

Draft Operating Procedures for IEEE Standards Working Groups

1. Preface

In today's technological environment, standards play a critical role in product development and market share. 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 members and the IEEE by establishing the necessary framework for a sound standardization process.

2. Amendments to these procedures

This clause must be included and shall not be modified.

These operating procedures outline the orderly transaction of business by the working group. The working group may amend these procedures with the approval of its Sponsor. The Sponsor may amend these procedures. Amending 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 9.)

2. Hierarchy

This clause must be included and shall not be modified except to identify the specific procedures of the Sponsor by name.

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 CS MSC Policies and Procedures
- [MSC Approved Working Group Procedures – This Document]

Robert's Rules of Order (Revised) will be followed for parliamentary matters not discussed in this document or in superior documents.

3. Fundamental Principles of Operation

This clause must be included and shall not be modified.

For the development of standards, openness and due process must apply, which means that any entity with a direct and material interest who meets the requirements of these procedures has a right to participate by:

- 1) Attending meetings
- 2) Joining the committee
- 3) Committee leadership opportunity
- 4) Expressing a position and its basis,
- 5) Having that position considered,
- 6) Participate in the voting of the committee
- 7) And Appealing if adversely affected.

Due process allows for equity and fair play. In addition to openness, due process requires balance, i.e., the standards development process should have a balance of interests and-should not be dominated by any single interest category. IEEE due process also requires a consensus of those parties interested in the project. Consensus is defined as at least a majority agreement, but not necessarily unanimity.

4. Legal Accountability

This clause must be included and shall not be modified.

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.

If health, safety and/or environmental issues are raised in the standards document developed by the working group, the chair will inform IEEE Standards staff to ensure that the appropriate review of these clauses is fulfilled.

Working group participants should consider the IEEE Code of Ethics when taking action.

4.1 Copyright assignment

This clause must be included and shall not be modified.

All participants in IEEE Standards working groups are required to sign and submit the Copyright Assignment Form prior to active participation and/or voting in any working group meeting. Without this assignment, the Chair shall not recognize, and restrict where known, participation by that person in working group activities.

(How about an implied consent form to be posted on the meeting place door? Possibly part of the Patent Slide Set!!)

4.2 Indemnification

This clause must be included and shall not be modified.

IEEE Bylaw I-300.3 discusses the IEEE rules for indemnification. Participants must complete and submit a Project Registration Form to be recognized as a duly authorized participant in IEEE standards development activities.

5. Working Group Responsibilities

The working group shall

- a) Complete the project from Project Authorization Request (PAR) approval to IEEE-SA Standards Board approval within the allotted time as specified by the IEEE Standards Board through NesCom (normally 48 months).
- b) Submit to the Sponsor any required documentation; for example, a project schedule and Sponsor requested status reports
- c) Schedule meetings (in person or electronic) as appropriate, based on an agenda distributed sufficiently early to allow preparation for prior to the meeting preferably 30 days before face-to-face meetings. Planning for 1 to 3 years in advance is encouraged for regularly scheduled meeting.
- d) Obtain funding to cover dedicated support from the IEEE Standards Department, when desired, to expedite the standards development process
- e) Use the developed ~~IEEE~~ Standards document templates format to expedite development and publication
- f) Notify the Sponsor of the draft development milestones
- g) Notify the Sponsor when the draft is ready to begin IEEE Standards Sponsor ballot

6. 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 subcommittees. All officers shall be IEEE members of any grade and individual IEEE-SA members.

The Sponsor shall appoint an initial Chair to initiate the Committee work until the working group elects its 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.

6.1 Election of Officers

If there are no other elections procedures for the working group, then the Chair shall appoint an impartial elections officer, whose function is to conduct an 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 a time.. Notification of the election shall be included in the distributed agenda for the meeting in which the elections will be held. If no nomination is received for an office, a temporary appointment shall be made in accordance with 6.2.

The elections officer shall conduct the election by letter, electronic ballot, or in-meeting election by secret ballot. Balloting for teleconference meetings working groups shall be by email ballot.

The Sponsor shall confirm the election of the Chair and Vice-Chair.

6.2 Temporary Appointments to Vacancies

If an office becomes vacant due to resignation, removal, lack of nomination at an election or for another reason, a temporary appointment shall be made for a period of up to six months. In the case of Chair or Vice-Chair, the Sponsor shall make the temporary appointment, with input from the working group where possible. 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.

