

# **Policies and Procedures for Standards Coordinating Committee 38**

## **SCC 38: Voting Systems Standards**

June 6, 2006

### **Introduction**

These Policies and Procedures (Operating Procedures) outline the orderly transaction of business of SCC 38. They are designed to assure that the development of standards in SCC 38 is conducted with openness and due process and that all direct and material interests have 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 to openness, due process requires balance, i.e., the standards development process should have a balance of interests and shall not be dominated by any single interest category.

These Operating Procedures outline the orderly transaction of business for this committee. Several documents take precedence 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 SCC 38 Policies and Procedures
- Robert's Rules of Order (Revised)

### **IEEE SCC 38 Scope**

SCC 38 will provide an authoritative technical standards resource to provide a system engineering approach in validating election system processes and implementation hardware and software. This will include technical requirements for these systems, testability for validating and calibrating such systems, and providing recommendations for validating alternate election systems approaches. Examples of projects to be considered include:

1. Validation of election machine functioning
2. Recommended maintenance of machine in service, shipment, and in storage between uses
3. Validation that vote was recorded correctly at the time of vote
4. Guidance for valid system operation and associated system activity.

### **1.0 Organization of SCC 38**

The Sponsor committee shall consist of a Chair, Vice-Chair, Secretary, and members.

### **2.0 Responsibilities of SCC 38**

The Committee shall be responsible for the following:

1. Developing proposed IEEE standards within the scope of SCC 38
2. Supervise ballots of proposed IEEE standards within its scope
3. Maintaining the standards developed by SCC 38 in accordance with the *IEEE-SA Standards Board Operations Manual*
4. Responding to requests for interpretations of the standards developed by SCC 38
5. Acting on other matters requiring SCC 38 effort as provided in these procedures
6. Cooperating with other appropriate standards development organizations
7. Protecting against actions taken in the name of SCC 38 without Committee authorization
8. Providing annual reports to the IEEE-SA Standards Board
9. Communicating with the IEEE-SA Standards Board on specific SCC 38 activities, as needed
10. Communicating activities of SCC 38 with appropriate agencies (National Institute of Standards and Technology, Election Assistance Commission, etc.) as deemed appropriate by the Chair

(Reference: *IEEE-SA Standards Board Bylaws*, Subclauses 4.3.1 and 5.2.1 and *IEEE-SA Standards Board Operations Manual*, Subclauses 4.3.2, 4.5, and 5.1)

### **3.0 Officers**

There shall be a Chair, appointed by the IEEE-SA Standards Board Chair. The SCC 38 chair shall appoint a Vice-Chair, Secretary and any additional officers deemed helpful to the orderly conduct of the business of SCC 38. The term of appointment of officers shall be one year, and this term can be renewed annually. The IEEE-SA Standards Board Chair has the authority to remove an officer.

These Officers shall be members of any grade of the IEEE and of the IEEE-SA and shall organize SCC 38, oversee the Committee'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 Chair shall:

- a) Lead the participants according to all of the relevant policies and procedures defined in section on Operating Procedures above.
- b) Form Study Groups, as necessary

The Vice-Chair shall carry out the Chair's duties if the Chair is temporarily unable to do so.

The Secretary shall:

- a) Distribute the Agenda at least 14 calendar days before meeting
- b) Record and have published minutes of each meeting within 60 calendar days of the end of meeting
- c) Maintain the membership roster
- d) Schedule meetings in coordination with Chair with at least 30 calendar days notice
- e) Be responsible for the management and distribution of Sponsor documentation
- f) Maintain lists of unresolved issues, action items, and assignments

(Reference: *IEEE-SA Standards Board Operations Manual*, Subclause [4.4.2](#))

#### **4.0 Membership**

One or more of the following appoints SCC 38 members:

- The Chair of SCC 38
- An IEEE Society
- The IEEE-SA Standards Board

An interested Society of the IEEE may designate voting member(s) to the Committee, who will serve as the official representative of the Society upon approval of the Chair. One member from each society will serve as the primary representative and any others will be alternate representatives.

