IEEE POLICIES

THE INSTITUTE OF ELECTRICAL AND ELECTRONICS
ENGINEERS, INC.

3 Park Avenue, 17th Floor
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Advancing Technology for Humanity

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IEEE POLICIES

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INTRODUCTION

IEEE Incorporation. IEEE is incorporated under the New York State Not-for-Profit Corporation Law. The text of that law changes from time to time; the IEEE Executive Director should be consulted prior to taking any action which relates to that law.

IEEE Government. The policies, procedures and regulations by which IEEE is governed are embodied in three documents. The IEEE Constitution, which can be approved and amended only by the voting members of the IEEE, contains IEEE's fundamental objectives, organization and procedures. Implementation of the Constitutional provisions, in specific organizational structures and procedures, is entrusted to the IEEE Bylaws, which are approved and amended by the IEEE Board of Directors. The third document, the IEEE Policies, is published herewith; its purpose is to provide more detailed statements of specific policies, objectives and procedures than are appropriate for inclusion in the Constitution and Bylaws. The IEEE Policies are approved and amended by the IEEE Board of Directors.

The precedence of these three documents should be remembered by all those engaged in IEEE management duties. The Bylaws may not be in conflict with the Constitution, and the IEEE Policies must conform to the provisions of both the Constitution and the Bylaws. If, after having consulted these documents, questions of procedure or interpretation remain, inquiries addressed to the IEEE Secretary, the IEEE Executive Director, or to members of his/her staff, will receive prompt attention.

Format of the IEEE Policies. The policies and procedures published here have been arranged in sections, each dealing with a different facet of IEEE's operations. The first eight sections cover the activities of the Major Boards and Committees of IEEE. The remaining eight sections cover activities common to several of the IEEE Boards and their organizational units. These include conferences, finances, nominations and elections, legal and tax matters, mailing lists and rosters, and membership.

Those consulting these IEEE Policies for the first time are urged to carefully review the Table of Contents to acquaint themselves with all policies relating to their particular activities within the IEEE.

The following paragraphs summarize the content of each section of the IEEE Policies.

Section 1 - Regional Activities. Regional activities, conducted under the aegis of the Member and Geographic Activities Board, are concerned primarily with the interests of the individual member in the locale of his home or place of employment, and with the activities of local groups of members such as Sections, Subsections, Chapters and Student Branches. The activities are coordinated within each of the ten IEEE Regions by the respective Regional Directors.

Section 2 - Technical Activities. The technical activities of the IEEE, conducted by the Technical Activities Board, embrace the work of the IEEE Societies as well as IEEE-wide technical programs. These activities are intended to serve the specialized technical interests of individual members and groups of members, and to bring the resources of the IEEE to bear on technical questions of local, national and transnational interest.

Section 3 - Educational Activities. The Educational Activities Board prepares and conducts educational programs designed to support the individual member during his professional career, with particular emphasis on continuing education and career development. It also assists the profession at large in such areas as pre-university guidance, accreditation of engineering curricula, professional registration and certification.

Section 4 - Awards Activities. The awards programs of the IEEE are managed and monitored by the Awards Board. Nominations for recipients of IEEE-wide awards are made by the Awards Board to the Board of Directors. Specialized awards within the scopes of the IEEE Societies, Regions, Sections or Councils are established and financed by the respective organizational units, subject to rules set by the Awards Board.

Section 5 - Intersociety Activities. IEEE maintains relations with societies and other organizations throughout the world, and co-sponsors or assists in the operation of national and international conferences. This section specifies policies and procedures in dealing with other organizations.

Section 6 - Published Products and Services. The publications of the IEEE are under the jurisdiction of the Publication Services and Products Board (in the case of Society publications this responsibility is shared with the Technical Activities Board). Since IEEE is responsible for a major share of the world's refereed technical information in electrical and electronics engineering, these duties consume a major share of the IEEE's personnel and other resources. Also included are procedures for protecting IEEE copyrights.

Section 7 - Professional Activities. The professional (as distinguished from technical) activities of IEEE are based on amendments to the Constitution passed in 1972.

> Part A: IEEE Policies. Various overriding policies related to professional activities, the IEEE Code of Ethics and other policies as they relate to ethical conduct are contained in Part A.
>
> Part B: IEEE-USA Policies. Responsibility for such activities in the United States has been delegated by the Board of Directors to the IEEE-USA Board. The policies in this section indicate the procedures to be followed in dealing with government bodies and other organizations on matters of professional concern to the membership.

Section 8 - Standards Activities. The IEEE Standards Association is responsible for conducting and coordinating the IEEE's involvement in all standards activities, including on all relations on standard matters with outside organizations, both private and governmental. It also is responsible for appointing IEEE representatives to participate in standard development efforts of other organizations. The overriding objectives of Standards Activities are contained in this section.

Section 9 - Activities of IEEE Organizational Units. This section deals with activities that are common to or shared jointly by several types of IEEE organizational units. It also addresses the usage of standard notations within the IEEE as well as e-mail policy and guidelines and the information disclosure policy.

Section 10 - Meetings, Conferences, Symposia and Expositions. The IEEE as a whole, as well as such units as its Sections, Regions, and Societies, serves as sponsor or co-sponsor of major meetings each year. Since the planning and management of these meetings are largely decentralized, this section serves an important purpose in apprising local officials of applicable policies and procedures.

Section 11 - Financial Matters. This section deals with policies related to volunteer and staff responsibilities regarding the functions and administration of the financial aspects of the IEEE and the organizational units of the IEEE.

Section 12 - Legal and Tax Matters. This section derives from the requirements of United States laws and regulations, particularly those governing the tax status of not-for-profit organizations, to which IEEE must adhere in operations conducted within the United States. These procedures are derived from statutes applying to all similar organizations, and hence are not based on the IEEE Constitution and Bylaws. Since

the penalties for failure to comply with these regulations are substantial, all those engaged in IEEE management should be familiar with this section and follow the procedures exactly.

Section 13 - Nominations and Elections. IEEE is at all levels governed directly or indirectly by members elected to their posts by fellow members. To provide for fully representative elections, a number of detailed provisions, outlined in this section, must be observed.

Section 14 - Mailing Lists and Rosters. Since the distribution of publications and other communications to IEEE members involves the use of mailing lists which would be useful to many other organizations, specific procedures should be in place to protect the lists against unauthorized use. Conversely, authorized use of these lists by appropriate organizations can render an important service to members. The policies in this section deal with procedures to preserve the distinction between desirable and undesirable use of lists by other organizations.

Section 15 - External Communications on Public Policy. This Section defines appropriate IEEE External Communications on public policy, describes their nature and use, and specifies the processes for their approval, communication and maintenance.

Section 16 - Applications for Membership, Billing and Renewals. This section contains information relevant to the membership renewal process, terminations, billing, categories of membership and related dues reductions, and payment schedule.

DEFINITIONS

1. Bullying. Bullying is defined as a behavior that a reasonable person would find hostile or offensive, and which causes physical, emotional, reputational, or social harm. It can involve an individual or a group misusing their power, or perceived power. It is often an accumulation of incidences that persistently injures, intimidates, coerces, provokes, frightens, or otherwise harms another person.

2. Unless otherwise defined herein, a "Calendar Day" shall include the time from 12:00 midnight ET USA up to 11:59 PM ET USA or any day of the week specifically mentioned.

   A "Business Day" shall be any day other than Saturday, Sunday, legal holiday, or a day on which commercial banks are authorized or required by law, regulation, or executive order to close in New York state.

   When not otherwise defined, a "Day" shall be considered a "Calendar Day."

3. Discrimination. Discrimination is defined as taking negative action against a person either because the person has one or more protected characteristics or refusing to provide a reasonable accommodation for a person's disability or religious belief, restriction, or requirement, treating people differently, either preferentially or with adverse impact; because they have similar characteristics; or because they are from specific groups.

4. Harassment. Harassment is defined as one form of Discrimination. Harassment is conduct based upon one or more protected characteristics that has the purpose or effect of unreasonably interfering with an individual's participation in IEEE activities or creating an environment that would be intimidating, hostile or offensive to a reasonable person in such a situation. Harassment can occur when submission to such conduct is made either explicitly or implicitly a term or condition of an individual's participation in IEEE activities or used as a basis for decisions affecting that individual's relationship to the IEEE.

5. Retaliation. Retaliation is defined as punitive actions taken against persons for exercising their employee or other rights under the laws in good faith, reporting violations of the laws to the proper authorities (i.e. "whistle-blowing") and/or participating in administrative or legal proceedings as a plaintiff, reporter, or witness.

SECTION 1 – REGIONAL ACTIVITIES

1.1 Region Boundaries

When appropriate, the Member and Geographic Activities Board shall recommend to the IEEE Board of Directors the formation, dissolution, transfer, merger or change of boundaries of any Region including the distribution of all funds and assets in the custody of that Region at the date of termination.

SECTION 2 – TECHNICAL ACTIVITIES

2.1 IEEE Societies

In recognition of the continuing growth and diversification of its technical activities, the IEEE has provided for Societies within the IEEE structure.

The Societies benefit from the economies of centralized administration, extensive geographical organization of the IEEE, and the ease with which an individual can participate in several organizational units within the IEEE, thus providing a better match between technical needs and the necessarily arbitrary lines of organization.

A. Functions of Societies. Each Society operates in a distinct technical area, and shall provide the necessary basis for its further growth, for attracting new members in competition with other societies in the field, for merging IEEE Societies into stronger technical organizational units, for merging non-IEEE societies into IEEE, for dealing with other professional societies, and for facilitating the representation of the profession to outside agencies including governments. Each Society carries out its own publication, meetings, standards, and other activities as required and operates within its own budget and may establish Technical Committees to allow members to promote specialized technical areas.

B. Administration. Each Society is governed by its own administrative body responsible to its members.

C. Society Membership Dues. The membership dues structure for Societies shall be set as part of the annual budget cycle.

D. No Society shall be recognized as joint with any other organization, society, or group outside the IEEE. However, Societies may cooperate with other organizations in the operation of joint committees and the holding of joint meetings and may invite members of such organizations and the public to their meetings.

E. Society Finances. The annual Society budget must be approved by the TAB Finance Committee and the Technical Activities Board.

2.2 Society Emblems and Pins

Each Society on its own initiative may adopt an emblem, subject to prior legal trademark review to insure the integrity of the IEEE emblem trademark is maintained. A Society with an emblem may, at its own financial risk, design and procure pins or other devices for sale to its members.

Guidelines for the use of the IEEE emblem on printed material are found in Sections 6.3.2 and 12.1.

SECTION 3 – EDUCATIONAL ACTIVITIES

3.1 Selection Procedures for IEEE Representatives to ABET

The Educational Activities Board (EAB) shall identify and appoint IEEE Representatives to the ABET Board of Delegates (BoDel), the EAC (Engineering Accreditation Commission) and ETAC (Engineering Technology Accreditation Commission) Area Delegations and the BoDel Alternates.

The EAB shall report the appointments to the IEEE Board of Directors upon the completion of the process. Procedures for selecting the IEEE Representatives to the ABET BoDel, EAC and ETAC Area Delegations and the BoDel Alternates shall be detailed in the EAB Operations Manual.

SECTION 4 – AWARDS ACTIVITIES

4.1 Objectives

The IEEE shall recognize those who contribute to and support the purposes of the IEEE in an exceptionally worthy manner. In furtherance of this objective, the IEEE shall create and foster a broad program of formal awards and recognitions of all types. The IEEE shall encourage the formation of awards committees in its geographical, professional and technical organizational units to recognize outstanding achievements and services for the benefit of the IEEE and the engineering profession, and for those accomplishments which enhance the quality of life for all people throughout the world.

IEEE Awards shall serve several purposes: (1) be an expression of recognition for outstanding contributions to the advancement of the theory and practice of electrical, electronics, communications and computer engineering, as well as computer science, the allied branches of engineering and the related arts and sciences and technologies and their application; (2) be an incentive to youth to emulate excellence; (3) be a personalized recognition of the achievements of the profession and its members to the public, and (4) identify the IEEE with these achievements.

The awards policies of the IEEE shall establish a hierarchical system of awards at several levels of the IEEE's organization. This system of awards is designed to meet the changing demands of the IEEE.

The IEEE, through its Awards Board, shall establish policies and procedures to provide for the orderly development and implementation of awards and recognitions programs throughout the IEEE, and shall administer those programs at the Institute level on behalf of the IEEE Board of Directors.

In carrying out awards activities, the IEEE organizational units shall give prominence to the intent of each award, as well as to the specific accomplishments of the recipients.

4.2 Definitions

The generic word "awards" shall include, but not be limited to, medals, awards, formal recognitions, scholarships, prize papers, and Honorary Membership.

Student recognition and support shall include student prizes, student awards, scholarships and fellowships.

4.3 Authority for Awards

The IEEE awards administered by the Awards Board and its committees shall be approved by the Board of Directors and presented in the name of the IEEE.

The Board of Directors may delegate approval authority to those respective major boards having chartered Awards and Recognition Committees, and who have previously been delegated administrative authority by the Awards Board. The approval authority within established limitations for awards and recognitions falling within their respective scopes of operations, shall be in accordance with policy established by the Board of Directors.

4.4 Limitations of Awards

A. Number of Awards in Recognition of a Given Achievement. Normally, an individual shall receive only one honor in recognition of a given achievement, unless the significance of the achievement is such as to merit subsequently a higher award. A higher award may be given in the following year or thereafter.

B. Posthumous Awards. Posthumous awards to individual nominees shall be made only when knowledge of the awardees' death is received by the Awards Board Chair from the legal heir of the deceased after announcement of the recipient; nominations of known deceased persons shall not receive consideration. However, in cases where a nomination relates to a "team," a collection of individuals who are to be recognized for a shared achievement as defined by the individual award criteria, the fact that one or more, but not all of the team are deceased shall not preclude an award being made to the living members. In this latter case the deceased members may be recognized within the recipient announcements and publicity. While there would be no eligibility for anyone or any organization associated with the deceased individual(s) to receive the honorarium or medal, a certificate will, if practical, be issued for each such individual to the legal heir of the deceased, recognizing his or her contribution to the team effort.

C. Frequency of Award Presentation. Even though an award may be specified as being given annually, it shall be awarded only when, in the judgment of the sponsoring IEEE organizational unit, suitable candidates are available.

D. Medals to Non-IEEE Members. It is preferred that recipients of the IEEE Medal of Honor and IEEE Medals shall be members of IEEE. However, the IEEE Board of Directors may approve the presentation to a non-member upon the recommendation of the IEEE Awards Board.

E. Medal Administration. Any new or revised IEEE Medal shall be administered only by the Awards Board, and these shall be presented in the name of the IEEE Board of Directors.

F. Use of Word "Medal". For any new and revised award below those presented in the name of the IEEE Board of Directors, the word "medal" shall not be part of the official title or designation. A medal may be included as a part of the award, however, it may not be gold.

G. Staff Ineligibility. No member of the IEEE staff shall act as nominator or reference or be a candidate for any award covered by IEEE Policy 4.8, with the exception of the IEEE Eric Herz Outstanding Staff Member Award where staff may be a candidate, as specified in Policy Section 4.8.G.

Organizational units may establish staff eligibility requirements for non IEEE-level awards at their own discretion.

H. Eligibility and Process Limitations. Individuals serving on any board or committee involved at any stage of the recipient selection or approval process for an award shall be ineligible to receive, or act as a nominator or reference for that award. This conflict of interest limitation shall apply to all awards given by the IEEE or any of its organizational units.

I. Cash Awards to Companies or Organizations. Awards are to be given in recognition of excellence. It is not appropriate to present an award with cash value to a company or organization in recognition of the support given to IEEE activities.

J. Student Recognition Purpose. Any student recognition and support activity by an IEEE Organizational Unit shall be for the direct benefit or perpetuation of the aims and objectives of that Organizational Unit and the IEEE.

K. IEEE Scholarship Purposes. IEEE scholarships shall be designed to accomplish specific purposes not already covered by other agencies, as, for example, scholarships designed to promote study in a particular field which is being neglected, etc.

Funds derived from IEEE and Society member dues and fees, and organizational unit rebates shall not be used for scholarships, fellowships and other education awards.

L. Awards Not Requiring Approval. IEEE Awards Board approval is not required for the establishment of "informal" or customary recognitions not carrying honoraria, such as certificates of appreciation, Committee Chair's certificates, Section Chair's certificates, Society President's pins, etc.

4.5 Procedures for Nomination and Selection of Candidates

Except as expressly provided in these Policies, the procedure for the nomination and selection of candidates for awards shall be specified in the Awards Board Operations Manual.

4.6 Presentation of IEEE Awards

The IEEE Medal of Honor and the IEEE Medals shall be presented at an IEEE Medals Presentation. All IEEE awards shall be presented at times and places approved by the Awards Board. The Chair of the Awards Board shall be responsible for the review and approval of plans and arrangements for the presentation of IEEE awards as well as for the format and content of IEEE awards brochures.

Guidelines on the hierarchy of presenters of each award shall be specified in the Awards Board Operations Manual.

4.7 Establishment and Review of Awards

The establishment of awards requires the approvals of (a) the IEEE Awards Board for their specifications, and (b) the IEEE Board of Directors for their establishment and use of IEEE funds on behalf of the IEEE Organizational Units for the purpose of sponsoring awards.

The IEEE Awards Board and the Organizational Units, acting through their respective Awards and Recognition Committees, shall establish procedures to ensure critical review, approved funding and reasonable schedules for awards proposals submitted.

The establishment of those student recognition and support activities within the specifications given in Table A has been delegated by the IEEE Awards Board and the Board of Directors to the Major Boards having chartered Awards and Recognition Committees. Those activities beyond Table A require the approval of the IEEE Awards Board. Portions of Section 11 of this Manual and MGA Operations Manual shall be examined for relevancy.

Details for proposals for new awards shall be specified in the IEEE Awards Board Operations Manual.

It is the policy of the IEEE to review all awards and scholarships every ten years. Contractual arrangements for new awards and scholarships should provide for review and modification by the IEEE in order to cope with changing conditions in the profession. It is recommended that all new awards be established for a specific period of 10 years, and renewable for a like period.

4.8 Current Honors, Medals, Technical Field Awards, Recognitions, Prize Papers, Scholarships, External Awards and Staff Award Administered by the Awards Board

Awards may be awarded annually when, in the judgment of the Awards Board, suitable candidates are available.

A. IEEE Medal of Honor. The IEEE Medal of Honor shall be awarded for an exceptional contribution or an extraordinary career in the IEEE fields of interest.

The Medal of Honor is the highest IEEE award. The candidate(s) need not be a member of the IEEE.

A Search Committee for the IEEE Medal of Honor will be appointed by the Awards Board, and a Selection Committee for the IEEE Medal of Honor will be recommended by the Awards Board and appointed by the Board of Directors.

The Medal of Honor Selection Committee shall recommend candidates to the Awards Board for endorsement, who in turn shall recommend to the Board of Directors for final approval.

B. IEEE Medals. IEEE Medals shall embrace significant and broad IEEE interests and purposes. IEEE Medals may be awarded annually when, in the judgment of the Awards Board, suitable candidates are available.

The IEEE Medals Council shall recommend candidates for each of the IEEE Medals to the Awards Board for endorsement. The Awards Board shall, in turn, submit to the Board of Directors for final approval.

New IEEE Medals may be established only by the Board of Directors on the recommendation of the Awards Board.

The IEEE Medals are:

IEEE Frances E. Allen Medal, for innovative work in computing leading to lasting impact on other fields of engineering, technology, or science.

IEEE Alexander Graham Bell Medal, for exceptional contributions to communications and networking sciences and engineering.

IEEE Toby Berger Medal in Neural and Quantum Sciences, for pioneering interdisciplinary work connecting information theory with neural or quantum sciences.

IEEE Jagadish Chandra Bose Medal in Wireless Communications, for contributions to wireless communications technologies with a global impact.

IEEE Corporate Innovation Medal, for an outstanding innovation by an organization in an IEEE field of interest.

IEEE Mildred Dresselhaus Medal, for outstanding technical contributions in science and engineering of great impact to IEEE fields of interest

IEEE Edison Medal for Power and Energy, for outstanding contributions to the technology associated with the generation, transmission, distribution, application and utilization of electric power for the betterment of society.

IEEE Medal for Environmental and Safety Technologies, for outstanding accomplishments in the application of technology in the fields of interest of IEEE that improve the environment and/or public safety.

IEEE Richard W. Hamming Medal, for exceptional contributions to information sciences, systems and technology.

IEEE Nick Holonyak, Jr. Medal, for Semiconductor Optoelectronic Technologies, for outstanding contributions to semiconductor optoelectronic devices and systems including high-energy-efficiency semiconductor devices and electronics.

IEEE Medal for Innovations in Healthcare Technology, for exceptional contributions to technologies and applications benefitting healthcare, medicine, and the health sciences.

IEEE Jack S. Kilby Signal Processing Medal, for outstanding achievements in signal processing.

IEEE/RSE (Royal Society of Edinburgh) James Clerk Maxwell Medal, for groundbreaking contributions that have had an exceptional impact on the development of electronics and electrical engineering or related fields.

IEEE James H. Mulligan, Jr. Education Medal, for a career of outstanding contributions to education in the fields of interest of IEEE.

IEEE Jun-ichi Nishizawa Medal, for outstanding contributions to material and device science and technology, including practical application.

IEEE Robert N. Noyce Medal, for exceptional contributions to the microelectronics industry.

IEEE John von Neumann Medal, for outstanding achievements in computer-related science and technology.

C. IEEE Technical Field Awards. The IEEE Technical Field Awards are awarded for contributions in specific technical fields of science and engineering, and in several areas of leadership. They may be awarded annually when in the judgment of the Awards Board suitable candidates are available.

The IEEE Technical Field Awards Council shall recommend candidates for each of the IEEE Technical Field Awards to the Awards Board for endorsement. The Awards Board shall, in turn, submit to the Board of Directors for final approval. New IEEE Technical Field Awards can be established only by the Board of Directors on the recommendation of the Awards Board. Under normal circumstances, any donation or bequest shall be accepted only with the provision that any residual balance becomes a donation to the IEEE Foundation, designated for the IEEE awards program, upon termination of the IEEE Technical Field Award.

The IEEE Board of Directors may, in its sole discretion, recommend to the Board of Directors of the IEEE Foundation the acceptance by the Foundation of donations and bequests for the purpose of endowing the IEEE Technical Field Awards program. Such endowments may, with the approval of the Board, carry the name of an individual or individuals, e.g., the John J. Jones Endowment Fund. Restrictions on the technical scope of the awards supported by such funds, shall not be for more than ten years. Support to the IEEE Technical Field Awards received from such endowments shall be acknowledged by listing each such Endowment Fund, by name, in an appropriate IEEE publication or brochure associated with the announcement of each year's IEEE Technical Field Award selections.

The IEEE Technical Field Awards are:

IEEE Biomedical Engineering Award, for outstanding contributions to the field of biomedical engineering.

IEEE Cledo Brunetti Award, for outstanding contributions to nanotechnology and technologies for microsystem miniaturization.

IEEE Roger W. Brockett Control Systems Award, for outstanding contributions to control systems engineering, science, or technology.

IEEE Electromagnetics Award, for outstanding contributions to the theory and/or application of electromagnetics.

IEEE Rao R. Tummala Electronics Packaging Award, for outstanding contributions to advancing components, electronic packaging, or manufacturing technologies.

IEEE James L. Flanagan Speech and Audio Processing Award, for an outstanding contribution to the advancement of speech and/or audio signal processing.

IEEE Fourier Award for Signal Processing, for an outstanding contribution to the advancement of signal processing, other than in the areas of speech and audio processing.

IEEE Andrew S. Grove Award, for outstanding contributions to solid-state devices and technology.

IEEE Masaru Ibuka Consumer Technology Award, for outstanding contributions in the field of consumer technology.

IEEE Internet Award, for exceptional contributions to the advancement of Internet technology for network architecture, mobility and/or end-use applications.

IEEE Richard Harold Kaufmann Award, for outstanding contributions in industrial systems engineering.

IEEE Joseph F. Keithley Award in Instrumentation and Measurement, for outstanding contributions in electrical measurements.

IEEE Gustav Robert Kirchhoff Award, for an outstanding contribution to the fundamentals of any aspect of electronic circuits and systems that has a long-term significance or impact.

IEEE Leon K. Kirchmayer Graduate Teaching Award, for inspirational teaching of graduate students in the IEEE fields of interest.

IEEE Koji Kobayashi Computers and Communications Award, for outstanding contributions to the integration of computers and communications.

IEEE Arun N. Netravali Video Analytics, Technology, and Systems Award, for an outstanding contribution to the advancement of video technology, systems, services, and video AI and analytics.

IEEE William E. Newell Power Electronics Award, for outstanding contributions to power electronics.

IEEE Lotfi A. Zadeh Award, for Emerging Technologies, for outstanding contributions to emerging technologies recognized within recent years.

IEEE Donald O. Pederson Award in Solid-State Circuits, for outstanding contributions to solid-state circuits.

IEEE Frederik Philips Award, for outstanding accomplishments in the management of research and development resulting in effective innovation in the electrical and electronics industry.

IEEE Photonics Award, for outstanding achievement(s) in photonics.

IEEE Robotics and Automation Award, for contributions in the field of robotics and automation.

IEEE Frank Rosenblatt Award, for outstanding contributions to biologically and linguistically motivated computational paradigms and systems.

IEEE Marie Sklodowska-Curie Award, for outstanding contributions to the field of nuclear and plasma sciences and engineering.

IEEE Innovation in Societal Infrastructure Award, for significant technological achievements and contributions to the establishment, development, and proliferation of innovative societal infrastructure systems through the application of information technology with an emphasis on distributed computing systems.

IEEE Charles Proteus Steinmetz Award, for exceptional contributions to the development and/or advancement of standards in electrical and electronics engineering.

IEEE Eric E. Sumner Award, for outstanding contributions to communications technology.

IEEE Nikola Tesla Award, for outstanding contributions to the generation and utilization of electric power.

IEEE Kiyo Tomiyasu Award, for outstanding early to mid-career contributions to technologies holding the promise of innovative applications.

IEEE Transportation Technologies Award, for advances in technologies within the fields of interest to the IEEE as applied in transportation systems.

IEEE Undergraduate Teaching Award, for inspirational teaching of undergraduate students in the fields of interest of IEEE.

D. IEEE Recognitions. IEEE recognitions are awards given in addition to the IEEE Medal of Honor, the IEEE Medals, and the Technical Field Awards.

The IEEE Recognitions Council shall recommend candidates for these awards to the Awards Board for endorsement. The Awards Board shall, in turn, submit to the Board of Directors for final approval.

New IEEE Recognitions can be established only by the Board of Directors on the recommendation of the Awards Board.

1. IEEE Service Awards. There shall be two IEEE Service Awards, which may be awarded annually when in the judgment of the Awards Board suitable candidates are available.

   IEEE Richard M. Emberson Award, for distinguished service advancing the technical objectives of the IEEE.

   IEEE Haraden Pratt Award, for outstanding volunteer service to the IEEE.

2. IEEE Theodore (Ted) W. Hissey Outstanding Young Professional Award may be awarded to a young professional for contributions to the technical community and IEEE fields of interest.

3. IEEE Scholarship Awards

   The IEEE Scholarship Award is:

   Frank A. Cowan Fellowship. The Frank A. Cowan Fellowship may be awarded for graduate study in the field of communications, to the extent of available funds, when the Frank A. Cowan Fund is not used to support the IEEE Medal of Honor for accomplishments in the field of communications.

E. IEEE Honorary Membership. The IEEE Honorary Membership Committee shall be responsible for recommending to the Recognitions Council, who shall make a recommendation to the Awards Board, candidates for IEEE Honorary Membership. The Awards Board shall, in turn, submit to the Board of Directors for final approval.

Neither the Awards Board nor any of its committees shall be involved with the selection of recipients of the Honorary Life Memberships of the IEEE Societies.

F. External Awards. External Awards are those awards not exclusive to IEEE, but of interest to IEEE and its members. The Awards Board shall be responsible for reviewing and suggesting actions on outside awards of interest to IEEE members and for recommending nominations for such external awards. The Awards Board Chair appoints IEEE candidates for service on external medals and awards committees which are reported to the Awards Board.

G. IEEE Staff Award

IEEE Eric Herz Outstanding Staff Member Award, for sustained contributions by a present or past full-time or part-time staff member, excluding current and/or past Management Council members of the IEEE, with at least ten years of service, at the time of nomination. The award may be awarded on an annual basis when a suitable candidate is nominated.

The IEEE Awards Board shall recommend candidates for the IEEE Eric Herz Outstanding Staff Member Award to the Board of Directors for final approval. The IEEE Eric Herz Outstanding Staff Member Award shall be administered by the Awards Board.

4.9 [Reserved - This section is reserved for future use]

4.10 Hierarchy of Awards

The hierarchy and honoraria of awards within the IEEE shall be as follows:

Award Category	Maximum Honoraria and Medals
IEEE Medal of Honor	$2,000,000, gold medal and bronze replica
IEEE Medals	$20,000, bronze medal
IEEE Technical Field Awards, Joint IEEE Awards with National Societies & IEEE Recognitions	$10,000, bronze medal
Major Board, Region and Division, Society and Technical Council Awards, Parent Organizational Units acknowledged by the MGA Board, and Technical Committee/Community Awards	$10,000
Technical Conference Awards	$ 5,000
Area, Geographical Council or Conference, Section, Chapter Awards, including Chapter Awards given by Societies and Technical Councils	$ 2,000
Student Branch, and Student Branch Chapter Awards, including Student Branch Chapter Awards given by Societies and Technical Councils	$ 1,000

The extent of supplementary items such as plaques, certificates, bowls, replica medals, etc., to be presented with an award shall be guided by such items presented in the hierarchy of current awards.

Table A - IEEE Student Recognition and Support

	Secondary School Prize	Undergraduate Award	Undergraduate Scholarship	Graduate Award	Graduate Scholarship	Graduate Fellowship
Educational Program Restraints	None	Curriculum with IEEE relevance	Breadth of sponsoring organizational unit	Breadth of sponsoring organizational unit	Breadth of sponsoring organizational unit	Breadth of sponsoring organizational unit
Minimum Amount	Certificate	Certificate	$ 500 *	$ 1,000 *	$ 2,500 *	$ 5,000 *
Maximum Amount	$ 500	$ 2,500	$15,000 annually	$5,000	$25,000 annually	$30,000 annually

There shall be no primary award evaluation constraints except educational level and geographical location, although financial need can be used as a secondary criterion.

* The amounts are given in U.S. dollars. These limits should be modified in other geographical areas as appropriate to account for differences in the cost of education, availability of comparable non-IEEE sponsored support, and the impact of the recognition.

Undergraduate Scholarships: for eligible students pursuing an Undergraduate Degree (Associates or Bachelor's degree or equivalent)

Graduate Scholarships: for eligible undergraduate students with a Bachelor's degree (or equivalent) pursuing a higher-level graduate degree (e.g. Master's degree or equivalent)

Graduate Fellowships: for eligible graduate students with a Master's degree (or equivalent) pursuing an advanced doctoral Ph.D. graduate degree (or equivalent)

SECTION 5 – INTERSOCIETY ACTIVITIES

5.1 Objectives

In support of the engineering profession as a whole, it is IEEE Policy to encourage relationships with other organizations.

- Such organizations shall share similar objectives and may not be limited to those that are engineering or scientific in character.
- Such relationships may vary in their degree of formality.
- Such relationship may result in the appointment of representatives, delegates, or a corporate membership in that organization.
- Such organizations may appoint representatives to IEEE.
- Such relationships shall encourage interdisciplinary activity.

IEEE's relationship with outside organizations shall be in consonance with the principles and objectives of the IEEE Certificate of Incorporation, Constitution and Bylaws and subject to the legal limitations of IEEE's 501(c)(3) tax status. Policy Section 9.1 - Affiliation with Tax Exempt Organizations and Policy 5.2 below shall be followed when considering affiliations with for-profit organizations or other organizations that are exempt from US Federal income tax.

Other parts of this Policy Manual may address intersociety activities more specifically, however, the general principles of this Section 5 shall also apply. Any apparent conflicts related to any intersociety activity shall be referred to the IEEE Board of Directors for review and adjudication.

5.2 Guiding Principles for Transnational Activities

Because it is a global organization, the IEEE recognizes that cultural differences may impact its activities.

Special provisions shall be made to provide appropriate activities that accommodate unique cultures and or legislation.

The IEEE or its organizational units may adopt different positions on a particular topic or activity relative to specific national environments. It is IEEE policy that the undertaking of such an activity or position shall not prevent IEEE action on the same topic or activity in other national environments.

5.3 Proposals for Intersociety Activity

Proposal Submission. Proposals for IEEE intersociety activities shall be submitted by any member(s), or organizational unit to the IEEE Board of Directors.

Delegation of Authority. The Board of Directors may delegate authority for review and approval of proposals to the appropriate Major Boards (e.g., MGAB, TAB, IEEE-USA). New proposals shall be brought to the Board of Directors only if the proposal has no overriding precedents and/or new policy decisions are required. The IEEE organizational unit authorized to review and approve the proposal shall be responsible for monitoring and appropriate action on all aspects of the joint activity.

5.4 Categories of Involvement

IEEE's involvement with outside organizations may be technical and non-technical and can be at the international, national or local level.

A. Non-technical Involvement.

1. The designated IEEE organizational unit (hereunder referred to as the designated Board) shall:

   - Appoint the IEEE delegate(s), for one-year terms, unless specified otherwise.
   - Coordinate the interests of other IEEE organizational units and obtain any necessary internal reviews and approvals regarding IEEE's interests.
   - Report on actions by the outside organization that impinge on IEEE interests.
   - Budget for the annual dues, or other support, required by the outside organization.
   - Review annually, the activities of the outside organization and make a judgment on whether to continue IEEE's involvement. If the judgment is to terminate or modify the IEEE involvement, any other interested IEEE organizational units shall be advised and a recommendation shall be submitted to the IEEE Board of Directors.
   - Maintain an archival record of appointments and reports pertaining to the involvement, through the Secretary of the designated Board.

2. The designated Board may delegate the task of implementing the involvement.

B. Technical Involvement.

1. The designated IEEE organizational unit, (hereunder referred to as the designated Board) shall:

   - Appoint IEEE delegates. Several IEEE organizational units (e.g., Societies, Committees) may wish to have technical representation and in such cases each Society shall appoint IEEE delegates.
   - Coordinate all technically involved Societies.
   - Resolve conflicts in technical inputs from various Societies.
   - Budget for the annual dues, or other support, required by the outside organization.

- Review, annually, their participation and make a judgment whether to continue IEEE's involvement. If more than one Society is represented, each Society shall conduct the review, and promptly notify the other participating Societies and designated Board of any decision to terminate or modify their involvement.

2. Technical Representatives. Technical representatives shall be responsible for ascertaining the positions or views of the respective appointing Societies. The designated Board may name one of the representatives to head the delegation and act as spokesperson on administrative matters.

3. Presenting Technical Views. Technical inputs from various Societies may be separate and independent of each other, however, if conflicts arise, they shall be resolved by the designated Board and one view presented as IEEE's opinion.

C. National and International. The IEEE will be represented through the appropriate boards, committees, panels, or other organizational units as designated by the IEEE Board of Directors.

D. Local Involvement. IEEE involvement at the local level will usually be through a Region, Council, Section, Chapter, Section Committees, Student Branch or Affinity Group. The local unit or organization involvement shall follow applicable IEEE policies as well as any additional local policies, rules and procedures. Reviews and approvals shall be obtained at the next organizational level of responsibility (i.e., the Region, or the Member and Geographic Activities Board). The local unit shall be responsible for appointing any delegates or representatives and for ensuring that they are adequately instructed.

If two or more IEEE Sections are involved in the same outside activity, as in a metropolitan area, one Section or Council shall be designated to be responsible for administration and coordination by the next organizational level of responsibility.