6.3 Removal of officers

An officer may be removed by approval of two-thirds of the voting members of the working group. Removal of the Chair and Vice-Chair requires confirmation by the Sponsor. Grounds for removal shall be included in any motion to remove an officer of the working group.

The Sponsor may remove, and replace, an officer of a working group for reason.

6.4 Responsibilities of Working Group Officers

6.4.1 Chair

The Chair shall

- 1) Conduct a "Call for Patents" at each meeting
- 2) Solicit "letters of assurance" from potential essential patent holders
- 3) Ensure coordination with other IEEE Standards Sponsors as appropriate
- 4) Regularly attend working group meetings (including face-to-face, teleconference, or other electronic means)
- 5) Notify Sponsor when document is ready for balloting
- 6) Participate as needed in meetings of the Sponsor to represent the working group

The Chair also shall

- a) Be objective
- b) Entertain motions, but not make motions
- c) Not bias discussions
- d) Delegate necessary functions
- e) Ensure that all parties have the opportunity to express their views
- f) Set goals and deadlines
- g) Be knowledgeable in IEEE standards processes and parliamentary procedures and ensure that the processes and procedures are followed
- h) Study training materials available through IEEE Standards Development Online
- i) Seek consensus of the working group as a means of resolving all issues
- j) Recuse him- or herself to speak for or against an agenda item

6.4.2 Vice-Chair

The Vice-Chair shall

- a) Carry 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) Study training materials available through IEEE Standards Development Online

6.4.3 Secretary

The Secretary shall

- a) Distribute agendas prior to the next meeting with sufficient time to allow preparation, if needed, before a meeting
- b) Record and have published minutes of each meeting within 60 calendar days of the end of the meeting and prior to the next meeting
- c) Create and maintain the membership roster and submit to the IEEE Standards Department at least annually
- d) Schedule meetings in coordination with the Chair on a regular scheduled basis to provide planned notice. Meetings other than those planned on a long term schedule, one to three years, shall be notified sufficiently in advance to allow proper meeting planning, with the approval of the working group.
- e) Be responsible for the management and distribution of working group documentation
- f) Maintain lists of unresolved issues, action items, and assignments
- g) Study training material available through IEEE Standards Development Online

6.4.4 Treasurer

If needed, a Treasurer shall

- a) Maintain a budget
- b) Control all funds into and out of the working group's bank account
- c) Follow IEEE policies concerning standards meetings and finances
- d) Study training material available through IEEE Standards Development Online
- e) Study the *IEEE Financial Operations Manual*

7. Working Group

7.1 Overview

This clause must be included and shall not be modified.

Working group membership is either by individual or by entities. If the working group membership is by entity, then the shall be followed. Participants shall pay any funding services fee, if established, and shall fulfill the requirements to gain and maintain membership in the working group.

No one person can represent the interests of more than one member of the working group except for a temporary proxy vote.

The members within a working group should have a material knowledge of the project scope.

Non-members may also participate in working group activities, following the principle of openness. Non-members shall not vote in working group actions.

Entity based working groups shall have entities as members of the working group. The entity is represented as a single membership on the committee and may be represented by the Designated Representative or the alternate representative.

For individual based working groups, each member represents themselves at all times.

7.2 Working group membership status

Voting Membership shall be granted automatically to those persons, or entities, attending the first working group meeting and upon their request provided they fulfill the requirements of clause 4. Thereafter, membership shall be granted after the person, or entity, 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 for members who attend. 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, his, or her, or its, membership status shall be revoked. The Chair shall notify, in writing, a member who fails to attend two consecutive meetings and that has therefore lost his or her membership.

A member who has 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 will be consulted on the status of the member.

For entity based working groups an entity shall have one Designated Representative (DR) and may have more than one alternate (DRA) participating in the WG. Only the DR is eligible to vote on behalf of the entity for all WG 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 shall give the DR the right to vote on WG matters.

7.3 Subgroups of the Working Group

The working group may, from time to time, form subgroups for the conduct of its business and determine the eligibility of working group members and observers to vote on questions within such subgroups. 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.

8. Working Group Voting Roster

This clause must be included and shall not be modified.