The IEEE-SA Standards Board may designate official representatives of outside organizations. A representative may have an alternate serve in his/her absence.

Membership in the IEEE-SA is encouraged for all SCC members.

#### **4.2 Application**

A request for membership in SCC 38 shall be addressed to the Chair, indicating the applicant's and their organization's direct and material interest in the Committee's work,

qualifications and willingness to participate actively. Please note that all IEEE Standards meetings are open to anyone who wishes to attend.

### **4.3 Review of Membership**

The Chair shall review the membership list of SCC 38 annually. Members are expected to fulfill the obligations of active participation. When a member is found in habitual default of these obligations, the Chair shall consider the matter for appropriate action, which may include termination of membership.

### **4.5 Membership Roster**

The Secretary shall maintain a current and accurate Committee roster and shall distribute it to the members upon request or at least annually. All changes to the roster shall be forwarded to the Chair immediately. The roster shall include the following:

1. Title of SCC 38 and its designation
2. Scope of SCC 38
3. Officers - Chair, Vice-Chair, and Secretary.
4. Members: for all, list name, address, IEEE Society(ies) and business affiliations; for society or organizational Designated Representatives (DR) and alternates (DRA), list as DR or DRA and the IEEE Society or organization (as applicable), together with organization address
5. For each Working Group and Task Group - title, chair, and names and addresses of all members

## **5.0 Subgroups Created by SCC 38**

### **5.1 Subgroups of SCC 38**

When one or more subgroups (subcommittees, working groups, task groups, technical subcommittees, writing groups, etc.) are formed specifically to expedite the standards development work of the Committee, their formation (and later disbandment) shall be in accordance with these procedures.

Formation (and later disbandment) of such standards development subgroups requires approval by a majority vote of SCC 38. The Chair of such subgroup shall be appointed by the Chair of SCC 38. The Chair of each subgroup shall appoint a vice-chair, secretary and any other officers deemed useful to the orderly pursuit of the goals of the subgroup. The scope and duties delegated to such subgroup shall be approved at the time it is formed, and subsequent changes in scope or duties shall also require approval. The scope, duties, and membership of all standards development subgroups shall be reviewed by SCC 38 annually.

The duties of the officers of the subgroup are the same as that for Sponsor officers. Meetings of subgroups may be held as decided upon by the members or chair of the subgroup.

#### 5.1.1 Working Group/Task Group Membership

Membership in SCC 38 presumes active participation in its Working Group(s) and/or Task Group(s). Membership in SCC 38 Working Groups and Task Groups is open to individuals who possess professional experience and demonstrate relevant technical expertise. Interested and qualified individuals may formally request the Working Group/Task Group Chair, that they be made a member of the Working Group or Task Group after participating in two out of three consecutive Working Group or Task Group meeting.

#### 5.1.2 Working Group/Task Group Participation Requirements

Members of SCC 38 Working Groups and Task Groups must attend at least one out of three consecutive meetings of that subgroup and are expected to return ballots. Individuals may be given Working Group or Task Group membership, including voting privileges at the invitation of the Working Group/Task Group Chair.

### 6.0 Meetings

SCC 38 meetings shall be held, as decided by the Committee, the Chair, or by petition of 5 or more members, to conduct business, such as making assignments, receiving reports of work, considering draft standards, resolving differences among subgroups, and considering views and objections from any source. A 30-day notice shall be distributed to all members, observers, and experts. An agenda shall be distributed 14 days prior to the meeting. Meetings of SCC 38 subgroups may be held as decided upon by the members or chair of the subgroup.

The Committee 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.

#### 6.1 Quorum

There shall be a quorum for conducting business at a meeting. If a quorum is not present, actions may be taken subject to confirmation by letter ballot, as detailed in Section [7.2](#). See *Robert's Rules of Order (revised)*. A quorum is considered to be a majority of the voting members of the Committee. If a quorum is not present at a meeting, the Chair may choose to conduct certain business of the meeting via email, fax, or letter vote as appropriate.

### 7.0 Vote

## **7.2 Voting Between Meetings**

The Sponsor shall be allowed to conduct Sponsor business between meetings at the discretion of the Chair by use of a email, fax or letter vote. If such actions are to be taken, they shall follow the rules of IEEE Bylaw I-300.4(4).

