Accepted by SASB – 28 September 2017

Policies and Procedures for Standards Development for the

IEEE Computational Intelligence Society Standards Committee

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IEEE Computational Intelligence Society Standards Committee Policies and Procedures for Standards Development

1.0 Introduction

1.0.1 Role of Standards Development and these Procedures

In today‘s technological environment, standards play a critical role in product development and market competitiveness. In the IEEE, the responsibility for how a standard originates and evolves is managed by a Sponsor. It is essential in the management of a standard‘s development to avoid any actions by the Sponsor or the participants that result in a violation of procedures. These procedures establish the necessary framework for a sound standardization process.

1.0.2 Modification to these Procedures

The official policies of this Sponsor are those that have been accepted by the IEEE-SA Standards Board based on the recommendation of the Audit Committee (AudCom), and are available online on the IEEE-SA Standards Board AudCom website. No other copy shall be designated as the official copy. Any changes that the Sponsor desires to make to the procedures shall not be valid until revised polices have been recommended for acceptance by AudCom and accepted by the IEEE-SA Standards Board.

1.0.3 Hierarchy

Participants engaged in the development of standards shall comply with applicable federal, state, and international laws. In addition, for standards matters, the latest versions of several documents take precedence over this document, 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 (IEEE-SA) 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 IEEE Computational Intelligence Society Standards Committee

Anything the Sponsor creates is hierarchically inferior to the documents and resolutions that are listed above its Policies and Procedures. The Policies and Procedures of the Sponsor are hierarchically superior to other documents of the Sponsor. *Robert's Rules of Order Newly Revised (RONR*) is the recommended guide on questions of parliamentary procedure not addressed in these procedures.

1.0.4 Fundamental Principles of Standards Development

These Policies and Procedures outline the orderly transaction of standards activities of IEEE Computational Intelligence Society Standards Committee. [Herein after referred to as "the Sponsor"] For the development of standards, openness and due process shall be applied, which means that any person with a direct and material interest who meets the requirements of these Policies and Procedures has a right to participate by:

a) Expressing a position and its basis
b) Having that position considered, and
c) Appealing if adversely affected.

Due process allows for equity and fair play. In addition, due process requires openness and balance (i.e., the standards development process should 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.

1.0.5 Definitions

"Written communication" includes but is not limited to meeting minutes, letter, email, and fax.

1.1 IEEE Sponsor Scope

The Field of Interest of the Sponsor shall be the theory, design, application, and development of biologically and linguistically motivated computational paradigms emphasizing neural networks, connectionist systems, genetic algorithms, evolutionary programming, fuzzy systems, and hybrid intelligent systems in which these paradigms are contained.

1.2 Organization of the Sponsor

The Sponsor shall consist of officers (see Clause 3), and other members.

2.0 Responsibilities of the Sponsor

The Sponsor shall be responsible for at least the following:

a) Developing proposed IEEE standards and ensuring that they are within the scope of the Sponsor.

b) Initiating and overseeing ballots of proposed IEEE standards within its scope, including:

   1) Approving Project Authorization Requests (PARs) from a subgroup or the Sponsor.

   2) Submitting a proposed PAR to the IEEE-SA Standards Board for consideration. Following approval of the PAR, the Sponsor shall submit necessary requests for extension, modification, or withdrawal of the PAR as required by the *IEEE-SA Standards Board Operations Manual.*

   3) Submitting draft standards from a subgroup or the Sponsor to the IEEE-SA for Sponsor ballot.

c) Maintaining the standards developed by the Sponsor.

d) Acting on other matters requiring Sponsor effort as provided in these procedures.

e) Cooperating with other appropriate standards development organizations.

f) Protecting against actions taken in the name of the Sponsor without proper Sponsor authorization.

g) Limiting distribution of the membership roster to appropriate parties.

h) Communicating with the IEEE-SA Standards Board on specific Sponsor activities as needed.

i) Handling appeals as described in Clause 9.

2.1 Sponsorship

The IEEE Computational Intelligence Society Standards Committee is responsible for the development and coordination of standards project(s) including their maintenance after their approval as standard(s) by the IEEE-SA Standards Board. Specifically, the IEEE Computational Intelligence Society Standards Committee is responsible for those IEEE-SA Standards Board approved project(s) for which IEEE Computational Intelligence Society Standards Committee has been identified or assigned as either the sole sponsor or the primary sponsor. The development and maintenance of standards shall be accomplished as defined within the clauses of these Policies and Procedures.

