

**Policies and Procedures for:
VSSC/1622 Working Groups**

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IEEE Standards Association (IEEE-SA) Baseline Policies and Procedures for:

VSSC/1622 Working Groups

1.0 Introduction

In today's technological environment, standards play a critical role in product development and market competitiveness. Responsibility for how a standard evolves begins in the Working group. Every input, behavior, and action has both a contributory and a potential legal consequence. These procedures help protect Working group participants and the IEEE by establishing the necessary framework for a sound standardization process.

Adherence to these Policies and Procedures is an essential asset in determining the applicability of IEEE's indemnification policy.

1.2. Modifications to these procedures

These Policies and Procedures outline the orderly transaction of business by the Voting Systems Electronic Data Interchange Working group. The Working group may amend these procedures with the approval of its Sponsor. The Sponsor may modify these procedures. Modification in this context means that material in these procedures may be modified as long as that clause is not indicated as one that cannot be changed. It is strongly recommended that all subjects included in these procedures are addressed by the Working group or Sponsor. (See also Clause 7.)

1.3 Hierarchy

Participants engaged in the development of standards must comply with applicable federal, state, and international laws. In addition, for standards matters, the latest version of several documents takes precedence over these procedures in the following order:

[New York State Not-for-Profit Corporation Law](#)

[IEEE Certificate of Incorporation](#)

[IEEE Constitution](#)

[IEEE Bylaws](#)

[IEEE Policies](#)

[IEEE Board of Directors Resolutions](#)

[IEEE Standards Association Operations Manual](#)

[IEEE-SA Board of Governors Resolutions](#)

[IEEE-SA Standards Board Bylaws](#)

Robert's Rules of Order Newly Revised (RONR) is the recommended guide on questions of parliamentary procedure not addressed in these procedures.

1.4 Fundamental principles of operation

For the development of standards, openness and due process are mandatory.

Openness means that any person who has, or could be reasonably expected to have, a direct and material interest, and who meets the requirements of these procedures, has a right to participate by:

- a) Attending Working group meetings (in person or electronically)
- b) Becoming a member of the Working group
- c) Becoming an officer of the Working group
- d) Expressing a position and its basis,
- e) Having that position considered, and
- f) Appealing if adversely affected.

IEEE due process requires a consensus of those parties interested in the project. Consensus is defined as at least a majority agreement, but not necessarily unanimity.

Due process is based upon equity and fair play. In addition, due process requires openness and balance (i.e., the standards development process shall strive to have a balance of interests and not to be dominated by any single interest category). However, for the IEEE Standards Sponsor ballot, there shall be a balance of interests without dominance by any single interest category.

2.0 Working group responsibilities

The Working group shall:

- a) Complete the project from Project Authorization Request (PAR) approval to IEEE-SA Standards Board approval as specified by the PAR
- b) Use the IEEE Standards document template format
- c) Submit to the Sponsor any documentation required by the Sponsor; e.g., a project schedule or a monthly status report
- d) Notify the Sponsor of the draft development milestones
- e) Notify the Sponsor when the draft is ready to begin IEEE Standards Sponsor ballot

3.0 Officers

There shall be a Chair and a Secretary, and there should be a Vice-Chair. The office of Treasurer is suggested if significant funds are involved in the operation of the Working group and/or its subgroups or if the group has multiple financial reports to supply to the IEEE Standards Association. A person may simultaneously hold the positions of Secretary and Treasurer. All officers shall be IEEE members and individual IEEE-SA members.

3.1 Election of officers

At the first organizational meeting, the Working group shall elect its operating officers in accordance with the procedures of its Sponsor, and, where necessary, *Robert's Rules of Order*.

The Chair or sponsor designee shall appoint an elections processor, whose function is to conduct an election. The elections processor shall not be a nominee in the election and shall not vote in the election. An election will seek to fill offices that are either vacant, have an official in temporary appointment, or when the term of office has expired.

The Working group members shall nominate to the elections processor one or more members for each office to be filled at the election. Nominees shall be eligible to hold the office for which they are elected. A member shall not run for more than one office at the same time. The response period for nominations shall be at least 14 calendar days. If no nomination is received for an office, a temporary appointment shall be made in accordance with 3.2.

