

Policies and Procedures
for the
IEEE P1076.1 Working Group

Deleted: IEEE Standards Association (IEEE-SA) Baseline Policies and Procedures for IEEE Standards Working Groups – Individual Method

Based on IEEE-SA Standards Board approved December 2010

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Approved by Working Group:
Approved by DASC:

The title above should be replaced with “Policies and Procedures for <name of WG>.”

The principles contained in the IEEE Standards Association (IEEE-SA) Baseline Policies and Procedures for IEEE Standards Working Groups constitute the fundamental requirements for proper standards practice in the IEEE. The objective of the working group is to conduct standards development meetings to develop and produce IEEE standards documents. For further information, see the *IEEE-SA Standards Board Operations Manual*, subclause 5.3.

The IEEE-SA requires that these Policies and Procedures be adopted intact, with modifications of some clauses allowed as indicated. All clauses shall be included. If a specific clause does not apply, the clause number shall be retained with a notation of Not Applicable. Modifications for additional unique Working Group details may be proposed, which may be audited for appropriateness by the IEEE-SA Standards Board Audit Committee, once approved by the Sponsor.

The current active working group Policies and Procedures shall be located on the Sponsor’s web site. These procedures should be updated no more than once per year. It is the responsibility of the Sponsor (see the *IEEE-SA Standards Board Operations Manual*, subclause 5.1.2.) to approve the Policies and Procedures of its working groups involved in the technical development work of a standard. However, AudCom may request at any time to review one of a Sponsor’s WG Policies and Procedures.

Note: Text in *shaded italics* indicates a placeholder that should be replaced with information specific to a particular Working Group. Items in brackets [] are optional.

1. Preface

This clause shall not be modified, except to add additional material.

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.

2. Modifications to these procedures

This clause shall not be modified.

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Policies and Procedures for the IEEE P1076.1 Working Group

These Policies and 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 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 be addressed by the working group or Sponsor. (See also clause 9.)

3. Hierarchy

This clause shall not be modified except to identify the specific superior procedures of the Sponsor by name. For societies that may not have a Technical Committee or Standards Committee, that document item can be deleted from the list. When this list does not include all documents appropriate for the working group sponsor(s) it may be necessary to add items to the list.

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

Policies and Procedures of the IEEE Computer Society (IEEE-CS)

Policies and Procedures of the IEEE Computer Society Standards Activities Board (IEEE-CS SAB)

Policies and Procedures of the Design Automation Standards Committee (DASC)

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

4. Fundamental principles of operation

This clause shall not be modified.

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)

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

5. Working group responsibilities

This clause may be modified.

The working group shall

- a) Complete the project from Project Authorization Request (PAR) approval to IEEE-SA Standards Board approval within the allotted time,
- b) Use the IEEE Standards document template format
- c) Submit to the Sponsor any documentation required by the Sponsor; for example, 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

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6. Officers

6.1 Officer overview

This clause may be modified.

There shall be a Chair, ~~a Vice-Chair, a Secretary, and a Treasurer.~~ All officers shall be members of the working group. The Chair and the Vice-Chair shall also be individual IEEE-SA members and members of the IEEE and the DASC.

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Deleted: 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.

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.

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The term of office is two years.

6.2 Election of officers

This clause may be modified.

The Chair or sponsor designee shall appoint a Returning Officer, whose function is to conduct an election. The Returning Officer shall not be a nominee in the election and

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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 Returning Officer 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 6.3.

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The Returning Officer shall conduct the election by electronic ballot. Voting will conclude no sooner than after 14 calendar days. Voting shall be by “approval”, whereby each ballot may cast one approval vote for each of any number of nominees for an office. Write-in candidates are permitted. The Returning Officer shall acknowledge receipts of electronic ballots in a timely fashion. 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.

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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 6.3.

6.3 Temporary appointments to vacancies

This clause may be modified.

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. In the case of Secretary or Treasurer, the Chair shall make the temporary appointment. An appointment or election for the vacated office shall be conducted at the earliest practical time.

6.4 Removal of officers

This clause may be modified.

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.

6.5 Responsibilities of working group officers

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6.5.1 Chair

This clause shall be included and shall not be modified except to add additional responsibilities.

The Chair or his or her designee shall

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

6.5.2 Vice-Chair(s)

This clause may be modified.

The Vice-Chair(s) 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) Be familiar with training materials available through IEEE Standards Development Online

6.5.3 Secretary

This clause may be modified.

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

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guidelines with regard to posting and distribution of drafts and approved IEEE standards.

- g) Maintain lists of unresolved issues, action items, and assignments
- h) Be familiar with training material available through IEEE Standards Development Online
- i) Maintain an email distribution list that includes all current working group members and observers and ensure that all subscribers are permitted to post email messages to the list.
- j) Maintain a web site for the working group.