3.0 Officers

There shall be a Chair, a Vice-Chair, a Treasurer and a Secretary. A person may simultaneously hold the positions of Treasurer and another office, other than Chair.

The Chair and Vice-Chair (and any person designated to manage the Sponsor ballot) shall be members of any grade of the IEEE, or IEEE Society affiliates, and also members of the IEEE-SA (*IEEE-SA Standards Board Bylaws* clause on "participation in IEEE Standards Development). The officers shall organize the Sponsor; oversee the Sponsor's compliance with these Policies and Procedures; and submit proposed documents approved by the Sponsor (with supporting documentation) for appropriate review and approval by the IEEE-SA Standards Board. Officers shall read the training material available through IEEE Standards Development Online.

3.1 Appointment of Officers

The Sponsor Chair shall be appointed in accordance with the procedures of the IEEE Computational Intelligence Society Standards Committee. After appointment of the Sponsor Chair by the IEEE Computational Intelligence Society Standards Committee, the Sponsor Chair shall appoint other officers. The officers shall include a Vice-Chair, Treasurer, and a Secretary, and may also include other officers.

The appointment of officers shall be for a term of one year, but an officer may serve until a successor is appointed.

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), a temporary appointment shall be made by the Chair for a period of up to 12 months. An appointment or election for the vacated office shall be made in accordance with requirements in Clause 3.0 and Clause 3.1.

3.3 Removal of Officers

An officer (other than the Chair) may be removed by a two-thirds vote of the voting members of the Sponsor. Grounds for removal shall be included in any motion to remove an officer. 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 Officers

When carrying out the duties of an officer described in IEEE's policies and procedures, officers of the Sponsor:

a) shall not act:
   1) in bad faith;
   2) to the detriment of IEEE-SA;

3) to further the interest of any party outside IEEE over the interest of IEEE; or
4) in a manner that is inconsistent with the purposes or objectives of IEEE; and

b) shall use best efforts to ensure that participants of the Sponsor conduct themselves in accordance with applicable policies and procedures including, but not limited to, the *IEEE-SA Standards Board Bylaws* clause on "Participation in IEEE standards development."

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

3.4.1 Chair

The responsibilities of the Chair shall include:

a) Leading the 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 of the Sponsor as a means of resolving issues.
k) Prioritizing work to best serve the Sponsor and its goals.
l) Complying with the Chair's responsibility with respect to the IEEE-SA Intellectual Property Policies, including but not limited to the IEEE-SA Patent Policy (see "Patents" clause of *IEEE-SA Standards Board Bylaws* and "Call for patents" clause of *IEEE-SA Standards Board Operations Manual*) and Copyright (see "Copyright" clause of *IEEE-SA Standards Board Bylaws* and the *IEEE-SA Standards Board Operations Manual*).
m) Submitting approved Sponsor P&P to the IEEE-SA Standards Board Audit Committee (AudCom – see http://standards.ieee.org/board/aud/index.html).
n) Ensuring that each Working Group has a set of P&P approved by the Sponsor. The Chair will provide the Working Group P&Ps to AudCom upon request.
o) Ensuring the submission of an annual financial report(s) for the operation of the Sponsor and all of its standards development committees (e.g., Working Groups, task groups).

p) Being familiar with training materials available through IEEE Standards Development Online.

3.4.2 Vice-Chair

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) or carrying out those duties specifically delegated by the Chair to the Vice-Chair.

b) Being knowledgeable in IEEE standards processes and parliamentary procedures and assisting the Chair in ensuring that the processes and procedures are followed.

c) 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 a meeting notice at least 30 calendar days before the meeting.

b) Distributing the agenda at least 14 calendar days before the meeting—notification of the potential for action shall be included on any distributed agendas for meetings.

c) Recording minutes of each meeting according to Clause 6.5 and IEEE guidelines (see http://standards.ieee.org/develop/policies/stdslaw.pdf), and publishing them within 60 calendar days of the end of the meeting.

d) Creating and maintaining the membership roster, referred to in 4.3, and submitting it to the IEEE Standards Association annually.

e) Being responsible for the management and distribution of Sponsor documentation.