The elections processor shall conduct the election by letter ballot, electronic ballot or a vote at a meeting. If the vote is conducted by letter ballot or electronic ballot, voting will conclude no sooner than after 14 calendar days. Voting shall be by "approval," whereby each balloter may cast one approval vote for each of any number of nominees for an office. The nominee with the greatest number of approval votes shall win the election, provided ballots are returned by a majority of the eligible voters for that election. If a majority of votes is not received, the ballot can be extended, or a new ballot will take place. Any tie votes will be broken by a runoff ballot, where eligible voters may cast only one vote in the election.

The Sponsor shall affirm the election of the Chair and Vice-Chair. If the sponsor does not affirm the Chair or Vice-Chair, another election will be run, or, the sponsor will make a temporary appointment per Clause 3.2.

There shall be an annual vote of the Working group to elect the Chair, [Vice Chair], [Treasurer,] and Secretary. They may serve consecutive terms. A person may simultaneously hold the positions of Secretary and Treasurer.

Voting members shall nominate to the Elections Officer one or more voting members for the Chair, [Vice Chair], [Treasurer,] and Secretary Offices to be filled at the election. Nominees shall be eligible to hold the office for which they are elected. A person shall be nominated for no more than one office. Upon written notification, the nominee has 14 calendar days to indicate acceptance or rejection of the nomination. If no nomination is received or accepted for an office, a temporary appointment shall be made in accordance with Clause 3.2.

3.2 Temporary appointments to vacancies

If an office other than the Chair becomes vacant for any reason (such as resignation, removal, lack of nomination at an election), a temporary appointment shall be made by the Chair for a period of up to 12 months. In the case of Chair or Vice-Chair, the Sponsor shall make the temporary appointment, with input from the Working group. In the case of Secretary, the Chair shall make the temporary appointment. An appointment or election for the vacated office shall be made in accordance with the requirements in Clause 3.0 and 3.1 at the earliest practical time.

3.3 Removal of officers

An officer may be removed by approval of two-thirds of the members of the Working group. Removal of the Chair and Vice-Chair requires affirmation by the Sponsor. Grounds for removal shall be included in any motion to remove an officer of the Working group. The officer suggested for removal shall be given an opportunity to make a rebuttal prior to the vote on the motion for removal.

3.4 Responsibilities of Working group officers

The officers of the Working group shall manage the day-to-day operations of the Working group. The officers are responsible for implementing the decisions of the Working group and managing the activities that result from those decisions.

3.4.1 Chair

The responsibilities of the Chair or his or her designee shall include

- a) Leading the activity according to all of the relevant Policies and Procedures
- b) Forming Study Groups, as necessary

- c) Being objective
- d) Entertaining motions, but not making motions
- e) Not biasing discussions
- f) Delegating necessary functions
- g) Ensuring that all parties have the opportunity to express their views
- h) Setting goals and deadlines and adhere to them
- i) Being knowledgeable in IEEE standards processes and parliamentary procedures and ensuring that the processes and procedures are followed
- j) Seeking consensus as a means of resolving issues
- k) Prioritizing work to best serve the group and its goals
- l) Complying with the IEEE-SA Intellectual Property Policies, including but not limited to IEEE-SA Patent Policy (see IEEE-SA Standards Board Operations Manual 6.3.2, <http://standards.ieee.org/board/pat/index.html>) and IEEE-SA Copyright Policy (see IEEE-SA Standards Board Bylaws 7, <http://standards.ieee.org/guides/bylaws/sect6-7.html#7>)
- m) Fulfilling any financial reporting requirements of the IEEE, in the absence of a Treasurer.
- n) Participating as needed in meetings of the Sponsor to represent the Working group
- o) Being familiar with training materials available through IEEE Standards Development Online

3.4.2 Vice-Chair(s)

The responsibilities of the Vice-Chair(s) shall include:

- a) Carrying out the Chair's duties if the Chair is temporarily unable to do so or chooses to recuse himself or herself (i.e., to give a technical opinion).
- b) Being familiar with training materials available through IEEE Standards Development Online

3.4.3 Secretary

The responsibilities of the Secretary include:

- a) Scheduling meetings in coordination with the Chair and distributing meeting notices
- b) Distributing meeting agenda (as per 6.0). Notification of the potential for action shall be included on any distributed agendas for meetings
- c) Recording minutes of each meeting and publishing them within 60 calendar days of the end of the meeting
- d) Creating and maintaining the participant roster and submitting it to the IEEE Standards Association annually
- e) Being responsible for the management and distribution of Working group documentation

- f) Maintaining lists of unresolved issues, action items, and assignments
- g) Recording attendance of all attendees
- h) Maintaining a current list of the names of the voting members and distributing it to the members upon request
- i) Forwarding all changes to the roster of voting members to the Chair
- j) Being familiar with training materials available through IEEE Standards Development Online

3.4.4 Treasurer

Not applicable.