6.5.4 Treasurer

This clause may be modified

The 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) Adhere to the *IEEE Financial Operations Manual*

7. Working group

7.1 Overview

This clause shall not be modified except to be compliant with the Sponsor's procedures.

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.

7.2 Working group membership status

This clause may be modified.

There are three levels of participation: observer, member, and voting member.

An individual may apply for observer status by subscribing to the working group email distribution list. The application shall be approved if the applicant has justifiable interest in the work of the working group.

A member makes regular contributions to the working group. Membership shall be granted automatically to those participants attending the first meeting of a newly chartered working group and upon their request. Thereafter, membership shall be granted to individuals who request membership status and have participated in two activities of the working group in a six month period, including meetings of the working group or one of its subgroups, and electronic votes. Except as described in clause 6.1, membership of the working group does not require membership of the DASC.

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Each member is expected to attend meetings and to participate in electronic votes as required by these procedures. The Secretary records attendance at meetings. Attendance

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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.

A member shall be given access to the private area of the working group web site.

A member is a voting member if he or she has participated in two of the three most recent working group meetings or electronic votes, or if the member is a voting member of a subgroup. Only the votes of voting members can determine the outcome of a vote.

Membership status is maintained through consistent participation at meetings and through working group votes. To retain membership a member must participate in three activities of the working group per year, including meetings of the working group or one of its subgroups, and electronic votes. The Chair shall notify, in writing, a member who has lost his or her membership. Such a member becomes an observer.

A member who lost his or her membership shall have the membership reinstated by participating in two activities of the working group in a six month period. Voting membership is reinstated automatically whenever the corresponding requirements have been met. If, for reasons of personal hardship, a member cannot attend 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.

7.3 Subgroups of the working group

This clause may be modified.

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. Decisions within the subgroup shall be made by the voting members of the subgroup. An individual is a voting member of the subgroup if he or she has participated in two of the three most recent activities of the subgroup, including meetings or electronic votes of 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 roster and membership list

8.1 Working group roster

This clause shall not be modified except for the distribution of the roster or to be compliant with the Sponsor's procedures.

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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 (as applicable)
- d) Members and participants (including names, email addresses, and affiliations for all members)

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.

8.2 Working group member list

This clause may not be modified except for the distribution of the roster or to be compliant with the Sponsor's procedures.

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

9. Voting

9.1 Approval of an action

This clause shall not be modified, except to choose between two-thirds and three-quarters or to be compliant with the Sponsor's procedures.

Approval of an action listed in 9.2 requires an approval by a majority vote. Approval of an action listed in 9.3 requires approval by a two-thirds vote. Two types of votes are described.

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- a) At a meeting (including teleconferences) where quorum has been established, approval ratio is calculated as Approve votes divided by the sum of Approve and 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 and Do Not Approve notes. A majority of all voting members of the Committee must respond for the ballot to be valid.

9.2 Actions requiring approval by a majority

This clause shall not be modified except to include additional voting actions, or to be compliant with the Sponsor’s procedures.

The following actions include approval by a majority vote

- a) Adoption of working group procedures or revisions thereof
- b) Formation of a subgroup, including its procedures, scope, and duties
- c) Disbandment of subgroups when no other provisions to disband are in place or prior to its completion.
- d) Approval of minutes.

9.3 Actions requiring approval by a supermajority

This clause shall not be modified except to include additional voting actions, or to change approval to three-quarters or to be compliant with the Sponsor’s procedures.

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

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- a) Approval of change of the working group scope
- b) Approval to move the draft standards project to the Sponsor for IEEE Standards Sponsor ballot
- c) Removal of an officer

These actions are subject to confirmation by the Sponsor.

9.4 Voting between meetings

This clause shall not be modified except to be compliant with the Sponsor’s procedures.

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).

9.5 Quorum

This clause shall not be modified except to modify shaded values and state quorum definitions otherwise approved by the Sponsor.

The presence of a quorum must be announced by the Chair at the beginning of each meeting. Unless otherwise approved by the Sponsor, a quorum shall be defined as ~~one-~~

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half of the voting members. If a quorum is not present actions may be taken subsequent to confirmation by a letter or electronic ballot as detailed in 9.4, or at the next working group meeting

10. Meetings

This clause shall not be modified except to modify shaded values and state quorum definitions otherwise approved by the Sponsor.

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, 21 calendar days in advance to all participants. 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.

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).

11. Conduct

This clause shall not be modified except to be compliant with the Sponsor's procedures.

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.

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.

12. Appeals

This clause shall not be modified except to be compliant with the Sponsor's procedures.

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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 based on the appeals processes of the IEEE-SA Standards Board.

13. Communications

This clause may be modified.

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.

The working group is encouraged to promote its goals and results through publications. All such activities shall comply with the IEEE-SA Standards Board Operations manual.

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