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

Treasurer shall:

a) Maintain a budget.
b) Control all funds, including any into and out of the Committee's bank account.
c) Follow IEEE policies concerning standards meetings and finances.
d) Ensure that the Sponsor adheres to the IEEE Finance Operations Manual and clause Annual financial report in the IEEE-SA Standards Board Operations Manual.
e) Be familiar with training materials available through IEEE Standards Development Online.

4.0 Membership

Persons involved in the standards development process are referred to as participants (see *IEEE-SA Standards Board Bylaws* clause on "Participation in IEEE standards development").

A member is a participant that has satisfied the requirements for membership, as defined in this clause and its subclauses.

A voting member is a member that has satisfied the requirements for voting membership, as defined in this clause and its subclauses.

All participants who are neither voting members nor non-voting members are classified as non-members.

4.1 Voting Membership Requirements

A voting member is a participant attending the first meeting of Sponsor meetings. In order to maintain his/her voting membership status, it is required that a participant does not miss two consecutive Sponsor meetings. Once the right to vote has been lost, this is restored when the member participates in two consecutive meetings.

Each voting member is expected to attend meetings in person or via tele- or video conference. Attendance at a meeting via teleconferencing and/or electronic means (e.g., Internet conferencing) may count towards the attendance requirements.

4.2 Review of Voting Membership

The Chair shall review the voting membership list annually for the previous year. Voting members are expected to fulfill the obligations of active participation as defined in Clause 4.1. 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 voting privileges.

4.3 Membership Roster

The Secretary shall make reasonable efforts to maintain a current Sponsor roster. Due to privacy concerns, the roster shall not be distributed except to the IEEE-SA Board of Governors, IEEE-SA Standards Board, and IEEE-SA staff unless everybody on the roster has submitted their written approval for such distribution. The roster shall include the following:

a) Title of the Sponsor and its designation.
b) Scope of the Sponsor.
c) Officers: Chair, Vice-Chair, Secretary, Treasurer.
d) Members: for all, name, e-mail address, affiliation and membership status (e.g., voting member, member, etc.).
e) For each subgroup other than Working Groups: subgroup title, Chair, and names, e-mail addresses, and affiliations of all members.

4.4 Membership Public List

A current and accurate Sponsor membership list shall be maintained. The membership list may be posted on the Sponsor web site and may be publicly distributed. The membership list shall be limited to the following:

a) Title of the Committee and its designation
b) Scope of the Committee
c) Officers: Chair, Vice-Chair, Secretary, Treasurer
d) Members: for all, name, affiliation

5.0 Subgroups Created by the Sponsor

5.1 Administrative Subgroups

When one or more subgroups is formed to expedite the administrative work of the Sponsor (e.g., AdCom, ExCom), its formation (and later disbandment) requires a majority vote of the Sponsor as defined in subclause 7.1.

5.2 Working Groups – Individual Method

Standards Working Groups are responsible for the definitive content of one or more documents and for responding to views and objections thereon. Such Working Groups shall maintain a membership roster and shall comply with the provisions for preparing standards.

If a Working Group being formed has individual-based membership, the Sponsor shall ensure that the individual standards Working Group adopts procedures consistent with the IEEE-SA Baseline Policies and Procedures for IEEE Standards Working Groups – Individual Method. In addition, the Sponsor shall review proposed amendments from its Working Groups to the Working Group Policies and Procedures to ensure that they are not in conflict with these procedures, the *IEEE-SA Standards Board Operations Manual* or with each other.

The Sponsor Chair shall appoint the initial Chair of a new Working Group. Voting membership shall be granted automatically to those participants attending the first meeting of a newly chartered Working Group upon their request. After the first meeting, voting members are subject to the requirements in Clause 4.0 of the Working Group Policies and Procedures.

5.3 Working Groups – Entity Method

Standards Working Groups are responsible for the definitive content of one or more documents and for responding to views and objections thereon. Such Working Groups shall maintain a membership roster and shall comply with the provisions for preparing standards.

If a Working Group being formed has entity-based membership, the Sponsor shall ensure that the entity standards Working Group adopts procedures consistent with the IEEE-SA Baseline Policies and Procedures for IEEE Standards Working Groups – Entity Method. In addition, the Sponsor shall review proposed amendments from its Working Groups to the Working Group Policies and Procedures to ensure that they are not in conflict with these procedures, the *IEEE-SA Standards Board Operations Manual* or with each other.