E. Involvement with Organizations Other Than 501(c)(3) Tax-Exempt Organizations. The Board of Directors may approve involvement with organizations not of the same 501(c)(3) tax status as the IEEE when such involvement is in the best interest of IEEE. Involvement with such organizations shall normally be by contract signed by the IEEE Executive Director. Exceptions shall be specifically approved by the Board of Directors.

5.5 Appointments and Support

A. Appointments. IEEE members appointed to represent IEEE on programs jointly conducted with one or more outside organizations shall follow IEEE policies, and shall be given such guidance and direction by the appointing IEEE Board or Committee. IEEE representatives shall submit reports as required and in the annual report should summarize the joint program progress and achievements and recommend the level of IEEE continued participation in the next year.

B. Support. IEEE representatives shall receive information and staff assistance, and may receive financial support, through the respective appointing IEEE Boards and Committees. The appointing Board or Committee shall be responsible for budgeting any dues or fees to be paid to the outside organization, for any IEEE staff support for the joint program, and any other authorized support for the IEEE representative(s).

Involvement at the local level, as discussed in Section 5.4 above, may require financial support. Any dues or other budgetary and financial commitments pertaining to an outside activity shall be the sole responsibility of the involved local unit. Each year, the local unit shall review its participation in the outside activity and shall make a judgment on continuing the activity. A report shall be submitted to the administrative level authorizing the involvement, with information copies to appropriate Boards or Committees.

5.6 Appointments by Other Organizations

IEEE members selected by outside organizations to serve on programs of interest to the IEEE are serving as individuals and not as official IEEE Representatives. They may request information and policy guidance of IEEE, but IEEE shall not be committed to providing financial, staff or other types of support.

5.7 Relationships with National Societies

A. Objective. The IEEE establishes agreements with National Societies to enhance IEEE's fields of interests on a global basis. The purpose of these agreements shall be to assist the development and elevation of technical skills and professional growth for members of participating organizations. It is IEEE policy to encourage such activities.

B. Responsibility & Approval. The IEEE Executive Director shall be responsible for oversight of these agreements. The IEEE President is empowered to sign new agreements or extensions of existing agreements on behalf of the IEEE Board of Directors as long as the agreements follow the conditions listed in 5.7.C and are reported to the IEEE Board of Directors.

C. Conditions for Establishing an Agreement.

1. Each agreement shall be tailored to the country where the National Society exists, using the Board of Directors approved wording. A template shall be available through IEEE Corporate Activities. Agreements that modify the wording, other than deletions of sections, shall be approved by the IEEE President, and reported to the Board of Directors at their next meeting.

2. The National Society must provide some benefit to the IEEE.

3. The agreement may provide for a joint membership program, including a membership dues reduction. However, there must be strong evidence that the joint membership program will increase the number of IEEE members beyond the normal growth pattern. The dues reduction shall not exceed 10 percent of the base IEEE dues and regional assessment.

D. Renewal. All agreements shall be reviewed for renewal at intervals of not more than five years after two initial three-year terms.

E. National Society Agreements with IEEE Societies. The IEEE Societies may establish agreements with National Societies. Guidelines for their establishment shall be provided by IEEE Technical Activities. IEEE Society Presidents shall have the authority to sign such agreements. Agreements shall be reported to the IEEE Board of Directors.

SECTION 6 – PUBLISHED PRODUCTS AND SERVICES

6.1 Authority for IEEE Publication Products and Services

IEEE publications exist by Board of Directors directive or as Publication Services and Products Board (PSPB) initiatives with Board of Directors approval.

The Board of Directors shall specify those publications to be received by every IEEE member. Such publications are the direct responsibility of the Publication Services and Products Board. Policies and procedures applying to these publications shall be specified in the Publications Services and Products Board Operations Manual.

All published products and services, in any form that originates from an IEEE organizational unit or bear the IEEE Master Brand, are ultimately the responsibility of the IEEE Publication Services and Products Board. These published products and services shall conform to the policies and procedures that shall be specified in the IEEE Publications Services and Products Board Operations Manual.

The Major Boards may introduce new publications following the approval policies and procedures which shall be specified in the Publications Services and Products Board Operations Manual.

Organizational units may specify additional policies and procedures which shall conform to and do not conflict with these policies.

6.2 Use of Products and Services

Products and services purchased by individuals are intended for their personal use only.

6.3 IEEE Copyright

A. Copyright shall be held by the IEEE.

B. Established policies on the use of the IEEE logo and Master Brand shall be followed. Reference Policy 6.3.2 Guidelines for Use of IEEE Logo and "IEEE".

6.3.1 IEEE Copyright Policies

A. General Policies. In order to maximize the value of IEEE publications to authors, users and the IEEE, the following IEEE copyright policies shall be applied throughout the IEEE:

   1. IEEE shall serve and protect the interests of its authors and their employers.

   2. All technical, educational and professional publications of the IEEE, except newsletters, but including Society and Technical Council Newsletters, are required to be copyrighted by the IEEE.

   3. Copyright shall be held by the IEEE and not any of its organizational units.

4. The Intellectual Property Rights Office is responsible for the administration of all IEEE copyright matters under these policies and the procedures which shall be specified in the PSPB Operations Manual. This includes obtaining the copyright registration, handling reprint and republication requests, maintaining copyright records, and administering fees when appropriate. The Intellectual Property Rights Office may, at its discretion, delegate some or all of its copyright implementation responsibilities to other IEEE departments if they have significant publishing activity, subject to procedures approved by a member of the IEEE staff, as designated by the IEEE Executive Director.

5. Third-Party Rights to Reuse IEEE-Copyrighted Material. Licenses and permissions to use IEEE copyrighted material (abstracts, full text, etc.) for commercial or other non-IEEE related purposes may be granted under terms approved by the IEEE Publication Services and Products Board.

6. Fees for the reuse of IEEE material are appropriate for contributing to the cost of original publication, especially where the reuse involves the republication of material, or any commercial uses.

7. Prior to publication by the IEEE, all authors or their employers shall transfer to the IEEE in writing any copyright they hold for their individual papers. Such transfer shall be a necessary requirement for publication, except for material in the public domain or which is reprinted with permission from a copyrighted publication.

8. In return for the transfer of authors' rights, the IEEE shall grant authors and their employers' permission to make copies and otherwise reuse the material under terms approved by the Board of Directors which shall be specified in the PSPB Operations Manual.

9. After IEEE accepts the work for publication and the copyright has been transferred, changes or revisions to the work shall not be made without further review and approval.

10. For jointly sponsored conferences, which might require special copyright arrangements, those arrangements shall be made in accordance with the procedures which shall be specified in the PSPB Operations Manual.

11. Copyrighting electronic information shall follow the electronic information dissemination procedures, which shall be specified in the PSPB Operations Manual.

12. The PSPB or its authorized designee shall consider the allowance of any exceptions to these Copyright policies.

6.3.2 Guidelines for Use of IEEE Logo and "IEEE"

The following are guidelines on the use of the IEEE logo, i.e., the diamond-shaped emblem which is registered with the U.S. Patent and Trademark Office as the trademark of the IEEE, and on the use of "IEEE," the recognized abbreviation of The Institute of Electrical and Electronics Engineers, Incorporated.

A. The IEEE logo should be used on IEEE's wholly owned publications and also on meeting notices, programs and other promotional literature and products. On any of these, the logo should be displayed prominently at least once accompanied by the registration mark, i.e., the R in a circle (®)

shown at the lower right of the emblem. On publications, it is recommended that the logo appear on the front cover and title page, if any.

B. When used with a logo of an organizational unit within IEEE, the IEEE logo should be at least the same size as the other logo, preferably larger or in a more prominent position. In publications produced in cooperation with groups outside the IEEE all logos should be the same size. (It may be acceptable to use logos in different sizes to reflect unequal participation.)

C. The logo shall be used only in connection with official business of the IEEE and may only be used in accordance with the IEEE Brand Identity Guidelines.

6.4 Multiple Publication of Original Technical Material in IEEE Periodicals

IEEE's technical publications shall include original material which appears only once in the archival literature. Unusual circumstances may allow for exceptions to this policy. The appropriate procedures to be followed shall be specified in the Publication Services and Products Board (PSPB) Operations Manual.

6.5 Second Class Mailing Permits

All IEEE periodicals, which use U.S. Post Office Second Class, non-profit bulk rates for domestic mailing shall have their original entry request and their periodic audits handled via IEEE Publications Department. This is to ensure that the required audit documentation is completely done and thus protect this special mailing classification both for the specific publication and the other periodicals of the IEEE. Part of the requirements is that in each case there be established a member price for the publication.

Third Class bulk rate permits, as an alternate to Second Class, may be applied for directly at any local Post Office.

6.6 IEEE Organizational Unit Publications

Any IEEE organizational unit may issue a local publication. The publication's objective shall be consonant with the objectives of the IEEE.

Organizational units shall inform the IEEE Publications Services and Products Board of such publication and provide copies as published to the appropriate member of the IEEE staff as designated by the IEEE Executive Director.

6.7 IEEE Websites

Websites directly associated with the IEEE can be designated as the IEEE Main Website, IEEE organizational unit websites, IEEE partner websites, and the IEEE Web Presence. These terms are defined as follows.

A. IEEE Main Website. The IEEE Main Website (http://www.ieee.org) is the collection of sections and pages within the IEEE.org parent domain that includes elements such as the site header and footer and follows the look and feel of http://www.ieee.org. This website is the primary entry point into the IEEE Web Presence and serves as an access point to other IEEE organizational unit websites and IEEE partner websites.

B. IEEE Organizational Unit Websites. IEEE organizational unit websites are public or secure websites that represent IEEE or an IEEE organizational unit, and are authorized to carry the IEEE brand by virtue of their official affiliation with IEEE. These websites may be established as a sub-domain or exist outside of IEEE.org domain.

C. IEEE Partner Websites. IEEE partner websites are operated by groups or organizations that have an affiliation with IEEE, but are not directly part of the IEEE organization (i.e., not an IEEE organizational unit).

D. IEEE Web Presence. The phrase IEEE Web Presence signifies the collection of all IEEE websites including the IEEE Main Website (http://www.ieee.org), IEEE organizational unit websites, IEEE partner websites, and IEEE social media properties.

SECTION 7 – PROFESSIONAL ACTIVITIES
PART A – IEEE POLICIES

7.1 Objectives

In addition to its technical and educational functions, the IEEE endorses the following professional objectives:

A. The IEEE may promote the necessary activities, including governmental, legislative, and administrative action, to:

   1. Enhance the economic status of the electrical and electronics industry;

   2. Enhance the professional, social, economic and ethical status of the engineering profession in general and electrical engineers in particular.

B. The IEEE embraces the principle that all of its members should have the opportunity to build up retirement equity and to do so without the hazard of forfeiture for reasons beyond their control. It is to this end that we cite these objectives.

   1. To achieve early vesting, portability, early retirement protection and sound funding in private pension plans by both voluntary action and legislative method;

   2. To provide by legislative change the opportunity for individual retirement investment with pre-tax dollars.

C. The IEEE will strive continuously toward improvement of working conditions for engineers. In coordination with associated engineering and scientific societies, and in consultation with employers' representatives, the IEEE will co-author employment practices programs and will encourage the adoption of such programs by employers. These shall detail responsibility of both employer and employee to each other and of both to the public and environment. Methods of achieving improvement in employment conditions shall be investigated.

D. As a means of measuring progress toward professionalism, the IEEE shall periodically canvass its membership to obtain information relative to salary, benefits and employment conditions and engage in other information gathering activities as appropriate.

E. It shall be the objective of the IEEE to achieve full employment for its members and the IEEE shall engage in those activities compatible with its Constitution which will enable it to achieve this goal. It shall attempt to forecast the direction of expanding technology with a view toward career guidance and enhancement.

F. The IEEE shall actively promote the activities of the engineering profession to its membership and to the public and shall do its utmost to enhance the status of engineering in general and the electrical engineering profession in particular.

G. The IEEE, concerned for the quality of life for all people, shall use its technical and professional expertise for the betterment of the environment, improved living conditions, and effective utilization of world resources.

7.2 Professional Activities Outside the United States

The Regional Committees of Regions outside the United States may develop statements of objectives and procedures, similar to those of this section, which are appropriate to the specific needs of the members in the respective Regions. Such statements, prior to their publication and implementation, must be reviewed and approved by the IEEE Board of Directors.

7.3 Scope of Professional Activities

In achieving the objectives of Section 7.1, suitable professional positions may become IEEE professional standards or positions subject to the following:

A. In developing a professional position, it is essential that all non-member affected parties be invited to contribute to the development of the professional position.

B. To the extent possible, all viewpoints pertaining to a professional position should be considered. Viewpoints shall be considered with relationship to the primary interest of the profession. Those viewpoints that cannot be included shall be reported with the reasons for non-inclusion to the Board of Directors when approval of the position is sought.

C. The IEEE formulates and enunciates professional positions for the benefit of the profession as a whole. Once approved by the Board of Directors, such professional positions shall be published in IEEE SPECTRUM as a position of the Board and shall be available for use by any other publication. If the nature of a given professional position is such that the possibility of endorsement or compliance with that position is encouraged, only those organizations and/or individuals who authorize the release of their identity shall be included in any report concerning their position. For example, acceptance of employment guidelines or support of positions by organizations might be recognized by issuance of term certificates upon application and by granting of approval by IEEE-USA. Public announcements of such presentations are encouraged. Reports on group compliance, wherein identification of affiliations remains anonymous, may be made from time to time.

D. Commendations to named individuals or organizational units may be made for performance in professional and human affairs by the Board of Directors upon recommendation of IEEE-USA or other IEEE organizational unit.

7.4 Professional Activities - Assessing Member Needs

In the area of professional activities which relate to social, economic, legal and ethical issues, there are certain topics on which it is important and highly desirable that the skills and expertise of qualified IEEE members be used to bring out pertinent facts that can serve to highlight key issues and bring them into clearer focus. In matters of national professional significance, the Board of Directors or the President may appoint or authorize an IEEE committee, staff or volunteer to look into a particular subject as defined by the Board and ask for a report that includes a consensus of opinion where appropriate. The report may be further reviewed and augmented as necessary by the Board of Directors.

If the Board of Directors has not expressed a position, then the publication or presentation of committee reports to other organizations is to be considered as reflecting the opinions of the committee and not necessarily the membership.

As a basis for assisting the IEEE Board in estimating the opinion of the IEEE membership on pertinent subjects, such as those on items of a technical or professional character, or those related to certain governmental, legislative or executive issues, use should be made of member opinion surveys. These surveys should be made from time to time of the whole membership of the IEEE or of the appropriate special part, as well as by means of membership sampling techniques when a broad data base exists that can be used for comparison.

All organizational units of IEEE should inform the Board of Directors, through their Regional or Divisional Director, of their intent to engage in significant professional activities not otherwise authorized.

7.5 IEEE Involvement with Legislative Bodies, Government Agencies and International Organizations

A. While members of the IEEE are of course at liberty to express their own opinions on any matter, care must be taken that these are not put forward as representing the IEEE except as outlined below.

B. It is recognized that there may be appropriate opportunities for IEEE and its organizational units to cooperate with legislative bodies and other agencies of national and local governments in various countries of the world, and with international agencies. Ways should be sought to try to make such cooperation possible, recognizing the limitations inherent in any situation where an individual member is asked to speak on behalf of the entire IEEE or any of its organized subdivisions.

C. IEEE units may cooperate with government and international agencies on issues in which IEEE has no definite policy by suggesting technically competent persons to testify on an issue or to act as consultants. In such cases, the person testifies as an individual, and not as a representative of IEEE or any of its units.

D. The IEEE President, in consultation with the IEEE Secretary and IEEE Executive Director, will be responsible for review of proposals for IEEE cooperation, making certain that the proposed participation is in conformity with the IEEE Constitution, Bylaws, and Policies, and that it does not damage existing IEEE programs.

E. If an activity which appears to the IEEE President, in consultation with the IEEE Secretary and IEEE Executive Director, to be desirable requires new policy or a change in existing policy, the question of participation shall be referred to the Board with a recommendation concerning the proposed policy change.

F. Once an activity is approved, the IEEE President may delegate its implementation to an officer, or to an IEEE Major Board or Committee. In making this assignment, attention will be given to coordination with all Boards and Committees having interests in the issue.

G. When approving the implementing participation of the type described in this policy statement, the IEEE President shall give attention to the problem of informing members. This will normally be done by arranging for items in IEEE SPECTRUM, THE INSTITUTE, and other IEEE publications.

7.6 Protection of the Public

The IEEE recognizes the obligation of the profession to protect the health, welfare and safety of the public. Where legislation, regulations, codes, or customs impact on electrical and electronics engineering, the IEEE shall interface whenever and wherever appropriate with legislative and regulatory bodies. In particular, legislation may include the establishment of qualifications of engineers and the registration and/or licensure of engineers. In furtherance of this policy, the IEEE:

A. Offers advice and assistance to legislative and regulatory entities;

B. Encourages the establishment of uniform laws as being in the public interest;

C. Recommends that there be a minimum of restrictions of a legal nature in the functioning of qualified engineers;

D. Offers advice and assistance to Boards of Engineering Examiners and similar agencies;

E. Recommends that, upon request, committees of IEEE members cooperate with appropriate agencies in the development of sound registration examinations which will adequately protect the public interest.

7.7 Professional Welfare of Members

The IEEE is concerned with the professional welfare of its members. The administrative, geographical and technical units are encouraged to pursue appropriate activities in this area, such as the following:

A. Organizing or sponsoring career development seminars for members.

B. Organizing or sponsoring educational activities which upgrade the skills of members.

C. Publishing information on existing legislation or proposed legislation which may affect the professional welfare of IEEE members.

D. Arranging for group insurance plans which benefit members, provided these do not duplicate other plans sponsored by the IEEE and provided the IEEE unit does not benefit financially from such plans. Prior to establishment of an insurance plan by an organizational unit, legal approval must be sought through Headquarters and the plan referred to the Board of Directors for authorization.

7.8 IEEE Code of Ethics

We, the members of the IEEE, in recognition of the importance of our technologies in affecting the quality of life throughout the world, and in accepting a personal obligation to our profession, its members and the communities we serve, do hereby commit ourselves to the highest ethical and professional conduct and agree:

I. To uphold the highest standards of integrity, responsible behavior, and ethical conduct in professional activities.

1. to hold paramount the safety, health, and welfare of the public, to strive to comply with ethical design and sustainable development practices, to protect the privacy of others, and to disclose promptly factors that might endanger the public or the environment;

2. to improve the understanding by individuals and society of the capabilities and societal implications of conventional and emerging technologies, including intelligent systems;

3. to avoid real or perceived conflicts of interest whenever possible, and to disclose them to affected parties when they do exist;

4. to avoid unlawful conduct in professional activities, and to reject bribery in all its forms;

5. to seek, accept, and offer honest criticism of technical work, to acknowledge and correct errors, to be honest and realistic in stating claims or estimates based on available data, and to credit properly the contributions of others;

6. to maintain and improve our technical competence and to undertake technological tasks for others only if qualified by training or experience, or after full disclosure of pertinent limitations;

II. To treat all persons fairly and with respect, to avoid harassment or discrimination, and to avoid injuring others.

7. to treat all persons fairly and with respect, and to not engage in discrimination based on characteristics such as race, religion, gender, disability, age, national origin, sexual orientation, gender identity, or gender expression;

8. to not engage in harassment of any kind, including sexual harassment or bullying behavior;

9. to avoid injuring others, their property, reputation, or employment by false or malicious actions, rumors or any other verbal or physical abuses;

III. To strive to ensure this code is upheld by colleagues and co-workers.

10. to support colleagues and co-workers in following this code of ethics, to strive to ensure the code is upheld, and to not retaliate against individuals reporting a violation.

Changes to the IEEE Code of Ethics will be made only after the following conditions are met:

- Proposed changes shall have been published in THE INSTITUTE at least three (3) months in advance of final consideration by the Board of Directors, with a request for comment, and

- All IEEE Major Boards shall have the opportunity to discuss proposed changes prior to final action by the Board of Directors, and

- An affirmative vote of two-thirds of the votes of the members of the Board of Directors present at the time of the vote, provided a quorum is present, shall be required for changes to be made.

7.9 IEEE Amicus Policy

The IEEE recognizes that courts will, from time to time, consider matters affecting the interests of the IEEE, its members, or the engineering profession and allied fields, or other aspects of the public interest where the IEEE may be able to provide useful insights. In many countries, nonparties have the opportunity to offer information or perspectives to assist a court or other dispute-resolution body in resolving a dispute between two parties, where the resolution may have implications beyond the particular case. In common-law jurisdictions, this is called an "amicus curiae" (friend of the court) brief; civil-law jurisdictions can provide similar opportunities. This policy statement will refer to all such submissions as “amicus briefs” and all such dispute-resolving bodies as “courts.” In some cases, the IEEE may deem it appropriate to submit an amicus brief, either alone or with others who share an interest with the IEEE. This policy sets procedures for the IEEE’s development of recommendations for amicus briefs. This policy does not apply to other forms of position statements (such as testimony or other submissions to legislative bodies or administrative agencies acting in a rule-making capacity).

A. Introduction

The IEEE may learn of opportunities to participate as an amicus in many ways. Regardless of the source of information about an amicus opportunity, the time from learning about the opportunity to the deadline for submission of an amicus brief will often be short. Consequently, the IEEE has adopted these procedures.

B. Procedures

Requests for filing or joining an amicus brief should be directed in the first instance to the IEEE Executive Director who shall notify the IEEE President. As a general matter, requests should be submitted to the IEEE Executive Director at least 60 calendar days before the due date for filing a brief on the IEEE’s own behalf and at least 30 calendar days before joining a brief filed by another party. (A request may be considered if it does not meet these deadlines, but the relative lack of time will itself be a factor in determining whether to join or file the amicus brief.) As time permits, the IEEE Board of Directors will consider amicus requests at its regularly scheduled meetings. At his or her discretion, however, the IEEE President may call a meeting of the Board (by telephone or otherwise) to consider whether the IEEE should file an amicus brief and to consider the content of such a filing. If the Board determines that the IEEE should file the amicus brief, the IEEE President shall supervise legal counsel’s preparation of the amicus brief with the participation of the relevant IEEE organizational unit. The final text shall be reviewed and approved by the President, the Past President, and the President-Elect.

The final brief shall be distributed to the Board of Directors promptly after it is filed with the court.

C. Decisional Factors

The IEEE will consider amicus opportunities (including the opportunity to join an amicus brief prepared by another organization) that may affect the IEEE’s interests or that may benefit from the particular insights that the IEEE can provide. Each opportunity is unique, but the IEEE will typically consider the following factors when determining whether to file an amicus brief on a particular matter:

- Whether the case may result in a legal rule that will materially affect the collective interests of IEEE's members, the profession, and/or the public good on those subject matter areas within IEEE's competence?

- Whether the IEEE has special knowledge or insights that would benefit a court's informed decision-making?

- Whether the case may be decided in a way that would impose or increase the risk of liability for organizations such as the IEEE or any of its organizational units?

- Whether the case may result in a legal rule that will materially affect the fair, open, or efficient operation of nonprofit organizations, professional societies, standards development organizations, or other organizations similar to the IEEE or any of its organizational units?

- Whether the IEEE is already a party to a case whose outcome might be affected by a decision in the case in which an amicus might be filed?

- Whether an amicus brief would necessarily require taking a position in favor of a party to the dispute (unless taking a position is otherwise in the IEEE's interests, after due consideration of the other relevant factors)?

- Whether other potential amici are likely to file briefs either for or against the views that the IEEE would submit?

- The expense to the IEEE in filing a brief, and the existence of cost-effective alternatives (such as joining an amicus brief prepared at another organization's expense but with sufficient IEEE input to warrant IEEE's joining in the brief).

- If readily and reliably determinable, the views of IEEE members or other IEEE constituencies.

Typically, an IEEE amicus brief will provide factual information that may not otherwise be readily apparent to the relevant court, explain the consequences of potential alternative decisions, or advocate a proposed rule of decision. The IEEE typically will not take a position on the disputed facts at issue in a case, although if the IEEE has special knowledge of relevant facts it may offer those views. Any presentation of facts shall be fair and objective.

D. IEEE-USA, on its own behalf, may authorize filing amicus curiae, to U.S. federal and state courts and related judicial bodies. Amicus curiae briefs shall be confined to the presentation of relevant facts and arguments judged to be objective, verifiable, and properly within the purview of IEEE-USA for issues of interest to the IEEE U.S. members. Any proposed IEEE-USA amicus brief filings and the reasons therefore will be communicated in a timely fashion to the IEEE President and Executive Director to determine whether the proposed brief concerns matters of corporate concern that warrant review by the IEEE Board.

7.10 Procedures for Reporting Misconduct

Reporting Misconduct

i. Any individual may report alleged misconduct by a member, or a non-member engaged in an IEEE activity, through the process defined in this policy.

ii. Some reports of alleged misconduct that involve employee related disputes, standards development disputes, disputes related to conferences, inter-and intra-society interactions and activities, MGA Operations Manual violations, elections misconduct, scholarly publication misconduct, and inappropriate financial activities etc., may be directed for review and action to the Organizational Unit within IEEE charged with overseeing the issue(s) related to the misconduct or dispute. Other reports made with respect to misconduct may be reviewed by the IEEE Ethics and Member Conduct Committee (EMCC) through its Conduct Review Committee (CRC). EMCC shall serve as the final arbiter of decisions related to CRC disciplinary actions for cases not advanced to a hearing board.

iii. IEEE shall provide a confidential mechanism to enable the reporting of any suspected misconduct, unethical behavior, or violations of IEEE governing documents. The IEEE Ethics Reporting Line is designated as the central portal and repository for all confidential reports of alleged misconduct. Any IEEE employee, member, affiliate, or other stakeholder who becomes aware of any perceived misconduct or violation of IEEE policies is encouraged to report it immediately via the IEEE Ethics Reporting Line.

iv. If alleged misconduct is reported to an IEEE member, volunteer, or IEEE staff member, via email or through alternative channels, they should direct the reporter to the IEEE Ethics Reporting Line.

v. If the alleged misconduct occurs during an IEEE meeting, conference, or event, and immediate action is needed on-site, the process for taking immediate action shall follow the procedures defined by IEEE Conferences, Events, and Experiences. See the IEEE Event Conduct and Safety Statement.

vi. Reports shall be submitted within 5 years of the alleged misconduct unless discovery could not have reasonably occurred earlier.

vii. Pursuant to IEEE Policy 9.10, retaliation against those who in good faith report their concerns is strictly prohibited.

viii. Reports that are deemed to be frivolous, intentionally misleading, or unreasonable are also prohibited.

ix. All communications made through the IEEE Ethics Reporting Line shall be respectful, professional, and constructive. Persistent messages, or the use of harassing, threatening, or abusive language directed toward the IEEE Ethics Reporting Line agents, staff, members, or volunteers will not be tolerated and may be reported.

A. Confidentiality of Report

The contents of reports, the identity of the persons involved, and the scope of any related inquiries shall remain confidential, except as required by law or if such disclosure is required for the equitable and expeditious review of the report.

B. Contents of Report

The following information shall be requested for report submission.

1. The name and contact information of the member or non-member reporting the issue to IEEE;

2. Name(s) of the member or non-member whose conduct is being reported;

3. The names and contact information (if known) of the person(s) believed to have knowledge pertaining to the conduct described in the report, if applicable;

4. A specific statement which sets forth the conduct that gave rise to the report, including specific provisions of any IEEE governing documents, IEEE Operation Manuals, or other internal and external rules and regulations that the conduct is alleged to have violated;

5. Any documentation or materials upon which the report, in whole or in part, is based.

IEEE shall also allow for the filing of anonymous reports.

C. Acknowledgement and Evaluation of Report

After the report is filed, an Ethics Reporting Line tracking number shall be assigned, which shall be provided to the reporter.

Within ten (10) business days after the receipt of the report, it should be reviewed by the IEEE Legal and Compliance Department for appropriate assignment within IEEE.

IEEE can decline to pursue the investigation of any report if it deems the report to be outside of its purview, or if the conduct described in the report is irrelevant or harmful to the interests of IEEE, in which case the reporter shall be notified.

The following sections of IEEE Policy 7.10 *(Section D. Assignment of the Report – Q. Board of Directors Final Action and Notification)* refer to reports that are assigned to the CRC for review.

D. Assignment of the Report

1. The voting members of the CRC shall consist of not more than fifteen (15) members, including the Chair and Vice Chair, all of whom are not members of the IEEE Board of Directors. The Chair of the CRC shall be a member of the EMCC and shall not have a vote on CRC matters that come before the EMCC.

2. The CRC members shall serve three-year terms and may serve up to two consecutive terms. All CRC members shall be IEEE members of Senior or Fellow Grade, recommended through a slate prepared by the IEEE Nominations and Appointments Committee for appointment by the EMCC Chair.

E. Determination of Evidence of Misconduct

1. A Review Panel shall be formed by the CRC Chair for each report received by CRC.

2. The Review Panel should be formed within seven (7) business days from the receipt of the report by the CRC.

3. Each Review Panel shall consist of three (3) CRC members and three (3) alternate CRC members who shall serve if necessary. The CRC Chair shall have oversight of each Review Panel to ensure consistency of and compliance with the review process. CRC members shall recuse themselves, or be recused by the CRC Chair, from service on a Review Panel if they are a party to the matter, or if there is a conflict of interest, or if a lack of impartiality exists.

4. The Review Panel should conduct a preliminary review of the report within fifteen (15) business days of its receipt of the report.

5. If, after the aforementioned preliminary review period, the Review Panel determines that there is not sufficient evidence to pursue an investigation, the case shall be closed, and the reporter shall be notified. Closed cases may be resubmitted if the reporter can provide additional supporting information.

6. For cases determined to have sufficient evidence of misconduct, the Review Panel may assess if there could be an amicable solution. The Review Panel may, as it deems appropriate, work with the parties involved in the report toward that solution, but shall not impose a binding decision on the parties to the report.

7. If the Review Panel and the parties are able to reach an amicable solution, the case shall be updated with the final outcome and closed. If the parties involved are not able to reach a resolution, the report shall move forward for further review.

8. For cases determined to have sufficient evidence of misconduct and for which an amicable solution was not pursued, the Review Panel shall move forward with its review.

9. At its discretion, IEEE may concurrently investigate and manage cases that have a common set of facts or circumstances.

F. Review Panel Assessment

1. The Review Panel shall complete its review of the report within a period of time that allows for a thorough investigation. Such investigation should not exceed sixty (60) business days, whenever possible.

   Unless protected by confidentiality, as described in IEEE Policy 7.10.A, a summary of the allegation(s) shall be provided to the person who is the subject of the report.

2. If the subject of the report does not acknowledge receipt of notifications, refuses to accept such notifications, or refuses to participate in the Review Panel process, the review of the report shall still continue.

3. The review may be terminated if the Review Panel, in consultation with IEEE Legal and Compliance, determines that:

    a. Legal or regulatory proceedings, which are based upon the same or related circumstances underlying the report, have been initiated, adjudicated, or are pending ; or

    b. The report pertains to the same or substantially the same conduct or subject matter involving the subject of the report in a case currently or previously considered by IEEE; or

    c. The reporter fails to respond to a written request for an interview or for further information within ten (10) business days following such request; or

    d. There is any disclosure or publication of the report or its contents by the reporter before the review is completed.

    e. The reporter requests that the review be terminated.

4. Notwithstanding the foregoing, nothing contained in this IEEE Policy 7.10 is intended to or shall be interpreted to preclude a member or non-member from:

    a. filing a report or charge with any appropriate governmental agency with responsibility for employment-related matters;

    b. participating in any investigation conducted by a governmental agency; or

    c. engaging in legitimate whistleblowing activity as may be defined by applicable law.

G. Determination of the Review Panel

The decision of the Review Panel shall consist of a determination that misconduct was, or was not, found as alleged in the report.

1. If misconduct was not found, the case shall be considered unsubstantiated and closed.

2. If misconduct was found, the Review Panel shall provide a recommendation for member or non-member disciplinary action (as defined in Section 5.1.8.5 of the EMCC Operations Manual) or for potential IEEE member sanctions (as defined in IEEE Bylaw I-110.5). Such recommendation should be provided to the CRC within ten (10) business days of completing the Review Panel's review.

3. The EMCC Chair, the CRC Chair, and IEEE Legal and Compliance shall be consulted on all Review Panel recommendations to ensure clarity, consistency, and compliance with the procedures for the review of reports.

4. After receiving a recommendation from the Review Panel, the full CRC shall review the allegations, the Review Panel's investigation, and the Review Panel's recommendations. The CRC shall convene and determine if Cause exists and whether any action(s) should be taken against the subject of the report. CRC members shall recuse themselves, or be recused by the CRC Chair, if they are a party to the matter, or if there is a conflict of interest, or if a lack of impartiality exists.

5. <u>Exceptions for IEEE Specified Parties</u>

    a. If the CRC determines that Cause, as defined by IEEE Bylaw I-110.2, exists, the CRC shall not implement CRC disciplinary actions, as defined in Section 5.1.8.5 of the EMCC Operations Manual, against members who are considered an "IEEE Specified Party". IEEE Specified Parties are defined as:
        - Current members of the IEEE Board of Directors;
        - Current IEEE Board Director-Elects;
        - Current IEEE Assembly Candidates; and
        - Current candidates on the IEEE Annual Election Ballot.

        CRC substantiated cases filed against IEEE Specified Parties shall be advanced to the EMCC with a recommendation for a hearing board to consider potential IEEE member sanctions and/or disciplinary actions. Any IEEE member sanctions and/or disciplinary actions against current IEEE Specified Parties shall only be imposed by the IEEE Board of Directors.

    b. The CRC may approve CRC disciplinary actions against IEEE Specified Parties on a contingent basis, which shall only be imposed in the event the subject is no longer an IEEE Specified Party by reason of: i) not winning the election; ii) the natural expiration of a term of office that provided the IEEE Specified Party Status; iii) resignation from the office that provided IEEE Specified Party status; or iv) resignation of their IEEE membership.

    c. If the CRC, or EMCC following an appeal, has approved contingent disciplinary actions, without a recommendation for IEEE member sanctions, and the subject subsequently loses their IEEE Specified Party status before the review process has concluded, the contingent disciplinary actions shall become effective, in accordance with the implementation timing previously approved by the CRC, or EMCC following an appeal. If the matter has not yet been advanced by the EMCC to a hearing board, any pending disciplinary process (for example, a pending appeal review, etc.) shall proceed in accordance with IEEE Policy 7.10. If the matter has been advanced by the EMCC to a hearing board with a recommendation of disciplinary actions without IEEE member sanctions, and the subject subsequently loses their IEEE Specified Party status, any other pending disciplinary process (for example, a pending hearing board or a pending submission to the IEEE Board of Directors) shall immediately cease.

d. If the EMCC has recommended IEEE member sanctions, and the subject subsequently loses their IEEE Specified Party status before the review process has completed, any pending disciplinary process (for example, a pending hearing board or a pending submission to the IEEE Board of Directors) shall resume and proceed in accordance with IEEE Policy 7.10.

e. If a subject subsequently becomes an IEEE Specified Party after the CRC approves CRC disciplinary actions, but before any CRC disciplinary action is implemented, the CRC's decisions related to disciplinary actions shall be advanced to the EMCC for review in accordance with Policy 7.10.G.5.

f. The following sections (Section 7.10.H through Section 7.10.Q) of IEEE Policy 7.10 are subject to the exceptions presented in this Section 7.10.G.5.

H. Notification of Disciplinary Action and Appeals

1. The CRC shall notify the parties of the report of its determinations.

2. If the CRC finds that Cause, as defined in IEEE Bylaw I-110.2, exists, the CRC shall (i) impose disciplinary actions, as defined in Section 5.1.8.5 of the EMCC Operations Manual; or (ii) make a recommendation for potential member sanctions, as defined in IEEE Bylaw I-110.5; or (iii) both.

