

**IEEE POWER & ENERGY SOCIETY**  
**SPONSOR: TRANSFORMERS COMMITTEE**  
**WORKING GROUP**  
**PRACTICES AND PROCEDURES MANUAL**  
**Revision: April 2010**

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**April 2010**

**Approved:**



**J. Edward Smith Chair**  
**IEEE PES Transformers Committee**

# WORKING GROUP PRACTICES AND PROCEDURES MANUAL

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## 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 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 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

Power & Energy Society Constitution and Bylaws

Power & Energy Society Technical Council Organization and Procedures Manual

Transformers Committee Organization and Procedures Manual

*Robert's Rules of Order (Revised)* 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
- 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.

#### **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 respective Subcommittee any documentation required by the Sponsor; for example, a project schedule or a monthly status report
- d) Notify the respective Subcommittee of the draft development milestones
- e) Submit draft of the document for Mandatory Editorial Coordination prior to the start of an IEEE-SA Sponsor Ballot in order to ensure conformance with IEEE requirements.
- f) 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 and a Secretary, and there should be a Vice-Chair. All officers shall be IEEE members, and individual IEEE-SA members.

### **6.2 Appointment of Working Group Officers**

The Chair of a Working Group is appointed by the Chair of the respective Subcommittee with notification to the Chair of the Transformers Committee. The Chair of a Working Group shall be a member of the respective subcommittee, and shall meet the requirements of the Transformers Committees Organization and Procedures Manual Clause 9.2. General practice is for the Working Group Chair to serve for the duration of the Project Authorization Request.

The Chair of a working group shall, appoint a secretary, and may appoint a vice chair and will notify the subcommittee.

### **6.3 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, the respective Subcommittee shall make the temporary appointment, with input from the working group. In the case of Vice-Chair or Secretary, the Chair shall make the temporary appointment. An appointment for the vacated office shall be made at the earliest practical time.

### **6.4 Removal of officers**

The appropriate Subcommittee Chair may remove a Working Group Chair. The Chair may also be removed by approval of two-thirds of the members of the working group. The Chair suggested for removal shall be included in any motion to remove an officer of the working group. The Chair suggested for removal shall be given an opportunity to make a rebuttal prior to the vote on the motion for removal. Notification of the removal shall be made transformers committee chair

A Vice-Chair or Secretary may be removed by the Working Group Chair.

## 6.5 Responsibilities of Working Group Officers

### 6.5.1 Chair

The Chair or his designee shall

- a) Lead the activity according to all of the relevant policies and procedures
- b) Be familiar with training material available through IEEE Standards Development
- c) Form Task Force Groups, as necessary
- d) Appoint a temporary Secretary for a meeting at which the official Secretary is not present.
- e) Be objective
- f) Entertain motions, but not make motions
- g) Not bias discussions
- h) Delegate functions
- i) Ensure that all parties have the opportunity to express their views
- j) Set goals and deadlines and adhere to them
- k) Be knowledgeable in IEEE standards processes and parliamentary procedures and ensure that the processes and procedures are followed
- l) Seek consensus as a means of resolving issues
- m) Prioritize work to best serve the group and its goals
- n) Ensure compliance with the **IEEE-SA Intellectual Property Policies**, including but not limited to the IEEE-SA Patent Policy and Copyright Policy.”
- o) Participate as needed in meetings of the appropriate Sub-Committee to represent the working group

### 6.5.2 Vice-Chair or Secretary

The Vice-Chair or Secretary 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 material available through IEEE Standards Development Online
- c) Distribute agendas at least 14 calendar days before a meeting

- d) Record and have written minutes to the subcommittee Secretary within 30 days of the Subcommittee meeting.
- e) Create and maintain the membership roster utilizing the designated computer system provided by the main committee and as required by the Subcommittee
- f) Record participant attendance at each meeting
- g) Schedule and announce meetings in coordination with the Chair with at least 21 calendar days notice
- h) 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.

If a working group has both a Vice-Chair and Secretary, the Vice-Chair will be responsible for items a) and b) above, and the Secretary shall be responsible for items b) to h) above.