4.0 Working group membership

4.1 Overview

Working group membership is by individual. Those attending meetings shall pay any required meeting fees if established. Participants seeking Working group membership are responsible for fulfilling the requirements to gain and maintain membership.

4.1.1 Working group membership status

Membership shall be granted automatically to those participants attending the meeting of a newly chartered Working group and upon their request. Thereafter, membership shall be granted after the participant attends two consecutive meetings of an existing Working group, and also requests membership status.

Each member is expected to attend meetings as required by these procedures. The Secretary records attendance at meetings. Attendance credit is granted to those who attend at least 50% of a meeting's duration. Attendance at a meeting via teleconferencing and/or electronic means, e.g., Internet conferencing, shall count towards the attendance requirements.

Membership status is maintained through consistent participation at meetings and through Working group votes. If a Working group member misses two consecutive meetings, or two consecutive Working group letter ballots, his or her membership status may be revoked. The Chair shall notify, in writing, a member who fails to attend two consecutive meetings and who has therefore lost his or her membership.

A member who lost his or her voting privileges shall have his or her voting privileges reinstated by attendance at two consecutive meetings of the Working group and upon request for member status. All voting privileges and rights shall be restored after

attending the second consecutive meeting. If, for reasons of personal hardship, a member cannot attend two consecutive meetings (but that member continues to vote in ballots taken between meetings), the Working group chair will be consulted on the status of the member.

4.2 Review of membership

The Chair shall review the voting membership list at least annually. Voting members are expected to fulfill the obligations of active participation as defined in Clause 4.1.1. When a voting member is found in habitual default of these obligations, the Chair shall consider the matter for appropriate action, which may include termination of membership.

4.3 Working group membership roster

A Working group roster is a vital aspect of standards development. It serves as a record of members and participants in the Working group and is an initial tool if an issue of indemnification arises during the process of standards development.

A Working group officer or designee shall maintain a current and accurate roster of members and participants in the Working group. The roster shall include at least the following:

- a) Title of the Sponsor and its designation
- b) Title of the Working group and its designation
- c) Officers--Chair, [Vice-Chair,] Secretary, [Treasurer]
- d) Members and participants (including names, email addresses, and affiliations for all members)

All Working group members are required to review their information contained in the roster following each meeting they attend. If a Working group meets only virtually, it shall determine a schedule to check the accuracy of the roster periodically.

A copy of the Working group roster shall be supplied to the IEEE Standards Association at least annually by a Working group officer or designee. Due to privacy concerns, the roster shall not be distributed, except to the IEEE-SA staff, IEEE-SA Board of Governors and IEEE-SA Standards Board, unless all Working group members and participants have submitted their written approval for such distribution.

4.4 Working group membership public list

A Working group officer or designee shall maintain a current and accurate membership list. The membership list can be posted on the committee web site and can be publically distributed. The membership list shall be limited to the following:

- a) Title of the Working group and its designation
- b) Scope of the Working group
- c) Officers: Chair, [Vice-Chair], Secretary [Treasurer]
- d) Members: for all, name, affiliation

5.0 Subgroups of the Working group

The Working group may, from time to time, form subgroups for the conduct of its business. Membership in the subgroup shall follow the same rules as for Working groups. Such formation shall be explicitly noted in the meeting minutes. At the time of formation, the Working group shall determine the scope and duties delegated to the subgroup. Any resolution of a subgroup shall be subject to confirmation by the Working group.

The Chair of the Working group shall appoint the chair of the subgroup.

6.0 Meetings

Working group meetings may be conducted either exclusively in-person or in-person with one or more participants contributing via electronic means, or exclusively via electronic means. Working group meetings shall be held, as decided by the Working group, the Chair, or by petition of 15% or more of the voting members, to conduct business, such as making assignments, receiving reports of work, progressing draft standards, resolving differences between subgroups, and considering views and objections from any source. A meeting notice shall be distributed, by a Working group officer or designee, to all participants 30 calendar days in advance to all participants. A meeting agenda shall be distributed to all participants at least 14 calendar days in advance of a meeting. (Meetings of subgroups may be held as decided upon by the members or Chair of the subgroup.) Notification of the potential for action shall be included on any distributed agendas for meetings.