The Sponsor Chair shall appoint the initial Chair of a new Working Group. Voting membership shall be granted automatically to those entities attending the first meeting of a newly chartered working Group upon their request provided they fulfill the requirements of the clause "Participation in IEEE standards development" of the *IEEE-SA Standards Board Bylaws*.

5.4 PAR Development

When a proposal comes before a Sponsor concerning a standards development project, the Sponsor may form a PAR Study Group or may task an existing Working Group to examine the

proposal and, if the proposal merits formation of a project, draft a Project Authorization Request (PAR) for consideration by the Sponsor.

The *IEEE-SA Standards Board Operations Manual* states, under "Duties of the Sponsor" the following mandatory requirement: "Submit a properly completed Project Authorization Request (PAR) for IEEE-SA Standards Board approval within six months of the first decision to initiate the project."

5.4.1 PAR Study Group

A PAR Study Group is formed as a subgroup of the Sponsor, and is subject to all relevant operating procedures concerning subgroups of the Sponsor and parent bodies, including the IEEE-SA Standards Board .

After the PAR Study Group recommendations have been considered by the Sponsor, and the PAR approved by the IEEESA Standards Board (if applicable), the Sponsor should disband the Study Group.

5.4.2 Criteria for Consideration of a PAR by the Sponsor

The Sponsor should consider, and the PAR Study Group or Working group should therefore address, the following issues when evaluating a project proposal:

a) Potential market acceptance of the standards project, including technical feasibility
b) Relationship to related standards, if known, including its distinct identity from other projects
c) Viable volunteer leadership and participation
d) Realistic scope and objectives

5.4.3 Participation and Voting

Any participant in attendance (for a PAR Study Group or Working Group developing a PAR under the individual method) or entity as defined in "Membership requirements for standards developed under the entity method" in the *IEEE-SA Standards Board Bylaws* (for a PAR Study Group or Working Group developing a PAR under the entity method) may vote on motions in a PAR Study Group or Working Group related to development of a PAR. Approval shall be by a greater than 50% approval vote of those present and voting either "approve" or "disapprove."

5.4.4 Submission of a PAR to the Sponsor

The PAR Study Group or Working Group shall report its recommendations on the formation of the project to the Sponsor. The deliverable from the PAR Study Group or Working Group to the Sponsor should be a report addressing the criteria for consideration and, if appropriate, a draft PAR. The report should include a roster of participants and minutes.

5.5 Other Subgroups

The formation and disbandment of other subgroups (e.g., subcommittees, ad hocs, and writing groups) require approval by a majority vote of the Sponsor. The Chair of a subgroup shall be appointed by the Chair of the Sponsor or decided by nomination and election. The scope and duties delegated to the subgroup shall be approved at the time the subgroup is formed, and subsequent changes in scope or duties shall also require approval by a majority vote of the Sponsor. The scope, duties, and membership of all subgroups shall be reviewed annually by the Sponsor. The charge to the subgroup shall clearly state which of the following complementary activities is appropriate:

1) The subgroup is responsible for the definitive content of one or more documents and for responding to views and objections thereon. Such subgroups shall maintain a membership roster and shall comply with the provisions for preparing standard(s).

2) The subgroup is responsible for assisting the Sponsor (e.g., drafting all or a portion of a document, drafting responses to comments, drafting public statements on standards, or other purely advisory functions).

The Sponsor shall outline all expectations with respect to how the subgroup shall function, including scope of work, deliverables, membership, voting in the subgroup, and parliamentary procedures for approval to move any deliverables to the Sponsor for action. The Sponsor may remove an officer of any subgroup.

6.0 Meetings

Sponsor meetings may be conducted exclusively in-person or in-person with one or more participants contributing via electronic means, or exclusively via electronic means. Sponsor meetings shall be held, as decided by the Sponsor Chair, or by petition of 5 or more voting members, to conduct business such as making assignments, receiving reports of work, progressing draft standards, resolving differences among subgroups, and considering views and objections from any source. A meeting notice shall be distributed to all members at least 30 days in advance of a face-to-face meeting and at least 15 days notice in advance for an electronic (including teleconference) meeting. A meeting agenda (including participation information) shall be distributed to all members at least 14 days in advance of a face-to-face meeting, and at least 5 days in advance for an electronic 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.