## **7.3 Actions Requiring Approval by a Majority**

The following actions require approval by a majority of the membership of the Committee either at a meeting - provided that notification of the action has been included on the distributed agenda for the meeting - or by letter or electronic ballot:

1. Formation of a subgroup, including its procedures, scope, and duties
2. Disbandment of subgroups
3. Approval of minutes
4. Move a document forward for sponsor ballot

## **7.4 Actions Requiring Approval by Two-Thirds of Those Voting**

The following actions require a letter or E-Mail ballot or an equivalent formal recorded vote with approval by at least a majority of the membership and at least two-thirds of those voting, excluding abstentions:

1. Adoption or revision of SCC 38 procedures, interest categories, or revisions thereof
2. Public Statements for External Distribution
3. Approval of change of the Committee scope
4. Approval of termination of the Committee

## **7.5 Motions**

**7.5.1 Format of motions:** All motions shall be written so that the exact wording of the motion can be known by all in attendance. Editorial changes can be made through the chair to clarify the motion as it is being written. After the motion is finished, the chair shall review it to make sure that it is understandable before asking for a second.

### **7.5.2 Amendments to motions**

Amendments to motions are considered "friendly" if the person making the motion and the person seconding the motion agree to the change. If not, the amendment has to be voted first and if successful that becomes part of the original motion which is then deliberated and voted.

### **7.6.3 Motions by the chair**

The SCC 38 Chair cannot move or second a motion but can:

- a) state a new motion
- b) ask for a motion and,
- c) ask for a second if the motion is made.

The chair can also make motions by acclamation, e.g., thanking the hosts of the meeting, etc.

### **7.8.0 Procedural Voting Issues**

#### **7.8.1 Applicability to SCC 38 Subgroups**

Unless otherwise specified, Voting procedures that apply to SCC 38 will be used by all SCC 38 subgroups (working groups and task groups).

#### **7.8.2 Proxy Voting**

Proxy voting may be allowed in the working group. If the working group elects to permit proxy voting, the following procedures shall apply.

The chair must be informed of all proxies prior to the start of the meeting in which the proxy is to be in effect. 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. A proxy is not valid without written acknowledgment from the chair and member serving as proxy of receipt of the assignment.

Any one member of the working group may hold no more than two proxy votes in addition to his or her vote. Proxy voting is allowed only for those members who cannot attend the entire meeting; proxies may not be assigned for parts of meetings. A member can assign his or her proxy for no more than two consecutive meetings of the working group. The chair shall announce any proxy voting to the working group 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 distributed agenda prior to the meeting. A member serving as a proxy must 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 may not be further assigned by the member serving as proxy.

#### **7.8.3 Recording results of voice votes**

The Secretary of the Committee shall record the results of votes at meetings.

#### **7.8.4 Reasons supporting negative vote**

For voice ballots where discussion on the motion has taken place, no reason for a negative vote is necessary.

#### **7.8.5 Abstentions**

The outcome of a vote is based on a simple majority of approvals versus disapprovals. A vote at a meeting is valid if the number of votes received, including abstentions, is at least equal to the number of persons that define a quorum.

Example:

If there are 15 persons present and the voting is as follows, the motion passes: 12 abstentions, 2 yes votes and 1 no vote, the motion passes.

If there were 12 abstentions, 2 no votes and 1 yes vote, the motion fails.

#### **7.8.6 Voting on motions by e-mail**

Voting on motions will be allowed as long as no qualified voting member protests the use of an e-mail ballot.

#### **7.8.7 Vote of Alternate**

An alternate's vote is counted only if the designated representative fails to vote. (Reference: *IEEE-SA Standards Board Operations Manual*, Subclause [4.5](#))

#### **7.9.0 Ballot of the SCC Membership**

##### **7.9.1 Written ballots**

Written ballots shall be prepared and used to approve major documents produced by the working group or any of its task groups.

##### **7.9.2 Identification of organization represented**

Each person casting a vote on a written ballot (as defined above) shall state the organization that they are representing and indicate if they are the primary or alternate representative of that organization.