3. The subject of the report shall be notified of the CRC's decisions related to disciplinary actions or potential IEEE member sanctions. Such notifications shall include a summary of findings and conclusions and should be sent within ten (10) business days of the CRC's decisions.

4. CRC decisions to impose disciplinary actions or to recommend potential member sanctions may be appealed by the subject of the report. Such appeals shall be submitted within fifteen business days of the CRC's notification of its decisions to the subject of the report, and in accordance with IEEE Policy 7.10.H.5.

5. Contents of Appeal

    a. Any appeal by the subject of the report, shall be submitted to the EMCC Chair via email to ethics@ieee.org. Appeals shall include the following information before it is considered by EMCC:
        i. Case identification details
        ii. Clear identification of the grounds for appeal
        iii. Specific points of disagreement with findings
        iv. Explanation of any misunderstandings
        v. Correction of any factual errors, including additional evidence
        vi. Reference to relevant policies to support the appeal

6. If there is no appeal of CRC decisions related *only* to disciplinary actions, as defined in Section 5.1.8.5 of the EMCC Operations Manual, the report shall be considered resolved, the case file updated with the decision, and the parties of the report shall be notified of the final disposition of the case. CRC decisions that are not appealed do not advance to the EMCC for review.

7. If the CRC decision is to recommend potential member sanctions, the CRC decision shall be forwarded to the EMCC.

8. After the fifteen (15) business day appeal period expires, EMCC shall have thirty (30) business days to review an appeal, if submitted, or CRC decisions to recommend potential member sanctions. The EMCC can affirm, amend, or reject the CRC's decisions related to Cause, disciplinary actions, or potential member sanctions.

9. EMCC may decrease but may not increase the disciplinary actions imposed by the CRC, or potential member sanctions recommended by the CRC.

10. If EMCC does not advance the case to a hearing board for potential member sanctions, the report shall be considered resolved, and the case file shall be updated with EMCC's decisions related to Cause and disciplinary actions. The parties of the report shall be notified of the final disposition of the case.

I. Notification of Potential Sanctions

If EMCC's review of the CRC's decisions results in its recommendation for potential member sanctions, then, within ten (10) business days, the EMCC Chair should notify the parties to the report of the decision to request the formation of a hearing board to recommend potential member sanctions.

J. Hearing Board Procedures

The EMCC Chair shall advise the IEEE President, by transmittal of the report of the EMCC, and request the appointment of a hearing board and the determination of the date and time at which the case shall be presented to the hearing board.

1. The date for the hearing , selected by the IEEE President, shall be no more than six (6) months following receipt by the IEEE President of the EMCC report, and shall be chosen to permit service of notice on the charged member at least ninety calendar (90) days prior to the date set for hearing the matter.

2. The EMCC Chair shall notify the reporter of the date and time of the hearing.

3. The EMCC Chair shall serve notice, by traceable mail, on the charged member. The notice shall include:

    a. the date, time, and format of the hearing

    b. the date by which the charged member shall notify the EMCC Staff Secretary whether the charged member will attend the hearing or be represented by their own authorized legal representative (counsel)

    c. a copy of the initial report of alleged misconduct, unless protected by confidentiality, as described in Policy 7.10.A

    d. a copy of the report of the EMCC

e. notice that any materials for submission by the charged member to the hearing board be received by the EMCC Staff Secretary no fewer than forty-five (45) days in advance of the hearing date

4. Materials that are to be a part of the EMCC's presentation to the hearing board shall be distributed to the charged member no fewer than forty (40) days in advance of the hearing date. Materials that are to be part of the charged member's presentation to the hearing board shall be distributed to the EMCC no fewer than forty (40) days in advance of the hearing date.

5. EMCC and the charged member may submit to the EMCC Staff Secretary, reciprocal presentation rebuttals no fewer than thirty (30) days in advance of the hearing.

   Any person appearing before the hearing board on behalf of either the EMCC or the charged member shall provide to the EMCC Staff Secretary, no fewer than thirty (30) days in advance of the hearing date, information sufficient to identify themselves and their role.

6. Materials, including any presentation rebuttals, that are to be a part of the EMCC's and the charged member's presentations to the hearing board shall be distributed to the EMCC, the charged member, and the hearing board no fewer than twenty-one (21) days in advance of the hearing date.

7. The hearing board shall be supported by IEEE Legal Counsel, the IEEE Staff Secretary or a designee, and any associated staff.

8. If the charged person's IEEE membership is terminated by resignation or non-renewal before the hearing board is convened, all disciplinary actions previously imposed by the CRC, as affirmed or amended by the EMCC if appealed, shall be imposed immediately. The charged person's IEEE membership shall not be renewed or reinstated unless or until the hearing board process is complete.

K. Hearing Board Members

1. The IEEE President, with the concurrence of the IEEE Board of Directors, shall appoint no fewer than five (5) and not more than nine (9) IEEE voting members not currently serving on the IEEE Board of Directors, the EMCC, or the CRC, to serve as the hearing board to hear the presentations by the EMCC and by the charged member and vote on the actions to be taken.

2. The IEEE President, with the concurrence of the IEEE Board of Directors, shall at the same time appoint alternate members, designated as first alternate, second alternate, and third alternate to serve as may be required.

3. The charged member and the reporter shall be notified of the appointment and membership of the hearing board.

4. The hearing board shall select one of its members to serve as Chair, who shall have a vote. The Chair shall preside over the hearing and prepare the findings and recommendations of the hearing board.

5. The hearing board, by majority vote, shall disqualify one or more of its members, if warranted, to assure impartiality. Any member may disqualify themself in like circumstances.

6. A charged member or reporter may request disqualification of hearing board members in writing to the EMCC Staff Secretary. Such request shall be made within ten (10) business days of the notification of the hearing board appointment and membership.

7. Should any disqualifications reduce the hearing board to fewer than five (5) members, the Chair of the hearing board shall designate alternates to serve in the order determined by the IEEE President or their designee.

L. Procedure at the Hearing

1. The session shall be held in executive session and should be convened in a virtual format, whereby all persons participating in the meeting shall have the ability to hear each other at the same time.

2. The charged member and the EMCC may each have a maximum of four speakers (including the charged member, counsel, and speakers).

3. The hearing board Chair shall convene the session and shall be the final authority in any matters relating to procedures and administrative functions of the hearing.

4. The hearing shall include:

    a. Opening instructions by and at the discretion of the hearing board Chair;

    b. Opening statement by the EMCC's counsel;

    c. Opening statement by the charged member;

    d. Presentation of evidence by the EMCC's counsel;

    e. Questions to the EMCC (including any speakers made available by EMCC) by the charged member;

    f. Questions by the hearing board;

    g. Presentation of evidence by the charged member;

    h. Questions to the charged member (including any speakers made available by the charged member) by the EMCC's counsel;

    i. Questions by the hearing board;

    j. Closing statements by the EMCC's counsel;

    k. Closing statements by the charged member;

l. Final questions by the hearing board; and

m. Conclusion/adjournment by the hearing board Chair.

M. Appearance of Charged Member and Reporter

1. In the event that the charged member or their authorized legal representative (counsel) fails to appear on the hearing date, the hearing may proceed as scheduled. The hearing board may consider and act upon any materials submitted by the charged member and by the EMCC prior to the hearing, or the hearing board may choose to postpone the matter to a subsequent date.

2. If the charged member fails to appear on the hearing date *and* fails to submit presentation materials for the hearing, the hearing board may act upon the presentation submitted by the EMCC.

3. If the hearing board postpones the hearing, the Chair of the hearing board shall notify the charged member, the reporter, and the EMCC Chair of the new date and time for a postponed hearing. The notice shall be given within such period as the hearing board determines to be reasonable under the circumstances.

4. Failure of the charged member or their authorized legal representative (counsel) to appear on the new hearing date shall not be grounds for further delay of the hearing board's final action.

5. The length of postponement or delay of the hearing or final action by the hearing board shall be discretionary; provided, however, no delay or postponement approved by the hearing board shall extend the final action of the hearing board beyond six months from the date on which the hearing procedure was initiated.

N. Deliberation and Findings by Hearing Board

Deliberation of Cause, Sanctions and Disciplinary Actions

1. Upon conclusion of the hearing, the hearing board shall convene in executive session. The IEEE Legal Counsel to the hearing board, Staff Secretary, and any associated staff may attend.

2. The hearing board shall base its deliberations on the material submitted to it prior to the hearing and on the basis of the evidence presented at the hearing itself. The hearing board Chair and the hearing board shall have discretion and final authority to determine what information should fairly be included or excluded for consideration.

3. The hearing board shall determine, on the basis of the evidence presented, whether the conduct in question constitutes Cause, as defined in IEEE Bylaw I-110.2.

4. A recommendation of member sanctions, as defined in IEEE Bylaw I-110.5, or disciplinary actions, as defined in Section 5.1.8.5 of the EMCC Operations Manual, shall be made by the hearing board based on the severity of the wrongful conduct of the charged member, the extent to which IEEE's interests were prejudiced as a result of such conduct, and other factors which the hearing board considers relevant in the circumstances of the particular case.

O. Findings

1. The hearing board, after deliberating in executive session, shall record the ballots and the final action taken pertaining to the issue of Cause. A finding of Cause shall require the affirmative vote of two-thirds of the votes of the members of the hearing board present at the time of the vote, provided a quorum is present.

2. If no Cause is found, the case shall be considered unsubstantiated and closed.

3. If the hearing board has found Cause:
    a. The hearing board shall record its vote and recommendation, if any, on the issue of member sanctions, as defined in IEEE Bylaw I-110.5, or disciplinary action, as defined in Section 5.1.8.5 of the EMCC Operations Manual.

    b. Recommendations of member sanctions or disciplinary actions shall require the affirmative vote of two-thirds of the votes of the members of the hearing board present at the time of the vote, provided a quorum is present. The hearing board shall make a recommendation on the time period for a suspension, revocation, or disciplinary actions.

    c. The hearing board shall, by majority vote, make a recommendation to the IEEE Board of Directors as to whether the identity of the charged member should be included in any notification to the membership.

P. Final Hearing Board Action

1. The hearing board, acting through its Chair, shall prepare its findings and recommendations as to sanctions or disciplinary actions, if any, in writing, including any opinions or statements from individual members of the hearing board.

2. The hearing board action shall consist of the final vote and findings on the issues of Cause, sanctions, or disciplinary actions.

3. Notice of the hearing board action shall be served, by traceable mail, on the charged IEEE member. A copy of the final hearing board action shall also be provided to the reporter, the Chair of the EMCC, and the IEEE Board of Directors. The notice shall include the record of the final hearing board action. The Chair of the hearing board shall serve notice within ten (10) business days from the date of final action by the hearing board.

4. Within ten (10) business days from the distribution of the hearing board action to the IEEE Board of Directors, the IEEE President shall notify both the charged IEEE member and the Chair of the EMCC of the date on which the IEEE Board of Directors shall review the hearing board action.

5. Within ten (10) business days of the receipt of the hearing board action, the charged member and the EMCC Counsel may submit, in writing, such comments and recommendations to the IEEE Board of Directors as they deem relevant to its deliberations.

Q. IEEE Board of Directors Final Action and Notification

1. Final action by the IEEE Board of Directors, on review of the hearing board decisions and recommendations, shall consist of the recorded ballots and actions taken, made in writing, on the issues of Cause, sanctions, or disciplinary actions, in accordance with IEEE Bylaw I-110.6.

2. In accordance with IEEE Bylaw I-110.7, the IEEE Board of Directors shall notify the charged member and the reporter of the final action taken. Notifications to the IEEE membership shall be at the discretion of the IEEE Board of Directors.

7.11 Ethical Support

Part A - Submission of Requests for Support, Inquiries and Information.

1. All requests for support regarding circumstances of affected by adherence to the IEEE Code of Ethics shall be sent to the Chair, IEEE Ethics and Member Conduct Committee, IEEE, c/o Corporate Activities, 445 Hoes Lane, Piscataway, NJ 08854 by traceable mail.

2. Information which any individual wishes to bring to the attention of, or inquiries for which a response is sought from IEEE shall be submitted in the same manner but need not be notarized or sent by traceable mail. Information and inquiries shall be reviewed by the Ethics and Member Conduct Committee and forwarded, with or without comment or recommendation, to the Board of Directors for consideration and action as may be appropriate.

Part B – Form and Contents of the Request for Support.

The request for support shall be in the form of an affidavit, typewritten, notarized and signed by the individual. Such request shall be notarized, or include equivalent certification of signature in areas outside of the US. The Request for Support shall include:

1. The name(s), position(s) or title(s) and address(es) and telephone numbers (where available) of the employer or others who are believed to have knowledge pertaining to the subject of the Request;

2. The issue, incident(s), or the matter of ethical principle which the person believes is involved together with the specific provisions of the IEEE Code of Ethics deemed relevant or considered to have precipitated the condition(s) of jeopardy;

3. Documents, statements and any other evidence to be considered as supporting the Request. The identification and location of any other documents and material relevant to the Request but not provided in the submission;

4. A full description of the circumstances, events and facts which relate to the ethical matter for which IEEE support is sought.

Part C – Procedure on Receipt of Request for Support.

The Chair of the Ethics and Member Conduct Committee shall:

1. Review the Notarized Request for Support, Inquiry or matter of information to ascertain that the incident or event involved occurred no longer than two years prior to receipt thereof. Should the interval exceed two years, all material shall be returned without duplication or distribution, noting this limitation.

2. If the incident occurred within the two-year limitation period, then promptly acknowledge Receipt of the Request, Inquiry or information.

   Transmit copies of the Request, Inquiry or information to Committee members, ensuring that no other distribution or duplication of the material is made, except to provide IEEE counsel with relevant documents, etc. in connection with a request for legal advice.

3. Take steps to consider the Request for Support, Inquiry or information submitted, assemble information, provide for Committee evaluation and prepare a Report on Preliminary Investigation within a period of one hundred twenty (120) calendar days from acknowledgment of receipt of the Request, Inquiry or information. In those instances where investigative difficulties preclude completion within this limitation, the IEEE President may grant extension upon request.

4. Ensure, during the period of its investigation, that the Ethics and Member Conduct Committee, acting on its own behalf or through ad hoc Committees appointed by the Ethics and Member Conduct Committee Chair, seek relevant information from IEEE members, employees and others as may be appropriate to the nature and contents of the Request for Support, Inquiry or information. Such information as may be obtained shall be reduced to writing and included in the file or records of the Chair of the Ethics and Member Conduct Committee of the case under review.

5. During the course of the investigation ensure that the contents of the Request, identity of persons involved and the scope of the inquiry shall remain undisclosed by the Ethics and Member Conduct Committee to the extent practicable, consistent with the need to secure valid information and conduct an expeditious review.

Part D – Responsibilities of the Ethics and Member Conduct Committee.

1. If in the course of its investigation and review the Committee deems it appropriate to contact persons or entities outside the membership of IEEE or the employer concerned, the Committee shall:

   a) obtain from the requesting individual a letter of waiver; and

   b) send to the employer(s) concerned a letter disclaiming any and all purpose or intent to engage in collective bargaining on behalf of the individual with respect to such matters as salaries, wages, benefits, and working conditions, customarily dealt with by labor unions.

2. The Ethics and Member Conduct Committee, upon concluding its investigation, shall prepare a Report on Preliminary Investigation which shall include findings, conclusions and recommendations based on relevant information and technical and professional opinions.

3. If the request is deemed to be meritorious, the Committee shall submit to the Board of Directors the request and its Report on Preliminary Investigation upon conclusion of its review of the request together with any matters or information related thereto.

4. If the Request for Support is deemed to be without merit, the Ethics and Member Conduct Committee Chair shall notify the requesting individual by traceable mail of the action to terminate and shall include a copy of the Report on Preliminary Investigation.

5. If new or additional information considered material is received within ten business days following service of notice by the Chair of the Ethics and Member Conduct Committee, the Committee may reconsider and revise its findings. If the prior findings are affirmed, no further consideration shall be granted and the requesting individual so notified. Subsequent submission of a Request or Inquiry bearing on the same or substantially similar incident or issue may result in the Committee declining further consideration.

7.12 Patent Rights of Employed Engineer Inventors

In order to promote the progress of electrical arts and sciences, it is IEEE policy to encourage the establishment of appropriate incentive systems for the development and disclosure of inventions. Implementation of this policy may include actions directed toward the improvement and revitalization of patent laws to extend protection of inventions in newer fields of technology not currently covered, and greater incentives to government contractors for the commercial utilization of inventions resulting from government support, and improving laws to provide equitable distribution of rights between employed inventors and their employers, as well as to promote equitable standard patent pre-assignment agreements.

7.13 Employer Cooperation in Career Maintenance and Development

It shall be IEEE policy that all IEEE committees and other organizational units which include employer/employee relationships in their activities and programs should solicit the views and cooperation of employers of engineers as well as of employees. One method of implementing this policy would be for each Section to establish an "Employer Committee" consisting of representatives of local employers of engineers. Reports of such committee activities should be transmitted via the Section to the Regional Director for dissemination to IEEE-USA and other IEEE bodies.

7.14 Support of Industrial/ Governmental Objectives Having a Common Interest

The IEEE recognizes that its responsibility to secure the career needs of practicing members of the profession is served by measures which, among others, would contribute to the economic health and growth of those industries which employ those practitioners and which, as a consequence, would result in greater demand for their employment.

Therefore, it is IEEE policy that the IEEE-USA include in its programs the active support of those objectives, legislative or otherwise, which are consistent, on the one hand, with the needs of practicing professionals otherwise enunciated in IEEE policies and programs and which, in addition, will tend to increase employment opportunities by improving the general business climate. In the pursuit of this policy, the IEEE-USA is authorized and encouraged to join with organized representatives of industry in the support of such mutually desired ends, consistent with IEEE policies.

7.15 Age Discrimination

The IEEE, consistent with the purposes articulated in Article I of the IEEE Constitution, is committed to the realization and maintenance of an employment environment in which engineers may have full and productive careers free of jeopardy from age discrimination practices.

Just as it is IEEE's policy to help and to encourage its members to develop professionally through their own initiative, so it is also IEEE policy to encourage the passage of appropriate legislation, the elimination of discriminatory practices among employers of engineers, the adoption by employers of programs designed to maintain the productivity of engineers in their employ, and to encourage employers to examine their practices to ensure that they are not age discriminatory.

In pursuit of this policy, the IEEE shall use its resources in such ways as are deemed appropriate, including, but not limited to, compiling a list of laws relevant to age discrimination which it would publish and/or furnish to engineers upon request.

SECTION 7 – PROFESSIONAL ACTIVITIES
PART B – IEEE -USA POLICIES

APPROVED BY IEEE BOARD OF DIRECTORS

In addition to the policies and procedures presented in Section 7, Part A, the following specific modifications and/or additions to those policies are approved for use within the United States.

7.100 Registration of U.S. Engineers

The IEEE, in furtherance of IEEE Policy 7.6 (Protection of the Public) and IEEE Policy 7.8 (Code of Ethics), as they apply to the United States, recognizes that licensure and registration contributed to the professions' efforts to protect the health, safety, and welfare of the public by ensuring that practitioners meet minimum recognized levels of education, experience, and competence. In support of this position, the IEEE:

A. Aggressively represents the interests of IEEE members in the licensure and registration process;

B. Actively participates in the development of sound engineering licensure and registration procedures on a continuing basis;

C. Strives to promote the adoption of uniform engineering licensure and registration requirements among all states and territories;

D. Participates in developing content and specifications for national examinations that are used to evaluate engineering competence; and

E. Strongly encourages individuals to pursue engineering licensure and registration, not only as a means of meeting the legal requirements for protecting the health, welfare, and safety of the public, but also to ensure that they can be prepared to meet the needs of international, national, and state engineering practices.

7.200 Congressional Fellows Program

IEEE and its IEEE-USA Board recognize the value to the IEEE, the profession, the public at-large, and the Congress of the United States of providing timely technical assistance to the U.S. Legislature on matters relating to electrical and electronics engineering. One means of doing this is by the appointment of qualified practitioners to serve with various Congressmen or their committees in the capacity of Congressional Fellows.

It shall be the continuing policy of the IEEE-USA Board to select a minimum of two such Fellows each year, to arrange for suitable funding for the program including the Fellow's grant or stipend, to see that the Fellow(s) is properly orientated with respect to Congressional procedures and protocols and receives necessary technical support, to assist him or her in securing a suitable assignment within the Congress, and to adequately publicize this program and its impact inside and outside the IEEE.

Fellows shall be selected based on technical competence, on ability to serve in a public environment and on evidence of service to the IEEE and the profession. Specifically excluded as selection criteria shall be age, sex, creed, race, ethnic background, and partisan political affiliations. However, the Fellow must be a U.S. citizen at the time of selection and must have been in the IEEE at Member grade or higher for at least four years. Additional criteria may be established by the selection committee.

7.300 IEEE-USA Publications

The area of IEEE-USA publications represents a broad spectrum of divergent social, economic, and legal issues. It is therefore in the best interests of the IEEE that procedures used for IEEE-USA publications incorporate the views of experts in the discipline involved as well as members of the IEEE to ensure both suitability and correctness of the material.

A. It is IEEE-USA policy to encourage publication of booklets, monographs, conference proceedings, and so forth, which discuss non-technical, social, economic, and legal issues, subject to a suitable editorial process.

B. The President – IEEE-USA shall appoint an IEEE-USA Editorial Review Committee for IEEE-USA publications to provide for appropriate review and approval.

C. The IEEE must, out of necessity, assume that material presented at its meetings or submitted for its publication is properly available for general dissemination to the audiences that these activities are organized to serve. It is the responsibility of the authors, not the IEEE, to determine whether disclosure of their material requires the prior consent of other parties and, if so, to obtain it prior to submission to the IEEE.

SECTION 8 – STANDARDS ACTIVITIES

8.1 Objectives

The objectives of the IEEE's standards activities are

- To develop and publish broadly accepted standards and other standards-related documents that will advance the theory and practice of electrical engineering, electronics, computer science, radio, and allied branches of engineering or the related arts and sciences, and

- To work with other standardizing bodies, both national (of any country) and international, to take available needed standards in the field of electrotechnology.

The term "standards" as used in Section 8 encompasses recommended practices and guides as well as standards documents that delineate specific requirements.

8.2 Responsibility

The authority for the standardization activities of IEEE is assigned by the Board of Directors to the Standards Association.

8.3 Detailed Procedures

Detailed procedures and requirements for standards activities within the IEEE are set forth in the IEEE Standards Association operations manuals and the bylaws and operations manuals of its subsidiary boards and committees, which are available to participants and interested parties from the IEEE Standards Association.

SECTION 9 – ACTIVITIES OF IEEE ORGANIZATIONAL UNITS

9.1 Affiliation with Tax-Exempt Organizations

If a Section or Society desires to affiliate with an organization which is exempt from the United States Federal income tax as an organization described in Section 501(c)(3) or Section 501(c)(6) of the Internal Revenue Code of 1954 and which has tax-exempt purposes in common with IEEE, its chair or president should mail to IEEE Headquarters a copy of the determination letter or ruling from the Internal Revenue Service stating that the organization in question is exempt from tax under either of such sections and a copy of such organization's Certificate of Incorporation, Constitution and Bylaws. IEEE Headquarters will then advise the Section or Society whether it approves or disapproves the proposed affiliation. If the tax-exempt status of an affiliate organization is changed or terminated, or if the Certificate of Incorporation or Constitution of an affiliate organization is changed in any important way, the Chair of the Section or the Society President should immediately notify IEEE Headquarters and furnish as much detail as is available.

9.2 Association by Chapters with Other Organizations

Chapters of IEEE Societies are not permitted to affiliate with organizations outside the IEEE. They are permitted to participate informally in joint technical activities, under conditions approved by the responsible Section. If a formal affiliation with another organization appears advantageous in furthering the activities of a Chapter, it should be consummated by the responsible Section, Affiliation, Council, or Region, as provided in Statement 9.1 above.

9.3 Section/Chapter/Society Cooperation

The successful operation of the IEEE at the local level depends upon close cooperation and harmonious relations between the various organizational units involved: the Section, the Chapters, and the Societies. Each has responsibilities to serve the members and the others as follows:

A. Societies.

1. Seek to identify and satisfy the needs of the Chapter members and Sections. Formulate plans to meet these needs.

2. Provide a strong technical resource for Chapters (and Sections where there are no Chapters) having information requirements.

3. Provide educational programs (courses, speakers, etc.) for use by Chapters and Sections as required.

4. Help Sections where there are no Chapters to identify possible leaders.

5. Seek close communication with Chapters. Encourage Chapter Chair attendance at Administrative Committee meetings. Arrange for Administrative Committee members to visit Chapters.

6. Encourage Chapters to formulate goals and plans, to exert initiative, and innovate activities to reach their objectives.

B. Chapters.

1. Seek to identify and satisfy the needs of Chapter members, the Section and the Society. Formulate plans to meet these needs.

2. Encourage Chapter members to provide information to the Society through publications and meetings.

3. Provide personnel resources to the Society and to the Section as required. Past Chapter Chairs should be encouraged to accept Section offices and jobs and Administrative Committee offices and jobs upon request.

4. Provide technical programs for the Section upon request.

5. Coordinate Chapter meeting dates and times with the Section to minimize conflicts that are detrimental to the membership.

C. Sections.

1. Seek to identify and satisfy the needs of the members, Chapters and Societies. Formulate plans to meet these needs.

2. Identify leadership and encourage the formation of Chapters for Societies having 100 or more members in the Section.

3. Provide training for Chapter officers.

4. Provide publicity for Chapter meetings, including the Section Publication, if any.

5. Provide financial support for Chapter meetings, including reasonable speaker meal costs.

6. Support Chapters seeking to host major Society meetings.

9.4 Employment of Staff or Engagement of Independent Contractors to Support IEEE Organizational Units

No IEEE organizational unit shall hire staff or engage an independent contractor without prior authorization of the IEEE Executive Director or his or her designee. Procedures for the hiring of staff, or the engagement of independent contractors, shall be maintained by the IEEE Human Resources Department. Requests to hire staff shall be sent to the IEEE Staff Director for Human Resources. Requests to engage an independent contractor shall be sent to the Manager, IEEE Procurement. The Manager, IEEE Procurement, shall determine whether the individual circumstances regarding the proposed engagement of an independent contractor meet all requirements of and qualify as independent contractor status. When it is determined that the request does not qualify as an independent contractor, the request shall be referred to the IEEE Staff Director for Human Resources. Approvals to hire staff or engage independent contractors may be given when (i) it is determined that such activity will result in improved administrative, programmatic or technical services, (ii) all applicable United States or foreign employment or other laws have been complied with, and (iii) all IEEE financial budgetary and procurement procedures (including those set forth in the IEEE Finance Operations Manual) have been complied with.

For purposes of this policy, “staff” shall mean employees hired by the IEEE on a full-time, part-time or temporary basis, and the term “independent contractors” shall mean individuals or entities who are otherwise engaged to perform services for a specific project or activity. IEEE Organizational Unit as defined in IEEE Bylaw I-107.1 includes Boards, Committees, Regions, Sections, Chapters, Societies, Technical Councils, Conferences, etc.

9.5 Separate Incorporation

Separate incorporation of IEEE organizational units is not normally permitted. On rare occasions, when historical events, local conditions or economic conditions rule out alternate solutions, such incorporation may be allowed, but only after the Board of Directors is satisfied that the name and integrity of the IEEE are adequately protected. Should it be necessary to form a legal entity, separate from the IEEE, the following conditions shall normally apply:

1. Formation of any separate legal entity shall be approved by the IEEE Board of Directors.

2. The IEEE Board of Directors shall appoint the members of the board of directors of the entity formed. At least one member of the board of directors shall currently be a member of the IEEE Board of Directors.

3. A dissolution clause shall be included in the organizational documents of the entity such that upon dissolution of the entity any remaining assets (or IEEE’s proportionate share if there are multiple stakeholders in the entity) shall be returned to IEEE.

4. Any subsidiary of IEEE should preferably be wholly-owned and subject to direction and control by IEEE and fully consolidated with IEEE finances. There shall be regular direct financial reporting to the IEEE Finance Committee.

9.6 Section Net Assets

Good Section management strives to provide the best possible services to its members consistent with its resources. Sound financial management will consider not only funds available and anticipated, but also the uncertainties of planned income and expenditures. Section net assets should be adequate, but not excessive.

As part of its financial plan, each Section is expected to define the maximum net assets appropriate to its operation, current and planned. As a general guideline, net assets greater than three times the annual rebate, after known commitments and unusual requirements are deducted, would be considered excessive. There will be special cases where this may not apply.

In special circumstances, such as being a good location for conferences, some Sections can provide outstanding services to their members and, in the process, generate surplus funds. In keeping with the policy of avoiding accumulation of disproportionately large net assets, systematic steps should be taken to step up the level of activity so as to best serve the interests and needs of the Section membership. This can be done through additional meetings, conferences, educational programs, publications, etc., or by putting these funds to work elsewhere in the IEEE, through MGAB, TAB, EAB, or other Sections, Chapters or Branches within the Region.

The Regional Directors will continually review the implementation of this policy and investigate and recommend appropriate action in cases where net assets appear excessive.

9.7 Participation in IEEE Activities

It is the responsibility of Officers and Directors of the IEEE:

1. To attend regularly IEEE Region, Section and Society meetings, as well as Technical Conferences; to represent the Board of Directors at these meetings; to address these meetings on behalf of the Board of Directors; to assure the attending members that these meetings have the support of the Board of Directors; and to seek their comments and advice pertaining to the activities of the IEEE.

2. To participate in social events (luncheons, dinners, and other social get-togethers) with IEEE Region, Section, Society and Technical Conference leaders and members and to utilize such social events and contacts to cement the relationships between the IEEE, on the one hand, and the leadership and members of its major groupings, on the other.

To further the purposes and aims of the IEEE, the members should encourage their spouses to participate where possible in IEEE activities associated with Board of Directors, Region, Section and Society meetings and Technical Conferences without reimbursement from the IEEE. To help establish a close, cooperative relationship between members of the IEEE, and to make membership in the IEEE a family concern, members' spouses are encouraged to join and actively participate in the social events of the IEEE. Members' spouses should be encouraged to attend discussion groups at the Region, Section and Society meetings, to become more fully aware of the IEEE's functions.

9.8 IEEE Collaboration and Engagement Statement

IEEE's mission to foster technological innovation and excellence to benefit humanity requires the talents and perspectives of people with different personal, cultural, and disciplinary backgrounds. IEEE is committed to advancing collaboration and engagement in the technical profession, and promoting a culture in its activities and programs that welcomes, engages, and rewards all who contribute to the field.

9.9 Conflict of Interest

The purpose of this Conflict of Interest Policy (the "COI Policy") is to protect the interests of IEEE when it is contemplating entering into a transaction or arrangement that might directly or indirectly benefit the private interest of a member, volunteer, director, officer, or staff person of IEEE. This COI Policy is intended to ensure that IEEE's members, volunteers, directors, officers, and employees act in IEEE's best interests and comply with applicable legal requirements. This COI Policy may supplement but not replace any applicable state and federal laws governing conflicts of interest applicable to nonprofit and charitable organizations.

A. Definitions.

1. Conflict of interest. A conflict of interest is a situation, transaction, or relationship in which a member's, volunteer's, or staff person's decisions, actions, or votes could materially affect that individual's professional, personal, financial, or business concerns. An Interest is not necessarily a Conflict of interest. A person who has an Interest has a Conflict of interest only if a determination that a conflict of interest exists is made in accordance with the terms of this COI Policy.

A potential conflict of interest arises from a situation where an individual might have a conflict of interest based on their responsibility to IEEE.

A perceived conflict of interest arises where a third party might reasonably conclude that an individual's private interests could improperly influence the performance of their responsibility to IEEE http://www.ieee.org/about/corporate/compliance/index.html.

2. Conflict of Interest Disclosure Statement. A disclosure statement substantially in the form provided by IEEE.

3. Financial Interest. A person has a Financial Interest if the person has, directly or indirectly, through business, investment, or family:

   a) An ownership or investment interest in any entity with which IEEE has a transaction or arrangement;

   b) A compensation arrangement with IEEE or with any entity or individual with which IEEE has a transaction or arrangement; or

   c) A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which IEEE is negotiating a transaction or arrangement.

   Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial

4. Interest. A Financial Interest or Other Interest.

5. Interested Person. For purposes of this COI Policy, an "Interested Person" is an IEEE member, volunteer or employee with an actual or potential Interest who is **not** a Key Person.

6. Key Person. For purposes of this COI Policy, a "Key Person" is (a) a member of the IEEE Board of Directors (the "Board") or an IEEE Corporate Officer or Officer (as defined in the IEEE Bylaws); (b) any member of a committee with IEEE Board of Directors delegated power; and (c) any person, whether or not a staff person of IEEE, who (i) has responsibilities, or exercises powers or influence over IEEE as a whole similar to the responsibilities, powers, or influence of directors and officers; (ii) manages the IEEE, or a segment of IEEE that represents a substantial portion of the activities, assets, income or expenses of the IEEE; or (iii) alone or with others controls or determines a substantial portion of IEEE's capital expenditures or operating budget.

7. Other Interest. A non-Financial Interest involving any situation, transaction, or relationship in which a person's decision, action, or vote could materially affect such person's professional, personal, or business concerns based on the person's responsibility to IEEE.

B. Procedures for Financial Interests of Key Persons.

1. Duty to Disclose a Financial Interest. A Key Person who has a direct or indirect Financial Interest in a transaction or arrangement with IEEE (an "Interested Key Person") shall disclose the existence of the Financial Interest and be given the opportunity to disclose all material

facts to the Audit Committee of the IEEE Board of Directors (the "Audit Committee") concerning the proposed transaction or arrangement involving the actual or potential conflict.

2. Determining Whether a Conflict of Interest Exists. After disclosure of the Financial Interest and all material facts, and after any discussion with the interested Key Person, the Interested Key Person shall leave the Audit Committee meeting and the remaining Audit Committee members shall decide if a conflict of interest exists.

3. Procedures for Addressing a Conflict of Interest.

   a) If it is determined that a conflict of interest exists, the Interested Key Person may make a presentation at the meeting of the Audit Committee but, after the presentation, the Interested Key Person shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the conflict of interest. The Interested Key Person is prohibited from participating in or attempting to improperly influence the deliberation or voting on the matter giving rise to the conflict of interest.

      For purposes of this COI Policy, "improperly influence" means coercing, manipulating, misleading, or fraudulently influencing the decision or deliberation when the person knows or should know that such conduct, if successful, could result in an outcome which the person could not deliberate or vote on directly. Nothing in this section shall prohibit the Audit Committee from requesting that an Interested Key Person present information as background or answer questions concerning a matter that gives rise to a conflict of interest at an Audit Committee meeting prior to the commencement of deliberations or voting relating thereto.

   b) The Chair of the Audit Committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement giving rise to the conflict of interest.

   c) After exercising due diligence, the Audit Committee shall determine whether IEEE can obtain, with reasonable efforts, a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.

   d) If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the Audit Committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in IEEE's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.

   e) The Audit Committee shall contemporaneously document in writing the existence of a conflict of interest and the basis for the Audit Committee's resolution of such conflict, including its consideration of any alternative transactions.

4. Violations of the Conflict of Interest Policy

   a) If the Audit Committee has reasonable cause to believe an Interested Key Person has failed to disclose actual or potential conflicts of interest, it shall inform the Interested Person of

the basis for such belief and afford the Interested Key Person an opportunity to explain the alleged failure to disclose.

b) If, after hearing the Interested Key Person's response and after making further investigation as warranted by the circumstances, the Audit Committee determines the interested person has failed to disclose an actual or possible conflict of interest, it shall address such violation in accordance with this COI Policy.

