

# Operating Procedures for the P1725 Working Group

## 1. Preface

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 member entities and their representatives and the IEEE by establishing the necessary framework for a sound standardization process.

## 2. Modifications to These Procedures

These operating procedures outline the orderly transaction of business by the Working Group. The working group may amend these procedures where permissible with the approval of its Sponsor. The Sponsor may modify these procedures where permissible. 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 be addressed by the working group or Sponsor. (See also clause 10.)

## 3. Hierarchy

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

IEEE-SA Standards Board Operations Manual

IEEE-SA Standards Board Resolutions

Operating Procedures of the IEEE Power & Energy Society Stationary Batteries Committee  
*Robert's Rules of Order (Newly Revised)* (RONR) is the recommended guide on questions of parliamentary procedure not address in these procedures.

## 4. Fundamental Principles of Operation

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

Openness means that any entity, as defined in subclause 6.3, who has, or could reasonably expected to have, a direct and material interest, and who meets the requirements of these procedures has a right to participate by:

- 1) Attending working group meetings
- 2) Becoming a member of the working group
- 3) Becoming an officer of the working group
- 4) Expressing a position and its basis,
- 5) Having that position considered, and
- 6) 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 unanimity.

The standards development process should strive to have both a balance of interests and to not be dominated by any single interest category.

## **5. Legal Accountability**

### **5.1 Principles**

The working group shall

- a) Abide by all intellectual property policies of the IEEE, including those for patents, trademarks, and copyright.
- b) Conduct a call for patents at the start of each meeting.
- c) Avoid discussions that could result in an antitrust action.

Working group entity representatives should always consider the IEEE Code of Ethics when taking action.

### **5.1 Indemnification**

IEEE Bylaw I-300.3 discusses the IEEE policies for indemnification, which participants in the working group are expected to read and be familiar with. Entity representatives included in the working group roster will be recognized as duly authorized participants in IEEE standards development activities. (See also clause 9.)

## **6. Working Group Responsibilities**

### **6.1 Primary 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) Submit to the Sponsor any documentation required by the Sponsor, for example, a project schedule or a monthly status report
- c) Notify the Sponsor of the draft development milestones
- d) Notify the Sponsor when the draft is ready to begin IEEE Standards Sponsor ballot
- e) Schedule meetings (in person or electronic) as appropriate, based on an agenda distributed at least 14 calendar days prior to an in-person meeting and 7 calendars prior to a meeting via teleconference.
- f) Use the IEEE-SA approved tool for working group meeting registration.
- g) Use the IEEE-SA approved tool for creation and submission of working group rosters.
  
- h) Use the IEEE-SA approved tool for Web hosting of working group information.

## **6.2 Other responsibilities**

The working group shall

- a) Obtain funding to cover dedicated support from the IEEE Standards Association, when desired, to expedite the standards development process
- b) Use the IEEE Standards document template format

## **6.3 Working Group Constitution**

Each entity shall be an Advanced Entity Member of the IEEE Standards Association in order to be eligible for voting membership in the working group. There shall always be at least three voting members in the working group during the life of the project. For other information on participation in the working group see subclause 5.2.1.2 of the IEEE-SA Standards Board Bylaws.

Each designated and alternate voting representative (see 8.1) can vote for only one entity; no one individual can be the voting representative for more than one entity except for a temporary proxy vote. Each representative shall declare what entity he or she represents and that their voting shall be independent of any other entity.

The following qualify to become entity members of the working group:

— *Corporation*: An entity that has a controlling body, such as a Board of Directors, that does not report to another controlling body. Except for purposes of casting an instructed vote for a consortium, vendor-specific user group, professional society, or another standards-developing organization, in order to be a voting member, each corporation's representative shall declare that the interests of that corporation are not knowingly represented by another member of the working group and that the corporation is not knowingly funding directly or indirectly the participation of another person in that working group for the purposes of influencing the outcome of votes.