While having a balance of all interested parties is not an official requirement for a Working group, it is a desirable goal. As such, the officers of the Working group should consider issues of balance and dominance that may arise and discuss them with the Sponsor.

Participants shall be asked to state their employer and affiliation at each Working group meeting as required by the SASB Operations Manual (Section 5.3.3.1 Disclosure of Affiliation).

Please note that all IEEE Standards development meetings are open to anyone who has a material interest and wishes to attend. However, some meetings may occur in Executive Session (see Clause 6.3).

6.1 Quorum

A quorum shall be identified and announced before the initiation of Working group business at a meeting, but if a quorum is not present, actions may be taken subject to confirmation by letter or electronic ballot, as detailed in Subclause 7.2 or at the next Working group meeting. Unless otherwise approved by the Sponsor, a quorum shall be defined as one-half of Working Group voting members.

6.2 Conduct

Meeting attendees shall demonstrate respect and courtesy toward each other and shall allow each participant a fair and equal opportunity to contribute to the meeting, in accordance with the IEEE Code of Ethics.

All Working group participants shall act in accordance with all IEEE Standards policies and procedures. Where applicable, Working group participants shall comply with IEEE Policies Section 9.8 on Conflict of Interest.

6.3 Executive session

Meetings to discuss personnel or sensitive business matters (e.g., the negotiation of contracts), or for other appropriate non-public matters (e.g., the receipt of legal advice), may be conducted in Executive Session.

6.4 Meeting fees

The Working group, or meeting host, may charge a meeting fee to cover services needed for the conduct of the meeting. The fee shall not be used to restrict participation by any interested parties.

6.5 Minutes

The minutes shall record the essential business of the Working group, including the following items at a minimum:

- a) Name of group
- b) Date and location of meeting
- c) Officer presiding, including the name of the secretary who wrote the minutes
- d) Attendance, including affiliation
- e) Call to order, Chair's remarks
- f) Approval of minutes of previous meeting

- g) Approval of agenda
- h) Technical topics
 - 1) Brief summary of discussion and conclusions
 - 2) Motions, including the names of mover and seconder
- i) Items reported out of executive session
- j) Next meeting--date and location

Copies of handouts and subgroup reports may be included in the minutes or made available as separate items.

7.0. Voting

7.1 Approval of an action

Approval of an action requires approval by a majority (or two-thirds) vote as specified below in 7.1.1 (majority) and 7.1.2 (two-thirds) vote is defined as either:

- a) At a meeting (including teleconferences) where quorum has been established, a vote carried by majority (or two-thirds) approval of the votes cast (i.e., Approve or Do Not Approve votes, excluding abstentions) by the voting members in attendance.
- b) By electronic means (including email), a vote carried by majority (or two-thirds) of the votes cast (i.e., Approve or Do Not Approve votes, excluding abstentions), provided a majority of all the voting members of the Working group responded.

7.1.1 Actions requiring approval by a majority vote

The following actions require approval by a majority vote

- a) Formation or modification of a subgroup, including its procedures, scope, and duties
- b) Disbandment of subgroups
- c) Approval of minutes
- d) Approval to release a draft standard for public review and comment.

7.1.2 Actions requiring approval by a two-thirds vote

The following actions require approval by a two-thirds] vote:

- a) Approval of change of the Working group scope *
- b) Establishment of fees, if necessary

- c) Approval to move the draft standards project to the Sponsor for IEEE Standards Sponsor ballot

* Item a) is subject to confirmation by the Sponsor.

7.2 Voting between meetings

At the discretion of the Chair, the Working group shall be allowed to conduct votes between meetings by the use of a letter or electronic ballot. If such actions are to be taken, they shall follow the rules of IEEE Bylaw I-300.4(4).

8.0 Communications

Formal inquiries relating to the Working group should be directed to the Chair and recorded by the Secretary. All replies to such inquiries shall be made through the Chair. These communications shall make it clear that they are responses from the Working group. Communications shall be in compliance with the Sponsor's communication requirements.

9.0 Appeals

The Working group recognizes the right of appeal. If technical or procedural appeals are referred back to the Working group, every effort should be made to ensure that handling of complaints regarding any action or inaction on the part of the Working group is performed in an identifiable manner.

If the Working group must conduct an appeal hearing, it shall follow the appeal's process of the Sponsor.