5. Records of Proceedings. The minutes of the Audit Committee meeting shall contain documentation of the existence and resolution of any actual or possible conflicts, including in the minutes of any meeting at which the conflict was discussed or voted upon:

a) The names of the Key Persons who disclosed or otherwise were found to have a Financial Interest in connection with an actual or potential conflict of interest, the nature of the Financial Interest, any action taken to determine whether a conflict of interest was present, and the Audit Committee's decision as to whether a conflict of interest in fact existed.

The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

C. Procedures for Other Interests of Key Persons.

Potential or actual conflicts of interest arising from an Other Interest of a Key Person shall be managed in accordance with the procedures set forth in Section F.

D. Special Procedures for IEEE Corporate Officers and Directors.

Notwithstanding any other provision herein, in accordance with IEEE Constitution Article X, Section 5, no Corporate Officer or Director of IEEE (as defined in the IEEE Constitution) shall be interested, directly or indirectly, in any contract relating to the operations of the IEEE, nor in any contract for furnishing supplies thereto, unless authorized by the Bylaws or by the concurring vote of two-thirds of the Directors present at a regularly constituted meeting of the Board.

No Corporate Officer or Director of IEEE may participate in deliberation or voting with respect to their potential related party transaction (as defined by the New York Not-for-Profit Corporation Law), and each is required to disclose to the Board in good faith all facts related to their Interest. The Board shall only authorize such contract after making a determination that it is fair, reasonable and in the best interest of IEEE at the time of such determination.

E. Special Procedures for Persons Either Elected or Appointed to an IEEE Office.

In accordance with Bylaw I-300.2, all persons either elected or appointed to an IEEE office (including but not limited to any Board, Committee, Council, Society, Chapter, or other organizational unit), prior to acceptance and during tenure of that position, shall consider each item of business, where they have a vote or decision authority, to determine if an actual, perceived, or potential conflict exists with the interests of IEEE. In the event that a person nominated for or holding an IEEE office finds themselves in such a position, they shall promptly disclose the conflict

of interest to the IEEE Internal Audit Department and the person in charge of the activity (or the next higher authority if the member is in charge) and to the governing body of the unit of IEEE in which they hold office and recuse themselves at any Board, Committee, Section, Council, Society, Chapter, or other meeting from any deliberations or vote on the matter giving rise to the conflict of interest.

F. Procedures for Interested Persons Who Are Not Key Persons.

1. An Interested Person shall disclose any potential conflict of interest immediately in writing to the IEEE Internal Audit Department and the person in charge of the activity (or the next higher authority if the member is in charge). The Internal Audit Department shall make an initial determination on whether an actual, perceived, or potential conflict of interest exists and provide a recommendation to the Interested Person and the Audit Committee, or any subcommittee formed by the Audit Committee to perform its responsibilities under this section, on the proper course of action to take. The Interested Person may request that the Audit Committee review Internal Audit Department's recommendation. The Audit Committee may also review the Internal Audit Department's recommendation on its own initiative. The results of the Audit Committee's review under either circumstance shall be final.

   A recommendation adopted from the Internal Audit Department or the final decision issued by the Audit Committee shall be entered into the Audit Committee's official record and the activity's record. In the event that an Interested Person becomes aware of an actual, perceived, or potential conflict of interest for which there is insufficient time for the Internal Audit Department to review regarding their confirmed involvement in advance, they shall still inform the Internal Audit Department and recuse themselves from any deliberations or vote on the matter giving rise to the conflict of interest.

G. Compensation.

1. Board Members Precluded from Voting. A voting member of the IEEE Board of Directors who receives compensation, directly or indirectly, from IEEE for services is precluded from voting on matters pertaining to that member's compensation.

2. Committee Members Precluded from Voting. A voting member of any committee of the IEEE Board of Directors whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from IEEE for services is precluded from voting on matters pertaining to that member's compensation.

3. No Prohibition on Information. No voting member of the IEEE Board of Directors or any committee thereof whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from IEEE, either individually or collectively, is prohibited from providing information to any committee regarding such compensation.

H. Statements and Disclosures.

1. Conflict of Interest Disclosure Statement. IEEE members, non-members or volunteers in an elected or appointed position and volunteers, editors and others involved in making procurement decisions or other activities that could represent a potential conflict of interest as determined by the IEEE Audit Committee shall comply with the Principles of Business Conduct

and the COI Policy. Compliance shall include the annual submission of a completed Conflict of Interest Disclosure Statement to the Director, IEEE Internal Audit, at the Operations Center. The Conflict of Interest Disclosure Statement affirms that an individual:

a) Has received a copy of the COI Policy;

b) Has read and understands the COI Policy;

c) Has agreed to comply with the Policy, and

d) Understands IEEE is charitable and, in order to maintain its federal tax exemption, it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

2. Volunteers. A Conflict of Interest Disclosure Statement must be filed within thirty (30) calendar days of acceptance of an IEEE appointment, placement as a candidate on an IEEE election slate, or upon request of the Audit Committee. The IEEE staff shall notify every individual requested to file a Conflict of Interest Disclosure Statement of the applicable deadline.

   a) Failure to submit a disclosure statement shall result in automatic removal from service on the committee, board or election slate, as the case may be. It shall be the responsibility of the board or committee Chair or, in the case of nominations, the chair of the appropriate nominations committee to inform such individuals that they have been removed from service or an election slate, as the case may be, for failure to complete the disclosure statement and to notify the Audit Committee of such action. The Audit Committee shall notify the IEEE Board of Directors of all individuals removed from service or an election slate, as the case may be, at the next regularly scheduled IEEE Board of Directors meeting.

   b) Each IEEE Director shall submit a Conflict of Interest Disclosure Statement prior to joining the IEEE Board of Directors and on an annual basis thereafter.

3. Staff Persons. Staff who have authority to make or incur financial expenditures or who have other responsibilities that could represent a potential conflict of interest as determined by the Audit Committee shall submit a Conflict of Interest Disclosure Statement by 1 February of each year.

4. IEEE Standards Development Participants. IEEE standards development participants satisfy the responsibility for conflict of interest disclosure by adhering to the disclosure of affiliation policy and procedures which shall be specified in the IEEE SA Standards Board Bylaws and the IEEE SA Standards Board Operations Manual, and by completing the IEEE Conflict of Interest Disclosure Statement when required to do so.

I. Use of Outside Experts.

When conducting the periodic reviews as provided for herein, IEEE may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the IEEE Board of Directors of its responsibility for ensuring periodic reviews are conducted.

J. Gifts.

Employees and volunteers of IEEE are not permitted to receive gifts, favors, services, payments, privileges or special treatment of any kind or nature whatsoever from any individual, enterprise or organization that conducts or seeks to conduct business with the IEEE unless:

- They are consistent with good business practices; and
- They are of a nature that could not be construed as a business inducement; and
- The retail value of the gift does not exceed USD 100.

There may be occasions when it is appropriate for IEEE to provide an IEEE volunteer with a gift to recognize their contribution to an IEEE event or activity. Such gifts from IEEE should not exceed USD 100 (or the local equivalent) and the total value of all gifts to an IEEE volunteer in any calendar year should not exceed USD 500 (or the local equivalent).

IEEE branded items (e.g., certificates of appreciation, keepsakes items, plaques) under USD 100 shall not be considered gifts for purposes of this policy.

For further guidance on the IEEE Gift Policy, contact compliance@ieee.org.

K. Violations.

Notwithstanding any language in this COI Policy to the contrary, the Audit Committee may refer, through the Chair, or their designee, any violation of this COI Policy by a member of which it becomes aware to the Ethics and Member Conduct Committee or the Board of Directors for further action.

9.10 Whistleblower and Non-Retaliation Policy

It is the policy of IEEE that no director, officer, manager, employee, member (in any capacity), volunteer, or non-member participating in an IEEE activity, who in good faith (a) reports a compliance or ethics concern, (b) reports a possible violation of IEEE Policies or the IEEE Code of Conduct, or (c) assists or cooperates in an investigation of a possible violation of IEEE Policies or the IEEE Code of Conduct shall suffer intimidation, harassment, discrimination or other type of retaliation. Any director, officer or volunteer of IEEE and any staff manager or employee who engages in any such retaliatory action can be punished by penalties up to and including expulsion from IEEE membership for a volunteer and termination of employment for any IEEE staff member.

All managers and employees of IEEE have the responsibility to promptly report violations, or concerns regarding potential violations, of IEEE Policies or the IEEE Code of Conduct. Volunteers are encouraged to report such violations. Anonymous whistleblower reports can be made at www.ieee-ethics-reporting.org. Reports of retaliation should be made immediately to the IEEE Legal and Compliance Department at legal@ieee.org.

The contents of whistleblower reports, the identity of the persons involved, and the scope of any related inquiries shall remain confidential, except as required by law or if such disclosure is required for the equitable and expeditious review of the report.

The IEEE Legal and Compliance Department is responsible for ensuring that all whistleblower reports are investigated and resolved. IEEE Legal Counsel shall report to the Audit Committee regarding administration of this whistleblower policy.

A person that is the subject of a whistleblower report may not be present at or participate in any deliberations or vote on the matter relating to such report, provided that this shall not prohibit the person who is subject to the report from presenting information as background or answering questions at a meeting prior to the commencement of deliberations or voting.

A copy of this policy shall be distributed to all officers, directors, employees, members, and any other individuals who provide substantial services to IEEE.

9.11 Parliamentary Rules and Procedures

At meetings of the Board of Directors, and all Committees of IEEE as defined in the IEEE Bylaws, unless specified otherwise by the Constitution, Bylaws or Policies, or unless otherwise agreed upon by the respective members thereof, the rules of procedure shall be *Robert's Rules of Order (latest revision).*

At open sessions of meetings of the IEEE Board of Directors, the affirmative vote of at least twenty percent of those present shall suffice to order the taking of a vote by roll call on a topic other than nominations, individual personnel matters, or awards.

At meetings of the Board of Directors, all motions and amendments shall be displayed in their final form, either electronically or other written form, for all members present at the meeting to see before a final vote is taken. The final phrasing shall be retained at least until the minutes including the action have been approved. For telephonic meetings, the chair of the meeting shall state the final wording of a motion prior to voting.

9.12 Administrative Procedures for Regional and Technical Activities

A. Agenda and Minutes of Meetings. The successful achievement of IEEE objectives will be advanced by establishing certain administrative guides to be implemented by IEEE's members and subdivisions. In this regard, issuing agenda and maintaining and reviewing minutes of IEEE meetings will help to ensure that, consistent with IEEE's decentralized structure, lines of communication among members are maintained, topics for discussion are clearly defined, and sufficient written records are preserved for future reference and needs.

   1. It is the policy of IEEE that, whenever practicable, an agenda listing the topics for discussion shall be sent to the members at a reasonable time prior to each meeting (other than formal conferences, symposia or conventions) of an IEEE Board, Committee, Panel or other working assembly of a Region, Society, or other IEEE organizational unit, or of a joint intersociety unit in which IEEE formally participates, or, in any event, shall be distributed at any such meeting by the Secretary of the particular body or by a designated member of the particular body.

   2. At each meeting (other than formal conferences, symposia or conventions) of an IEEE Board, Committee, Panel or other working assembly of a Region, Society or other IEEE organizational unit, or of a joint intersociety unit in which IEEE formally participates, minutes of the meeting shall be maintained by the Secretary of the particular body or by a designated member of the particular body. Minutes shall record concisely attendance at the meeting, the substance of all

discussions and any actions taken, but need not be in the nature of a verbatim transcript. Maintenance of record copies of the minutes and distribution and review of these minutes shall be carried out by each IEEE organizational unit pursuant to such rules and procedures as are adopted by each body.

B. Organization of Technical Working Groups and Committees. To achieve the technical objectives of IEEE demands that diverse resources be employed toward the resolution of technical issues. It is the belief of IEEE that the IEEE's technical goals can be furthered most productively through the intelligent utilization of the talents and experience of various individual members serving in their separate, individual expert capacities on appropriate IEEE Committees or working assemblies in IEEE Societies. No member should construe his position to be that of a representative of his employer.

1. Therefore, it is the policy of IEEE that the membership of each Committee, Subcommittee or working assembly of an IEEE Society shall reflect various factors deemed appropriate by such IEEE organizational units (e.g., geographical balance, special expertise, etc.) and shall include a reasonable proportion of persons (one or more) employed by supplier, user and/or other involved organizations in each industry that, in the judgment of each Society, will be affected by or concerned with any subject, except solely administrative or managerial matters, within the stated scope of, or properly to be considered at any meeting of, such Committee, Subcommittee, or working assembly, consistent with its size.

2. No meeting of any of the above Committees, Subcommittees, or working assemblies shall convene where the interests associated with the persons in attendance are solely those of either supplier or user organizations.

9.13 Availability of Minutes and Archives of IEEE Board of Directors

A. Any member in good standing who has been a member in good standing for at least the prior six months, may examine at IEEE's New York Headquarters the minutes of any individual Board of Directors meeting which have been approved by the Board, or may be furnished such minutes by mail, at a fee to be determined by the IEEE Executive Director, provided the request is in writing, and assures that the minutes will be used in compliance with the provisions of New York State Not-For-Profit Corporation Law.

B. Archives of Meetings.

1. The archives of the Board of Directors shall be made available on an IEEE website to the IEEE Directors. The archives shall include agenda books, minutes, presentations, and written reports.

   The archives, with the exception of executive session minutes and related information, shall be made available, subject to execution of an appropriate confidentiality agreement, to Directors-Elect, President-Elect candidates and members of the senior management staff designated by the IEEE Executive Director. The Board of Directors shall be provided with the names of the staff who shall have such access for the ensuing year, by its first regularly scheduled meeting each year. The IEEE President shall authorize access to successful petition President-Elect candidates, after certification of their candidacy.

2. The electronic versions of the archives shall be formatted and maintained in a manner that will allow users the ability to search the archives.

9.14 Use of the Word "Engineering"

The IEEE interprets the use of the word "engineering" to mean practice of engineering by qualified individuals and recommends that the use of the word in areas of paraprofessional performance be avoided.

9.15 IEEE Quality Policy

Member and customer satisfaction is an important goal of the IEEE. It is therefore our policy to:

- Consistently provide products and services that meet the requirements of our members and customers;
- Pro-actively pursue quality improvements through programs that enable all employees and volunteers to do their jobs right the first time.

9.16 Board of Directors Meetings

As stated in the IEEE Bylaws, the following criteria shall be used in selecting the meeting dates and locations for the IEEE Board of Directors.

A. Meeting Dates and Locations.

1. Meeting venues for the Board of Directors shall be recommended by staff and shall have the concurrence of the Board of Directors based on the following criteria:

   a) date and location selection shall be made with consideration for special IEEE events, opportunity for local interaction, and to reflect the global nature of the organization; and

   b) location selection shall be based on accessibility, cost, and availability of appropriate meeting space.

2. Approval of dates for Board of Directors meetings shall be made by the Board at least four years prior to the meeting. Final site selection shall be announced as soon as contracted.

3. A proposed change to meeting dates or locations, shall be accompanied by the expected financial impact of such change including, but not limited to, existing contractual obligations, pre-arranged travel, and projected expense of the new dates and location.

4. IEEE organizational units wishing to meet in conjunction with the Board of Directors shall submit their requests, in writing, at the time of approval of the meeting dates and prior to location contracting. Penalties arising from change/cancellation of meetings by any organizational unit shall be levied against that organizational unit.

B. Information from Meetings.

The detailed record of items considered at meetings of the Board of Directors shall be made available to the Board of Directors within a reasonable timeframe, normally 14 business days after the meeting, on the Board of Directors website. Executive Session items inappropriate for website posting, as determined by the IEEE President, shall be provided by alternate means in the same timeframe. The record shall include the Agenda, meeting presentations, and any modifications to the Agenda.

9.17 Metric Policy

All IEEE Organizational Units shall:

A. Actively support the use of the International System of Units (Le Systeme International d'Units, or SI), the modernized metric system.

B. Follow SI-based metric practice as detailed in IEEE/ASTM SI 10, Standard for Use of the International System of Units (SI): The Modern Metric System, to express measured and calculated values of quantity in all IEEE publications, including standards.

C. Promote the understanding and use of SI in education at all levels, both within the profession and in society at large.

Necessary exceptions to this policy, such as where a conflicting world industry practice exists, must be evaluated on an individual basis and approved by the responsible Major Board of the IEEE for a specific period of time. The cognizant Board responsible for the publication or activity will be responsible for monitoring compliance.

9.18 Environment, Health and Safety

The IEEE is committed to integrating environmental objectives and considerations into all electrical and electronics engineering activities, worldwide. The IEEE supports technology policies and programs around the world that will help to achieve environmentally sustainable economies.

The IEEE's commitment is demonstrated through the following activities:

1. Promote the development and dissemination of environmentally responsible technologies.

2. Educate members and others on design and manufacturing principles that promote environmentally enhanced products and processes.

3. Establish and participate in multi-disciplinary partnerships to broaden the reach of our policy and efforts in this area.

4. Promote the awareness of and responsible actions towards the environment, health and safety among members and staff in all of the IEEE's endeavors by committing:

    a) To provide a safe and healthful workplace.

    b) To conserve natural resources and reduce the generation of waste.

c) To strive to recycle or reuse materials and to purchase recycled materials.

d) To use energy in a responsible manner, by practicing conservation and by using energy efficient equipment.

9.19 IEEE Electronic Mail Policies

The Board of Directors shall adopt an electronic mail policy governing the terms and conditions by which members may utilize IEEE provided email services. In consultation with the President, the IEEE Executive Director or his/her designee, who shall normally be the Chief Information Officer, shall be responsible for maintaining IEEE electronic mail policies. Proposed changes will be forwarded to the Board of Directors by electronic means and adopted if no member of the Board objects thirty calendar days after such circulation. In the case of an objection the proposed changes will be reviewed at the next Board of Directors meeting.

9.20 Standard Telephone Formats

The following are the correct formats to be used when listing telephone numbers in all IEEE publications and correspondence:

+CC NDC SN

Where:

- CC is the country code (1 to 3 digits)
- NDC is the national destination (area, city, etc.) code (0 to 3 digits)
- SN is the subscriber number (up to 10 digits but typically 6 to 8 digits)

Grouping of digits within a number shall be accomplished with spaces rather than dots or hyphens.

Examples:

Aveiro (Portugal):	+351 234 234321
Hong Kong (SAR, China):	+852 9 988 1234
New York (USA):	+1 213 765 4321
Paris (France):	+33 1 44 331234
Rio de Janeiro (Brasil):	+55 21 98765432

The phone number is preceded by a "+". The "+" represents the international access code needed to access the international trunk line which is different for each country, for example in the United States it is "011" and in Belgium it is "00". No other punctuation should be used.

9.21 Standard Date Formats

The standard date formats should be used as follows on all IEEE related activities:

- e-mail: DD MMM YYYY (e.g., 10 Jun 2020)
- formal correspondence, etc.: DD Month YYYY (e.g., 10 June 2020)
- computer applications: YYYY-MM-DD (e.g., 2020-06-10), another choice is the "short form," which appears as: YY-MM-DD or 20-06-10. However, the long form should be used whenever possible as it sorts better than the short form.

9.22 Major Board Operations Manuals

As required by the IEEE Bylaws, the Major Board Operations Manuals shall contain, at a minimum, the following:

a) Mission of the organizational unit.

b) Identification of the officers and specification of the nomination and appointments process for election of officers not contained in the Bylaws.

c) A petition process for addition of other officer candidates shall require the number of signatures as specified in the IEEE Bylaws.

d) The structure and organization of the committees, leadership and their responsibilities.

e) How business is to be conducted between meetings.

f) How key vacancies are to be filled.

g) Procedures for approval and amendment. The amendment process should require, at a minimum, a majority vote of the governing body of the organizational unit, with advance notice thereof.

h) A process for the generation of a plan that responds to the goals and objectives of the IEEE strategic plan that is related to the mission of that organizational unit.

i) Financial processes within the organizational unit.

j) Policies and procedures that elucidate the principles of the Major Board operations.

9.23 Use of E-Mail by the IEEE Board of Directors

To allow for the free exchange of information and ideas between meetings of the IEEE Board of Directors, an alias e-mail list containing the addresses of current Directors, and select staff, is maintained for use by members of the Board.

The following guidelines shall be followed by Directors, and those additional people who may be invited by the Board of Directors to participate in discussions, to ensure that correspondence is protected and kept private:

1. E-mail messages to the Board of Directors shall be addressed to the Board of Directors alias alone and shall not be copied (i.e., cc'ed or bcc'ed, or forwarded) to others, without the prior approval of the members of the Board.

2. E-mail messages addressed to the Board of Directors alias shall not contain defamatory statements, nor shall they contain discussions of potential or actual legal claims, employment personnel matters or alleged violations of the IEEE Code of Ethics or IEEE Policies.

3. The Board may determine that certain business critical issues shall only be discussed at in-person meetings.

9.24 Guidelines for the Hiring, Terms of Employment and Compensation of the IEEE Executive Director

This Policy establishes guidelines for the following activities concerning the IEEE Executive Director: (1) IEEE Executive Director recruiting; (2) changing terms of employment of the IEEE Executive Director with IEEE; (3) establishing the IEEE Executive Director performance goals; (4) periodic evaluation of the IEEE Executive Director performance; and (5) modifications of the IEEE Executive Director's compensation package.

These guidelines are subject to IEEE Bylaw I-306 - IEEE Executive Director and Other Staff. Due to their personal nature discussions and reporting activities specified in these guidelines shall be performed in executive sessions, at the discretion of the Board of Directors.

A. IEEE Executive Director Recruiting

The Board of Directors shall have the responsibility to recruit a new IEEE Executive Director.

1. The responsibilities of the IEEE Executive Director are described in IEEE Bylaw I-306. The Board of Directors shall develop a job description for the IEEE Executive Director position on the basis of Bylaw I-306.

2. The Board of Directors shall determine a range for the total compensation package of the IEEE Executive Director. This range (and subsequent changes in this range) shall be approved before offers are made to candidates for the position. Whenever practicable, the Board shall approve the total compensation package range before interviews with candidates are conducted. The Board of Directors shall take such steps as may be necessary or appropriate to assure compliance with the intermediate sanctions rules under the Internal Revenue Code.

3. External consultants and search firms may be used in the process of recruiting and recommending a range of compensation for the IEEE Executive Director.

4. The Board of Directors shall create a Search Committee. At least two-fifths of the Search Committee voting membership shall consist of members of the Board of Directors.

5. The Search Committee shall request suggestions for suitable candidates by the Board of Directors.

6. The Search Committee shall present its selected candidate for approval by the Board of Directors.

B. Changing the IEEE Executive Director's Terms of Employment with IEEE

Changes in the IEEE Executive Director's terms of employment with IEEE are defined as offering or renegotiating a contract between IEEE and the IEEE Executive Director; making material changes in the IEEE Executive Director's responsibilities; restructuring the IEEE Executive Director's compensation package resulting in material changes; and other material changes in the IEEE Executive Director's employment terms, conditions and/or remuneration.

Incremental annual changes in the IEEE Executive Director's compensation package and changes in benefit plans applicable to all senior staff of IEEE are not considered changes in the IEEE Executive Director's terms of employment with IEEE.

The Board of Directors shall propose and negotiate changes in the IEEE Executive Director's terms of employment with IEEE.

1. Proposals for material changes in the terms of employment of the IEEE Executive Director shall require Board of Directors approval.

2. The IEEE Executive Performance and Compensation Committee shall coordinate and present any such proposals for material changes in the terms of employment of the IEEE Executive Director for the Board's consideration, after consultation with IEEE's HR compensation consultants.

3. Proposals for such changes shall be distributed to the Board of Directors at least 30 calendar days prior to the meeting at which it shall be considered.

C. Establishing IEEE Executive Director Annual Performance Goals

The Board of Directors shall review and approve the performance goals of the IEEE Executive Director for the following year at its last regularly scheduled meeting of the calendar year. The IEEE Executive Performance and Compensation Committee shall work with the Executive Director to coordinate the presentation of the performance goals to be considered by the Board. The schedule of activities related to the prioritized goal setting process and performance evaluation of the Executive Director for the following year shall accompany the presentation.

D. IEEE Executive Director Performance Evaluation

An annual review of the IEEE Executive Director shall be conducted in person by the IEEE Executive Performance and Compensation Committee. The Committee shall collect input from the Board of Directors, IEEE volunteers and staff, and experts, customers, and others as it deems necessary or appropriate. Prior to the review the Committee shall ask the IEEE Executive Director to submit a self-evaluation. Results of the review, including remarks by the IEEE Executive Director, shall be presented in summary form to the Board of Directors at its first regularly scheduled meeting of the year.

E. Annual Modifications of the IEEE Executive Director's Compensation Package

The IEEE Executive Performance and Compensation Committee, working in consultation with IEEE's HR compensation consultants, shall propose modifications to the IEEE Executive Director's compensation package including salary adjustments, bonuses and benefits. In making this

determination, the Committee shall consider the annual review of the Executive Director; the overall performance of the IEEE; and other pertinent factors, including Section 4958 of the Internal Revenue Code. The Committee's proposal shall be presented to the IEEE Board of Directors for its review and approval.

9.25 Information Disclosure Policy

1. As an educational, scientific and charitable organization dedicated to the benefit of the public, IEEE recognizes and endorses the fundamental importance of transparency and accountability in all its activities. Accordingly, it is IEEE's policy to be open about its activities and to welcome and seek out opportunities to explain its work to the widest possible audience.

2. Notwithstanding the dedication to the fundamental importance of transparency IEEE also recognizes that some aspects of its operations need to be kept confidential. Thus certain types of information are protected when unrestricted availability would be detrimental to its operation and/or membership. Such information includes verbal or non-verbal communication or information recorded on paper or electronically recorded.

3. When information is recorded in a document embodied in a medium that can be stored, read and or transmitted, such media including but not limited to paper or electronic media, IEEE has defined two levels of classification for documents that should be restricted to the IEEE community. These classifications include:

   - Proprietary. The classification Proprietary shall be applied to documents available to members of IEEE and IEEE staff.

   - Confidential. The classification Confidential shall be applied to documents whose distribution to authorized volunteer leaders* and IEEE staff on a need-to- know basis. Within this classification any documents that are to be limited to stricter controls on distribution, shall be classified as "Confidential – Controlled Distribution".

   - The treatment of information that is subject to attorney-client privilege is governed by statutory and judicial pronouncements and, therefore, not addressed, regulated or administered by this policy.

   Details and procedures related to the identification of documents that should be classified, proper classification, sharing, distribution, storage and disposal of IEEE documents that carry these classifications, shall be maintained in the IEEE Guide to Information Classification and Disclosure. The Guide shall also include but not be limited to providing guidance on the appropriate expiration of such classifications, disposal of documents, the identification of authorized volunteer leader positions, the handling of reclassification when appropriate and minutes of executive sessions. Also see 12.8 IEEE Records Management Policy Statement.

   The Guide shall be maintained by the IEEE Governance Committee who shall 1) report appropriate amendments to the Guide to the IEEE Board of Directors, and 2) report any issues with compliance to this policy and the procedures contained in the Guide at least annually.

   This policy and the supporting guide shall apply to all IEEE Organizational Units, the creation of OU specific policies or classifications, beyond those described here or in the Guide, is not permitted.

The Guide shall be made accessible on the IEEE Website at http://www.ieee.org/about/corporate/governance/index.html

*For purposes of this Policy, the term "authorized volunteer leader(s) or AVLs" refers to individuals holding specific volunteer positions within IEEE who shall complete an online training course acknowledging an understanding of the appropriate handling of IEEE information. A list of positions that are considered AVLs, and guidance on determining additional AVLs, shall be specified in the IEEE Guide to Information Classification and Disclosure.

9.26 Civility Policy

All IEEE staff, members (in any capacity), and non-members participating in IEEE activities shall treat each other and IEEE event participants with respect, consideration, and civility.

As an employer, IEEE has a duty to provide a safe environment for its staff to work. Therefore, IEEE is committed to fostering an environment where all volunteers conduct themselves in a manner that is respectful, professional, and courteous when interacting with staff. Discriminatory, harassing, abusive, or derogatory language or behavior towards staff is strictly prohibited.

Particular responsibilities apply to events involving children as outlined in the IEEE Guidelines for Working with Children (ieee.org/working-with-minors). All events involving activities with children below the age of 18 years shall be registered with IEEE prior to the event and conducted in accordance with the Guidelines. Once an event is registered, all documentation and related compliance processes required by IEEE shall be completed prior to the event being conducted. Any event involving children that is not registered or conducted in accordance with applicable requirements is not authorized by IEEE.

Intimidating, demeaning, threatening, unprofessional, vulgar, or violent behaviors, as well as destructive rumors or gossip depart from the standard for civility and respect. These negative behaviors have no place in the IEEE community.

Employees who violate this policy are subject to disciplinary actions, up to and including termination of employment. Members who are found to violate this policy are subject to review and sanctions or disciplinary actions by IEEE, up to and including expulsion from the membership rolls of IEEE, and may be relieved of their activities associated with IEEE.

9.27 IEEE Policy Against Discrimination and Harassment

IEEE, consistent with the purposes articulated in Article I of the IEEE Constitution, is committed to the realization and maintenance of an environment in which members may have full and productive careers free from Discrimination or Harassment. IEEE is committed to the principle that all persons shall have equal access to programs, facilities, services, and employment without regard to personal characteristics not related to ability, performance, or qualifications as determined by IEEE policy and/or applicable laws. IEEE prohibits Discrimination, Harassment and Bullying against any person for any reason, for example, because of age, ancestry, color, disability or handicap, national origin, race, religion, gender, sexual or affectional orientation, gender identity, appearance, matriculation, political affiliation, marital status, veteran status or any other characteristic protected by law. IEEE employees, members (in any capacity), and non-members, whenever and wherever those individuals are conducting IEEE business or

participating in IEEE events or activities, shall maintain an environment free of Discrimination, including Harassment, Bullying, and Retaliation.

Mediation and Enforcement:

The IEEE Human Resources Department shall have the primary responsibility for oversight of this policy including investigating reports of Discrimination, Harassment, Bullying, and Retaliation with respect to employees. Any person who believes that he or she has been the victim of illegal Discrimination or Harassment may seek redress through an appropriate Organizational Unit dispute resolution mechanism or may contact www.ieee-ethics-reporting.org. The Ethics and Member Conduct Committee shall have final responsibility for oversight of Policy 9.26 and this Policy 9.27 with respect to IEEE members and non-members participating in IEEE activities. Matters deemed to be of a serious nature shall be referred to the Legal and Compliance Department for handling. The goal in every such case shall be to reach a determination on the merits of allegations, if possible. In most cases, this will require an investigation into the facts.

Such an investigation may be conducted by IEEE staff, Legal Counsel, volunteers, private investigators or other individuals deemed qualified to do so. If the evidence shows that there has been Discrimination, Harassment, Bullying, and/or Retaliation, IEEE shall seek to ensure the Discrimination, Harassment, Bullying or Retaliation immediately stops and does not recur. The reporter shall be informed generally of the conclusions reached regarding the allegations.

Member sanctions or disciplinary actions for violation of policy, up to and including termination of employment or expulsion from membership in IEEE, as applicable, will be imposed in accordance with applicable IEEE policies. The IEEE President shall be informed of all allegations involving IEEE members (in any capacity), non-members participating in IEEE activities, or any management level employees. If the report is against the IEEE President, then the IEEE Board of Directors shall be informed.

In accordance with IEEE Policy 9.10, the Whistleblower and Non-Retaliation Policy, IEEE prohibits retaliation for raising in good faith an issue of potential Discrimination, Harassment, Bullying, and/or Retaliation, and discourages any behavior that might be perceived as retaliatory in nature. Retaliation shall constitute a separate violation and may result in a member sanction or disciplinary action independent of the outcome of a misconduct report.

9.28 IEEE Social Media Policy

A. IEEE recognizes the impact of social media and its potential in areas such as marketing, public relations, communication, collaboration, data sharing, discovery, content development and publishing. IEEE encourages organizational units, members, volunteers, and employees to engage in social media when appropriate and to use them to further the scientific and educational objectives of IEEE. Any posts that may be reasonably perceived as associated with IEEE shall follow the Social Media Code of Conduct set forth in the IEEE Social Media Guidelines.

   For the purposes of this policy, “social media” are defined as any forms of electronic communications that enable individuals to post and share content publicly and/or to a select group of individuals in virtual communities and networks, and that allow individuals to view, respond to and share this content further. These social media include digital and mobile-based applications that allow for music, image, audio, and video sharing; blogging and microblogging; review and opinion sharing; location-based, event-based, and occupation-based networks; information and

news aggregation; presentation sharing; advocacy and fundraising; creation of virtual worlds; and all-purpose wide-appeal networks geared toward general audiences.

B. IEEE seeks to publish and disseminate the most current and relevant scientific research on social media, to use state-of-the-art knowledge about social media in developing IEEE's tools, products, and services, to foster information sharing through IEEE social media sites/activities, and to promote the activities and goals of IEEE and its members.

C. Organizational Units may use IEEE social media platforms to inform members and the electorate about elections, provided such use ensures equal opportunity for all candidates.

D. Organizational Units and individuals are prohibited from using IEEE social media platforms to promote, support, oppose, or advocate for or against any candidate or petitioner. (See Also IEEE Policy 13.3.D)

E. Individuals may use their personal social media to express personal views, provided such use shall not include IEEE names, branding, IEEE volunteer positions, or language that could be reasonably interpreted as representing IEEE or implying IEEE endorsement, authorization, or institutional positions.

   Personal social media activities that misrepresent IEEE or undermine the integrity of IEEE activities are subject to IEEE Bylaws, IEEE Policies, IEEE Code of Ethics, and IEEE Code of Conduct.

F. Specific information related to social media that are operated on behalf of, or associated with, or may reasonably be perceived as associated with IEEE are set out in the "IEEE Social Media Operations and Best Practices Guide" that is accessible on the IEEE Brand Experience website. The information set forth in this Guide includes:

   - maintaining an inventory of IEEE social media sites;
   - the appropriate use of disclaimers;
   - best practices as they relate to the administration of sites and the posting of information;
   - procedures for obtaining guidance, or reporting possible violations of this policy;
   - procedures to ensure that the information provided in the Guide is relevant and current; and
   - other IEEE related policies and guidelines for social media.

Changes to the Guide will be approved by the IEEE Executive Director with the concurrence of the IEEE President, after consultation with the Chairs of the six Major IEEE Boards. The IEEE Executive Director will designate the appropriate staff group to oversee compliance with this Social Media Policy and the Guide.

9.29 Computer Policy

Much of IEEE's intellectual property and confidential and valuable information is maintained as data on the IEEE computer network. For that reason it is important to protect the integrity of all of the data on IEEE's computers.

Everyone is responsible for ensuring adequate security for IEEE computers and data, whether at the office, at home or while traveling. In particular, users of IEEE computers containing sensitive IEEE data

(e.g., financial data or personally identifiable information pertaining to employees or members) must ensure that the equipment and data is properly secure.

Any data stored locally on IEEE computers are not backed-up. Employees are responsible for storing any relevant IEEE data to predefined network locations to ensure that the data is appropriately backed-up. When network access is not available, employees must ensure that any relevant IEEE data is copied into the appropriate network locations once network access is available. If relevant IEEE data is temporarily stored on the local drive of the IEEE computer, employees must consider the use of a temporary backup device, such as a USB drive, to safe keep a copy of the data until network access is available. Similarly, volunteers must take steps to secure and backup any relevant IEEE data consistent with the advice and guidelines of their Organization Units.