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 before the initiation of Sponsor 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 Clause 7.4. When the voting membership is less than 50 voting members, a quorum shall be defined as a majority of the current total voting membership. When the voting membership is 50 or more voting members, a quorum shall be defined as 10% of the current total voting membership or 26, whichever is greater. Voting members who recuse themselves shall not be counted in the equation to determine whether a quorum exists.

6.2 Conduct

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

All participants in standards activities shall act in accordance with all IEEE Standards policies and procedures.

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.

The matters discussed in executive session are confidential, and therefore, attendance at the Executive Session shall be limited to those with governance authority, outside advisors (e.g., lawyers or consultants) where necessary to provide professional guidance, and select IEEE-SA staff who may have information or a perspective relevant to the subject matter discussed in Executive Session. An individual may be invited to join for a portion of the discussion and then excused at the appropriate time. In each case, except as authorized by the Sponsor, participants in an Executive Session are prohibited from discussing or disclosing any information presented and discussed during such Executive Session to a third party or other person not present during the Executive Session, and shall not continue to discuss such matters after the Executive Session has adjourned.

Executive Sessions should be conducted face-to-face (in person) to provide the greatest assurance that the content of such Executive Sessions will be kept confidential. However, when necessary, Executive Sessions may include participants who participate by teleconference provided such persons agree not to disclose any information so discussed, and agree that they will participate in such conference in a manner that does not result in third parties gaining access to such discussions or information.

6.4 Meeting Fees

The Sponsor may charge a meeting fee to cover the expenses of the Sponsor. The fee shall not be used to restrict participation by any interested parties. The Sponsor Officers shall set the meeting fees in consultation with those planning a particular meeting.

Everyone who attends a meeting, except for those specifically excluded due to hardship, shall pay the meeting fee. In the event that a member of the Sponsor has a financial difficulty and is unable to pay the meeting fee, the member may apply to the Sponsor Chair for a partial or complete waiver of the meeting fee. The Chair and Treasurer shall make the decision to grant such relief. These discussions shall remain private.

6.5 Minutes

The minutes shall record the essentials in concise format, including the following:

a) Name of group
b) Date and location of meeting
c) Officer presiding, including the name of the secretary who wrote the minutes
d) Meeting participants, 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 discussions and conclusions
    2) Motions exactly as they are stated, including the names of mover and seconder, and the outcome of each motion
i) Action items
j) Items reported out of executive session
k) Recesses and time of final adjournment
l) Next meeting--date and location

All submissions, presentations, and reports considered during the meeting by the Committee/WG shall be referenced in the minutes. Urls should be provided where possible.

The following shall not be recorded in minutes:
- Transcriptions of detailed discussions
- Attributions of comments to specific participants

6.6 Suspension of Rules

None of the rules or requirements in these policies and procedures may be suspended.

7.0 Vote

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). The "majority, two-thirds vote" is defined as one of the following:

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 Sponsor 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) Delegation to a subgroup for Authorization for submittal of a Sponsor balloting
e) Approval to co-sponsor a project (PAR).

7.1.2 Actions Requiring Approval by a Two-thirds Vote

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

a) Adoption of new or revised Sponsor procedures,* interest categories, or revisions thereof
b) Approval of public statements
c) Approval of change of the Sponsor scope*

d) Approval of termination of the Sponsor*

e) Removal of an officer except the Chair

* Following Sponsor approval, items a, c, and d require notice to the IEEE-SA Standards Board.

7.2 Sponsor Approvals

7.2.1 Moving a Draft Standard to Sponsor ballot

Moving a draft standard to Sponsor ballot requires approval of the Sponsor. Approval by the Sponsor shall be limited to conducting a procedural review. The Sponsor may delegate this approval authority to a subgroup.

7.2.2 Change in Scope of a Standards Project

Sponsor approval is required for any substantive change in the scope of a standard or project. The Sponsor may delegate this approval authority to a subgroup. Requested changes shall be reviewed to ensure that the standards project remains within the scope of the Sponsor and shall also be reviewed to determine if the standards project requires a modified PAR.