— *Government agency or subdivision*: An entity that reports to its parent or executive, legislative, or judicial branch of a government. Except for purposes of casting an instructed vote

for a consortium, vendor-specific user group, professional society, or another standards-developing organization, in order to be a voting member, each agency's representative shall declare that the interests of that agency are not knowingly represented by another member of the working group and that the agency is not knowingly funding directly or indirectly the participation of another person in that working group for the purposes of influencing the outcome of votes.

— *Partnership or association*: An entity comprised of two or more principal members. Except for purposes of casting an instructed vote for a consortium, vendor-specific user group, professional society, or another standards-developing organization, in order to be a voting member, each partnership or association shall declare that it does not represent the interests of another person of any type participating in that working group for the purposes of influencing the outcome of votes. Any partnership or association that cannot make such a declaration shall not be able to be a voting member of the working group.

— *Consultant*: An entity whose principal source of revenue is derived from providing consulting services for other institutions. Except for purposes of casting an instructed vote for a consortium, vendor-specific user group, professional society, or another standards-developing organization, in order to be a voting member, each consultant shall declare that it does not represent the interests of another person of any type participating in the working group or that its participation is not funded directly or indirectly by any person already participating in that working group for the purposes of influencing the outcome of votes. Any consultant that cannot make such a declaration shall not be able to be a voting member in the working group.

— *Academic institution*: An educational entity that has a controlling body, such as a Board of Regents or a Board of Governors. Except for purposes of casting an instructed vote for a consortium, vendor-specific user group, professional society, or another standards-developing organization, in order to be a voting member, each institution's representative shall declare that the interests of that institution are not knowingly represented by another member of the working group and that the institution is not knowingly funding directly or indirectly the participation of another person in that working group for the purposes of influencing the outcome of votes.

In the event that, through merger or acquisition or other similar event, an entity member of the IEEE-SA has its assets totally or substantially transferred to another entity, membership in the working group may be transferred to the new entity, provided that the new entity is not already a member of the working group.

## **7. Officers**

### **7.1 Officer roles**

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. All officers shall be Designated Representatives (DRs) of entities that are IEEE-SA Advanced Entity Members (see 8.1).

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*.

## **7.2 Election of Officers**

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, when an officer's entity affiliation has changed, 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 7.2.

The elections processor shall conduct the election by letter ballot, electronic ballot, or a vote at a meeting. Voting will conclude no sooner than after 14 calendar days for a letter or electronic ballot. Voting shall be by "approval," whereby each ballot may cast one approval vote for each nominee 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 for each office still at stake in the election.

The working group shall send the election results to the Sponsor. 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 subclause 7.3.

If any officer's entity affiliation changes, he or she shall be subject to re-election by a majority of the voting members of the working group. If additional candidates are interested in serving in the officer role, they may run against the current officer at this time. The current officer continues to serve in his or her officer role until the close of the election. The election determines who will serve out the remainder of the existing term of office.

## **7.3 Temporary Appointments to Vacancies**

If an office becomes vacant due to resignation, removal, lack of nomination at an election or for another reason, the Vice-Chair shall assume the responsibilities of the Chair until a new Chair is elected. In the case of Secretary, the Chair shall make the temporary appointment. An appointment or election for the vacated office shall be conducted at the earliest practical time.

## **7.4 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.

## **7.5 Responsibilities of Working Group Officers**

### **7.5.1 Chair**

The Chair or his/her designee shall

- a) Be a Designated Representative (see 8.1) for a voting member entity
- b) Lead the working group activity according to all of the relevant operating procedures
- c) Form Study Groups, as necessary
- d) Be objective
- e) Entertain motions, but not make motions
- f) Not bias discussions
- g) Delegate necessary functions
- h) Ensure that all parties have the opportunity to express their views
- i) Set goals and deadlines and adhere to them
- j) Be knowledgeable in IEEE standards processes and parliamentary procedures and ensure that the processes and procedures are followed
- k) Seek consensus as a means of resolving issues
- l) Prioritize work to best serve the group and its goals
- m) Ensure compliance with the IEEE-SA Intellectual Property Policies, including but not limited to the IEEE-SA Patent Policy and Copyright Policy
- n) Fulfill any financial reporting requirements of the IEEE, in the absence of a Treasurer
- o) Participate as needed in meetings of the Sponsor to represent the working group