##### **7.9.3 Duration and results of ballot**

The Chair or Secretary of the working group shall issue the ballot(s), tally the results and determine the duration of the balloting period.

#### **7.9.4 Requirements for approval**

In order for an item on a written ballot to pass, seventy five percent (75%) of the eligible voting members of the balloting group must return ballots (including abstentions). Seventy five percent of those who returned ballots (excluding abstentions) must vote in favor of the item on the ballot.

#### **7.9.5 Negative ballots and abstentions**

Reasons supporting a negative vote or abstention are required along with recommended changes in wording that would cause the balloter to change their vote to affirmative.

### **8.0 Communications**

All SCC 38 officers should use the Committee letterhead if available, or email notification, when corresponding on behalf of Committee activities.

#### **8.1 Formal Internal Communication**

If correspondence between subcommittees or between working groups of different subcommittees involves issues or decisions (that is, non-routine matters) affecting other subcommittees, copies shall be sent to all affected subcommittee chairs, the Secretary, and SCC 38 officers.

#### **8.2 External Communication**

Inquiries relating to SCC 38 should be directed to the Chair, and members should so inform individuals who raise such questions. All replies to inquiries shall be made through the Chair.

### **9.0 Interpretations**

The policies of subclause [5.9](#) of the *IEEE-SA Standards Board Operations Manual* shall be followed.

(Reference: *IEEE-SA Standards Board Operations Manual*, Subclause [5.9](#))

### **10.0. Appeals**

SCC 38 recognizes the right of appeal. Technical appeals are referred back to the Committee. Every effort should be made to ensure that impartial handling of complaints regarding any action or inaction on the part of the Committee is performed in an identifiable manner and in accordance with subclause 5.4 of the IEEE-SA Standards Board Bylaws and with subclause 5.8 of the IEEE-SA Standards Board Operations Manual.

### **11.0 Parliamentary Procedures**

On questions of parliamentary procedure not covered in these Procedures, Roberts Rules of Order (revised) may be used to expedite due process.

### **12.0 Statements for Standards**

All communications shall comply with subclause [5.1.4](#) of the *IEEE-SA Standards Board Operations Manual*.

#### **12.1 Committee Statements**

SCC 38 public statements shall not be released without prior approval by the Committee, which requires two-thirds vote per Section 7.4 of these procedures.

#### 12.2 Subgroup Statements

Normally, SCC 38 Subgroup statements are not issued. However, in the event such a statement is needed, it shall not be released without prior approval by a three-fourths vote of the subgroup. Such statements may proceed unless blocked by a SCC 38 vote. For statements not presented for review at a Committee meeting, members shall be provided a review period of at least five (5) days. If, during that time, a motion to block the statement is made, release of the statement will be withheld pending failure of the blocking motion.

Subgroup statements shall be identified in the first paragraph of the statement as being specifically the position of the subgroup. These statements shall be issued by the Subgroup Chair and shall include the SCC 38 Chair in the distribution. Such statements shall bear neither the IEEE, the IEEE-SA, nor the IEEE SCC 38 logos.

#### **12.3 Informal Communications**

Informal communications shall not imply that they are a formal position of the Committee, subcommittee, nor the working group.

#### **12.4 Position Statements to be Issued by Other Entities**

If the Committee wishes to go to another IEEE entity (as defined in Section [15](#) of the *IEEE Policy and Procedures*) to have that entity offer a position statement on a standards

matter, they shall do so after agreement from the IEEE-SA Standards Board and after informing the IEEE-SA BOG. Therefore, proposed position statements that need to be issued by other IEEE entities shall be forwarded to the IEEE-SA Standards Board Secretary for further action.

### **13. Standards Publicity**

The Committee is encouraged to prepare press releases and other forms of publicity to promote their activities. All press releases and other forms of publicity will be with the approval of the SCC 38 Chair. Please see subclause [5.1.5](#) of the *IEEE-SA Standards Board Operations Manual* for further instructions.

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(1) "Equivalent" refers to some identifiable method of tallying the votes and addressing the comments.