7.3 Proxy Voting

Individuals shall not designate proxies. If the Sponsor allows entity membership, then entity members may declare a proxy.

Any assignment of proxy shall be sent to the Chair and the member serving as the proxy via fax or written communication that contains the assigner's signature (an email is acceptable). A proxy is not valid without written acknowledgment from the Chair and the member serving as proxy of receipt of the assignment. Members serving as proxies shall inform the Chair of their proxy prior to the start of the meeting in which the proxy is to be in effect.

Any one voting member of the Sponsor may hold no more than two proxy votes in addition to his or her vote. Proxy voting is allowed only for those voting members who cannot attend the entire meeting; proxies shall not be assigned for parts of meetings. A voting member can assign his or her proxy for no more than two consecutive meetings of the Sponsor. The Chair shall announce any proxy voting to the Sponsor members at the start of the period in which the proxy is to be in effect.

Members serving as proxies may only vote on approved agenda items announced through the agenda distributed prior to the meeting. A member serving as a proxy shall exercise his or her judgment as to the viability of instruction from the assigner when announced agenda items are

amended or developed through the meeting process. Proxies shall not be further assigned by the member serving as proxy.

7.4 Voting Between Meetings

At the discretion of the Chair, the Sponsor shall be allowed to conduct voting 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

All correspondence on behalf of the Sponsor shall contain identification of the Sponsor as the source of the correspondence.

8.1 Formal Internal Communication

If correspondence between subgroups involves issues or decisions (that is, non-routine matters) affecting other subgroups, copies shall be sent to all affected subgroup Chairs and the Sponsor officers.

8.2 External Communication

Inquiries relating to the Sponsor shall be directed to the Chair, and members shall so inform individuals who raise such questions. All replies to inquiries shall be made through the Chair.

8.3 Public Statements for Standards

All Sponsor public communications shall comply with the policies of the *IEEE-SA Standards Board Operations Manual.*

Individuals making public statements that have not been approved by the Sponsor shall state that they are speaking as individuals, and their views do not necessarily represent the views of the Sponsor, IEEE-SA, or IEEE (see clause “Official statements” in the *IEEE- SA Standards Board Bylaws*).

8.3.1 Sponsor Public Statements

Sponsor public statements shall not be released without prior approval as per Clause 7.1.2 of these procedures.

8.3.2 Subgroup Public Statements

Subgroup public statements shall not be released without prior approval of the subgroup. Such public statements also require approval of the Sponsor.

Subgroup public statements shall be identified in the first paragraph of the public statement as being specifically the position of the subgroup, and do not necessarily represent the views of the Sponsor, IEEE-SA, or IEEE. These statements shall be issued by the subgroup Chair and shall include the Sponsor Chair in the distribution. Such statements shall not bear the IEEE, the IEEE-SA, or the Sponsor logos.

8.3.3 Public Statements to be Issued by other Entities

If the Sponsor wishes to go to another IEEE entity (as defined in Section 15 of the IEEE Policies) to have that entity offer a public statement on a standards matter, they shall do so only after agreement from the IEEE-SA Standards Board and approval from the IEEE-SA Board of Governors. Upon Sponsor approval, proposed public statements that need to be issued by other IEEE entities shall be forwarded to the IEEE-SA Standards Board Secretary for further action.

8.4 Informal Communications

Informal communications shall not imply that they are a formal position of the IEEE, the IEEE-SA, or the Sponsor.

8.5 Standards Publicity

The Sponsor is encouraged to prepare press releases and other forms of publicity to promote their activities. Please see clause “Standards publicity” of the *IEEE-SA Standards Board Operations Manual* for further instructions.

9.0 Appeals

Technical discussions and decisions occur within the Sponsor subgroup (e.g., Working Group). Any person dissatisfied with a technical decision shall follow the approved procedures for providing technical input to the subgroup that made the decision, including but not limited to making a technical comment during the applicable comment submission and/or balloting period.

The Sponsor recognizes the right of appeal on procedural grounds. Procedural concerns within a Sponsor subgroup shall be first presented to the subgroup or Working Group for resolution. If the

procedural concern is not resolved after presentation to the subgroup for resolution, the complaint regarding any procedural action or inaction on the part of the Sponsor, or a Sponsor's subgroup, shall be presented to the Sponsor for resolution. If the party bringing the complaint determines that the Sponsor's proposed resolution is unacceptable, such party can file a procedural appeal with the Sponsor.

