

## **IEEE/IAS/PCIC Policies and Procedures for PCIC Standards Working Groups – Individual Method**

The principles contained in the IEEE/IAS/PCIC Policies and Procedures for PCIC Standards Working Groups – Individual Method constitute the fundamental requirements for proper standards practice in the IEEE/IAS/PCIC. 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*, sub-clause [5.3](#).

The current active working group 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.

### **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 participants and the IEEE by establishing the necessary framework for a sound standardization process.

### **2. Modifications to these procedures**

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**

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/Procedures of the *IEEE Industry Applications Society*

Policies/Procedures of the Petroleum & Chemical Industry Committee

Policies/Procedures of the *IAS/PCIC Standards Subcommittee*

*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**

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. The standards development process should strive to have both a balance of interests and not be dominated by any single interest category. For formal ballot, balance is achieved by not permitting any single interest category to comprise more than one-third of the Sponsor balloting group. For PCIC ballot groups, interest categories will include at least 5 interest categories such as: Academic, Consultant, Equipment manufacturer, Government/Military, Owner of facilities, Software provider, Trainer, User, and General Interest.

## **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 (normally 48 months)
- b) Use the IEEE Standards document template format
- c) Submit to the Sponsor a project schedule and an annual status report
- d) Notify the Sponsor when the draft is ready to begin IEEE Standards Sponsor ballot

## **6. Officers**

### **6.1 Officer overview**

There shall be a Chair, a Vice-Chair, and a Secretary of the Standards Working Group Committee and each Project Working Group (standard or dot standard). 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 IEEE members and individual IEEE-SA members.

The officers shall be appointed by the PCIC Chair.

### **6.2 Appointments to vacancies**

If an office becomes vacant due to resignation, or removal, the Standards Subcommittee Chair shall submit nominations to the PCIC Chair, and the PCIC Chair shall appoint the replacement.

### **6.3 Removal of officers**

An officer may be removed by any of the three methods described below:

- a) A Standards Working Group officer may be recommended for removal by a two-thirds vote of the PCIC officers. Grounds for removal shall be included in any discussion to remove an officer. The officer suggested for removal shall be given an opportunity to make a rebuttal prior to the vote for removal. Prior to the vote, the PCIC Chair shall consult with PCIC Advisory & Awards regarding the removal. If removal is supported by this method, the PCIC Chair shall notify the officer of their removal and note the effective date. Copies of the notification shall be sent to the PCIC officers, Standards Subcommittee officers, and the Chair of Advisory & Awards.

- b) A Standards Working Group officer may be recommended for removal by two-thirds vote of the PCIC Standards Subcommittee officers. Grounds for removal shall be included in any discussion to remove an officer. The officer suggested for removal shall be given an opportunity to make a rebuttal prior to the vote for removal. Prior to the vote, the Standards Subcommittee Chair shall consult with the PCIC Chair. Following the vote, the results shall be submitted to the PCIC Chair. If a recommendation for removal is supported by this method, the PCIC Chair shall follow the process described in a) above.
- c) A Standards Working Group officer may be recommended for removal by approval of two-thirds of the voting members of the working group. 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. Prior to the vote, the Working Group officers shall consult with the Standards Subcommittee Chair. Following the vote, the results shall be submitted to the Standards Subcommittee Chair. If a recommendation for removal is supported by this method, the Standards Subcommittee Chair shall follow the process described in b) above.

## **6.4 Responsibilities of working group officers**

The Chair shall oversee the Working Group's compliance with these procedures, and submit proposed standards approved by the balloting group with supporting documentation for IEEE-SA Standards Board review and approval as IEEE standards. The Vice-Chair shall carry out the Chair's duties if the Chair is temporarily unable to do so. The Vice-Chair or Secretary shall record and have published minutes of each meeting.