Everyone is responsible for protecting the availability, confidentiality and the integrity of the data stored in IEEE computers. Password protection is a mechanism used to prevent the unauthorized access to the organization's computer and data. As a result, everyone is responsible for protecting the confidentiality of passwords and ensuring that individual passwords are not used or shared with others. Disclosure of a password, using another person's password, or attempting to determine or bypass another's password can result in disciplinary action, including termination of employment or membership. Employees and volunteers are only authorized to access IEEE computers and data for approved business purposes. Occasional personal use of IEEE computers is allowed as long as such use does not interfere with the employee's work responsibilities, other required business activities, business operations, or the performance of the computer network used. However, such occasional personal use does not create any expectation of privacy as to any of the personal communications of any employee and, as such, will become part of IEEE's business records. IEEE is not responsible for any personal data lost as a result of occasional personal use of any IEEE computer.

Under no circumstances are employees or volunteers authorized to access IEEE computers or the IEEE computer network:

- For personal gain or any illegal or unethical use or for the transmission or intentional reception of obscene, scandalous, offensive or otherwise inappropriate materials
- Sending IEEE data to a third party other than furthering the business objectives of IEEE
- Emailing IEEE Confidential Information to an employee's or volunteer's personal email address
- Downloading IEEE Confidential Information or other IEEE data to removable media such as a disk or thumb drive other than for furthering the business objectives of IEEE

IEEE has the right at any time to access, retrieve, delete, monitor, examine, use and/or disclose the communications of IEEE's employees through IEEE computers and the IEEE computer network and information from (or about) employees and the content, without notice to the employee, and that such communications are considered part of IEEE's business records and are not to be considered private or personal to employees. Similarly, any IEEE volunteer who accesses and uses IEEE computers, the IEEE computer network, or IEEE computer communications services is subject to this same policy.

IEEE also has the right to retrieve or delete any data belonging to IEEE stored on any personal computer devices belonging to any IEEE employee. Such personal computer devices include smart phones, tablet computers, or any device, media or location capable of storing electronic data.

9.30 Volunteer/Staff Roles

The IEEE relies on the work of its members, volunteers, and staff cooperating and working together to move the organization and its activities forward. There may be situations in which individuals desire to change their role within IEEE, such as a volunteer considering a move to a staff position, or a staff member taking on a volunteer role to serve on a board or committee in such capacity.

To avoid the potential for undue influence or conflict of interest, as defined in IEEE Policies, Section 9.9 – Conflict of Interest, in the situations described below, the following restrictions with respect to a change in role for certain volunteers and staff holding leadership positions within the IEEE shall apply:

- Individuals currently serving on the IEEE Board of Directors, the Major Boards and Committees of IEEE as defined in the IEEE Bylaws, the boards or administrative committees of the IEEE Societies and Technical Councils, and the IEEE Region Committees are not eligible to apply for a paid position as an IEEE employee during the period for which he/she is serving on such board or committee.

- Members of the IEEE staff holding executive leadership positions including those individuals who report directly to the IEEE Executive Director, or who are serving as the Executive Director or equivalent lead staff supporting an IEEE Society, Technical Council, or Region Committee shall not be eligible for appointment, or nomination as a candidate for an elected position, on the IEEE Board of Directors, the Major Boards and Committees of IEEE, the boards or administrative committees of the IEEE Societies and Technical Councils, and the IEEE Region Committees during the period of his/her employment with IEEE.

The IEEE Conflict of Interest Policy shall apply to any situations involving the transition of roles between member, volunteer, and staff not addressed above.

9.31 IEEE Compliance Program

IEEE adheres to the highest standards of integrity and conducts business around the world in a responsible and ethical way. It is important that those who act on the organization's behalf, both IEEE volunteers and employees, ensure IEEE's compliance by adhering to the same standards and expectations. To assure individuals understand IEEE's culture of integrity and ethical standards, IEEE shall have a Compliance Program that provides training for volunteers and staff. Training shall be assigned based on an individual's role or volunteer position within IEEE.

IEEE members and volunteers shall complete all assigned training within 30 calendar days of assuming their appointed or elected position, or as otherwise determined by the IEEE Legal and Compliance Department. The IEEE staff shall notify every individual requested to complete the training of the applicable deadline. Failure to complete the assigned classes shall result in removal from service on the committee or board, as the case may be.

The IEEE Executive Director shall oversee the completion of assigned training by the staff.

SECTION 10 – MEETINGS, CONFERENCES, SYMPOSIA AND EXPOSITIONS

10.0 Types of Meetings

IEEE conducts three basic types of meetings:

A. The first type includes Conferences, Symposia, Workshops, Tutorials, Short Courses, Expositions, Conventions. Throughout Policies, Section 10 the term "conferences" is defined (for the purposes of this document only, and with the exception of Standards meetings defined in Part B of 10.0), as technical or professional meetings that have a budgeted income or expense of greater than USD $25,000. Conferences can be Symposia, Workshops, Short Courses, Expositions, Conventions, and/or Tutorials. Appropriate guidelines for naming conventions for conferences can be found in the IEEE Meetings and Conferences (CEE) Operations Manual, Section 3. Conferences are generally attended by both members and non-members of the IEEE. Attendees generally pay to attend. Conferences are typically self-supporting and frequently generate a surplus. Conferences are sponsored by one or more IEEE organizational units and/or other not-for-profit organizations (Policies, Section 10.1 for details).

B. The second type includes Standards Meetings. Standards meetings are run under the auspices of the IEEE Standards Association. These meetings are dedicated to the development of IEEE draft standards, which are collaborative documents subject to rigorous consensus balloting prior to approval. More details on Standards Meetings are found in the IEEE Standards Association Operations Manual and the Standards Board Operations Manual.

   The term "standards" encompasses recommended practices and guides as well as standards documents that establish requirements and technical specifications.

C. The third type includes Other Meetings. There are various other types of meetings held by IEEE organizational units. They include organizational unit administrative meetings and small technical, professional, educational and social meetings. These meetings may have a mix of administrative and non-administrative content. Most of these meetings are free (or minimal fee) to members and sponsored by an IEEE organizational unit. Policies governing such meetings can be found in the related organizational unit's operation manual.

Administrative Meetings:

The main purpose of administrative meetings is to conduct normal IEEE business. Administrative meetings include governance, committee and editorial meetings. These meetings are sponsored by one or more IEEE organizational units. The costs of such meetings are generally supported by the operating budgets of involved organizational units. Organizational units are required to post administrative meetings in IEEE Administrative Calendars. Posting requires the date, time and place of each meeting as well as any attendance restrictions.

Section/Chapter Meetings:

Section and Chapters frequently hold small technical, professional, educational and social meetings throughout the year. Many of these meetings involve guest speakers and other events designed to meet member needs. These meetings are sponsored by the related organizational unit and are open to all members and often non-members. The costs of these meetings are generally supported by the

budgets of the involved IEEE organizational units. Occasionally members may be asked to pay for meals and entertainment. Donations or grants may also help support these meetings.

Student Activities:

Student Branches, Sections and Regions frequently hold student conferences, Congresses, Competitions, Student Professional Awareness Conferences, Leadership Training meetings and other diverse activities throughout the year. These activities are frequently supported by significantly large budgets generated by a combination of fund-raisers, industry contributions and Region and Section grants. Industry funding, in many instances, comes with the stipulation that advertisement and career fairs be included in the events.

10.1 Conferences

10.1.1 Conference Objectives

The prime objective of IEEE conferences is to provide IEEE members, other individuals and organizations with information and exhibits to assist in the advancement of electrical and electronics engineering and related arts and sciences.

To accomplish this objective, the IEEE shall:

A. Encourage Conference Steering and/or Organizing Committees to develop programs suitable to the needs of attendees, speakers and other participants for which each conference is intended.

B. Encourage all IEEE organizational units to conduct conferences, which should benefit the interests of IEEE membership and the greater technical community.

C. Encourage cooperation between organizational units to promote, plan, organize and schedule conferences and exhibitions in a timely fashion within the stated field of interest.

10.1.2 Sponsorship

Sponsorship relates to the responsibilities and accountabilities of an organizational unit with respect to financial, technical, publicity, and administrative aspects of a conference. For a conference to be considered an IEEE conference, it must be sponsored by at least one IEEE organizational unit. If multiple organizational units are sponsoring a conference, at least one of the organizations must be an IEEE organizational unit.

An IEEE organizational unit is defined in IEEE Bylaw I-107 as a subset of the entire IEEE membership that has been formed to carry out particular educational, geographic, professional, technical, or other appropriate activities of interest and service to those who are members of that organizational unit as permitted by law. Each IEEE organizational unit shall be an integral part of the IEEE and not a separate organization. Therefore, IEEE organizational units include all Boards, Societies, Regions, Sections, Chapters, Councils and Committees.

IEEE organizational units engaged in conference sponsorship may not enter into any type of sponsorship arrangement with a “For Profit” organization. Non-compliance with the provisions of this approval policy may result in denial of approvals for subsequent events. “For Profit” organizations can, however, provide donations, as indicated in Policies, Section 10.1.23.

The three types of conference sponsorship available to IEEE organizational units are described below:

- Sole Sponsorship

  Sole sponsorship indicates full and sole organizational unit involvement in a conference. If an IEEE organizational unit agrees to sponsor a conference, they accept complete responsibility for the technical, financial, publicity and administrative aspects of the conference.

  As a result of sole sponsorship, the organizational unit:

  – will approve the conference as indicated in Policies, Section 10.1.4.

  – will receive the surplus or be liable for any deficit resulting from a conference (Policies, Section 10.1.9).

  – will be responsible for assuring the timely resolution of any legal issues.

  – will be responsible for issuing any loans that the conference might need and assuring subsequent repayment (Policies, Section 10.1.7).

  – will be responsible for proper usage of the IEEE name (Policies, Section 10.1.17) and the IEEE logo (Policies, Section 10.1.18).

  – Conferences where the IEEE has sole sponsorship, the rights to the conference name, slogan, copyright for publications, and/or logo are owned by IEEE and not Conference Steering and/or Organizing Committees.

- Co-Sponsorship

  Co-Sponsorship indicates a shared involvement among several organizations, one of which is an IEEE organizational unit. Other co-sponsoring organizations could be IEEE organizational units or other "Not-for-Profit" non-IEEE organizations.

  Co-Sponsorship indicates a shared and significant involvement in the technical, financial, publicity and administrative areas of the conference. The relationship between sponsoring organizations should be explicitly defined in terms of a Memorandum of Understanding, see Policies, Section 10.1.5.

  As a result of co-sponsorship, the organizational unit:

  – will approve the conference as indicated in Policies, Section 10.1.

  – will receive the surplus or be liable for any deficit resulting from a conference, (Policies, Section 10.1.9).

  – will be responsible for assuring the timely resolution of any legal issues.

  – will be responsible for issuing any loans that the conference might need and assuring subsequent repayment, (Policies, Section 10.1.7).

- will be responsible for proper usage of the IEEE name (Policies, Section 10.1.176) and the IEEE logo (Policies, Section 10.1.18).

- will be responsible for ensuring that the IEEE organizational unit is provided with the option of a no cost exhibit booth, exhibit table or other means of promoting IEEE membership and activities during the conference (Policies, Section 10.1.5).

- Co-sponsorship requires specific approvals as indicated in General Approvals, Endorsements, & Notifications – Organizational Unit Approval (Policies, Section 10.1.4).

- Technical Co-Sponsorship

  Technical Co-Sponsorship indicates direct and substantial involvement by the IEEE organizational unit solely in the organization of the technical program. The IEEE organizational unit has no financial involvement in the conference. The organization that has financial sponsorship of the conference must be explicitly identified in the supporting documentation and promotional material for technical co-sponsorship to be granted. Technical co-sponsorship requires specific approvals as indicated in General Approvals, Endorsements, & Notifications – Organizational Unit Approval (Policies, Section 10.1.4). The IEEE organizational unit should encourage members to submit papers and attend the conference. The IEEE organizational unit may assist in publicity through the availability of the appropriate IEEE organizational unit mailing lists and on the organizational unit's website. The relationship between sponsoring organizations shall be explicitly defined in terms of a Memorandum of Understanding (MoU) (Policies, Section 10.1.5). Technical co-sponsorship does not guarantee that the papers accepted for presentation at the conference will be eligible for inclusion in the IEEE Conference Publications Program (CPP), which handles post-conference distribution of conference papers in all media. Inclusion in the CPP should be specifically addressed in the MoU regulating the technical co-sponsorship, with the concurrence of the CPP staff. The IEEE name may not be used in the conference title (Policies, Section 10.1.16), but, the IEEE brand/logo and/or IEEE organizational unit brand/logo may be used in conference publications and promotional materials (Policies, Section 10.1.17). The non-IEEE organization provides the IEEE organizational unit with the option of a no cost exhibit booth, exhibit table or other means of promoting IEEE membership and activities during the conference (Policies, Section 10.1.5).

10.1.3 Inter-organizational Unit Roles & Responsibilities

Organizational units can be categorized into two classes, geographic and non-geographic.

- Geographic organizational units, such as Regions, Sections and Chapters, are established to serve all of the technical interests of IEEE members residing within specific geographic areas. In order to do this, geographic organizational units may sponsor conferences of technical interest to the local members.

- Non-geographic organizational units are established to serve interests without regard to geographic boundaries. These interests could be technical, educational, or professional in nature. Examples include Societies/Councils and Educational Activities.

Each organizational unit has a defined field of interest or geographical interest area. It is expected that each organizational unit run conferences within their defined field of interest or geographical interest area. When an organizational unit moves out of their defined geographical area or field of interest, co-sponsorship and cross endorsements are recommended and in some cases required (Policies, Section 10.1.4).

It is the policy of IEEE that organizational units shall cooperate in satisfying the conference needs of the IEEE membership. A sponsoring organizational unit may invite other organizational units to co-sponsor a conference. Organizational units may not force other organizational units to co-sponsor. Organizational units may request a sponsoring organizational unit to include them as a co-sponsor; the requesting organizational unit may not force co-sponsorship.

Unless stated otherwise in a Memorandum of Understanding (MoU), an IEEE organizational unit (OU), which provides financial sponsorship or co-sponsorship to an existing conference, may not be forced to relinquish its sponsorship or co-sponsorship without its agreement or a resolution from a related dispute and conflict resolution process in IEEE, as defined below, if the related parties are IEEE organizational units (OUs). IEEE OUs are encouraged to work together to come to an agreement.

Dispute and Conflict Resolution

Disputes in sponsorship, co-sponsorship, or any other conflict in a conference, where all the related IEEE OUs are part of the same IEEE Major Board, as described in IEEE Bylaw I-303.2, shall be resolved by that Major Board, although the Major Board can refer it to the IEEE Conferences Committee for consideration and resolution. If the dispute is across the Major Boards, the dispute should be referred to the IEEE Conferences Committee for review and resolution. The IEEE Board of Directors has final authority for review and resolution.

10.1.4 General Approvals, Endorsements, & Notifications

There are three types of conference actions that must be sought. They are:

- Organizational unit approvals from all sponsoring IEEE organizational units
- IEEE Conferences, Events & Experiences (CEE) review and approvals
- IEEE Organizational unit cross endorsement

All approvals and endorsements should be obtained at least a year in advance of the proposed conference.

A conference organizing committee member, steering committee member, vendor or other stakeholders may be prohibited from participating in the organization of IEEE events for failing to abide by IEEE Bylaws, IEEE Policies, IEEE Code of Conduct, IEEE Code of Ethics and other governing policies, including publication, financial and audit provisions.

The IEEE Conferences Committee, working closely with related IEEE Major Boards (as described in IEEE Bylaw I-303.2), and ultimately the IEEE Board of Directors have responsibility for review, and approval of all IEEE conferences, including those co-sponsored with non-IEEE organizations.

Organizational Unit Approval

The Conference Organizing Committee is responsible for obtaining IEEE organizational unit sponsorship. Approval from all sponsoring IEEE organizational units is required. Prior to granting financial co-sponsorship or technical co-sponsorship to conferences involving non-IEEE entities, Subsections, Chapters, Geographic Councils, Affinity Groups and Student Organizations shall obtain approval by the Region or Section to which that organizational unit belongs. The sponsoring organizational unit(s) must approve the place, date, and subject matter to be covered for all conferences. Since organizational units are ultimately responsible for the financial accountability of their solely sponsored and co-sponsored conferences, the organizational unit must approve the conference budget prior to its submission to IEEE CEE for approval. Criteria for organizational unit approval shall include sound financial planning, benefit to the membership, absence of conflict with other conferences, assurance of technical content quality, and protection of the IEEE brand.

IEEE CEE Approval

Memorandums of Understanding (MoU): All co-sponsored conferences shall submit a Memorandum of Understanding (MoU) to IEEE CEE for review, final approval, and execution. Following IEEE CEE review and changes, if applicable, authorized representatives of each of the sponsoring IEEE organizational units shall sign the MoU and return it to IEEE CEE for execution.

The MoU review process performed by IEEE CEE shall be handled expeditiously and shall normally be completed within 60 calendar days of submission as defined by the IEEE CEE.

If the compliance recommendations of IEEE CEE are challenged by the OU, then appeals shall be forwarded to the IEEE Conferences Committee for final ruling.

Co-sponsored conferences shall not use the IEEE name or Master Brand in their websites, publications, or promotions before the MoU is executed.

IEEE CEE shall be notified of the place, date and subject matter to be covered for all IEEE conferences. If a conference falls in any of the following three categories, the IEEE Conferences Committee shall be informed if the activity(ies):

- is solely sponsored or co-sponsored by a geographic organizational unit, (e.g., Chapter, Section, Region) where there is the intention of drawing substantial attendance from outside the geographic area of a single Section, or
- contains commercial exhibits, or
- coincides with another organization's conference that requires a security clearance for admission.

All notifications should be made through IEEE CEE. The IEEE sponsoring organizational unit is responsible for the submission of all information requiring approvals.

IEEE CEE shall review notifications of technically co-sponsored conferences to identify issues of noncompliance with IEEE Policies, Section 10.1.3 - Inter-organizational Unit Roles and Responsibilities and shall refer any unresolved conflicts to the IEEE Conferences Committee.

The data from the IEEE Conference Application shall be entered into the IEEE database and used by IEEE CEE to answer requests for conference information and will be included in the IEEE Conference Search, Call for Papers Search, Collabratec and other promotional activities, as authorized by IEEE CEE.

Budgets

All IEEE financially sponsored or co-sponsored conferences shall submit a conference budget to IEEE CEE for approval. Written confirmation of sponsoring organizational unit's budget approval must be included with the detailed budget (IEEE Policies, Section 10.1.6). It is recommended that budgets be submitted to IEEE CEE and sponsoring organizational unit(s) at least one year in advance of the conference unless the nature of the conference precludes this. Sponsoring organizational units may set earlier deadlines in order to align with their budget cycles. Conferences shall receive approval on their budgets in advance of incurring any financial liabilities. Exceptions to this may be granted by the IEEE sponsoring organizational unit(s) and conveyed in writing to IEEE CEE.

Cross Endorsements

Cross endorsement is the endorsement from one organizational unit for another organizational unit's conference. Cross endorsement typically occurs between geographic and non-geographic organizational units. It is recommended cross endorsement be sought from the Section, when a conference is being held in the geographic area of the Section if the conference is sponsored by another IEEE geographic or non-geographic organizational unit. It is recommended cross endorsement be sought from the non-geographic organizational unit (Society, EAB, IEEE-USA, and SA), when another geographic or non-geographic organizational unit is holding a conference in its field of interest. Cross endorsement is expected to be timely and should be requested during the planning stages of the conference.

10.1.5 Memorandum of Understanding (MoU)

A Memorandum of Understanding (MoU), sets forth the relationship and obligations of the involved parties. A MoU is required when two or more organizational units agree to provide co-sponsorship or technical co-sponsorship to a conference. These organizational units may be all IEEE organizational units or IEEE and non-IEEE organizations as indicated in Policies, Section 10.1.2. Authorization to approve a MoU shall reside with the appropriate approving organizational unit as indicated in General Approvals, Endorsements, & Notifications – Organizational Unit Approval (Policies, Section 10.1.4).

Applications for co-sponsorship or technical co-sponsorship shall be submitted using the application form available on the IEEE website. Each MoU shall be negotiated and finalized to include the terms and conditions set forth in the application form, including the following:

- Financial sponsorship and responsibilities of each organizational unit. These arrangements are needed for both liability and surplus distribution purposes (Policies, Section 10.1.9 and 10.1.28).

- Ownership of the Intellectual Property associated with a conference. This includes use of the conference name, slogan, copyright for publications, and/or logo ownership.

- A clause specifying whether the conference proceedings will be included in IEEE Conference Publications Program (CPP), which includes posting of the proceedings in IEEE's electronic database of articles (Policies, Section 10.1.28.

- Provisions for dissolving the relationship.
- Compliance with IEEE and other non-IEEE organization policies.
- Assignment of conference management and other administrative responsibilities to the appropriate organizational units.
- General conference management accountabilities such as assignment of chairs, organizational unit chairs for Conference Organizing Committees, steering committee obligations, location of the conferences, associated exhibitions, etc.
- How the IEEE organizational unit will be directly and substantially involved in the technical program.
- The technical paper review process, including a clear identification of the level of paper review, if the conference proceedings will be included in the IEEE Conference Publications Program (CPP).
- Provisions ensuring the non-IEEE organization supplies the IEEE organizational unit with an option to promote IEEE membership and activities at no cost during the conference. If the conference has an associated exhibition, the IEEE shall be provided with the option of having an exhibit booth. If the conference does not include an associated exhibition, the IEEE shall be provided with the option of having an exhibit table or other means of promoting the IEEE.

When a conference is sponsored jointly with another non-IEEE organization, the IEEE organizational unit shall assure that the IEEE financial responsibility is limited to the IEEE organizational unit's financial capabilities and does not extend to IEEE's corporate resources.

For disputes and issues not covered in an MoU or in the absence of an MoU, they should be referred to the IEEE Conferences Committee and should be handled as referenced in Section 10.1.3, Dispute and Conflict Resolution.

10.1.6 Conference Budgets

The detailed conference budget should provide all needed financial information, indicate clearly the extent of participation of each organizational unit, and be consistent with analysis of the attendance and financial results of any preceding conference on the same subject. Conference Chairs shall submit budgets to the sponsoring organizational unit as far in advance as is feasible, but at least in time for the sponsoring organizational unit to meet the requirements of IEEE Policies, Section 10.1.4. It is recommended that budgets be reviewed every six months and updated if needed to reflect any conference planning aspects that may have changed.

All requests for budget approval shall be accompanied by written approval of the IEEE sponsoring organizational units. In addition the request should state whether cross endorsement has been sought (Policies, Section 10.1.4).

All conference budgets submitted for approval should be set to generate a minimum surplus of 20% over projected expenses.

During the course of the conference planning, if substantial financial changes are made to the originally submitted budgets, a revised budget should be resubmitted for further approvals to the appropriate organizational unit and IEEE CEE. Failure to submit a budget or failure to identify any circumstances affecting the advisability of proceeding with a conference may result in action from the IEEE Conferences Committee, the Technical Activities Board and or the IEEE Board of Directors or their designee. The IEEE Board of Directors or their designee reserves its right to modify the terms of or in extraordinary cases to cancel approval of the conference.

Budgets for ancillary conferences, Short Courses or Expositions held either directly following or preceding a conference can be included within the main conference budget. However, income and expenses from these activities should be clearly identified.

The use of conference funds for the purpose of hosting visitors requiring intercontinental travel is a legitimate conference expense if approved by the Conference Organizing Committee. Such support, including travel expenses, should be included in the budget. When such a budget item is requested, the chair of the conference should establish a committee specifically charged with the responsibility of acting as host to these visitors.

It is the general policy of the IEEE that no member of a Conference Board/Committee or his/her immediate family shall receive monetary payment for services. This does not include awards or other honoraria that may be granted under IEEE Awards provisions as defined in IEEE Policies, Section 4.0. Immediate family is defined as spouse, domestic partner, brother, sister, children, mother, father, and in-laws.

Audit fees shall be incorporated in the conference budgets and displayed as a separate line item.

10.1.7 Conference Advances

Conference advances may be requested from the sole sponsor and co-sponsoring IEEE organizational units. The sole sponsor and co-sponsoring organizational units may issue advances to their conferences anytime during its life cycle. Conferences are not allowed to transfer advances issued by IEEE from one years' conference to the next. All conference advances are to be repaid prior to the closure of a conference as described in IEEE Policies, Section 10.1.11 unless requested sooner by the financial sponsor. Any advances, which might be requested from the IEEE corporate resources for the purpose of conferences, if they are approved, will be made to the sponsoring organizational units and not directly to the conference.

10.1.8 Conference Bank Account Signatures

All IEEE Conference Bank Accounts provide for the signatures of at least two volunteers and the IEEE Senior Director-Financial Services or designee(s), except as shall be required under local government regulations. This will provide assurance to the conference and to IEEE of the availability of alternative signatures, if the need arises (Reference IEEE Finance Operations Manual).

Conference Organizing Committees are not allowed to keep bank accounts open from one year's event to the next. Conference Boards (or Steering Committees) may not open nor maintain bank accounts. Guidelines for closing accounts are in the IEEE Meetings and Conferences (CEE) Operations Manual.

Bank Accounts must be closed six months after the Conference is held. Closing bank statement(s) must be submitted to IEEE CEE with the final financial report (Policies, Section 10.1.11). Surplus will be transferred as per Policies, Section 10.1.9.

A Conference Board/Steering Committee is defined as a continuing organizational unit established by the OU Sponsors to act on their behalf for the sole purpose of managing a specific continuing conference series from year to year to assure consistency and quality. A Conference Organizing Committee is defined as the body of volunteers assembled for the purpose of managing a specific occurrence of a given conference.

For co-sponsored conferences, where a non-IEEE sponsor (1) records the conference's financial transactions in its general ledger (2) receives and disburses funds in and from its main bank account, and (3) has a greater than 50% financial responsibility in the conference, the requirements for IEEE signatures on the bank account as well as closing the bank account six months after the conference are not applicable. A Memorandum of Understanding for agents is required and can be obtained from IEEE CEE.

10.1.9 Distribution of Surplus and Deficits

The distribution of any surplus or the allocation of any deficit resulting from a conference will be apportioned to the sole sponsor or co-sponsoring organizational units of a conference. Surplus is to be distributed within 6 months of the conference. Conferences may not transfer funds from one year to the next year's conference.

For solely sponsored conferences, the IEEE organizational unit assumes the entire risk of deficit, i.e., if a deficit is incurred in the operation of a conference, that deficit is chargeable against the sponsoring IEEE organizational unit. Conversely, if a surplus results from the conference, the surplus will be credited to the sole sponsoring IEEE organizational unit (IEEE Finance Operations Manual).

For co-sponsored conferences, the Memorandum of Understanding (MoU) (Policies, Section 10.1.5) defines the extent of financial involvement of each organizational unit. Deficit and/or surplus will be applied according to this agreement.

10.1.10 Auditing of Conference Finances

Co-sponsored conferences, where IEEE has a 50% or less financial responsibility shall be encouraged to participate in the audit process.

Conferences where IEEE has greater than a 50% financial responsibility, including conferences that are solely IEEE sponsored, and where the actual income or expense is USD 250,000 or more must be audited by a fully qualified, independent professional auditor. The audit shall be performed by a Certified Public Accountant, Chartered Accountant, or equivalent source approved by the IEEE Internal Audit Department. Alternatively, the Conference Chair may engage the IEEE Internal Audit Department to arrange for and/or perform the audit. The selection of such auditors shall avoid any conflict of interest with members of the Conference Organizing Committee.

Conferences where IEEE has greater than 50% financial responsibility, including conferences that are solely IEEE sponsored, and where the actual income or expense is less than USD 250,000 may be selected for audit by IEEE's Internal Audit Department. Internal Audit will schedule and arrange for the

audits of these conferences. For those conferences not selected for audit in a given year, an audit should be conducted by a committee composed of individuals who have no direct or indirect responsibility for the financial transactions of the conference.

All conferences may be subject to review from IEEE's auditors. All conference organizers must be prepared to submit support for all conference receipts and disbursements at the request of the auditor at any time in the conference lifecycle.

10.1.11 Conference Closings

All IEEE solely sponsored and co-sponsored conferences must within twelve months of the conference date (IEEE Policies, Section 10.1.4):

- close their bank accounts, (IEEE Policies, Section 10.1.8)
- distribute their surplus, (IEEE Policies, Section 10.1.9)
- repay advances, (IEEE Policies, Section 10.1.7)
- complete the detailed final financial reports,
- submit conference registration data (in compliance with IEEE Policies, Section 12.9 and Section 14.1)
- complete the audit, if required. (IEEE Policies, Section 10.1.10)

All documentation must be reviewed and approved by the sole sponsor or co-sponsoring organizational units and IEEE Conferences, Events & Experiences (CEE). IEEE CEE will provide a mechanism (in compliance with IEEE Policies, Sections 12.9 and 14.1) to submit the information above and officially close the conference, once all information has been received.

10.1.12 Conference Chairs and Other Roles in Conferences

The conference chair of a solely sponsored IEEE conference should be a member of IEEE. The conference chair of a co-sponsored conference where all organizational units are IEEE should also be a member of IEEE. Qualified individuals who are not members of IEEE may serve as sub-chairs or consultants to the Conference.

In conferences for which IEEE is a co-sponsor with a non-IEEE organization, Conference Chairs should be members of either IEEE or the co-sponsoring entity. Exceptions to this may be made only with the consent of all sponsoring entities. Based on the Memorandum of Understanding (MoU), the Chairs may rotate between sponsoring entities.

Conference organizers must obtain and document consent of those who will serve in any conference roles (e.g., conference chair, technical program chair, track chair, session chair, committee member, plenary speaker, honorary chair), prior to that information being published.

10.1.13 Technical Program Committee

The Technical Program Committee (TPC) shall be responsible for selecting contributed presentations and establishing a technical program at conferences with technical content. The TPC shall collectively have the subject matter expertise that spans the technical scope of the conference and the technical contributions that it accepts. The TPC handles all matters related to setting up and executing a conference's technical program, including call-for-papers, paper or abstract submission, review and selection, presentations at the conference, conference quality (including conference publication quality). A conference's TPC shall have the knowledge to handle invited presentations and fit them appropriately in the technical program.

10.1.14 Confidentiality

IEEE policy requires that conferences maintain confidentially in handling submitted papers. Therefore, a Conference Organizing Committee should treat the contents of submitted papers/abstracts as privileged information and should not disclose this information to others not involved in the review process prior to the presentation or publication. The Conference Organizing Committee shall ensure that referees are aware of this policy. It is expected that anyone with access to a paper under review will not make inappropriate use of the special knowledge which that access provides.

10.1.15 IEEE Member Participation

All IEEE members, regardless of grade or any similar consideration, shall be admitted (upon payment of appropriate registration fees, if any) to any and all for conferences and any associated events of which IEEE is a sole sponsor or co-sponsor. Space limitations may require a policy of first come, first serve. IEEE will not act as a sole sponsor or co-sponsor for any assemblage in which participation is subject to security/export clearance or any other restriction of either governmental or industrial nature.

10.1.16 Registration Fee Requirements

IEEE solely sponsored and co-sponsored conferences, must have a member/non-member individual registration fee differential, whether paid in advance or at the door. The amount of the differential shall be at least 20% above the IEEE member fee, the exact amount being set by each Conference Organizing Committee. Conferences may establish a registration fee lower than the IEEE member fee for sponsoring organizational unit members.

Conferences where IEEE is the sole sponsor must have a reduced fee, waiver of fees, or fee differential for Student members and Life Members. Reduced fees, waiver of fees, or fee differential for unemployed IEEE members, retired members, and for special registrants (e.g., guests, speakers, and exhibitors) are permitted at the discretion of the Conference Organizing Committee. The individual registration fee for Life Members must be no more than that for Students.

At the discretion of the Conference Organizing Committee, the IEEE member registration rates may apply to members of non-IEEE co-sponsoring, cooperating organizations, or sister societies.

10.1.17 Naming of IEEE Conferences

The following policies shall apply to the use of the term “IEEE” in the names of conferences:

The term “IEEE” shall be used in the names of sole sponsored and co-sponsored conferences where IEEE is at least a 50% financial sponsor (in total for all IEEE co-sponsors).

The use of the term “IEEE” in the names of co-sponsored conferences in which IEEE is less than a 50% but at least a 25% financial sponsor (in total for all IEEE co-sponsors) is recommended but not required.

The term “IEEE” shall not be used in the names of co-sponsored conferences in which IEEE is less than a 25% financial sponsor (in total for all IEEE co-sponsors). This includes conferences in which IEEE is only a technical co-sponsor or is not a sponsor in any form.

Exceptions to the above can only be granted by approval of IEEE Conferences, Events & Experiences (CEE).

The following additional policies apply to the naming of all sole sponsored and co-sponsored conferences where all sponsoring entities belong to IEEE. They do not apply to conferences that are co-sponsored with a non-IEEE organizational unit or technical co-sponsorship conferences. The additional policies are:

Inasmuch as the IEEE is, by its Constitution, a transnational society, and inasmuch as conferences are held under IEEE sponsorship in many countries, the adjective "national" shall not be used in the name of an IEEE sponsored conference.

A conference may use the word "international" in its title if the conference reflects a significant degree of international character. This should require a reasonable expectation that the technical program will include a significant number of papers from authors representing at least three countries. It is also required that the conference Technical Program Committee have a similar demographics in its roster.

Uniform, internationally-accepted, review procedures shall be adopted, and the acceptance of papers shall be based only on their quality and suitability for the conference, and independent of the race, religion, sex and nationality of the author(s).

The name of a conference shall be used in all publicity programs, and related material pertaining to the conference.

If a conference is part of a series, the year must be included as the first item in the title, followed by IEEE, and finally followed by the specific conference name. Consistency in naming is essential for reference and publications.

10.1.18 Use of the IEEE Logo

Solely Sponsored conferences must have the IEEE logo on all promotional material and publications along with the organizational unit logo(s).

Co-Sponsored conferences, where all involved entities are IEEE, must use the IEEE logo on all promotional material and publications along with the organizational unit logo(s).

Co-Sponsored conferences, where at least one organizational unit is non-IEEE, are encouraged to use the IEEE logo on all promotional material and publications along with the organizational unit logo(s).

Technical Co-Sponsorship conferences are allowed to use the IEEE logo on promotional material and publications, along with the entity logo(s) but shall not use the name "IEEE" in the title of the conference.

Guidelines for Use of the IEEE Logo and Logotype "IEEE" can be found in Policies, Section 6.3.2 and 12.1 and on the IEEE website, www.ieee.org/about/toolkit/index.html.

10.1.19 Contracting

Conferences will require contracts for various services. These services include but are not limited to hotel services, publication services, technology services, registration services and conference management services.

Contracts shall be reviewed and approved as described in the IEEE Finance Operations Manual.

It is the policy of the IEEE that no member of a Conference Board/Committee shall have a conflict of interest (IEEE Policies, Section 9.9) relative to the awarding of contracts for a conference. In signing a contract, competitive bidding procedures shall be used whenever practical. If competitive bidding is not used, the Conference Chair shall be prepared to provide justification upon request.

10.1.20 Conference Insurance

Conferences are responsible for obtaining needed insurance coverage for the conference and associated events. IEEE can provide such coverage as stipulated in the IEEE Finance Operations Manual.

10.1.21 Conference Publications

Conferences typically produce proceedings that are provided at the conference to attendees and/or are available for sale after the conference. Ownership of these publications is determined by copyright.

All conferences that intend to have their proceedings published in IEEE *Xplore* shall have a peer review policy that is consistent with the process defined in the PSPB Operations Manual. Title, format and content shall conform to procedures which shall be specified in the PSPB Operations Manual.

Post conference distribution of these publications may be handled by the IEEE Conference Publications Program (CPP), which facilitates inclusion in the portfolio of IEEE electronic dissemination products. Participation in this program requires the completion of the IEEE Conference Publication Form, which should be submitted to IEEE Conferences, Events & Experiences (CEE). This form allows the proceedings to be considered for post-conference distribution through the CPP. IEEE sponsoring organizational units

makes the initial decision on participation and terms, with the concurrence of the CPP. Participation in CPP also requires compliance with the peer review policy detailed in the PSPB Operations Manual.