Appeals to the Sponsor shall be addressed as follows:

The appellant shall file a written appeal to the Sponsor Chair within 30 days of the event (action or inaction). The written appeal shall state the nature of the issue, including any adverse effects; the clause(s) of the procedures that are at issue; summarize previous attempts to resolve the issue with the subgroup or Working Group that is responsible for the standard including the outcome/decision of each attempt; and propose specific remedies that would satisfy the appellant's concerns. The appellant shall provide any supplemental information necessary to support the claims made in the appeal.

Upon receiving a written appeal, the Sponsor Chair shall form an Appeal Committee consisting of at least five members of the Sponsor, none of whom were directly involved in the matter in dispute, and who will not be materially or directly affected by any decisions made concerning the dispute and shall appoint a chair. The chair of the Appeal Committee shall be an officer of the Sponsor, if possible. The Appeal Committee shall review the written appeal and decide, within 45 days of the submission of the written appeal, whether or not to recommend to the Sponsor that an Appeal Panel be formed to consider the appeal. The Appeal Committee may try to resolve the issue with informal discussions with the concerned parties prior to making a decision about an Appeal Panel. The Appeal Committee may decline to recommend an Appeal Panel if (i) the appeal deals with ethical issues, (ii) the appeal deals with technical issues, or (iii) the appellant has not attempted to first resolve the issue informally with the subgroup or Working Group that is responsible for the standard. If the Appeal Committee declines to recommend an Appeal Panel based on these criteria, the Appeal Committee shall provide a written communication to the Sponsor Chair and the appellant outlining the reason for its decision.

If the Appeal Committee determines that the appeal submission is acceptable, the Sponsor Chair shall form an Appeal Panel consisting of an Appeal Panel Chair and two other members, none of whom were directly involved in the matter in dispute, and who will not be materially or directly affected by any decisions made concerning the dispute. The Appeal Panel shall have at least two members that are acceptable to both the appellant and the appellee.

The Appeal Panel shall hear the appeal during a time convenient to all parties (with at least two weeks' notice to all concerned parties), and, if possible, prior to the next regular meeting of the Sponsor. The appeal may be conducted in person or by telephone conference. Failure of the appellant to participate in the hearing (barring unforeseen technical difficulties) shall constitute a withdrawal of the appeal.

A written decision shall be rendered by the Appeal Panel within 30 days of hearing the appeal and communicated to the parties concerned, including the Chair of the Appeal Committee and the Sponsor Chair.

Sponsor procedural appeals shall be conducted as follows:

The number of participating (i.e., speaking) representatives for each of the parties to the appeal is limited to a maximum of three (3). Other individuals may attend the hearing, but will not be permitted to address, or be addressed by, the Sponsor's Appeal Panel or either of the parties to the appeal at any time (including during the question and answer period). No recordings or verbatim transcriptions of the hearing are allowed, except by the IEEE-SA at its sole discretion.

The Sponsor Appeal Panel may call an Executive Session before, during the course of, or following an appeal hearing to consider its action on a specific appeal.

No party to an appeal may communicate with any member of the Sponsor Appeal Panel regarding the appeal while the matter is pending (i.e., from the time of filing of the appeal brief to finalization of the Sponsor Appeal Panel decision).

The appellant has the burden of demonstrating adverse effects, improper action(s) or inaction, and the efficacy of the requested remedial action. Each party may adduce other pertinent arguments, and members of the Sponsor Appeal Panel may address questions to individuals. The Sponsor Appeal Panel shall only consider documentation included in the appeal brief and reply brief, unless

a) Significant new evidence has come to light; and

b) Such evidence reasonably was not available to the appellant or appellee, as appropriate, at the time of filing; and

c) Such evidence was provided by the appellant or appellee, as appropriate, to the other parties as soon as it became available.

Prior to the hearing, the members of the Sponsor Appeal Panel may convene to review the ground rules before the participants appear.

If, after completion of the Sponsor's appeals process, the party bringing the complaint determines that the Sponsor's Appeals Panel decision is unacceptable, such party can file a procedural appeal with the IEEE-SA Standards Board as described in the clause on "Appeals" of the *IEEE-SA Standards Board Operations Manual.*