## **7. Working Group**

### **7.1 Overview**

Working group membership is by individual. Participants shall fulfill the requirements to gain and maintain membership in the working group.

### **7.2 Working group membership status**

Working Group members need not be a member of the Power & Energy Society or Standard Association of IEEE, but are encouraged to join these. (Note – IEEE Standards Association membership is required to participate in formal ballots.)

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 after the participant attends two consecutive meetings of an existing working group, participates in surveys, and provides technical and editorial content to the working group's document, and also requests membership status.

Each member is expected to attend meetings as required by these procedures. The Chair, Vice-Chair, or Secretary records 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, through working group votes, participation in surveys and ballots, and contribution to the working group's document through technical and editorial contributions. If a working group member misses two consecutive meetings, two consecutive working group votes, his or her membership status may be revoked by the Chair. The Chair shall notify, by e-mail or in writing, a member who fails to attend two consecutive meetings and who has therefore lost his or her membership.

A former 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, by participation in surveys, and through contribution to the working group's document through technical and editorial contributions, and upon request for member status. 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.

### **7.3 Task Forces of the Working Group**

The working group may, from time to time, form task forces for the conduct of its business. Only working group members appointed to the task force shall vote on questions within such task forces. Such formation shall be explicitly noted in the meeting minutes. At the time of formation, the working group shall determine the scope and duties delegated to the task force. Any changes to its scope and duties will require the approval of the working group. Any resolution of a task force shall be subject to confirmation by the working group.

The Chair of the working group shall appoint the Chair of the Task Force.

## **8. Working Group Member Roster**

A working group member 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 in the working group. The membership roster shall include at least the following:

- a) Title of the Sponsor (Transformers Committee) and its designation (Subcommittee title)

- b) Title of the Working Group and its designation
- c) Officers--Chair, Vice-Chair, Secretary
- d) Members (including names, email addresses, and affiliations for all members)

A copy of the working group member 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 SA staff, SA Board of Governors and SA Standards Board, unless all Working Group members have submitted their written approval for such distribution.

### **8.1 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, and/or Secretary
- d) Members: for all, name, [affiliation]

## **9. Voting**

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

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

- a) At a meeting (including teleconferences) where quorum has been established, a approval ratio is calculated as Approve votes divided by the sum of Approve and Do Not Approve votes, excluding abstentions.
- 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 providing a majority of all the voting members of the Committee responded.

## **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
- b) Formation of a task force, including its procedures, scope, and duties
- c) Disbandment of task forces
- d) Approval of minutes
- e) Technical changes to the guide or standard being prepared by the working group

## **9.3 Actions Requiring Approval by two-thirds Vote**

The following actions require approval by 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 Sponsor.

## **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). An affirmative vote of a majority of the votes cast, provided a quorum of all the voting members of the committee responded, shall be required to approve an action taken without a meeting. The results of the vote shall be confirmed promptly in writing or by electronic transmission. The writings and/or electronic transmissions shall be filed with the minutes of the proceedings of the working group. "Electronic transmission" means any form of electronic communication, such as e-mail, not directly involving the physical transmission of paper, that creates a record that may be retained, retrieved and reviewed by a recipient thereof, and that may be directly reproduced in paper form by such a recipient.

## **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 Transformers Committee, a quorum shall be defined as one-half of working group 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

Working Group meetings shall be held, as decided by the working group, the Chair, or by petition of 30% 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, 14 calendar days in advance to all participants. An agenda shall be distributed at least 7 calendar days in advance of a meeting.

The working group, or meeting host, may charge a meeting fee to cover services needed for 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 responsible Subcommittee. A balanced body is required for IEEE Standards Sponsor ballot.

Participants shall be asked to state their affiliation at each working group meeting. If the participant is a consultant, that participant may be asked to declare if he or she represents the interests of an organization other than himself or herself at the meeting.

## 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 comply with all applicable laws (nation-based and international) and 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**

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 procedures outlined in Clause 15 of the Transformers Committee O&P manual shall be followed.