10.1.22 IEEE Services and Publicity

IEEE solely sponsored/co-sponsored conferences are entitled to IEEE services at the not-for-profit rate, i.e., printing and mailing services at the not-for-profit rate. IEEE solely sponsored/co-sponsored conferences are encouraged to advertise in publications. Some limitations based on space may be enforced. Sponsoring organizational unit approval is required before the advertisement is submitted.

10.1.23 Tax Liability Resulting from Sales and Order Handling in Conjunction with Conference Exhibits

Conferences are responsible for ascertaining and complying with any tax liabilities associated with the sales and ordering of items at a conference.

The IEEE is a not-for-profit organization, incorporated in New York State, USA. IEEE holds conferences and meetings throughout the world and the legal and tax requirements can vary greatly for each site. In the United States, the IEEE is exempt from paying income taxes and is also exempt from paying sales taxes on purchases in some states. Some states require sales taxes to be collected on-site for conference sales of books and other items. Order taking can be done without consideration of sales taxes. Outside of the US, there are other transaction taxes that may be required to be collected by conferences for on-site sales, such as Value Added Tax (VAT) and the Goods & Services Tax (GST) in Canada. It may be required to collect transaction tax on registration fees. There are also exemptions from paying transaction tax and the rules are unique by country. In most countries, but not all, the IEEE is exempt from paying income taxes. Because the laws and requirements of each country, state and province vary and to be able to exercise fiduciary duty, it is of great importance that each conference contact the IEEE Corporate Compliance and Tax Administration Office tax-staff@IEEE.org to find out the specific legal and tax requirements to operate at their site. This must be done very early in the planning stages of the conference, if planned properly, some tax savings may result.

10.1.24 Financial Support from Industry

Financial support by industry of IEEE meetings and events shall be encouraged and shall be structured to the extent possible such that the financial support is received tax-free by IEEE.

10.1.25 Job Recruiting at Conferences

Each conference shall have a publicly stated policy concerning recruiting prior to any recruiting being permitted. The policy should address when and where during the event recruiting is allowed, to which group of attendees (Students, unemployed, …, all) it may be directed, what manner of outreach used by recruiting entities is allowed and other factors deemed important by the conference organizers. This policy is not intended to encourage or discourage recruiting but leave that decision to the conference and its sponsors.

10.1.26 Participation Limitations for IEEE-Sponsored Events

A. Audio, Video Recording and Photography.

Audio, video recording and photography are normally considered permissible at open sessions of IEEE conferences. However, at technical conferences, restrictions may be applied by the sponsoring organizational unit on the use of such equipment, e.g., where they may impede free discussion, where they compromise commercial value, or where they are disruptive.

Such restrictions should be clearly identified, in advance, to sponsoring organizational units and attendees.

B. Participation in Security Meetings.

In the event that another organization sponsors an assemblage requiring government security or export clearance, at times and places related to an IEEE sponsored or co-sponsored conference, there may be, for the convenience of the attending IEEE members, cooperation between the IEEE Conference Organizing Committee and the other organization as follows:

- The IEEE conference announcement and technical programs may contain information relating to the assemblage requiring security or export clearance. Such publicity must indicate that this is a separate activity; identify the sponsor of the assemblage; and state that the information is provided for the convenience of IEEE members. Such publicity must indicate that the sponsor of the assemblage requires attendees to register at the IEEE conference.

- The attendance criteria or security requirements for admission to the assemblage shall be the responsibility of the sponsor of that activity. All correspondence and registration arrangements for such an assemblage must be directed to the organization responsible for the security of that activity.

- Transportation arrangements for an assemblage requiring security or export clearance must be the responsibility of the sponsor of that activity.

- IEEE must not be involved with the cost or liability of providing secure conference rooms, security guards, or other operating costs associated with assemblages requiring government security or export clearance.

- IEEE must not be involved with the publishing, the cost of publishing, or maintenance of security or export-controlled publications. Unclassified or uncontrolled abstracts of papers presented at assemblages requiring government security or export control may be published in the IEEE conference program or record. It is the responsibility of the principal author to obtain the required clearances. IEEE will support authors in efforts to maintain cleared status of their publications.

C. Invitational Conferences.

The IEEE recognizes the scientific and educational value of small non-geographic research conferences or workshops of limited attendance, at which an interchange of information takes place among workers at the forefront of a specialized area. Such conferences are consonant with IEEE objectives and constitute a proper IEEE activity, provided:

- The conference is announced well in advance through appropriate IEEE channels of communication to those IEEE members who, by reason of their Society or Committee membership, might be potential contributors. Such announcement may indicate that active participation is expected of all attendees and that invitation requires submission of evidence of activity in the field and willingness to contribute.

- Invitations are issued to all who, in the judgment of the conference organizers, are willing and able to make worthwhile contributions. Those not invited must be admitted if they indicate by a specific date that they wish to attend, subject to any space constraints that are unilaterally applied.

- The conference establishes and announces in advance, to the conference attendees, any special ground rules, such as those with respect to reporting and publishing any of the discussions at the conference. Any such special ground rules must be included in the invitation to the conference.

10.1.27 Conference Diversity and Inclusion

An IEEE sponsored conference should promote and practice diversity and inclusion in its organization and execution, per the IEEE Collaboration and Engagement Statement IEEE Policy 9.8. The related areas include but are not limited to technical programs, expositions, composition of conference committees, key positions in the conference committees, plenary and invited speakers, and panelists.

10.1.28 Summary of Requirements for Solely Sponsored/Co-Sponsored Conferences

During the course of the conference preparation, implementation and closing, IEEE members will be involved in preparing the conference budget, monitoring the financial affairs, managing hotel logistics, managing the technical conference program, preparing the final financial report, arranging for a professional audit, etc. Below is a quick reference summary of the items relating to the management of a conference:

- Seek organizational unit and other approvals.

- Seek needed cross endorsements.

- Define a Memorandum of Understanding (MoU) amongst participating organizational units, for co-sponsored conferences (Policies, Section 10.1.5).

- Seek needed budget approvals (Policies, Section 10.1.6).

- The IEEE Conference Application and other supporting conference information must be submitted to IEEE Conferences, Events & Experiences (CEE) for use in the IEEE database, which facilitates the online distribution of conference information and for archival purposes.

- Use the IEEE Logo as defined in Policies, Section 10.1.18.

- Assure proper conference naming, as indicated in Policies, Section 10.1.17.

- Submit the IEEE Conference Publication Form to IEEE CEE (Policies, Section 10.1.21).

- Submit IEEE Conference Insurance form with or prior to submitting the budget to IEEE CEE (IEEE Finance Operations Manual).

- Open conference bank accounts under the stipulations in Policies, Section 10.1.8.

- Request Loans from sponsoring organizational units, assuring their repayment within 30 calendar days of the conference date (Policies, Section 10.1.7).

- Manage technical/professional aspects of the conference such as planning the scope of the program, organize panel discussions, invite special speakers, review and select contributed papers, assure hotel logistics, etc.

- Arrange for any needed services.

- Arrange for publicity and advertisements.

- Complete Surplus distribution when closing the conference bank account (Policies, Section 10.1.8 and 10.1.9).

- Submit Final financial reports within six months of the conference to sponsoring organizational unit and to IEEE CEE (Policies, Section 10.1.11).

- Arrange for the implementation of a Professional audit, submitting results to IEEE CEE (Policies, Section 10.1.10).

10.1.29 Summary of Requirements for Technical Co-Sponsored Conferences

Since involvement in technical co-sponsored sponsorship conferences is more limited than that of sponsored and co-sponsored conferences, the involved IEEE organizational unit may wish to negotiate a variety of issues with the sponsoring organization, including registration fees for IEEE Members, and other issues that benefit the Conference and the future interaction with the sponsoring organization. Below is a checklist of items for a technical co-sponsorship conferences:

- Define a Memorandum of Understanding (MoU) amongst participating organizational units (Policies, Section 10.1.5). The MoU shall include a clause specifying whether the conference proceedings will be included in IEEE Conference Publications Program (CPP), which includes posting of the proceedings in IEEE's database of articles. Inclusion in the CPP adds value to the conference. Therefore, the IEEE Organizational Unit providing technical co-sponsorship with the event may

assess a fee to the conference organizations, or negotiate an agreement that will bring financial benefit to IEEE in some other form, for inclusion of the conference proceedings in the IEEE CPP.

- The IEEE Conference Application and other supporting conference information must be submitted to IEEE Conferences, Events & Experiences (CEE) for use in the IEEE database, which facilitates the online distribution of conference information, and for archival purposes.

- If the conference proceedings are to be included in the Conference Publication Program, the IEEE Conference Publication Form shall be submitted to IEEE CEE (Policies, Section 10.1.21).

- Technical co-sponsorship conferences cannot use the IEEE name in the title (Policies, Section 10.1.17).

- Use the IEEE Logo as defined in Policies, Section 10.1.18

SECTION 11 – IEEE FINANCIAL MATTERS

Introduction

The following IEEE policies have been established to ensure volunteers and staff have a clear understanding of and shall carry out their responsibilities regarding the functions and administration of the financial aspects of the IEEE. Specific procedures, when they exist for implementation of these policies, shall be set forth in the IEEE Finance Operations Manual and the IEEE Investment Operations Manual. These manuals, initially approved by the IEEE Board of Directors, shall be developed and maintained by the IEEE Finance Committee with input of various Committees of IEEE. With respect to these manuals, all changes implemented by the IEEE Finance Committee will be shared with the IEEE Board members prior to implementation. Operational policies and procedures of the respective IEEE Organizational Units shall not conflict with these policies.

With respect to these policies, wherever a staff function is identified, such activities shall be performed by staff designated and authorized by the IEEE Executive Director. Additionally, for purposes of these policies IEEE Organizational Units include, but are not limited to, IEEE Societies, IEEE Geographic Units, and Conferences.

11.1 Financial Stability

Operational stability is critical to achieving IEEE's mission. IEEE's financial stability is a consequence of responsible spending, investments in technological and operational advancements, and a sustained focus on developing human capital, accompanied by sound internal controls, resulting in IEEE's sustained relevance and growth. IEEE's commitment to prudence ensures short-term and long-term viability.

A. Internal Control. It is the IEEE policy to maintain sound internal control. As part of their oversight responsibilities, specific staff and the external auditors evaluate the system of internal controls of the IEEE and recommend changes to IEEE Management and or the Audit Committee who in turn recommend changes to the IEEE Board of Directors, as appropriate.

B. Reasonable and Prudent Operations. It is IEEE policy to operate reasonably and prudently. The standard by which all aspects of operations of a not-for-profit organization are tested is reasonableness and prudence.

C. Financial Outlook. To be committed to its goals, IEEE shall take an approach that looks beyond specific calendar dates and always recognizes both historical context and the planned direction with a distinct emphasis on the future. The strategic planning process, budget process, and actual financial performance shall provide the framework for making decisions important to the vitality of the IEEE.

D. Risk Management. IEEE recognizes that the proper management of risk is a core leadership function that must be practiced throughout IEEE. Enterprise risk management (ERM) is defined as a process that enables the enterprise to visualize, assess, and manage significant risks that may adversely impact the attainment of key organizational objectives. Therefore, an ERM methodology shall be specified for IEEE risk management, and it is the responsibility of IEEE staff and volunteer leaders to identify, assess, and manage risks using the ERM process. The Audit Committee shall oversee IEEE's risk management.

11.2 Annual and Interim Reporting Requirements

A. Audited Financial Statements. Audited IEEE Financial Statements will be made available to the public annually.

B. Annual Budget. Using a process established by the IEEE Finance Committee, an annual budget shall be prepared for the ensuing year, subject to the approval of the Board of Directors.

C. Forecasts. All IEEE Major Boards, Committees identified in IEEE Bylaw I-304.1, and departments shall submit forecasts as scheduled by the IEEE Finance Committee. Sub-unit forecasts are consolidated by their Major Board in accordance with the process established by IEEE FinCom and endorsed by the Board of Directors. These forecasts shall be used to identify opportunities and risks to achieving the budgeted financial goals.

D. Investment Reporting. Reports on investments in the IEEE Investment Fund shall be provided to the appropriate IEEE Organizational Units in a format and on a schedule approved by the IEEE Finance Committee.

E. IEEE Reporting. All IEEE organizational units that have cognizance of IEEE assets of any kind shall report annually the kind, amount, and location of such assets held at the close of the IEEE's fiscal year and the legal name under which the assets are carried. IEEE organizational units sharing a financial interest with an outside organization shall identify the basis of sharing and the monetary value of IEEE's partial interest at the end of the fiscal year.

1. Use of Funds; Required Audits.

a) All IEEE Organizational Units shall have the right to obligate their budgeted funds for all purposes necessary to promote their approved objectives. No IEEE Organizational Unit, nor any representative thereof, shall have authority to contract debts for, pledge the credit of, or in any way bind the IEEE with respect to any matter or activity not approved by the IEEE Board of Directors or its designee.

If any IEEE organizational unit shares a financial interest with an outside organization, the organizational unit shall maintain an up-to-date record with IEEE Headquarters identifying the outside organization(s) and the basis of sharing.

Procedures related to procurement and contract negotiation, approval, and execution shall be contained in the IEEE Finance Operations Manual.

b) All assets are the sole property of IEEE. IEEE funds may be used only for IEEE educational and scientific purposes. Examples of unacceptable uses are found in the IEEE Finance Operations Manual.

c) All IEEE sponsored activities conducted by any IEEE Organizational Unit, which individually or collectively generates revenue or expense in excess of an amount specified in the IEEE Finance Operations Manual, shall be audited by a fully qualified, independent, professional auditor. The audit shall be performed by a Certified Public Accountant, Chartered Accountant, or equivalent source approved by the IEEE Internal Audit Department. Alternatively, the activity chair may engage the IEEE Internal Audit

Department to arrange for and/or perform the audit. Activities involving less than the amount specified may be audited.

Joint conferences sponsored and conducted by IEEE and non-IEEE entities, as defined in the IEEE Policies, Section 10, are required to be audited if the IEEE is the primary (lead) sponsor. The primary lead sponsor shall be determined in the Memorandum of Understanding (MoU) for the conference.

2. Acceptance of Contributions. IEEE Organizational Units may accept contributions on behalf of IEEE, and such contributions shall be the sole property of IEEE. Contributions in excess of an amount specified in the IEEE Finance Operations Manual must be reported to the appropriate IEEE staff to facilitate the preparation of appropriate tax reporting documentation and acknowledgements.

3. Contributions from IEEE.

   a) Direct or indirect contributions of IEEE funds by any IEEE Organizational Units to any organization or individual may only be made with prior permission of the IEEE Board of Directors.

   b) Approval of contributions under an amount which shall be specified in the IEEE Finance Operations Manual may be delegated by the IEEE Board of Directors to the appropriate Vice President or Major Board President. Also see IEEE Policies, Section 11.8 – IEEE Contributions to Disaster Relief Policy.

11.3 Asset/Liability Management

Adherence to the policies in this section regarding Asset/Liability Management shall apply equally throughout the entire world, except where local laws and regulations prohibit compliance. Compliance outside the United States shall be to the maximum extent possible.

A. Asset Management. Uses of IEEE funds shall comply with the following policies.

1. Investments. IEEE funds may be invested only in the IEEE Investment Fund.

   The primary objective of IEEE's investment policy shall be the protection of IEEE's (inflation adjusted) assets. In a manner consistent with the primary objective, the secondary objective shall be to maximize the total return on the IEEE Investment Fund's assets.

   Investment portfolios for which IEEE is responsible shall be separated into an Operational Cash Fund, a Long-Term Investment Fund and a Defined Benefit Plan. The Operational Cash Fund shall provide for the cash needs of the IEEE, as determined each year based on projected cash flows plus a contingency. The Operational Cash Fund shall be invested only in secure short-term instruments focused on preservation and availability of the cash. The Long-Term Investment Fund shall be well diversified and invested in a conservative fashion to satisfy the primary objective of protection of assets while providing growth over the long term through total return. The Defined Benefit Plan, while not an IEEE Investment asset does impact the net income of the IEEE due to changes in market value and the impact upon the benefit liability.

Investment Business Continuity Plan. If at the close of the business week in New York, New York, there is a 15% or greater investment loss in the value of the Long Term Investment Fund from the highest level reached in the previous thirty six month-end period, adjusted for net investments or net withdrawals over such period, then the Finance Committee and the Investment Committee, along with the IEEE President, Treasurer, appropriate staff, and other key participants designated by the President shall hold an emergency meeting to review whether the decline in the value of such assets has major negative implications for the IEEE's near term (one to three years) business operations. Discussion topics shall include, but not be limited to, (1) whether the level of the Operational Cash Fund is sufficient for any changed business or investment conditions affecting the IEEE, (2) whether the IEEE's short-term investments, including the assets in the Operational Cash Fund, are liquid and reasonably accessible, and (3) whether IEEE's investment assets should continue to be invested in a manner consistent with the most recently approved investment decisions.

If a decline in the value of IEEE's investment assets because of deterioration in the investment and financial markets exceeds the 25% range from the highest amount reached in the previous thirty six month-end period, then the IEEE President, IEEE Treasurer, and Chair of the Investment Committee shall call a meeting of the Investment Business Continuity Plan Advisory Committee (IBCPAC). The IBCPAC shall meet only when the financial situation as described has occurred. Members of the IBCPAC shall include the IEEE President, who shall be Chair, IEEE President-Elect, IEEE Past President, IEEE Treasurer, and all IEEE Directors then currently serving as members of the Investment Committee and the IEEE Past Treasurer.

Any recommendations by the IBCPAC shall be reported to the IEEE Board of Directors within 24 hours of the meeting. When warranted a special meeting of the IEEE Board of Directors may be called in accordance with IEEE Bylaw I-301.5.

The IEEE Treasurer and the Chair of the Investment Committee may invite members of the Finance Committee and the Investment Committee to participate at these IBCP meetings. Further meetings of the IBCPAC during any one-year period shall not be required unless the investment assets further decline in value by an increment of 10% since the last IBCP-triggered meeting, but a meeting may be called at any time at the discretion of the IEEE President, or IEEE Treasurer.

2. Banking. To the maximum extent possible IEEE Geographic Units and IEEE Conferences are encouraged to participate in the IEEE Concentration Banking Program which shall be defined in the IEEE Finance Operations Manual. All other IEEE organizational units shall conduct their banking through central IEEE treasury processes.

3. Bank Account Signatures. All IEEE Geographic Units and Conference bank accounts must have the IEEE Senior Director, Financial Services as a signator thereon. Procedures for handling bank account signatures shall be maintained in the IEEE Finance Operations Manual.

4. Capital Expenditures Policy. Procedures for the lease, purchase and disposition of capital assets, including furniture, real property and other property shall be set forth in the IEEE Finance Operations Manual. No IEEE Geographic Unit, conference or other organizational unit of the IEEE shall lease or purchase real property without the advance approval of the IEEE Board of Directors, which may be given either on the basis of a specific proposal or by inclusion in the approved annual budget.

B. Accounting Method. Accounting methods shall be specified in the IEEE Finance Operations Manual.

11.4 Expenditure of Unrestricted Net Assets

IEEE Unrestricted Net Assets are defined as the total unrestricted accumulated surpluses of all IEEE Organizational Units and are available for general use. IEEE Restricted Net Assets are defined as assets with restrictions on their use, often from donors. The IEEE Board of Directors has fiduciary responsibility for, and the right to direct and control, all IEEE Net Assets.

A. Stewardship of IEEE Unrestricted Net Assets. An IEEE Organizational Unit may have stewardship for a portion of IEEE Unrestricted Net Assets, to the extent determined by the Board of Directors.

B. Investment Returns from IEEE Unrestricted Net Assets. Investment returns from Unrestricted Net Assets may be allocated by the IEEE Board of Directors to the IEEE Organizational Units with stewardship of unrestricted net assets.

C. Recommended Levels for IEEE Net Assets. It is the policy of IEEE to maintain a long term financial position that will allow it to meet its mission, strategic goals, and objectives.

11.5 Insurance Coverage

It is IEEE policy to maintain property and liability insurance coverage to protect the IEEE, its organizational units, employees, volunteers, and subsidiary entities against risks arising from IEEE business operations.

11.6 Business Expense Reporting

Travel Policy and Funds. It is IEEE policy to provide for, or reimburse, reasonable authorized travel expenses incurred in connection with the conduct of IEEE business. All persons traveling on IEEE business for whom IEEE pays or reimburses transportation expenses shall travel economically by booking economy class flights well in advance and shopping for low-cost business class train fares and low-cost rental car rates. Guidelines and procedures for reimbursement, required receipts and related limitations, beyond those described in this policy, shall be specified in the IEEE Finance Operations Manual.

IEEE does not reimburse for the travel expenses of spouses or travel companions as an entitlement. Airfare, hotel, and incidental costs of spouses or travel companions are never covered but it is recognized that there are occasions where the demand on volunteer time in particular, requires travel with a spouse or companion which may result in some meal costs being expensed. Since the purpose of the business trip is already deemed necessary and the only incremental cost is the spouse/companion meals, expensing the meals is acceptable as long as the cost is reasonable, and the practice is not perceived as an entitlement. Spouse/companion costs for purely social gatherings must be reimbursed on the staff or volunteer person's expense report as a reduction of reimbursed expenses.

A. IEEE President's Travel Reimbursement Policy. Due to the extensive travel required by the IEEE President, it is IEEE policy to (i) reimburse the IEEE President for reasonable, budgeted travel expenses for their spouse or other travel companion when accompanying the IEEE President on IEEE business up to USD 60,000, and (ii) pay to the IEEE President a cash tax gross-up payment to cover United States federal income taxes – solely with respect to the spouse or other travel companion travel expense reimbursement amount, plus the cash gross-up payment. Where the IEEE President is not a US person for United States federal income tax filing purposes, IEEE will submit the tax gross-up directly to the IRS as required.

B. Airfare. All persons traveling on IEEE business who are seeking reimbursement for airfare or for which airfare is provided for them by IEEE, shall book only the most economical airfare, i.e., non-refundable, economy-class, coach-fare tickets; provided, however, the reimbursement or purchase by IEEE of business class fares shall be permitted only (i) when the flying time is over eight consecutive hours for a single segment or over eight hours flying time where a layover is required, (ii) when it is budgeted by the organizational unit, and (iii) with permission of the Major Boards Vice President or President or in the case of Staff, the IEEE Executive Director.

Individuals are encouraged to purchase upgradeable coach class fares and use miles or coupons to upgrade to business class.

Permission to travel business class for medical reasons may be granted by the IEEE President. Note that an "organizational unit" (OU) is defined in Bylaw I-107.

11.7 Fundraising: Receiving Grants and Contributions

IEEE may solicit and accept voluntary contributions and grants in support of its purposes and objectives. It is the policy of IEEE to comply with all applicable charitable solicitation and donation laws, U.S. and elsewhere (at each governmental level).

The approval and coordination and specific procedures pertaining to the solicitation and acceptance of charitable contributions, and the submission of grant proposals and receipt of grants shall be specified in the IEEE Finance Operations Manual.

11.8 IEEE Contributions to Disaster Relief Policy

IEEE and its Organizational Units (including conferences) may provide contributions to third party nonprofit organizations to provide relief for various natural disasters. The IEEE is a Section 501(c)(3) tax-exempt nonprofit organization, and therefore all contributions from IEEE, including those in support of disaster relief efforts, shall be made only in furtherance of IEEE's educational and scientific purposes. For purposes of this policy, the term "disaster relief" shall mean any contribution or donation from IEEE that is provided in an effort to alleviate hardships that are the result of a natural disaster.

Contributions or donations from IEEE for disaster relief may be in the form of (i) funds, equipment, or services that further and promote scientific or technological knowledge and education (e.g., computers) or (ii) grants that are tied directly to such purposes (e.g., scholarships, support of a library, classroom equipment, and/or supporting infrastructure.).

Requests for permission to make donations shall be made in accordance with IEEE Policies, Section 11.2, and the procedures shall be specified in the IEEE Finance Operations Manual. See also Section FOM.2.E.4 Contributions From IEEE.

11.9 Principles of Business Conduct

IEEE is committed to maintaining legal, ethical, and regulatory standards necessary to achieve excellence in corporate integrity in all its activities. These standards and corresponding objectives are outlined in the IEEE Principles of Business Conduct, with which all directors, officers, volunteers, members, and employees who conduct IEEE business, as well as non-Members who do business with or on behalf of IEEE, shall comply. [https://www.ieee.org/content/dam/ieee-org/ieee/web/org/audit/ieee-principles-of-business-conduct.pdf]

SECTION 12 – LEGAL AND TAX MATTERS

12.1 Trademark

A. The emblem of IEEE will be protected by legal registration. The guidelines for the use of the emblem and "IEEE" are set forth under Section 6 of the IEEE Policies, and the emblem and "IEEE" shall be used only in connection with official business of the IEEE. The IEEE emblem is a registered trademark owned by the IEEE. As owner of the mark, IEEE Headquarters makes membership pins, which bear the mark, available to members. IEEE Headquarters also makes available to Sections, Societies, and other IEEE organizational units, letterheads, pennants, and other similar material bearing the emblem. Any form of use of the emblem by members, either as individuals or as IEEE organizational units, which is not supplied by the IEEE Headquarters must be submitted for approval and any form of use which has not received such approval shall be considered as unauthorized use of the emblem. IEEE has received applicable registrations in the United States and other countries for the emblem and "IEEE". Records of these trademark registrations shall be maintained by the IEEE Legal and Compliance Department. When used by members either as individuals or as IEEE organizational units, the emblem must be displayed with an R in a circle (®) as shown above. This is required to give legal notice that the emblem has been registered by lEEE.

B. The IEEE emblem may be incorporated in the design of awards, or for similar purposes, provided that the total emblem is used without any modification. If the emblem is modified in any manner, including the addition of names or dates within the field of the emblem, the basic IEEE registration will have been violated. The IEEE's legal counsel urges that IEEE members, volunteers and staff maintain the integrity of the IEEE emblem.

C. Purchase of Emblem. Emblems to be worn by members are to be purchasable only from IEEE Headquarters.

12.2 Uniform Employer Identification Number Assigned by IRS (Applicable Only in U.S.)

Each Region and Section should have its own Employer Identification Number. Any Region or Section that does not have such a number or does not know its number should notify IEEE Headquarters. Societies should use IEEE Employer Identification Number 13-1656633. A Society will be required to use the IEEE Employer Identification Number if it is required to file any forms such as those discussed in Policy Statement 12.3 or when it opens a bank account. A Region or Section will be required to use its own Employer Identification Number in similar circumstances.

12.3 Internal Tax Procedures (Applicable Only in U.S.)

A. Exemption from Federal Income Tax. IEEE is exempt from Federal income tax as an organization described in Section 501(c)(3) of the Internal Revenue Code of 1954. No Section or other subdivision of IEEE should apply for exemption from Federal income tax. If any Section is requested by the Internal Revenue Service to do so, IEEE Headquarters should be notified immediately.

B. Federal Returns.

1. Annual Information Returns - Form 990. Form 990 is the annual information return which is filed by organizations described in Section 501(c)(3) of the Internal Revenue Code of 1954. IEEE Headquarters annually files such a return on behalf of all its U.S. Sections, and it is not necessary for any Section to file an income tax return. If any Section is requested to file an income tax return, on Form 990 or any other form, that Section should advise the Internal Revenue Service office making the request that IEEE Headquarters will file the necessary return on behalf of the Section. If any further questions are raised by the Internal Revenue Service, the Section should immediately notify IEEE Headquarters.

2. Employer Returns. If any Section makes any payment to an employee it will generally be required to withhold and pay over both Federal Income and Federal Social Security taxes. Consequently, any Section that makes payments to employees will be required to obtain and file some or all of the forms mentioned below. Also, in most cases it will be necessary to withhold and pay over certain state taxes (e.g., income, disability or unemployment tax). The rules with respect to such withholding will generally differ from the rules applicable to the withholding of Federal Income taxes. The advice of local counsel or the local office of IEEE's Accountants should be sought regarding the correct procedure for the withholding and paying over of local taxes.

   a) Form 941. Any Section which is required to withhold Federal Income or Social Security taxes from an employee is required to file a return as to the amounts withheld. This return is made on Form 941. If Social Security taxes are withheld it will also be necessary to fill out and file a separate Schedule A (Form 941) because it contains the necessary information on wages subject to Social Security taxes. Form 941 must be filed and the taxes collected must be deposited on or before the last day of the month following the close of each calendar quarter that is, on April 30, July 31, October 31, and January 31.

   b) Form 501. Each deposit of withholding or Social Security taxes must be accompanied by a properly filled-in Form 501. Sections which have withholding taxes and Social Security taxes of under $200 per calendar quarter are not required to make deposits. Instead they will pay over the taxes with their quarterly Form 941. Sections with monthly liability of over $200 but less than $2,000 must deposit the taxes by the 15th of the following month in the case of the first or second month of the quarter or before the last day of the following month in the case of the last month of the quarter. Sections with $2,000 or more in liability on the 7th, 15th, 22nd or last day of the month must make deposits within three banking days of such dates. Deposits are made with the Federal Reserve Bank which serves the Section's district or with a commercial bank authorized to accept such deposits for transmittal to a Federal Reserve Bank. The names of the appropriate depositaries may be obtained at any local bank or Federal Reserve Bank.

   c) Forms W-2 and W-3. If any Section or Society is required to withhold Federal Income tax or Social Security taxes it should furnish the correct number of copies of the withholding statement, Form W-2, as required by the individual state, to each employee from whom income taxes have been withheld or would have been withheld if he/she had claimed no more than one withholding exemption. In connection therewith the Section or Society should use the employer identification number specified in Statement 12.2. Copy A of

Form W-2 together with Form W-3 must be filed on or before February 28th at the Internal Revenue Service Center for the appropriate Internal Revenue Service Region.

d) Form W-4. The Section should request each new employee to furnish a withholding exemption certificate, Form W-4, on or before the commencement of his or her employment. If an employee fails to furnish such a certificate, the Section must withhold, tax as if he or she had claimed no withholding exemptions.

e) Other Information Returns. Each Section must file information returns for the calendar year for payments made by it during such year which total $600 or more to any individual or particular firm or organization. If such payments are not subject to withholding of Federal Income tax and are not reported on a withholding statement (Form W-2), the Section must file Form 1099, together with Form 1096 with respect to each such payment. Forms 1099 and 1096 must be filed on or before February 28th of the year following the close of the calendar year during which payment was made. A copy of the Form 1099 must be given to the person to whom the payment was paid no later than January 30 following the close of the calendar year.

C. State Income Tax Returns. Sections are not necessarily exempt from state taxes and may be required to file various state income tax returns. Through the aid of local counsel or the local office of IEEE's Accountants, each Section should ascertain whether it is complying with the applicable state laws.

D. Annual Accounting. IEEE's taxable year is the calendar year. In order for IEEE Headquarters to be able to file reports on behalf of all its subdivisions and to maintain a uniform means of internal accounting, it is necessary that each Society or Section render a financial statement to IEEE Headquarters at the end of each calendar year.

12.4 IEEE Foundation, Incorporated

The IEEE Foundation, Incorporated, is a separately incorporated organization associated with IEEE, established exclusively to support the scientific and educational purposes of IEEE. The U.S. Internal Revenue Service has determined that the Foundation is exempt from United States Federal income tax as an organization described in section 501(c)(3) of the Internal Revenue Code, and that the Foundation is not a private foundation for Federal tax purposes. Accordingly, donations, bequests and grants intended to further the scientific and educational programs of IEEE should be made to IEEE Foundation, Incorporated. Bequests to the Foundation will be deductible for U.S. Federal estate tax purposes. Lifetime gifts will be deductible for U.S. Federal gift tax purposes, and will also generally be deductible for U.S. Federal income tax purposes, subject to certain exceptions and limitations. The Foundation has prepared a pamphlet which summarizes the U.S. Federal tax rules applicable to donations to the Foundation, a copy of which may be obtained from the IEEE Foundation, Incorporated, at 3 Park Avenue, New York, NY 10016-5997, U.S.A. Each donor should consult with his individual tax adviser to determine if his contribution will be deductible. Officers and committee members of IEEE organizational units, on becoming aware of a pending donation, bequest, or grant directly to IEEE, should immediately notify the donor of the contents of this Policy Statement and should notify the IEEE Foundation, Incorporated, at 3 Park Avenue, New York, NY 10016-5997, U.S.A., of the pending payment, its donor, and its intended purpose. Further information on the Foundation may be obtained at the address given.

All funds held by the IEEE Foundation must be expended solely to support the scientific, educational purposes of IEEE, and may not be used in support of its professional activities.

12.5 Use of Legal Counsel by IEEE Units

Corporate counsel engaged by IEEE management shall be used by the IEEE and all of its subsidiary units in all matters related to IEEE policies and interests. Approval by the IEEE Executive Director is required on requests for legal advice from IEEE subsidiary units before they are submitted to IEEE corporate counsel. With the approval of the IEEE Executive Director, another counsel may be deemed appropriate after consultation with IEEE corporate counsel.

12.6 Contracts with Exclusive Rights

No organizational units of IEEE shall enter into any contract or agreement (i) that obligates IEEE or any of its organizational units to refrain from entering into similar contracts or agreements for goods or services similar to those to be provided by the other party to the subject agreement, or (ii) otherwise grants to such other party exclusivity as to the provision of the goods or services to be provided under the subject agreement, without first notifying the IEEE Board of Directors. Such notification shall be made in advance of finalization of the agreement and in sufficient time for the Board of Directors to consider the action.

12.7 Media Contact

Inquiries from the media to members of the Board of Directors, Major Boards, or major Committees on Institute-level issues involving current legal proceedings or having the potential for legal action, or concerning issues that are potentially detrimental to the IEEE's reputation and positive image, are to be referred to the Corporate Communications. If specifically asked to comment, such members may do so as long as they clearly state this is only their personal opinion and it is not necessarily the official position of the IEEE. Corporate Communications will be responsible for documenting each inquiry referred to it pertaining to legal or sensitive matters and will coordinate the response by the President or, if deemed appropriate by the IEEE Executive Director, by legal counsel.

12.8 IEEE Records Management Policy Statement

IEEE creates, delivers and exchanges information in many ways and, therefore, we must demonstrate accountability by handling and managing records properly. For the purpose of this Policy, records include all documentary materials, regardless of media type, physical form or characteristics, made or received in connection with the transaction of our business.

It is the policy of IEEE to maintain complete, accurate and high-quality records where those records are important to the continuing work of the organization and to comply with legal and regulatory requirements. Materials relevant to pending or threatened litigation, subpoenas and governmental investigations are to be retained and not destroyed until the action or inquiry is concluded. In addition, records required for audits shall be retained as necessary during the audit. No materials relevant to such actions or inquiry shall be destroyed, including through ordinary document retention procedures and automated electronic deletion programs. Destruction of records to avoid disclosure in a legal proceeding may constitute a criminal offense. The IEEE Legal and Compliance Department shall have primary responsibility for the identification and preservation of responsive materials, but all employees and volunteers have an independent obligation to assure that this Policy is observed. Documents that are not necessary for business, legal, and regulatory requirements shall be discarded on a regular basis.

Retained documents shall be effectively organized to facilitate their continued use in the business of the organization.

Specific procedures related to records retention shall be contained in the Records Management Program approved by the IEEE Executive Director. Compliance with the requirements of this policy shall be reviewed by the IEEE Legal and Compliance Department.