### **7.5.2 Vice-Chair**

The Vice-Chair shall

- a) Be a Designated Representative (see 8.1) for a voting member entity
- b) Carry out the Chair's duties if the Chair is temporarily unable to do so, chooses to recuse himself or herself (e.g., to give a technical opinion), or otherwise makes a request of the vice-chair
- c) Be familiar with training materials available through IEEE Standards Development Online

### **7.5.3 Secretary**

The Secretary shall

- a) Distribute agendas at least 14 calendar days before a meeting
- b) Record and have published minutes of each meeting within 60 calendar days of the end of the meeting

- c) Create and maintain the membership roster
- d) Record participant attendance at each meeting
- e) Schedule and announce meetings in coordination with the Chair with at least 21 calendar days notice
- f) Be responsible for the management and distribution of working group documentation in compliance with IEEE-SA guidelines, including but not limited to guidelines with regard to posting and distribution of drafts and approved IEEE standards
- g) Maintain lists of unresolved issues, action items, and assignments
- i) Be familiar with training material available through IEEE Standards Development Online
- j) The Secretary has the option of delegating these functions to an IEEE staff person if IEEE professional services for these functions are purchased by the WG.

If the function of Secretary is fulfilled by an IEEE staff member, this shall be a nonvoting position.

## **8. Working Group Membership**

### **8.1 Overview**

Working group voting membership is by entity. An entity shall be an Advanced Entity Member of the IEEE-SA and pay any services fee, if established to be a voting member of the working group. Non-members shall fulfill the requirements of membership determined by the Sponsor and the working group to gain and maintain membership in the working group. For other information on participation in the working group, see subclause 5.2.1.2 of the IEEE-SA Standards Board Bylaws.

An entity shall have one Designated Representative (DR) and may have more than one alternate (DRA) participating in the working group. The Entity Member Representative of the entity determines the DR/DRA for the working group. The assignment of a DR/DRA can change throughout the life of the working group. It is the entity's responsibility to notify the Working Group Secretary of changes to the DR/DRA assignment. Only the DR is eligible to vote on behalf of the entity for all working group matters. If the DR is unable to vote at a meeting, one DRA will be recognized at the start of the meeting to vote on the DR's behalf. Membership in the working group shall give the DR the right to vote on all working group matters provided voting rights are maintained as given in subclause 8.2.

Each DR/DRA can vote for only one member of the working group; no one representative can represent the interests of more than one member of the working group except for a temporary proxy vote.

### **8.2 Working Group Voting Membership Status**

Voting membership shall be granted automatically to those entities attending the meeting of a newly chartered working group and upon their request provided they fulfill the requirements of clauses 4, 5 and 8.1. Thereafter, membership shall be granted after the entity attends two consecutive meetings of an existing working group and also requests membership status.

The entity (member), through its DR or DRA, is expected to attend meetings as required by these procedures. The Secretary records attendance at each meeting. 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, its membership status may be revoked. The Chair shall notify, in writing, a member that has lost its membership.

A member that has lost its voting privileges shall have its 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.

### **8.3 Subgroups of the Working Group**

The working group may, from time to time, form subgroups for the conduct of its business. Such formation shall be explicitly noted in an official record, such as meeting minutes. At the time of formation, the working group shall determine the scope and duties delegated to the subgroup. Any changes to its scope and duties will require the approval of the working group. 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.

## **9. Working Group Roster**

A working group roster is a vital aspect of standards development. It serves as a record of members and observers 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 observers in the working group. The roster shall include at least the following:

- 1) Title of the Sponsor and its designation
- 2) Title of the working group and its designation
- 3) Officers--Chair, Vice-Chair, Secretary, Treasurer (as applicable)
- 4) Members and observers
  - a. Entity name
  - b. Designated Representative (indicated by "DR"), representative email address, and entity address
  - c. Alternate(s) (indicated by "DRA"), representative email address, and entity address(es)

All working group members are required to review the 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.

