

IEEE Power and Energy Society (PES)

Policies and Procedures for: Working Groups

Date of Approval: to be filled in by Sponsor

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1.0 Introduction

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

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

The Power and Energy Society (PES) is comprised of a number of Technical Committees (e.g. Switchgear Committee, Transformers Committee, Substations Committee, etc) and many of these committees are involved in standards development. Each Technical Committee of PES is considered a "Sponsor" by the IEEE Standards Association. Throughout this document, the words "Sponsor" or "Technical Sponsor" refers to the responsible Technical Committee of PES.

1.2. 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 are addressed by the Working Group or Sponsor. (See also Clause 7.)

1.3 Hierarchy

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

New York State Not-for-Profit Corporation Law

IEEE Certificate of Incorporation

IEEE Constitution

IEEE Bylaws

IEEE Policies

IEEE Board of Directors Resolutions

IEEE Standards Association Operations Manual

IEEE-SA Board of Governors Resolutions

IEEE-SA Standards Board Bylaws

IEEE-SA Standards Board Operations Manual

IEEE-SA Standards Board Resolutions

Policies and Procedures of the IEEE Power and Energy Society

Policies and Procedures of the PES Technical Sponsor Committee.

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

1.4 Fundamental principles of operation

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

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

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

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

Due process is based upon equity and fair play. In addition, due process requires openness and balance (i.e., the standards development process shall strive to have a

balance of interests and not to be dominated by any single interest category). However, for the IEEE Standards Sponsor ballot, there shall be a balance of interests without dominance by any single interest category.

2.0 Working Group responsibilities

Each Technical Committee in PES that is involved in standards development has one or more Subcommittees assigned to specific topics. Furthermore each Subcommittee will have one or more Working Groups assigned to projects under the purview of the Subcommittee.

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 responsible Subcommittee any documentation required; e.g., a project schedule or a periodic status report
- d) Notify the responsible Subcommittee of the draft development milestones
- e) Notify the responsible Subcommittee when the draft is ready to begin IEEE Standards Sponsor ballot

3.0 Officers

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

3.1 Election or appointment of officers

Each Working Group shall have a Chair, appointed by the responsible Subcommittee.

At the first organizational meeting, the Working Group chair shall appoint its operating officers (Vice-Chair, Secretary and Treasurer if applicable).

3.2 Temporary appointments to vacancies

If an office other than the Chair becomes vacant for any reason (such as resignation, removal, lack of nomination at an election), an appointment shall be made by the Chair. In the case of Chair, the responsible Subcommittee Chair shall make the appointment, with input from the Working Group.

3.3 Removal of officers

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

3.4 Responsibilities of Working Group Officers

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

3.4.1 Chair

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

- a) Leading the standards development activity according to all of the relevant Policies and Procedures
- b) Forming Study Groups, as necessary
- c) Being objective
- d) Entertaining motions, but not making motions
- e) Not biasing discussions
- f) Delegating necessary functions
- g) Ensuring that all parties have the opportunity to express their views
- h) Setting goals and deadlines and adhering to them

- i) Being knowledgeable in IEEE standards processes and parliamentary procedures and ensuring that the processes and procedures are followed
- j) Seeking consensus as a means of resolving issues
- k) Prioritizing work to best serve the group and its goals
- l) Complying with the IEEE-SA Intellectual Property Policies, including but not limited to IEEE-SA Patent Policy (see IEEE-SA Standards Board Operations Manual 6.3.2, <http://standards.ieee.org/board/pat/index.html>) and IEEE-SA Copyright Policy (see IEEE-SA Standards Board Bylaws 7, <http://standards.ieee.org/guides/bylaws/sect6-7.html#7>)
- m) Fulfilling any financial reporting requirements of the IEEE, in the absence of a Treasurer.
- n) Participating as needed in meetings of the Sponsor to represent the Working Group
- o) Being familiar with training materials available through IEEE Standards Development Online

3.4.2 Vice-Chair(s)

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

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

3.4.3 Secretary

The responsibilities of the Secretary include:

- a) Scheduling meetings in coordination with the Chair and distributing meeting notices
- b) Distributing meeting agenda (as per 6.0). Notification of the potential for action shall be included on any distributed agendas for meetings
- c) Recording minutes of each meeting and publishing them within 60 calendar days of the end of the meeting
- d) Creating and maintaining the participant roster and submitting it to the IEEE Standards Association annually
- e) Being responsible for the management and distribution of Working Group documentation, including but not limited to guidelines with regard to posting and distribution of drafts and approved IEEE standards

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

3.4.4 Treasurer

The Treasurer (if needed, see 3.4.1) 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
- e) Being familiar with training materials available through IEEE Standards Development Online

4.0 Working Group membership

4.1 Overview

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

4.1.1 Working Group membership status

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

Each member is expected to attend meetings as required by these procedures. The Secretary records attendance at meetings. Attendance credit is granted to those who attend at least 50% of a meeting's duration. Attendance at a meeting via teleconferencing

and/or electronic means, e.g., Internet conferencing, shall count towards the attendance requirements.

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

A member who lost his or her voting privileges shall have his or her voting privileges reinstated by attendance at two consecutive meetings of the Working Group and upon request for member status. All voting privileges and rights shall be restored after attending the second consecutive meeting. If, for reasons of personal hardship, a member cannot attend two consecutive meetings (but that member continues to vote in ballots taken between meetings), the Working Group Chair will be consulted on the status of the member.

4.2 Review of membership

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

4.3 Working Group membership roster

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

A Working Group Officer or designee, usually the Secretary, 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 (Technical Committee) 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, employers and affiliations for all members)

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

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

4.4 Working Group membership public list

A Working Group Officer or designee, usually the Secretary, shall maintain a current and accurate list of the Working Group members and interested guests. 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: name, employer, affiliation (but no contact information)
- e) Guests: name, employer, affiliation (but no contact information)

5.0 Subgroups of the Working Group

The Working Group may, from time to time, form subgroups for the conduct of its business. Membership in the subgroup shall follow the same rules as for Working Groups. Such formation shall be explicitly noted in 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 resolution of a subgroup shall be subject to confirmation by the Working Group.

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

6.0 Meetings

Working Group meetings may be conducted either exclusively in-person or in-person with one or more participants contributing via electronic means, or exclusively via electronic means. Working Group meetings shall be held, as decided by the Working Group, the Chair, or by petition of 15% or more of the voting members, to conduct business, such as making assignments, receiving reports of work, progressing draft standards, resolving differences between subgroups, and considering views and objections from any source.

A meeting notice shall be distributed, by a Working Group Officer or designee, to all participants 30 calendar days in advance to all participants. A meeting agenda shall be distributed to all participants at least 14 calendar days in advance of a meeting.

Meetings of subgroups may be held as decided upon by the members or Chair of the subgroup.

Notification of the potential for action shall be included on any distributed agendas for meetings.

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

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

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

6.1 Quorum

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

6.2 Conduct

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

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

6.3 Executive session

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

6.4 Meeting fees

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

6.5 Minutes

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

- a) Name of group
- b) Date and location of meeting
- c) Officer presiding, including the name of the secretary who wrote the minutes
- d) Attendance, including affiliation
- e) Call to order, Chair's remarks
- f) Approval of minutes of previous meeting
- g) Approval of agenda
- h) Technical topics
 - 1) Brief summary of discussion and conclusions
 - 2) Motions, including the names of mover and seconder
- i) Items reported out of executive session
- j) Next meeting--date and location

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

7.0. Voting

7.1 Approval of an action

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

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

7.1.1 Actions requiring approval by a majority vote

The following actions require approval by a majority vote

- a) Formation or modification of a subgroup, including its procedures, scope, and duties
- b) Disbandment of subgroups
- c) Approval of minutes
- d) Approval of Working Group actions other than those requiring a two-thirds vote (7.1.2).

7.1.2 Actions requiring approval by a two-thirds vote

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

- a) Approval of change of the Working Group scope (this requires confirmation by the responsible Subcommittee)
- b) Establishment of fees, if necessary

- c) To submit the draft standard for IEEE Standards Sponsor ballot

7.2 Voting between meetings

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

8.0 Communications

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

9.0 Appeals

The Working Group recognizes the right of appeal. If technical or procedural appeals are referred back to the Working Group, every effort should be made to ensure that 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 follow the appeals process of the IEEE-SA Standards Board.