12.9 IEEE Privacy Policy Statement

It is the policy of the IEEE to respect the privacy of personal information that may be collected by the IEEE, including information gathered from the use of http://www.ieee.org and other IEEE websites (collectively, the "websites") and interactions with IEEE offline. Specific information related to the collection and treatment of personal information by the IEEE shall be contained in the "IEEE Privacy Policy", which shall include, but not be limited to (1) defining the types of information collected, (2) describing how that information may be collected, used, and shared, and (3) describing how individuals may set preferences concerning the collection, use and sharing of that information. The IEEE Privacy Policy and the supporting IEEE Data Access and Use Policy shall be approved by the IEEE Executive Director after consultation with the IEEE President and the Chairs of the Major Boards and shall be made accessible on the IEEE website at www.ieee.org/privacy.

12.10 Antitrust and Fair Competition Policy

IEEE requires that all IEEE activities comply with applicable competition and antitrust laws. These laws are designed to protect the competitive process from monopolization (or, in many countries, abuse of dominance) and from agreements that unreasonably restrain trade. For example, an agreement between competitors that simply fixes the price at which they sell their competing products or allocates customers or territories between them is illegal. For a more detailed description of the competition and antitrust laws applicable to IEEE, see the Legal and Compliance Department website at http://www.ieee.org/about/corporate/compliance/legal/index.html . For additional information relating to standards development, see http://standards.ieee.org/develop/policies/antitrust.pdf.

12.11 Economic Sanctions and Embargoes Policy

IEEE is subject to the jurisdiction of the economic sanctions and trade embargo regulations administered and enforced by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"). These regulations impact various IEEE activities including membership, conferences, awards, publishing and travel. Consequently, IEEE may not be able to provide certain services to certain designated countries or entities or individuals from those countries or entities. A more detailed description of OFAC and the economic sanctions and embargoes applicable to IEEE can be found on the Legal and Compliance Department website at http://www.ieee.org/about/corporate/compliance/legal/index.html. If a compliance question arises no action should be taken until consultation with the Legal and Compliance Department has occurred.

12.12 Anti-Boycott Policy

IEEE is subject to the U.S. anti-boycott laws which prohibit it from participating in international boycotts that are contrary to U.S. national policy. Such laws require IEEE to report any requests from third parties to engage in prohibited conduct. A more detailed description of the anti-boycott laws applicable to IEEE can be found on the Legal and Compliance Department website at http://www.ieee.org/about/corporate/compliance/legal/index.html .

12.13 Anti-Bribery and Corruption Policy

IEEE prohibits making any improper payment, promising payments or providing anything of value to foreign officials or their family members for the purpose of obtaining or retaining business or influencing official action. Foreign officials include persons employed by or representing a foreign government, officials of a foreign political party, officials of public international organizations, candidates for foreign office and employees of state-owned enterprises. In addition to offering or giving payments, gifts or entertainment to a government official or to a family member of a government official, making an offer to a third party or charitable organization suggested by the recipient or offering employment opportunities to a government official or a family member of an official may also violate anti-bribery laws.

Payments made indirectly through an attorney, consultant, contractor or other third party are subject to exactly the same restrictions and any IEEE representatives need to know who is acting on behalf of IEEE and what they have been engaged to do. For a more detailed discussion of the obligations of IEEE and its representatives in this area, see the Legal and Compliance Department website at http://www.ieee.org/about/corporate/compliance/legal/index.html .

SECTION 13 – NOMINATIONS AND ELECTIONS

13.1 Objectives

The objectives of the IEEE's nomination and election procedures are to choose the best qualified persons for the various offices throughout the IEEE, on the one hand, and to involve as many members in the selection process as possible, on the other. It is necessary that all candidates nominated for office be highly qualified, and it is therefore essential that all IEEE nominating committees show great diligence and exercise judgment in making nominations. To the maximum extent appropriate, the membership of IEEE committees, candidate slates, and appointments shall reflect the global nature of IEEE membership.

It is essential that special attention be paid to this aspect of the IEEE's business, and that the nominating process be visible to and understood by the members. It is therefore the IEEE policy that all training sessions, workshops and orientation material shall stress the importance of an informed, diligent and visible nominating procedure at all levels.

Where practicable, electors should be offered a choice of candidates. In all cases there must be a procedure for additional nominations from the membership at large, as provided in the IEEE Constitution and Bylaws.

13.2 Nomination of Candidates for Elective Office and Committees of IEEE

A. Elective Office. The Bylaws provide that the Chair of the IEEE Nominations and Appointments Committee shall contact the various IEEE organizational units each year inviting the submission of suitable candidates to be considered by the IEEE Nominations and Appointments Committee for the various elective offices of the IEEE. The Call for Nominations shall specify the deadline date for submission and shall indicate the name and address to which the nominations shall be mailed.

B. Committees of IEEE. All organizational units of the IEEE are encouraged to submit the names of candidates eligible to serve IEEE on the Committees of IEEE, which are vital to the conduct of IEEE operations. At the appropriate time, the Call for Nominations for such appointments will be issued, and all organizational units of the IEEE are urged to cooperate in these important efforts by submitting the names of qualified candidates to the IEEE Nominations and Appointments Committee.

C. To provide the widest opportunity for qualified members to serve Committees of IEEE, a rotation procedure has been established. Members of Committees of IEEE and any subcommittees of the Committees of IEEE shall generally be appointed for no longer than three consecutive years, with approximately one-third of the members to be appointed each year. If the appointment of the members in a given year, as provided in this Statement, does not provide a full committee complement, then a sufficient number of members, who have served three years, may be invited to serve an additional one-year term, to make up the full committee complement. An outgoing Chair may be appointed to membership for one year following his/her term of office as Chair, irrespective of the duration of his/her prior service. A Chair shall not be appointed to serve more than two consecutive terms as Chair. Exceptions to these limitations shall be considered by the Board of Directors on the basis of the nominator's recommendation, provided that it is accompanied by a detailed statement of pertinent circumstances.

D. The nominees' and appointees' Region and previous service in the position for which they are being nominated shall be identified at the time that they are proposed. The President and Chairs of the major boards shall report at the final Board of Directors meeting each year on the geographic make-up of their committees, candidates slates, and appointments.

13.3 Elections and Electioneering

A. IEEE Policy. Election campaigns that provide information to IEEE voters about candidates and proposed Constitutional Amendments, and Referendums are encouraged.

1. Candidates. Candidates are individuals who have been approved to have their names appear on an official slate by an IEEE organizational unit. IEEE organizational units are not obligated to offer petition candidates (IEEE Bylaw I-307.10) retroactive provisions for campaigning opportunities that were not available to them before they were officially declared candidates.

   i. Election campaign activities are defined as activities intended to promote or inform IEEE members and voters about a candidate. Examples include, but are not limited to, the use of postal mailings, email, any forms of electronic communications as defined in IEEE Policies.

      Campaign messages are defined as communications that contain information advocating or discussing a candidate's qualifications, positions on issues, or other information intended to make an impression on voters.

      Petitioners are not considered candidates until the pertinent organizational unit has determined that their petition has met the conditions that would make the petitioner an official candidate.

2. Election Code of Conduct. All IEEE elections shall be conducted with the utmost integrity, shall adhere to the IEEE Code of Conduct and shall be paragons of fairness, accuracy, truthfulness, transparency, consistency, and collegiality.

   The campaigning process shall offer equal opportunity to all candidates, while promoting and maintaining mutual respect. The responsibility of maintaining these standards falls upon the candidates, petitioners, the organizational units conducting the elections, officers, staff, volunteers, and all committees involved in managing and overseeing the election process.

   While IEEE continues to inform its community about the expected campaigning practices, and strives to develop guidelines reflecting the true spirit of volunteering to serve the profession, it is impossible to conceive of all possible scenarios that could take place during elections.

   All candidates and petitioners shall:

   1) sign and comply with the Election Code of Conduct, and

   2) self-impose and adhere to the highest standards that are far above the minimum threshold identified as violations of the IEEE Election guidelines.

The conduct of candidates during the election campaign and petitioners in the process of collecting signatures is a reflection of their character and provides insight into their professionalism and the ethical standards they shall uphold in a leadership position.

3. Dissemination of Candidate Information. It is the policy of IEEE (including its organizational units) to inform all members of the views of all election candidates, including candidates nominated by petition. The primary vehicle to accomplish this objective is to publish the candidate's biography and statement in the ballot package and on the relevant IEEE election websites.

   i. For IEEE President-Elect candidates, the IEEE Election Oversight Committee (EOC) shall be responsible for coordinating campaign messages to the membership, organizing at least two candidate events, hosting candidate webpages, and providing candidates with campaigning guidelines.

      Campaigning guidelines for IEEE Organizational Units are defined in IEEE Policies, Section 13.3.C.1.

   ii. All election campaign activities for the IEEE President-Elect candidates may begin after the final IEEE President-Elect candidate slate has been announced to the membership. The final slate shall include candidates nominated by the IEEE Board of Directors and candidates nominated by petition, if any (See also, IEEE Bylaw I-307.9).

4. Discussion for Constitutional Amendments and Referendums. It is the policy of IEEE to facilitate open discussion, including opposing views, of issues and initiatives to appear on the ballot (Constitutional Amendments and Referendums) regardless of the source (in accordance with IEEE Bylaw I-308).

   Discussion of candidates and their views for office is permitted, as delineated further in Section D5. Opinions on initiatives may be presented that relate to the interests of the members.

5. Vetting of Candidates and Reviews of Credentials. Formal review of qualifications of individuals who are proposed as candidates in IEEE elections (nominees, petitioners, and petition candidates) shall normally be done by the organizational unit responsible for their selection and by the IEEE Legal and Compliance Department. This review shall normally be completed before an individual is nominated. IEEE reserves the right to conduct additional reviews to address legal or ethical questions.

   Should pertinent legal or ethical questions, or questions about credentials of candidates or potential candidates be raised, the matter shall be referred to the IEEE Election Oversight Committee. In some cases, the IEEE Election Oversight Committee may develop a recommendation to disqualify a candidate based on this referral, as follows:

   a) Additional Review – Candidates on the IEEE Annual Election Slate. The IEEE Election Oversight Committee shall make recommendations to the IEEE President in a timely manner to disqualify a candidate, along with procedures for substituting another candidate if such substitution is deemed necessary or appropriate. The IEEE President shall report any actions taken to the IEEE Board of Directors. (See also, IEEE Bylaw I-307.3)

b) Additional Review – Other Candidates. The IEEE Election Oversight Committee shall make recommendations to the Chair of the pertinent IEEE organizational unit to disqualify a candidate, along with procedures for substituting another candidate if such substitution is deemed necessary or appropriate. The Chair shall report any actions taken to the governance body of the responsible organizational unit. The IEEE Election Oversight Committee shall establish a timeline and procedures that are suitable for the specific election in question, including procedures for appeal by the candidate. If a candidate appeals the disqualification decisions, the decision of the body designated by the IEEE Election Oversight Committee to hear the appeal shall be final.

6. Neutrality in IEEE Elections. Members of the IEEE Board of Directors, IEEE Board Director-Elects, members of IEEE Election Oversight Committee, IEEE Nominations and Appointments Committee, and the IEEE Tellers Committee shall not act as an endorser for any candidate or petitioner, and they shall not engage in electioneering for or against candidates or petitioners in any IEEE election.

B. Grounds for Disqualification that Require a Recommendation by the IEEE Election Oversight Committee.

The development of disqualification recommendations for nominees, candidates, or petitioners by the IEEE Election Oversight Committee shall be governed by procedures specified in the IEEE Election Oversight Committee Operations Manual . These procedures shall guarantee a thorough and fair review of evidence in context, and opportunities for the individual under review to address and comment on charges.

Grounds for disqualification shall include at least one or more of the following:

1. Past sanctions that were imposed on the individual under review, involving violations of IEEE Bylaws, IEEE Policies, Operations Manuals, IEEE Code of Ethics, IEEE Code of Conduct, or other procedures and decisions adopted officially by an IEEE Organizational Unit. Examples include violations of campaigning rules; plagiarism and other violations of publication policies; violations of IEEE Policy Section 12.9 IEEE Privacy Policy; refusal to comply with legal compliance rules (e.g., refusal to submit a Conflict of Interest form); and financial mismanagement or misappropriation of IEEE assets.

2. Verified information pointing to a substantial violation of IEEE Bylaws, IEEE Policies, Operations Manuals, IEEE Code of Ethics, IEEE Code of Conduct, or other procedures and decisions officially adopted by the organizational unit.

3. Verified information pointing to moral turpitude (act of baseness, vileness, or depravity in the private and social duties which a human owes to his/her fellow humans, or to society in general, contrary to the accepted and customary rule of right and duty between human and human) by the reviewed person, namely conduct that is considered contrary to community standards of justice, honesty or good morals.

C. Campaigning Guidelines for IEEE Organizational Units.

1. IEEE seeks to provide candidates in IEEE elections with opportunities to address their electorate in IEEE meetings and publications, provided that:

(1) such campaigning activities are consistent with the purpose, format and conduct of the pertinent IEEE meeting/publication (See also, IEEE Policies 13.3.D.8 and 13.3.D.9); and

(2) the same opportunities to address the electorate in a meeting or through a publication are offered to all candidates, within reason, and to the extent practicable. (See also, IEEE Policies 13.3.D.3 and 13.3.D.6)

2. Subject to rules or policies adopted by the IEEE Board of Directors, the governing body of each IEEE organizational unit shall be responsible for establishing guidelines to implement the IEEE campaigning policy. Each organizational unit shall conduct campaigning activities in accordance with those guidelines. The member of the IEEE Board of Directors responsible for each organizational unit is ultimately accountable to the IEEE Board of Directors to resolve questions concerning adherence to the IEEE campaigning policies.

   i. All election campaigning activities may begin after the specific slate is finalized and announced to the membership. The finalized slate shall include candidates nominated by IEEE Board of Directors or organizational units and any candidates nominated by petition. (See also, IEEE Bylaw I-307.9)

      As defined in IEEE Policies, Section 13.3.A.1.i, election campaign activities are defined as activities intended to promote or inform IEEE members and voters about a candidate.

3. IEEE organizational units should encourage eligible voters to vote in IEEE elections, and direct voters to the ballot, and to the Annual Election website. However, organizational units and their committees shall not endorse candidates, pass resolutions that endorse candidates, or publish documentation (such as meeting minutes) that endorse candidates or quote endorsements of candidates. (See also, IEEE Policy 13.3.A.6)

4. In accordance with IEEE Bylaws, members of the IEEE Election Oversight, IEEE Nominations and Appointments, and IEEE Tellers Committees with involvement in election-related matters shall not engage in campaigning. (See also, IEEE Policy 13.3.A.6)

D. Means of Informing Members of IEEE Organizational Units.

1. Campaign-Related Communications.

A) Members may be informed of the candidates' views and of issues related to initiatives via:

- messages sent by the candidate to potential voters,
- publications and related means created and maintained by the candidate or the candidate's supporters,
- IEEE meetings/events, conferences and publications.

Equal opportunity shall be provided to all candidates for the same elective position. Within the guidelines established by the IEEE and the governing body of the organizational unit, the editor, conference chair or other individual responsible for the activity shall determine the information to be presented or published, within the guidelines established by the governing body of that organizational unit, provided all candidates are treated equally.

All forms of electronic communications such as websites, portals, mobile applications, and "social media" shall adhere to the guidelines defined in IEEE Policies, Section 9.28.

i. IEEE will create, provide, and maintain equal opportunity to the IEEE President-Elect candidates.

ii. The editor, conference chair, or other individual responsible for an activity shall determine the information to be presented or published in accordance with the IEEE Election Oversight Committee guidelines based on IEEE Bylaw I-307 and IEEE Policies, Sections 9.28, 13.3, 13.7, and 14.1.

B) The sending and management of certain candidate messages and certain candidate publications are governed by the IEEE Policy on Mailing Lists and Rosters (Section 14) and may be regulated further by guiding documents recommended by the IEEE Election Oversight Committee (EOC) and approved by the IEEE Board of Directors.

i. Only the EOC shall communicate IEEE President-Elect candidates' election campaign messages. (See also, IEEE Policy 13.4)

ii. EOC is responsible for informing the membership regarding the availability of the petition process and petitions available for signature for the IEEE President-Elect office.

iii. As defined in IEEE Policies, Section 13.3.A.1.i, election campaign activities are defined as activities intended to promote or inform IEEE members and voters about a candidate.

2. Electioneering Communications. In all campaign-related communications with potential voters, the candidates, the petitioners, and their supporters shall:

i) Include provisions for opting out from future communications.

ii) Include reminders about the need of recipients to adhere to IEEE policies, especially IEEE Social Media Policy (Section 9.28) and IEEE Policy on Mailing Lists and Rosters (Section 14).

iii) Avoid practices that would be interpreted by a reasonably prudent person as obtrusive or falling under the category of "spam".

iv) Include the following disclaimer:

The opinions expressed herein are the opinions of the author and not necessarily the opinions of IEEE.

v) All candidates and petitioners shall attest to and adhere to the Election Code of Conduct. (See also, IEEE Policy 13.3.A.2)

3. Election Campaign Guidelines for Conference Meeting Organizers.

Conference/meeting organizers may arrange for candidates to make presentations to the attendees within designated sessions and forums.

i. IEEE Organizational Units may initiate and shall fund such IEEE President-Elect candidate campaign sessions and forums in accordance with the guidelines provided in IEEE Bylaw I-307 and IEEE Policies, Sections 9.28, 13.3, 13.4, 13.7, and 14.1.

The same opportunity to participate and present shall be given to all candidates, as follows:

a) All candidates shall be invited at least sixty (60) calendar days in advance of the event and be given fourteen (14) calendar days to respond to the invitation for in person events. All candidates shall be invited at least twenty-one (21) calendar days in advance and be given seven (7) calendar days to respond to the invitation for virtual events. Lead time may be waived if all candidates have agreed to the waiver.

b) If the event provides funding to some candidates to appear in an election-related forum then all candidates shall be provided with equivalent funding. "Equivalent funding" means that if the event funds candidates' travel, all candidates shall receive funds that allow them to arrive at the event in time for the presentation, using the usual and customary mode of transportation from their official home address, as recorded by IEEE, to the venue of the event. Candidates whose official home address is more than 80 kilometers away from the venue of the event shall receive funding for the necessary usual and customary lodging associated with the timing of their presentation;

c) All candidates shall be given the choice to appear in person or through remote communication means;

d) If some candidates do not respond in time to the election-related event's invitation or decline/fail to participate, then the planned forum/session can proceed without those candidates, provided that the names and affiliations of all candidates for the same position are provided to forum/session attendees;

e) If a candidate is unable to participate in a debate or presentation they can submit a video presentation that conforms in length and format to the constraints of the forum/session as determined by the event organizers. If the candidate does not respond or declines to submit a video presentation, the election-related event may proceed provided that the names and affiliations or all candidates for the same position are provided to attendees.

f) Distribution of material requires consent from the organizers of the conference/meeting.

4. Guidelines for Presentations and Discussions for Constitutional Amendments and Referendums.

Organizers of conferences and meetings may arrange public presentations and discussions related to Constitutional Amendments and Referendums.

a) Distribution of material requires consent of the organizers of the conference/meeting;

b) Equal opportunity to express their views shall be given to the individuals who support or oppose the referendum proposals;

c) The presentations and discussions shall not include statements from IEEE organizational units. In order to ensure IEEE members are well informed, members in the IEEE organizational units are encouraged to participate in the discussion and need not endorse or oppose a position;

d) If the IEEE Board of Directors has previously adopted a motion endorsing or opposing a Constitutional Amendment or Referendum, members of the IEEE Board of Directors may not participate in discussions that undermines the motion of the IEEE Board of Directors.

5. Guidelines for Publishing Material Related to Constitutional Amendments and Referendums.

Editors of IEEE publications who plan to publish material related to Constitutional Amendments and Referendums shall adhere to the following guidelines:

a) Equal opportunity to express their views shall be given to the individuals who support or oppose the Constitutional Amendment and Referendum proposals;

b) The published material shall not include statements from IEEE organizational units.

c) Individuals may publish statements. If IEEE volunteer titles are listed, the following disclaimer shall be included:
The opinions expressed herein are the opinions of the author and not necessarily the opinion of the IEEE.

d) If the IEEE Board of Directors has adopted a motion endorsing or opposing a Constitutional Amendment or Referendums, members of the IEEE Board of Directors may not publish statements that undermine the motion of the IEEE Board of Directors.

6. Guidelines for Publishing Election Related Materials.

Editors of IEEE publications who plan to publish election related materials are encouraged to seek written material from candidates, pose questions of interest to their readership, and request position statements from candidates. The same opportunity shall be given to all candidates to participate:

a) All candidates shall be given at least fourteen (14) calendar days to respond to the request for written material;

b) Candidates shall be given at least forty-five (45) calendar days to prepare the requested written material, inclusive of the fourteen (14) calendar days allotted for response as defined in IEEE Policies, Section 13.3.D.6.a. Lead time may be waived if all candidates have agreed to the waiver.

c) The same instructions in terms of objectives, format and length are given to all candidates and enforced uniformly;

d) If a candidate fails to respond or to meet the deadline, the planned election-related item can be published using material submitted by the other candidates who responded in time, provided that all candidate names and affiliations for the same position are provided as part of the published item.

7. Editorials, Support/Opposition Articles and Endorsements.

a) Concerning Candidates and petitioners. The publication of editorials, support or opposition articles, and endorsements in official IEEE publications and official IEEE Social Media are prohibited. Information related to social media in the "IEEE Social Media Operations and Best Practices Guide" is accessible on the IEEE Brand Experience website. (See also, IEEE Policy 9.28.)

Candidates and petitioners shall not include support articles, endorsements, or any form of criticism of another candidate or petitioner in their communications.

b) Concerning Constitutional Amendments and Referendums. Editorials and support or opposition articles about Constitutional Amendments and Referendums are permitted, provided that:

i) Equal opportunity to express their views shall be given to individuals who support or oppose the Constitutional Amendment and Referendum proposals.

ii) The editorials and support or opposition articles shall not include official statements from IEEE Organizational Units. Individuals including members from the IEEE Board of Directors and leadership from Organizational Units, are encouraged to participate in the discussion without endorsing or opposing, in order to ensure IEEE members are well informed.

iii) If the IEEE Board of Directors has previously adopted a motion endorsing or opposing a Constitutional Amendment or Referendum, members of the IEEE Board of Directors may not participate in the discussion in a way that undermines the motion of the IEEE Board of Directors.

8. Routine Non-Campaigning Activities of Candidates. Some candidates may hold volunteer positions that provides them with access to publications and travel to IEEE activities and events or give them an opportunity to address wide audiences. The candidates shall refrain from using the associated IEEE activities, events and publications for campaigning. It is permissible to advertise that the individual is a candidate for an elected IEEE position, provided that the names and affiliations of all other candidates for the position are mentioned at the same time/instance.

9. Non-Routine Non-Campaigning Activities of Candidates. During the course of an IEEE election, a candidate may be given visibility in roles that are not directly related to the election, but may be perceived as offering this candidate with significant exposure that may influence potential voters. The variety and diversity of such potential roles precludes the prescription of specific guidelines for each one. However, in the spirit of providing equal opportunity for all candidates, IEEE event organizers and editors shall refrain from engaging candidates in roles that do not provide equal campaigning opportunity to all candidates. IEEE event organizers and editors shall use their judgment and authority to allow/disallow the assignment of such

roles to candidates. The IEEE Election Oversight Committee shall be used as a source of advice and conflict resolution to address such situations.

10. Distribution of Election-Related Material at Events. Distribution of election-related materials requires consent from the event organizers. Organizers are encouraged to allow such distribution upon request, provided that it does not interfere with the purpose or orderly conduct of the event. Organizers shall provide all candidates for the same position with the same opportunity to distribute their materials.

    Organizers shall provide individuals who support or oppose a Constitutional Amendment or Referendum proposal with the same opportunity to distribute their materials. Organizers are not obligated to contact individuals with interest in distributing material on a Constitutional Amendment or Referendum.

    The IEEE Election Oversight Committee shall serve as a resource for conference organizers and volunteers to address questions regarding implementation issues.

11. Violation of Election Campaign Rules. The IEEE Election Oversight Committee may find that a violation of the campaigning rules has occurred, and that this violation has resulted in denial of equal opportunity to a candidacy or positions on a Constitutional Amendment or Referendum to the electorate. In such cases, the Committee may recommend to the head of the relevant IEEE organizational unit that remedial action be taken. (See also, Policy Section 13.3.G.)

12. Discussion Groups on Constitutional Amendments and Referendums.

    a) The IEEE Election Oversight Committee shall develop, maintain, and moderate an official discussion group, open to all IEEE members, on Constitutional Amendments and Referendums.

    b) The discussion group shall be accessible by all IEEE members using their IEEE access credentials.

    c) The regulations of the discussion group shall be specified in the IEEE Election Oversight Committee Operations Manual and in published instructions for participants of the discussion group.

    d) Following approval for placement on the IEEE Annual Election Ballot, a discussion of a Constitutional Amendment and Referendum shall be established and facilitated by the IEEE Election Oversight Committee within 10 calendar days.

    e) Participation in Constitutional Amendment and Referendum discussion groups. Members of the IEEE Board of Directors may participate in the discussion prior to IEEE Board of Directors endorsement/opposition of a Constitutional Amendment and Referendum. If the Constitutional Amendment and Referendum is neither endorsed nor opposed by the IEEE Board of Directors, the members of the IEEE Board of Directors may participate in any such discussion. All other IEEE members are encouraged to participate in the discussions. Organizational units other than the IEEE Board of Directors shall not endorse or oppose a referendum. (See IEEE Bylaw 308.1 Amendments to IEEE Constitution and Bylaws.)

E. IEEE SPECTRUM and THE INSTITUTE. The Publication Services and Products Board is responsible to define guidelines to the editors of IEEE SPECTRUM and THE INSTITUTE to ensure conformance with these IEEE campaigning policies. The Vice President - Publication Services and Products is accountable to the IEEE Board of Directors for implementation and supervision of the policy. The IEEE Election Oversight Committee may be used as a source of advice with respect to such guidelines.

F. Paid Political Advertising. Paid political advertisements in any IEEE publications, whether related to an IEEE or any other office, are not allowed.

G. Violations of IEEE campaigning policies by candidates, petitioners, and other members. Alleged violations of IEEE campaigning policies shall be referred to the IEEE Election Oversight Committee. The Committee's Operations Manual shall specify procedures for investigation of such violations and development of recommendations for potential sanctions. The Committee may correspond with nominees, candidates, petitioners, IEEE staff members, volunteers, and others to gather information and provide guidance and advice.

The IEEE Election Oversight Committee is responsible for timely investigation of allegations of violations and for providing the head of the responsible organizational unit with recommendations for action if a violation is verified, and if, in the judgment of the Committee, the extent of the violation requires additional action. In this case, the Committee may recommend that candidates and petitioners be advised of a violation, censured officially by the organizational unit, or have their candidacy or petition terminated by the relevant Major Board as follows:

1. The IEEE Election Oversight Committee may recommend to the IEEE President that Annual Election candidates and petitioners be advised of a violation, be censured officially, or have their candidacy or petition terminated, in line with the process outlined in IEEE Bylaw I-307.17. Furthermore, the IEEE Election Oversight Committee may make a referral of the violation to the IEEE Ethics and Member Conduct Committee.

2. The IEEE Election Oversight Committee, may recommend to the respective organizational unit that other election candidates or petitioners be advised of a violation, be censured officially, or have their candidacy or petition terminated, in accordance with IEEE Bylaw I-307.17. If the IEEE Election Oversight Committee recommends termination of candidacy or petition, its recommendation shall include additional guidance concerning the necessary approvals of termination decisions, and opportunity of appeal by the candidate or petitioner. Furthermore, the IEEE Election Oversight Committee may make a referral of the violation to the IEEE Ethics and Member Conduct Committee.

3. If it is alleged that violations of IEEE campaigning policies were committed by an IEEE member who is not a candidate, the IEEE Election Oversight Committee may take one or more of the following actions:

    a) Recommend to the relevant Chair of the IEEE organizational unit that the member be advised of the violation by the governing body of the organizational unit, be censured officially, suspended or removed from some or all current volunteer positions in that unit for a specified period of time, or prohibited from accepting new volunteer positions for a specified period of time.

b) Recommend to the IEEE President that the member be advised by the IEEE Board of Directors of a violation, be censured officially, suspended or removed from some or all volunteer positions across IEEE for a specified period of time, or prohibited from accepting new volunteer positions for a specified period of time.

c) Refer the violation to the IEEE Ethics and Member Conduct Committee, which may recommend additional sanctions, up to and including expulsion from IEEE.

4. All recommendations of the IEEE Election Oversight Committee as well as their disposition shall be reported to IEEE Legal and Compliance Department and be considered in future reviews of candidates for IEEE elected or appointed positions. (See also, IEEE Policy 13.3.A.5.)

   i. IEEE Election Oversight Committee will publish aggregated incidents and corresponding best practices related to IEEE campaigning policies on the IEEE Annual Election website for IEEE members.

13.4 Use of Funds for Electioneering

A. IEEE funds may not be used for IEEE electioneering, except those expenses normally incurred in publicity and arrangements of meetings and those expenses normally incurred in publication of a newsletter or similar periodical. The same policy is applicable to candidates for office and to proponents and opponents of initiative issues. Candidates for office, or proponents or opponents of initiatives may be invited to appear at meetings to discuss their position, and may be reimbursed for actual travel expenses by the organizational unit organizing the meeting.

   i. IEEE shall designate resources annually to support the IEEE President-Elect candidates' campaign activities. IEEE President-Elect candidates shall only use IEEE provided resources for electioneering. For the purposes of this policy, "resources" are defined as campaigning materials and tools that allow individuals to view information related to the IEEE President-Elect candidates' campaign activities such as IEEE-hosted candidate webpages, reposting IEEE articles about IEEE President-Elect candidates, IEEE recorded candidate campaign events, and media. IEEE President-Elect candidates may be invited to appear at sessions and forums to discuss their position. As defined in IEEE Policies, Section 13.3.D.3.i, the IEEE Organizational Unit shall fund such IEEE President-Elect candidate campaign sessions and forums, and provide for the candidate's travel expenses incurred in connection with participating in the event.

B. The use of IEEE funds for electioneering purposes in any governmental election is prohibited.

13.5 Announcement and Publication of Results of IEEE Elections and Referenda

The IEEE President or an individual designated by the President shall make a public announcement of the results of the IEEE elections and referenda, which shall be published, with counts, in the first available issue of IEEE SPECTRUM or THE INSTITUTE.

13.6 Equal Opportunity for IEEE Service

The IEEE is committed to equality of opportunity for all, and to a belief that its technical and professional interests are best served when a broad spectrum of backgrounds and talent is brought to bear upon its activities. The IEEE accordingly makes every effort to include on its Boards and Committees a broad cross-section of technology professionals.

13.7 Nominations and Elections – Ballot Material

1. Statements.

   A. Candidate Statements. Initial statements shall be received by Corporate Governance staff from each candidate for elective office who submits a manuscript electronically on or before the first business day following 15 April, provided that the manuscript is written in standard English, and it contains no more than the specified number of words. Individuals who have been successful in their nomination by petition shall submit their materials within ten business days following the petition tally announcement by the IEEE Tellers Committee.

      Candidate Statements received shall be reviewed by the Corporate Governance staff and the IEEE Election Oversight Committee. Candidate Statements may not include illustrations or tabular matter. If the reviewers believe there are erroneous or legally actionable statements in a candidate's statement or determine that the word limit has been exceeded, staff shall notify the candidate immediately, so that the candidate can submit modifications within a period of 48 hours. If no modifications are received, the statement shall be referred to the IEEE President for adjudication. The IEEE President shall decide whether or not to place the statement on the ballot and in what form it shall be published and resolve disagreements between the reviewers and the originator of a statement.

      On acceptance of candidate statements, they shall be distributed without further changes. With the exception of typographical errors, which the staff shall correct, candidate statements shall be published verbatim, even when statements may contain errors in syntax.

   B. Statements for Referendums. One statement to be made available in the IEEE-moderated discussion group, shall be provided to the IEEE Executive Director from the initiator of each referendum proposal that shall appear on the current IEEE Annual Election ballot. The written statement shall be received on or before the specified date, and shall contain no more than the specified number of words. Proposed amendments shall be published subject to the provisions of IEEE Bylaw 308.1.

      A proposed amendment on the IEEE Annual Election ballot shall be prefaced by a notice of one of the following types:

      1. This amendment was placed on the IEEE Annual Election ballot by the IEEE Board of Directors. For statements *for* or *against* this amendment see (a URL or similar reference to an IEEE-moderated discussion group). (See also IEEE Policies, Section 13.3.D.12. Discussion Groups on Referendums and Proposed Referendums.)

2. This amendment was placed on the IEEE Annual Election ballot by IEEE member petition (name of initiator, current or most recent IEEE title if applicable). For statements *for* or *against* this amendment see (URL or similar reference to an IEEE-moderated discussion group)

   Other submitting members, titles, and background information may be provided for the official IEEE referendum discussion group and referenced in a URL or similar external reference provided that the reference is made stable at the time of submission of the amendment. (See also IEEE Policies, Section 13.3.D.12. Discussion Groups on Referendums and Proposed Referendums.)

C. Word Count. All statements from candidates and from initiators of amendment proposals shall be written in standard English and shall not exceed the maximum word length requirement. To determine number of words:

- precede IEEE by an article and count both as one word;
- count an acronym as one word;
- count a discrete alphanumeric as one word—for example, 21st in 21st Century counts as one word;
- titles and other properly hyphenated words shall be counted as one word.

The IEEE Executive Director or their designee is authorized to make final decisions on related questions.

Statements exceeding the maximum length shall be returned to authors for editing. Typed, edited copies shall be provided electronically to those who submitted them for their comments. If this process fails to converge on a statement satisfactory to the candidate or initiator and IEEE, the candidate or initiator shall have the option of asking that no statement be published.

Statements by petition candidates and by referendum initiators accepted by Corporate Governance staff shall be placed in the ballot package, together with other election statements, provided that the corresponding petitions have been validated. Official statements received by staff after the statement deadline dates cannot be guaranteed placement within the ballot package.

Statement	Word Count
Candidates for:	
IEEE President-Elect	250
IEEE SA President-Elect	200
IEEE-USA President-Elect	200
Vice President-Elect, Technical Activities	200
Region Delegate/Director	175

Statement	Word Count
Division Delegate/Director	175
Region Delegate-Elect/Director-Elect	175
Division Delegate-Elect/Director-Elect	175
Vice Chair	175
Major Board Member(s)-at-Large	150
Other Office Positions	150
Referendum Statements:	
Initiator's Official Statement	200
Forum Consensus Support Statement	200
Forum Consensus Opposition Statement	200
Board of Directors Statement	200

2. Photographs; Biographies; IEEE Election Website.

Candidates shall submit to Corporate Governance staff by the first business day following 15 April of the election year, the following information:

a) A candidate photograph in connection with IEEE election activities shall have been made within two years of the mailing deadline of the election materials in which the photograph will appear, as attested to by the candidate. Photograph requirements shall be specified by the IEEE Tellers Committee.

b) A personal biography not to exceed 150 words, that rounds out the profile of the candidate's experience outside IEEE activities.

c) A factual summary of IEEE accomplishments and past service to the IEEE not to exceed 300 words.

d) Candidates may provide a URL to their personal website for inclusion in their candidate statement. The personal website shall contain the disclaimer provided in IEEE Policies, Section 13.3.D.2.iv.

   i. For IEEE President-Elect candidates, the IEEE Election Oversight Committee shall be responsible for hosting the candidate webpages.

Copy will be edited by Corporate Governance staff and the candidate will have the opportunity to review the final copy before it is published. Approval of the final copy of the candidate materials, in compliance with the bylaws and policies, must be received by the Corporate Governance staff by 12:00 noon ET (17:00 UTC) on the Friday preceding 15 June of the year of the election. Approved materials not received by the deadline will be omitted from the election materials provided to the membership.