## **10. Voting**

### **10.1 Approval of an action**

Approval of an action listed in 10.2 requires an approval by a majority vote. Approval of an action listed in 10.3 requires approval by a supermajority vote. A supermajority is defined as a three-quarters approval vote. Two types of votes are described:

- a) At a meeting (including teleconferences) where quorum has been established, approval ratio is calculated as Approve votes divided by the sum of Approve plus Do Not Approve votes.
- b) Outside of a meeting (e.g., letter ballot), approval ratio is calculated as Approve Votes divided by the sum of Approve plus Do Not Approve votes. A majority of all voting members of the working group must respond for the ballot to be valid.

### **10.2 Action Requiring Approval by a Majority**

The following actions require approval by a majority vote:

- 1) Adoption of working group procedures or revisions thereof
- 2) Formation of a subgroup, including its procedures, scope, and duties
- 3) Disbandment of subgroups
- 4) Approval of minutes

### **10.3 Actions Requiring Approval by a Supermajority**

The following actions require approval by a supermajority vote:

- 1) Approval of change of the working group scope
- 2) Establishment of fees, if necessary
- 3) Approval to move the draft standards project to the Sponsor for IEEE Standards Sponsor ballot

These actions may be subject to confirmation by the Sponsor.

### **10.4 Proxy Voting**

The working group may elect to allow proxy voting. If the working group elects to allow proxy voting, the following procedures shall apply.

Members of the working group may employ proxy voting only when other methods of participation have been exhausted. The chair must be informed of all proxies prior to the start of the meeting in which the proxies are to be in effect. Each appointment of a proxy shall be sent to the working group chair and the member serving as the proxy via fax or written communication that contains the signature of the member appointing the proxy. A proxy shall not be valid without written acknowledgment from the working group chair and the member serving as proxy of receipt of the appointment.

Any one member of the working group may hold no more than two proxy votes in addition to his or her vote. Proxy voting shall be allowed only for those members who cannot attend the entire meeting; proxies may not be appointed for parts of meetings. A member may appoint a proxy for no more than two meetings of the working group within an established six-meeting period. Proxy voting shall not count towards maintenance of membership by the member who appoints a proxy. The chair shall announce all proxy voting to the working group members at the start of the meeting in which the proxy is to be in effect. The DRA of one entity may serve as a proxy for another entity, to allow the DR to serve as the representative of its entity only.

Members serving as proxies may only vote on agenda items announced through the distributed agenda prior to the meeting. If announced agenda items are amended or otherwise developed through the meeting process whereby the action being proposed is significantly different in meaning from the original motion, the chair may determine that proxy votes shall no longer be allowed for that agenda item. The proxy voter himself or herself may also choose to abstain prior to any formal decision of the chair.

A person appointed as proxy may not appoint another person to act in his or her stead.

### **10.5 Voting between meetings**

The working group shall be allowed to conduct votes between meetings at the discretion of the Chair by 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).

### **10.6 Quorum**

The presence of a quorum must be announced by the Chair at the beginning of each working group meeting. Unless otherwise approved by the Sponsor, a quorum shall be defined as at least one-half of the working group members (i.e., the DR or DRA of each entity). If a quorum is not present, actions may be taken subsequent to confirmation by a letter or electronic ballot, as detailed in 10.5, or at the next working group meeting.

## **11. Meetings**

### **11.1 Meeting structure**

Working Group meetings shall be held, as decided by the working group, the Chair, or by petition of 15% or more of the members, to conduct business, such as making assignments,

receiving reports of work, considering draft standards, and considering views and objections from any source.

A working group meeting shall be announced by a working group officer or designee at least 21 calendar days in advance to all participants for an in-person meeting and 14 days for a teleconference. An agenda shall be distributed at least 14 calendar days in advance of a meeting.

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.

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.

## **11.2 Conduct**

It is expected that participants in the working group behave in a professional manner at all times. Participants shall demonstrate respect and courtesy towards officers and each other, while allowing participants a fair and equal opportunity to contribute to the meeting in accordance with the IEEE Code of Ethics.

## **12. 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 impartial 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 model its appeals process on the appeals process of the IEEE-SA Standards Board.

## **13. 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.

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