A working group membership roster is a vital aspect of standards development. It serves as a record of voting members in the working group and is an initial tool if an issue of indemnification arises during the process of standards development. The Secretary shall maintain a current and accurate roster of voting members in the working group and shall distribute it to the members upon request. All changes to the roster shall be forwarded to the Chair immediately. The roster shall include the following at a minimum:

- 1) Title of the Sponsor and its designation
- 2) Title of the working group and its designation
- 3) Officers--Chair, Vice-Chair, Secretary, Treasurer
- 4) Members (including names and email addresses at a minimum)
- 5) Primary and Alternate member status for entity based working groups

All working group members are required to check the roster on a regular basis and verify the accuracy of their membership status. If a working group meets only virtually, it shall determine a schedule to check the roster accuracy periodically.

All working group members are required to sign off against the roster at each face to face meeting they attend, ensuring they are maintaining current membership, expressing their awareness of IEEE Standards policies, and verifying the accuracy of their membership listing.

All teleconference meeting will list of members at the beginning of the meeting, or by roll call if required, and the list will be published in the minutes of the meeting.

A copy of the working group roster shall be supplied to the IEEE Standards Department at least annually by the Secretary.

9. Voting

This clause must be included and shall not be modified except to include additional voting actions.

Approval of an action requires an approval vote from a majority of those votes cast from those entitled to vote at the time of a vote (either at a meeting or by letter or electronic ballot), provided a quorum is present. Notification of the potential for action shall be included on any distributed agendas for meetings.

These actions include

- 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
- 5) Approval of working group officers

[Add paragraph on entity and individual voting]

9.1 Actions Requiring Approval by Two-Thirds of the Voting Working Group Membership **This clause must be included and shall not be modified except to include additional voting actions.**

The following actions require an electronic ballot or an equivalent formal recorded vote with approval by at least two-thirds of the voting members of the working group, (provided that notification of the action has been included on the distributed agenda for the meeting):

- 1) Approval of change of the working group scope
- 2) Approval of termination of the working group
- 3) Establishment of fees
- 4) Removal of a working group officer (see clause 6.3)
- 5) Approval to move the draft standards project to the Sponsor for IEEE Standards Sponsor ballot

These actions are subject to confirmation by the Sponsor.

9.2 Proxy Voting

This clause may or may not be included. If included, it shall be included in its entirety and shall not be modified.-

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 working group 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 at the start of the meeting in which the proxies are to be in effect.

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.

9.3 Voting between meetings

This clause must be included and shall not be modified.

The working group shall be allowed to conduct business between meetings at the discretion of the Chair by use of a letter or electronic ballot.

9.3.1 Electronic votes between meetings

Electronic votes taken between meetings as part of the IEEE standards development process shall follow the provisions of IEEE Bylaw I-300.4(4). If the Sponsor so desires, it may establish subgroup(s) of interested persons who shall participate in an electronic vote related to specific subject matter. Such establishment shall be made through an announcement inviting participation in the vote in question; those who respond to the announcement indicating their interest shall be part of the voting group for that question. These groups shall exist only for as long as it shall take to conclude the vote in question; each group shall not apply to multiple votes unless the subjects of those votes are included in one particular announcement.

10. Quorum

This clause must be included and shall not be modified except to state quorum definitions otherwise approved by the Sponsor.

A working group quorum must be identified before the initiation of working group business. Unless otherwise approved by the Sponsor, a quorum shall be defined as a simple majority of the voting membership of the working group. If a quorum is not present, actions may be taken subsequent to confirmation by a letter or electronic ballot, as detailed in 9.3.

Once a quorum is established, it will be presumed to be in effect unless a quorum call is initiated.

11. Meetings

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 21 calendar days in advance to all members and observers for non-scheduled meetings. An agenda shall be distributed in sufficient time to allow for normal preparation in advance of a meeting. Working groups are encouraged to establish a meeting schedule for 1 to 3 years in advance.

The working group 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. A balanced body is required for IEEE Standards Sponsor ballot.

Members may be asked to announce their affiliation at a working group meeting. If the member is a consultant, that member may be asked to declare if he or she represents the interests of an organization other than himself or herself at the meeting. In an entity based working group the member shall state the identity of the entity represented.

11.1 Conduct

This clause must be included and shall not be modified.

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

This clause must be included and shall not be modified.

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 committee is performed in an identifiable manner.

If the working group must conduct an appeal, it shall model its appeals process based on the appeals processes of the IEEE-SA Standards Board.

13. Communications

Inquiries relating to the working group should be directed to the Chair. All replies to such inquiries shall be made through the Chair. These informal communications shall not imply that they are a formal position of the working group or of the IEEE Standards Association.