The IEEE shall maintain a public annual election website. The website shall be launched no later than fifteen (15) business days after materials are received from, the first (nominated or petition) candidate for an office which appears on the IEEE annual ballot, and all criteria have been met as required (See also IEEE Policy 13.7.1). The website shall include information on both nominated and petition candidates, including the names of the petitioners who are in the process of circulating petitions. The existence of the website shall be announced in IEEE social media (See also IEEE Policy 9.28), THE INSTITUTE, and any other means. The website shall allow eligible voting members to sign petitions electronically.

3. Petitions and Signature Requirements.

A. IEEE Annual Election Petition Information.

In accordance with IEEE Bylaw I-307.10, individual voting members may propose, by petition, their names for inclusion on the ballot for the offices that appear on the IEEE annual election ballot. The petition intention statement shall identify the petitioner, specify the office and term for which they intend to petition for, and include a statement affirming their willingness to serve if elected. In accordance with IEEE Bylaw I-308, individuals may petition to propose amendments to the IEEE Constitution.

Voting members who wish to circulate a petition for the office of IEEE President-Elect shall submit their petition intention to the IEEE Board of Directors after the IEEE Board of Directors' announcement of its nominated candidates. The petition intention shall be received no later than 12:00 noon ET USA (17:00 UTC) on 31 December of the year preceding the election. The petition draft shall be accompanied by a statement from the proposed candidate indicating their willingness to serve, if elected.

At least one year of IEEE Board of Directors service is required for all individuals before declaration of their intention to petition for the office of IEEE President-Elect. (See also, IEEE Bylaw I-307.4.)

Voting members who wish to circulate a petition for all other elective offices on the IEEE Annual Election ballot shall submit their petition intention to the IEEE Board of Directors no earlier than 1 November of the year preceding the election and no later than 1 April of the year of the election. The petition intention shall be accompanied by a statement from the proposed petition candidate indicating their willingness to serve, if elected.

The IEEE Election Oversight Committee shall inform the membership about the petition process and petitions available for signing.

Corporate Governance staff shall advise those intending to seek nomination by petition of the relevant campaigning guidelines approved by the IEEE Board of Directors. All individuals who are circulating a petition or who are successful petitioners shall follow the campaigning guidelines. Petitioners are bound by the principles and relevant provisions of IEEE's campaigning policies. However, they do not enjoy the privileges of candidates (such as equal opportunity to present in IEEE conferences/meetings and publications) until they become petition candidates.

Alleged violations of IEEE campaigning policies will be referred to the IEEE Election Oversight Committee. The Committee may correspond with petitioners and others, gather information and provide guidance and advice. The Committee is responsible for timely investigation of allegations of violations and for providing recommendations for action to the chair of the responsible major organizational unit. If a violation is verified, and if, in the judgment of the Committee, the extent of the violation requires additional action, the Committee may recommend that the subject petitioner have their petition revoked.

1. Following a recommendation by the Election Oversight Committee, the President may terminate a petition in the IEEE Annual Election, in line with the process outlined in IEEE Bylaw I-307.17.

2. The head of the responsible major organizational unit may terminate a petition upon a recommendation by the Election Oversight Committee that includes guidance concerning any necessary additional approvals of termination decisions, and opportunity for appeal by the petitioner.

Petitioners for IEEE President-Elect office may initiate the petition and begin collecting signatures only after their petition intention has been submitted following the IEEE Board of Directors' announcement of the nominated candidates for the IEEE President-Elect office.

The petitioners, other than for the IEEE President-Elect office, may initiate their petition and begin to collect signatures on 15 November of the year preceding the election.

The complete petition for the IEEE President-Elect office, consisting of required petition signatures of eligible IEEE voting members, shall be submitted to the Board of Directors electronically via the IEEE Annual Election website at www.ieee.org/petition no later than 12:00 noon ET USA (16:00 UTC) on the Friday preceding 15 April of the year of the election.

The complete petition for all other offices on the IEEE Annual Election ballot, consisting of required petition signatures of IEEE eligible voting members, shall be submitted to the Board of Directors electronically via the IEEE Annual Election website at http://www.ieee.org/petition no later than 12:00 noon ET USA (16:00 UTC) on the Friday preceding 15 May of the year of the election.

The complete petition for Constitutional Amendments, consisting of petition signatures of IEEE voting members, shall be submitted to the Board of Directors electronically via the IEEE Annual Election website at http://www.ieee.org/petition or at the IEEE Operations Center no later than 12:00 noon ET USA (16:00 UTC) on the Friday preceding 15 April of the year of the election.

Corporate Governance staff shall provide to petitioners documentation on the process regarding the collection of petition signatures. The documentation shall include relevant IEEE Bylaws and Policies. Information on those who sign a petition shall remain confidential.

Verification that a petition has fulfilled the conditions of Bylaw I-307.10 and Policy 13.7 and that the petition candidate meets the qualifications of the office for which they are being nominated shall be confirmed by the IEEE Tellers Committee. Certification of the petition

candidate by the IEEE Tellers Committee shall be promptly distributed to the IEEE Board of Directors.

Once any petitioner has become a petition candidate, they shall enjoy the same opportunity to address the electorate through IEEE publications and conferences/meetings as do all other candidates per Policy 13.3. IEEE organizational units are not obligated to offer candidates retroactive provisions for campaigning opportunities that were not available to them before they are officially declared candidates.

B. Petition Text for Candidates and Referendum Petitions.

A nominating petition shall, at the time it is signed by the petitioner, set forth the office, the term of the office (expressed in date form), and the name of the proposed candidate.

Following are examples of appropriate statements for petition candidates and petitions for Constitutional Amendments, respectively:

Endorsement for Candidate Petition:

> I, the undersigned, petition to add (Name of Petition Candidate) to the (Year) IEEE annual election ballot for the position of (Position) for the term (Years). I certify that to the best of my knowledge, I am eligible to vote for this position in the next IEEE annual election.
>
> Note: This petition is not being signed nor circulated earlier than as specified in IEEE Policy 13.7 and will only be accepted if received through the IEEE Annual Election website at http://www.ieee.org/petition by the date and time specified by the same policy. All members who sign this petition shall be voting members in good standing at the time their signatures are received.

Endorsement for Referendum Petition:

> I, the undersigned, petition to add to the (Year) IEEE annual election ballot the following amendment to the IEEE Constitution: (Statement of Amendment).

In addition, petitioners shall include a statement providing a description of the proposed Constitutional change and the purpose of their petition. The explanation shall be written in standard English and shall not exceed 200 words, counted in accordance with IEEE Policies. The petition shall also include a brief summary statement describing any significant expected financial, policy or operational impacts on the IEEE that may result from the proposed Constitutional Amendment. This statement shall be based upon an analysis conducted by the IEEE Finance Committee and the IEEE Audit Committee as part of the petition process that shall be completed within forty-five (45) business days from the date the petition is received at the office of the IEEE Executive Director. The initiator shall be invited to work with the IEEE Finance Committee and the IEEE Audit Committee to develop this brief summary statement. The initiator may submit a separate summary statement of similar length if an agreement cannot be reached jointly. The summary statement(s) of the analysis shall accompany the official Constitutional Amendment petition form being circulated for signatures, and if the petition is qualified, it shall appear on the IEEE Annual Election ballot.

C. Petition Signature Requirements.

Petition signatures shall be submitted electronically through the official IEEE annual election website at www.ieee.org/petition.

The number of signatures required on a petition shall depend on the number of eligible voters, as listed in the official IEEE membership records at the end of the year preceding the election.

Information on the exact number of signatures required for a specific petition may normally be obtained from Corporate Governance Staff by 15 March of the year of the election. A signature shall be considered valid if the signer is eligible to vote for the office sought by the proposed candidate at the time the signature is received electronically through the IEEE annual election website at www.ieee.org/petition.

For all positions where the electorate is less than or equal to 30,000 voting members, signatures shall be required from 2% of the eligible voters.

For all positions where the electorate is more than 30,000 voting members, 300 signatures of eligible voters plus 1% of the number of eligible voters shall be required.

13.8 Procedure for Selection of IEEE President-Elect

IEEE President-Elect candidates are selected by the IEEE Board of Directors using the following procedure:

1. The entire process shall be conducted in Executive Session.

2. Place the Nominations and Appointments Committee (N&A) slate into nomination. Due to the perceived conflict of interest, Board members on the N&A slate shall leave the room.

3. Place the names of qualified nominees received in accordance with IEEE Bylaw I-307.3 into nomination. Due to the perceived conflict of interest, Board members who have qualified shall leave the room and not participate in the vote.

4. Board members leaving the room because their names have been placed in nomination (steps #2 and #3), shall not return to the room until after the completion of voting (step #8), except as required to make their presentations (step #6).

5. Determine the number of candidates (one or more) to be recommended to the membership and placed on the ballot for President-Elect.

6. In random order, individuals on the slate shall address the Board of Directors for five (5) minutes followed by five (5) minutes of questions and answers. If a nominee is unable to attend the Board of Directors meeting, either in person or via electronic/telephonic means, he/she may designate a member of the Board of Directors to read a prepared statement on his/her behalf but no questions and answers shall follow for that candidate.

7. After all individuals have made presentations, the Board shall deliberate on the qualifications of those individuals on the slate.

8. Votes shall be taken by secret ballot to achieve a rank order of the candidates to fill the number of slots on the ballot determined in step #5 above.

    a. A majority of those present and eligible to vote is required for a candidate to be placed on the ballot.

    b. Approval plurality voting (vote for all whom you approve of) shall be used for any vote with three or more candidates. Selection plurality voting (vote for one only) shall be used for any vote with less than three candidates.

    c. Individual(s) receiving the most votes, up to the number determined in step #5, shall be placed on the ballot.

    d. If the slate to be presented to the membership cannot be determined due to a tie, a vote shall be taken to break the tie.

    e. If the number of candidates receiving a majority is not sufficient to populate the slate as determined in step #5, the Board of Directors shall revisit step #5. Should it be agreed that the number of slots as originally determined stands, the remaining candidates shall be voted on until the slate is complete.

SECTION 14 – IEEE MAILING LISTS AND ROSTERS

14.1 Use and Control of IEEE Mailing Lists

IEEE membership mailing lists, whether obtained through IEEE Headquarters or through any IEEE organizational unit, may be used only in connection with normal IEEE sponsored activities and may be used only for such purposes as are permitted under the New York Not-For-Profit Corporation Law. They may not be used for campaigning in connection with any office within the IEEE, or for political purposes, or for commercial promotion, except as explicitly authorized hereunder in Section 14.1.I. Any requests to Headquarters for a mailing list shall state the purpose for which the listing is to be used. A request for an exception to the above rule or for billing at member/in-house rates (except as provided in Sections 14.1.I) must be submitted to the IEEE Executive Director.

A. IEEE membership lists may be assembled on a geographical basis (e.g., Sections or Regions), technical basis (e.g., Societies), or combinations of these two.

B. The IEEE Executive Director shall be responsible for controlling the use of IEEE membership lists. The IEEE Executive Director may, by written memorandum, authorize one or more members of the IEEE Headquarters staff to act in his behalf, unless specifically excepted in the following paragraphs by the statement: "The IEEE Executive Director may not delegate this authority." Hereunder, when authorization is vested in the IEEE Executive Director, it is understood to include his deputies as specified above. Blanket approvals may be authorized for classes of repetitive requests.

C. Lists prepared on cards or in strip list form may be requested by any elected or appointed officer of the IEEE or its subordinate units defined as Section, Chapter, Branch, Council, Region, Society, Committee of TAB, TAB, Publication Services and Products Board, Awards Board, or Committees of IEEE, provided:

    1. The list will be used only for specific administrative purposes of the IEEE or its subordinate units (including recruitment of members, Chapter organization, etc.);

    2. The IEEE Executive Director approves.

D. Geographical lists, in label form, including geographical technical lists, may be requested by any elected or appointed officer having cognizance of the geographical area covered by the requested lists or by the IEEE Executive Director. The IEEE Executive Director shall verify the validity of the request before processing it.

    Example: A Section Secretary may order any list or combination of lists involving only members of the Section. These lists may not subsequently be transferred to any outside organization (unless all provisions of the applicable policy on outside usage have been complied with fully, and only upon written approval of the IEEE Executive Director).

E. Technical lists in label form may be either the specific lists of Society members or the more general lists based on the IEEE survey of interest:

    1. Each Society list may be used freely by that Society, for its own purposes, as the President or his designated alternate may request, except that a Society may not procure a list and subsequently transfer it to an outside organization for non-IEEE use (unless all the provisions

of the applicable policy on outside usage have been complied with fully, and only upon written approval of the IEEE Executive Director).

2. A Society list, or any part thereof, may be released to another entity only with the approval of the IEEE Executive Director.

3. The portion of the IEEE Technical Interest Profile (T.I.P.) list that is directly related to the technical field of a Society may be utilized by the Society in accordance with Section E(1) above.

4. Use of the IEEE T.I.P. list, other than as provided in Sections D and E(3), shall be administered by the IEEE Executive Director.

F. The internal IEEE use of lists assembled on a basis other than geographical and/or technical shall be under the sole administrative control of the IEEE Executive Director. Example: A list assembled on the basis of grade of membership, or on the basis of service on particular committees, whether to be used for administrative or mailing purposes, shall require the approval of the IEEE Executive Director for its preparation and distribution.

G. Any member may have his or her name removed from mailing lists provided in accordance with this Statement, upon notification addressed to the IEEE Executive Director.

H. Nothing in this policy shall be construed as limiting the use of IEEE membership lists by the IEEE Headquarters staff in the fulfillment of approved staff housekeeping responsibilities for IEEE.

I. Candidates whose names appear on a slate which is part of the IEEE Annual Election may have their candidate statements distributed to the pertinent electorate using an IEEE mailing list via electronic distribution means determined and coordinated by IEEE Corporate Governance staff under the following conditions:

1. All candidates for the same position are granted the same opportunity to use the same communication vehicle.

2. Candidates shall not have access to the mailing lists of the electorates.

The provisions in this section for candidates in the IEEE Annual Election are extended to initiators of Constitutional Amendments.

J. IEEE mailings lists may not be used by IEEE Annual Election candidates or initiators of Constitutional Amendments for election campaign purposes.

14.2 IEEE Membership Lists Requested by Outside Organizations

A. IEEE membership lists may be assembled on a geographical basis (e.g., Sections or Regions), technical basis (e.g., Societies), or combinations of these two.

B. The entire IEEE membership list in any form may be released to an outside entity only with the specific approval of the IEEE Executive Director. The IEEE Executive Director shall report any such release to the IEEE Board of Directors.

C. Requests for labels by tax-exempt institutions and organizations, as defined in Sections 501 of the 1954 IRS Code, may be honored, provided:

1. The requesting entity shall have pledged that the list will be used only for mailing purposes (defined as per their request) and that procedures satisfactory to the IEEE Executive Director will safeguard the sanctity of the list. When feasible, mailings shall be handled through the facilities at IEEE Headquarters.

2. Responsible IEEE officers or staff shall review each case and recommend approval to the IEEE Executive Director.

3. The rate charged to outside organizations shall be established by the IEEE Executive Director.

D. Requests by institutions and organizations other than those specified in Section C above shall be referred to the IEEE Executive Director.

E. If IEEE is a co-sponsor of an activity with outside nonprofit organizations, lists in support of that activity may be obtained by the IEEE co-sponsoring organizational unit in accordance with Policy Statement 14.1. The rate shall be that charged outside nonprofit organizations unless the IEEE co-sponsor negotiates a lower rate, which in no case may be less than the internal rate applicable in 14.1 above. If any organizational unit cooperates in an activity sponsored by an outside nonprofit organization, paragraph 14.2.C shall apply and the statement of cooperation shall be deemed to have fulfilled the requirements of subparagraph 14.2.C.2.

14.3 Use of IEEE Mailing Lists for Educational Purposes

IEEE mailing lists can be made available to educational institutions for purposes consistent with the aims of IEEE. Lists will be released only with the approval of appropriate authorities, as follows: in the case of a Society mailing list, upon the recommendation of the Society President or the IEEE Executive Director; a Section mailing list, upon recommendation of the Section Chair or the IEEE Executive Director; a Region mailing list, upon the recommendation of the Regional Director or the IEEE Executive Director. Rates are established by the IEEE Executive Director.

14.4 Non-Members on Section Mailing Lists

On the recommendation of the Section Chair, the Chair of the Section Membership Development Committee (in those Sections in which one exists), or the Section officer assigned the responsibility for membership promotion, the name of a non-IEEE member may be added to the mailing list to receive notices of Section activities. The name shall be added initially for a period of six months, with provision for one extension of an additional six months period of time. If the individual has not applied for membership by the end of this one year period, his/her name shall be removed from the mailing list with the provision that it not be added as a non-member for the next three years. In addition to those non-IEEE members who receive Section notices in accordance with the foregoing paragraph, on the recommendation of the Section Chair and the approval of the Regional Director, there may also be included individuals whose positions in the community make it desirable for them to be kept informed of IEEE activities. The Section Chair should report annually to the Regional Director concerning names on the Section mailing list which are in this category, and in the process of adding new names, as well as in the annual reporting, a brief statement should be provided justifying the inclusion of each name.

14.5 Commercial Use of IEEE Mailing Lists

The IEEE advertising sales program may include the rental of lists for commercial purposes under terms and at rates established by the IEEE Executive Director. Approvals for Society lists and/or geographical lists shall be handled in accordance with Statement 14.1.

14.6 Section Rosters with Company Affiliations

A Section is authorized to print a roster of its membership including the members' company affiliations and to accept advertising in the roster. The publication shall not be undertaken without the approval of the Section membership through a suitable voting process and the approval of the membership shall be reaffirmed annually. The decisions concerning the format of the roster and pricing considerations shall be the responsibility of the Section Executive Committee. Such Section rosters should not be issued more than once a year.

14.7 Telemarketing

1. Telemarketing efforts by IEEE vendors to IEEE members require the approval of the IEEE Executive Director. Any such request shall be for the purpose of promoting IEEE-produced or contracted products and services only and shall clearly specify the benefit to IEEE of the telemarketing campaign.

2. Telemarketing efforts shall be authorized on a case-by-case basis. Each approval shall take into consideration the impact on a member of more than a minimum number of telemarketing contacts and must provide some explicit means of eliminating from any campaign those members who have requested not to be contacted.

3. Authorization for telemarketing by IEEE vendors shall be provided to such vendor in writing.

SECTION 15 – EXTERNAL COMMUNICATIONS ON PUBLIC POLICY

15.1 Objectives

IEEE recognizes the importance and imperative of contributing to the development of public policy and has established the nature, scope, and limitations of such engagement in IEEE Bylaw I-311. This Section of IEEE Policies defines appropriate IEEE External Communications on public policy, describes their nature and use, and specifies the processes for their approval, communication, and maintenance. Additional information pertinent to the operations of the IEEE Global Policy Caucus and IEEE Organizational Units engaging in public policy activities is contained in their Operations Manuals.

15.2 Scope

IEEE's external communications on public policy shall fall within the scope of the mission, purposes and fields of interest stated in the IEEE Constitution, Bylaws and associated governing documents referenced below. External communications on public policy by IEEE organizational units must additionally fall within the scope of their assigned mission, geographic boundaries and/or subject-matter expertise.

IEEE Constitution	ART I, SEC 2 (Purposes of IEEE)
IEEE Bylaw I-311	IEEE PUBLIC POLICY-RELATED ACTIVITIES This IEEE Bylaw provides the authorization for IEEE to engage in public policy activities.
IEEE Bylaw I-305.12	THE IEEE GLOBAL POLICY CAUCUS This IEEE Bylaw specifies the Mission, Duties and Membership of the IEEE Global Policy Caucus.
IEEE Bylaw I-107	ORGANIZATIONAL UNITS DEFINED; HIERARCHY, STRUCTURE AND MEMBERSHIP TYPES This Bylaw provides the definition of "IEEE Organizational Units" used in this Section of IEEE Policies.
IEEE Bylaw I-104.11	The IEEE-designated Fields
Operations Manuals	

Copies of IEEE's governing documents are available at
http://www.ieee.org/about/corporate/governance/index. html

15.3 Technology Policy Whitepapers by IEEE and its Organizational Units

A. DEFINED: **A Technology Policy Whitepaper** is a policy document that provides technically sound and balanced information relevant to a public policy issue(s) but does not make policy recommendations.

The purpose of a Technology Policy Whitepaper is to inform policy-makers and the public about technological implications and options relevant to particular public policy issues. It may identify risks/benefits and pros/cons associated with the relevant public policy options, but shall not include specific policy recommendations, endorsement of specific legislation or regulatory proposals, or advocacy of a particular position or outcome. A technical information statement or technology assessment prepared for a policy-making body or process is a form of Technology Policy Whitepaper.

B. Technology Policy Whitepapers may be developed and issued by IEEE or by IEEE Organizational Units.

1. **IEEE Technology Policy Whitepapers** must be approved by the IEEE Board of Directors. The IEEE Board of Directors may delegate responsibility for developing and/or approving IEEE Technology Policy Whitepapers on particular topics to the IEEE Global Policy Caucus.

2. **Organizational Unit Technology Policy Whitepapers** shall fall within the scope of the Organizational Unit's assigned mission and subject matter expertise. Each Organizational Unit may determine its own process for development and approval of Whitepapers, which shall be specified in its Operations Manual and which shall include the requirement that they must be approved by the formally constituted governing body of the Organizational Unit.

   Prior to being issued, all Organizational Unit Technology Policy Whitepapers shall be reviewed by the IEEE Global Policy Caucus using criteria outlined in Section 15.6 of IEEE Policies and any issues arising from that review must be resolved.

15.4 Public Policy Position Statements by IEEE and its Organizational Units

A. IEEE Public Policy Position Statements

1. DEFINED: An **IEEE Public Policy Position Statement** is a definitive statement of IEEE's corporate position on a matter of public policy, adopted by the IEEE Board of Directors.

2. IEEE Public Policy Position Statements may not be contradicted by Public Policy Position Statements or Policy Communications by IEEE Organizational Units.

3. IEEE Public Policy Position Statements shall be prepared with appropriate consideration of the diverse perspectives of IEEE members with expertise in the field of the Statement. IEEE Public Policy Position Statements may address a topic in detail, but will more commonly address a policy issue broadly, thus providing the opportunity for Organizational Units to provide greater detail or local perspective on the issues addressed.

4. IEEE Public Policy Position Statements may be proposed by any member of the IEEE Board of Directors, by the IEEE Global Policy Caucus, or by any IEEE Major Organizational Unit.

5. There shall be a class of IEEE Public Policy Position Statements, known as **IEEE Core Public Policy Position Statements**, which are deemed by the IEEE Board of Directors to be of such fundamental importance that they are adopted as IEEE Policies and remain in effect until modified or deleted.

B. IEEE Organizational Unit Public Policy Position Statements

Consistent with IEEE Governing Documents cited above, an IEEE Organizational Unit is a formally constituted body within IEEE that has an approved Charter and/or scope and has a formal place within the hierarchical structure of IEEE. It is understood that the word "Organizational Unit" as used in these guidelines will be replaced by the actual name of the organizational unit in the actual position document developed.

1. DEFINED: An **IEEE Organizational Unit Public Policy Position Statement** is a statement of the position of an IEEE Organizational Unit on a matter of public policy that falls within its recognized geographic, technical, or business scope.

2. Where an IEEE Public Policy Position Statement exists on a particular subject, any related Organizational Unit Policy Position Statement is subordinate to, and must be consistent with, the relevant IEEE Policy Position Statement, but may extend or expand upon the latter in application to the geographic or technical domain of the Organizational Unit.

3. Prior to being issued, all Organizational Unit Public Policy Position Statements shall be reviewed by the IEEE Global Policy Caucus using criteria outlined in Section 15.6 of IEEE Policies, and any issues arising from that review must be resolved.

4. Each Organizational Unit may determine its own process for development and approval of Organizational Unit Public Policy Position Statements, which shall be specified in its Operations Manual, subject to the minimum requirement that all Organizational Unit Position Statements must be approved by the formally constituted governing body of the Organizational Unit. Major Organizational Units may place additional requirements on the processes of their subordinate Organizational Units.

5. The name of the Organization Unit responsible for the Public Policy Position Statement shall be included in the Statement, along with the date of its approval by the governing body. Each organizational unit(s) position statement shall also contain the following disclaimer at the close of the formal statement and before any background or attached materials: "*This statement was developed by the [insert name of IEEE organizational unit(s)] and represents the considered judgment of a group of IEEE members with expertise in the subject field. The positions taken by [insert name of IEEE organizational unit(s)] do not necessarily reflect the views of IEEE or its other Organizational Units*."

15.5 Policy Communications by IEEE and its Organizational Units

A. DEFINED: A **Public Policy Communication** is a public statement, typically in the form of a letter, testimony, speech or public remarks, media release, or response to a request for public comment that discusses or describes the position or recommendation of IEEE or an IEEE Organizational Unit on a matter of public policy.

B. Public Policy Communications may be prepared and disseminated by the IEEE Board of Directors and IEEE Organizational Units subject to the conditions specified herein.

C. All Public Policy Communications shall be based on approved IEEE or IEEE Organizational Unit Public Policy Position Statements, shall be consistent with relevant IEEE Technology Policy Whitepapers where they exist, and shall be explicit in whether they reflect the position of IEEE or an IEEE Organizational Unit. In exceptional circumstances the requirement that a Public Policy Communication be based on a previously approved Position Statement(s) may be waived by the IEEE President and/or the Chair of the Global Policy Caucus, or by the chief officer of the Organizational Unit's formally constituted governing body for organizational unit policy communications, upon good justification and prior review of the proposed communication.

D. IEEE Public Policy Communications shall be approved by the IEEE President, or the Chair of the Global Policy Caucus. Public Policy Communications by IEEE Organizational Units shall be approved by the chief officer of the Organizational Unit's formally constituted governing body.

E. IEEE and/or an IEEE Organizational Unit may join with other (non-IEEE) organizations in communicating a shared position on public policy, as long as the shared position is consistent with all relevant Public Policy Position Statements of IEEE and the Organizational Unit.

F. Amicus Curiae Briefs and other Policy Communications of a legal nature are specialized communications that must adhere to the specific content, process and review requirements outlined in IEEE Policies, Section 7.9.

15.6 Criteria for Review by the IEEE Global Policy Caucus

When reviewing proposed Organizational Unit Technology Policy Whitepapers and Position Statements, as described in this Section of IEEE Policies, the Global Policy Caucus will consider the following criteria:

- Whether the document conflicts with any current IEEE Whitepaper, Position Statement or policy adopted by the IEEE Board of Directors.
- Whether the document raises matters of significant corporate concern or that impinge on corporate business interests that warrant review by the IEEE Board of Directors.
- Whether the document addresses matters of a legal nature that warrant review by the IEEE Legal and Compliance department.
- Whether the subject and proposed distribution of the document falls within the geographic and subject-matter jurisdiction of the originating Organizational Unit.
- Whether the document raises matters of joint concern to other IEEE Organizational Units with an interest in the subject matter that would warrant referral to those units for review and coordination.
- Whether the document presents its findings, recommendations, or conclusions, and the basis thereof, in a clear and professional manner.
- Whether the originating Organizational Unit has followed its own internal procedures and processes for development, review, and approval of the document.

- Whether the document follows applicable IEEE formatting and identity policies and guidelines, including correct use of IEEE and entity logos.

15.7 Consideration of Minority Views

IEEE's public policy processes shall provide appropriate consideration of the diverse perspectives of IEEE members affected by the proposed policy and/or with expertise in the subject field. IEEE's objectives are best pursued when positions reflecting the broadest possible consensus can be articulated. In the absence of broad consensus on a particular position, it should normally be the practice of IEEE and its Organizational Units to refrain from issuing position statements and/or policy communications unless the contrary views of a significant minority of members are acknowledged in the statement or communication. In such instances, IEEE and its Organizational Units should consider developing Technology Policy White Papers as an alternative.

15.8 Public Availability

Final versions of all IEEE and IEEE Organizational Unit Position Statements, Whitepapers, and Policy Communications shall be submitted as soon as possible after final approval and release to the IEEE Global Policy Caucus for posting on a freely accessible repository on the IEEE Web Site.

15.9 Annual Review and Expiration

IEEE and IEEE Organizational Unit Position Statements and Technology Policy Whitepapers should be reviewed annually by their originating entities for continued relevance and accuracy, and updated or withdrawn as appropriate.

Except as provided below, all Position Statements and Whitepapers expire on December 31 following the third anniversary of their approval or most recently approved update.

- IEEE Core Public Policy Positions are not subject to automatic expiration.

- When deemed advisable, a specific expiration date or condition may be adopted by the approving entity and affixed to the Position Statement or Whitepaper.

Copies of withdrawn policy documents will be archived and maintained as historical records.

15.10 Policy Communications by Individual IEEE Members

IEEE members shall not purport to speak on behalf of IEEE or its Organizational Units on matters concerning public policy unless authorized by the relevant IEEE authorities.

IEEE members are encouraged, as private citizens, to engage in policy-related activities, including communications with government officials on their own behalf, and may make use of approved IEEE and IEEE Organizational Unit Whitepapers, Position Statements and Policy Communications, as long as they make it clear that they are not personally representing IEEE. While engaged in such activities, members may indicate their IEEE membership and volunteer status.

15.11 OU Public Policy Processes and Operations

Consistent with applicable IEEE Bylaws and Policies, IEEE Organizational Units may establish internal requirements and processes regulating their public policy communications and the related activities of their subordinate Organizational Units.

SECTION 16 – APPLICATIONS FOR MEMBERSHIP, BILLING AND RENEWALS

16.1 New Applicants Schedule

An applicant for IEEE membership shall pay annual dues, and any assessments, with the application submitted. Sponsors of membership applications are encouraged to make such payments when practical to avoid a delay in effective membership as defined in Bylaw I-106.4. Should an application fail, the sum remitted with the application shall be refunded in full.

For new memberships and subscriptions, all applicable dues, assessments and fees shall apply as follows:

If payment is received in the period 16 August to 31 December, inclusive, membership shall continue until 31 December of the following year.

If payment is received in the period 1 January to the last calendar day of February, inclusive, membership shall continue until 31 December of the current year.

If payment is received in the period 1 March to 15 August, inclusive, the dues and assessment, if any, payable shall be one-half of the annual dues and assessment, if any, and membership shall continue until 31 December of the current year.

16.2 Membership Categories; Reduced and Waived Dues/Fees

In accordance with IEEE Bylaw I-102. the requirements to qualify for special categories of membership as well as for any related reduction or waiver of dues, assessment and fees are provided below.

1. Reduced Dues, Assessments and Fees for Minimum Income, Retired and Unemployed Members. Members qualifying for the Minimum Income, Retired, and Unemployed categories of membership may apply for a 50% reduction in IEEE dues, assessments, Society dues, Society periodicals fees, Women in Engineering dues, and, for a two-year period beginning in March 2012 through March 2014, Standards Association individual membership dues. The reduced payments may not be made in installments. Members qualifying under these categories shall not receive any further reduction of dues and fees under any other special program.

   A. Minimum Income -- The category “Minimum Income” shall be applied to a member or to an applicant for membership above the grade of Student, who submits satisfactory evidence annually to IEEE Headquarters that the member's annual income for the prior year did not exceed the minimum income level. The minimum income level shall be 100 times the amount of the basic IEEE dues. For purposes of this Policy, "annual income" shall mean a member's gross, unadjusted income including the value of all benefits and services from any source, as distinguished from taxable income.

   B. Retired -- The category “Retired” shall be applied to a member or to an applicant for membership above the grade of Student or Graduate Student Member age 62 or older who is not gainfully employed and does not qualify for Life Member status.

C. Unemployed -- The category "Unemployed" shall be applied to a member or to an applicant for membership above the grade of Student or Graduate Student Member who (1) has become involuntarily unemployed and is seeking employment, or (2) has become voluntarily unemployed for reasons of raising children. A statement of continued unemployment shall be provided with each annual dues payment. In the case of voluntary unemployment, the provisions of this Policy shall not exceed four years.

2. Electronic Membership. Electronic Membership shall be offered to those members of Associate Member, Member, Senior Member or Fellow grade who reside in countries with Gross National Income per capita (GNI/Capita) equivalent to USD 15,000 or less, based on the most recent three-year average GNI/Capita as provided by the World Bank. The GNI/Capita base equivalent of USD 15,000 shall be adjusted tri-annually beginning with the 2019 calendar year to reflect the change in the three-year average of GNI as provided by the World Bank. All fractional amounts shall be rounded to the nearest whole dollar.

   Members who qualify and select Electronic Membership shall be provided digital copies of or electronic access to all the offerings and products provided to full dues paying members, with the exception of the IEEE annual election materials which shall be provided in paper.

   The IEEE dues for higher grade members who qualify and select Electronic Membership shall be eighty dollars (USD 80). IEEE dues for undergraduate Student Members shall be fourteen dollars (USD 14). IEEE dues for Graduate Student Members shall be twenty-seven dollars (USD 27). The dues shall be reduced to twenty-nine dollars (USD 29) for higher grade members, and five dollars (USD 5) for undergraduate Student Members if their country is listed on the World Bank list of Low-income economies. Using these amounts as a base, Electronic Membership dues shall be adjusted annually to reflect the change in the three-year average of the minimum for each year of the following consumer price indices of the Advanced Economies, the World, the U.S., and the Emerging and Developing Economies as published by the International Monetary Fund from such average in the preceding year. All fractional amounts shall be rounded to the nearest whole dollar. The IEEE dues for members who qualify and select Electronic Membership shall not be subject to any further reduction or waiver.

3. Permanently Disabled Member - Dues Waived. The category "Permanently Disabled" shall be applied to a member who has a medically determinable physical or mental impairment which (i) renders the individual incapable of performing any substantial gainful employment, (ii) can be expected to be of indefinite duration or result in death, and (iii) is evidenced by a certification to this effect by a doctor of medicine approved by the IEEE Executive Director. The IEEE Executive Director shall determine the date on which the permanent disability shall have occurred if such determination is necessary. The IEEE dues and assessments, if any, shall be waived for those members who become permanently disabled.

4. Exceptional Circumstances - Dues Waived. Under exceptional circumstances as provided for in the Constitution, such as inability of a member to remit dues due to wartime conditions, the Board of Directors may, if it waives dues, also declare that during the period of such waiver the member has maintained continuous membership. The waiver shall apply to Society dues, and the continuity of membership during the waiver period shall apply to Society memberships held at the beginning of that period.

16.3 Advance Payment Dues

Any full-dues paying member above Graduate Student Member grade may elect to pay IEEE dues, assessments, and Society dues in advance at the annual rate in effect at the time of payment. The years for which dues and fees have been paid in advance shall be immediately credited to the record of the member in determining his/her eligibility to the designation of Life Member as provided in Bylaw I-102.2. No refund will be made of dues or fees paid in advance.

16.4 Membership Billing, Termination, and Reinstatement

1. Membership Dues Period - Billing Cycle. In accordance with IEEE Bylaw I-108.4, the membership year shall be 1 January through 31 December. A bill covering dues, applicable assessments, and fees shall be mailed to every member not later than the beginning of the membership year. Such bills shall be mailed to the member's last known address on record at the IEEE.

2. Reinstatement of Membership. To reinstate membership, an individual whose membership has been terminated due to the failure to meet the monetary obligations required for membership shall apply for reinstatement and meet the obligations of membership as defined in the IEEE Bylaws. Membership may be reinstated with no loss of continuity of membership upon payment of all dues and applicable assessments covering the period in which membership had been terminated. Membership may be reinstated without continuity of membership upon payment of dues and applicable assessments for the then current membership year. Upon reinstatement of membership, a member shall be entitled to all the rights, privileges, and services and publications associated with his/her grade from and after the date of reinstatement.

3. Periodicals Resumption. Upon reinstatement of membership a member shall be restored to the publication mailing list and receive all issues of IEEE publications to which he/she is entitled from and after the date of reinstatement. Publications that he/she would normally have received had his/her membership status been continuous shall be considered forfeited. However, upon written request these will be supplied if available.