series.
- VI. Following IEEE SA Standards Board approval of any of the revised baselines:
 - a. AudCom revises and approves the instructions associated with each revised baseline.
 - b. AudCom prepares updated AudCom reviewer checklists associated with each revised P&P baseline.
 - c. AudCom approves the date when the Standards Committee can use the revised P&P baselines and when Standards Committees can no longer use the obsolete P&P baselines.

The AudCom Administrator posts the revised P&P baselines and instructions to the [AudCom web pages](#) for use by Standards Committees.