### **6.4.1 Chair**

The Chair or their 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.
- o) Attend annual PCIC Standards Subcommittee meeting.
- p) Submit the working group's annual report to the PCIC Standards Subcommittee Chair in writing in advance of the PCIC Conference. Submit updated membership rosters annually within two weeks following the PCIC Conference to the Standards Subcommittee Chair and the PCIC Secretary.
- q) Notify PCIC Standards Subcommittee Chair of any officer vacancies or resignations. Submit officer nomination to PCIC Standards Subcommittee Chair for consideration.
- r) Notify Working Group members when new Working Group procedures are approved by the sponsor. Implement new procedures immediately upon notification and record the notification in the minutes of the next meeting.
- s) Upon approval of the standard, prepare a presentation report.
- t) Prior to the Winter PCIC Executive Committee meeting, submit the Working Group meeting time request for the PCIC Conference to the Standards Subcommittee Chair.

#### **6.4.2 Vice-Chair(s)**

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
- c) Attend annual PCIC Standards Subcommittee meeting

### **6.4.3 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
- h) Be familiar with training material available through IEEE Standards Development Online
- i) Attend annual PCIC Standards Subcommittee meeting

### **6.4.4 Treasurer**

If applicable, 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**

Working group membership is by individual. Those attending meetings shall pay any required meeting fees if established. Participants shall fulfill the requirements to gain and maintain membership in the working group.

The Working Group Chair shall select members of the Working Group for approval by the Standards Subcommittee Chair and the PCIC Chair. It is desirable to maintain a reasonable balance of the members.

## **7.2 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 shall record attendance at meetings. 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 voting 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 voting 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 voting 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.

Persons on the roster who have become deceased or resigned from the Working Group shall be immediately removed from the roster.

## **7.3 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. Voting rights within such subgroups shall be defined. 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**

A working group roster is a vital aspect of standards development. It serves as a record of members 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, and/or Secretary, Treasurer (if applicable)
- d) Members (including names, email addresses, and affiliations for all designations)
- e) Designation (Voting Member, Non-Voting Member, Aspirant Member, or Observer)

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**

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 designations, name, affiliation
- e) Designation (Voting Member, Non-Voting Member, Aspirant Member, or Observer)

## **9. Voting**

### **9.1 Approval of an action**

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.

- 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 votes. 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**

The following actions include approval by a majority vote

- a) Adoption of working group procedures or revisions thereof (sponsor majority)
- 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 supermajority (two-thirds vote)**

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

- 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

These actions are subject to confirmation by the PCIC Standards Subcommittee Chair.

### **9.4 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).

## **9.5 Quorum**

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-half of working group 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**

### **10.1 Meetings at the PCIC Conference**

Prior to the Winter PCIC Executive Committee meeting, submit the Working Group meeting time request to the Standards Subcommittee Chair for planning the PCIC Conference standards meeting schedules. Meeting requests should comply with the *Standards Subcommittee IEEE IAS PCIC Standards activities during the PCIC Conference Guide* and the latest *Framework* for the upcoming Conference.

Standards meetings are only scheduled by the Standards Subcommittee Chair for the PCIC Conference. Meeting request should include meeting time, number attending, layout, and audio/visual. Working Group officers should not contact the Local Committee directly; all communication shall be through the Standards Subcommittee Chair.

### **10.2 Other meeting information**

Working Group meetings shall be held, as decided by the working group, the Chair, or by petition of 25% 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**

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**

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**

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.

## **14. Presentation report**

Upon approval of a new Standard, Recommended Practice, or Guide by the IEEE Standards Board, the Working Group shall be responsible for preparing a paper for presentation in the General Technical Session (or appropriate specialty Technical Session) at the next annual PCIC Conference. Revisions or reaffirmed Standards, Recommended Practices, or Guides may be presented at the next annual PCIC as determined by the Vice Chair of PCIC. To be considered for the next annual PCIC, the new or revised Standard, Recommended Practice, or Guide must be approved by the IEEE Standards Board and be free of any appeals.