



# **IEEE Global Public Policy Operations Manual**

**June 2016**

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## **I. INTRODUCTION**

### **A. Preamble**

IEEE's Global Public Policy activities seek to leverage the knowledge and insights of our community to provide governments, NGOs, other public and private organizations, and the public-at-large with accurate information and recommendations to address technology-related public policy issues from a global perspective. A broader statement of purposes and guiding principles for IEEE global public activities is outlined in IEEE Bylaw I-311.

This Operations Manual provides information on how the provisions in IEEE governance documents related to public policy, particularly Bylaw I-311, IEEE Policies Section 15, and the Charter of the IEEE Public Policy Committee, will be implemented. It is not intended to restrict individual IEEE members or groups of members from engaging in public policy activities in a personal capacity. See IEEE Policies, Section 15.10.

### **B. IEEE Global Public Policy Committee (GPPC)**

#### **1. Formation**

The IEEE Global Public Policy Committee (GPPC) was established by the IEEE Board of Directors on 4 October 2015 as a Committee of IEEE and is responsible to the Board through Bylaw I-305.7. The GPPC's Charter, approved on the same date, is incorporated into this Operations Manual as Appendix A.

#### **2. Purpose**

As stated in Bylaw I-305.7 and the GPPC Charter,

*The Global Public Policy Committee shall advise IEEE through the IEEE Board of Directors on matters related to public policy. It shall encourage, assist, coordinate, and oversee public policy activities throughout IEEE with the goal of enhancing and sustaining IEEE's reputation as a globally-relevant resource of high-quality, balanced and effective advice, information and advocacy on public policy issues within IEEE's sphere of technical competence and professional interest.*

#### **3. Functions**

As stated in the GPPC Charter,

*The functions of the Global Public Policy Committee shall include, but not be limited to:*

- 1. Identifying and recommending topics for IEEE Public Policy Position Statements and Whitepapers and leading or guiding their development for Board consideration.*

2. *Reviewing Public Policy Position Statements and Whitepapers proposed for adoption by other IEEE Organizational Units, to ensure they are consistent with applicable IEEE policies, positions and principles, and referring them for Board consideration when discerned conflicts are not resolved.*
3. *Educating IEEE volunteers and members of staff regarding effective and appropriate methods of engaging in public policy discussions and IEEE policies related to such activity.*
4. *Overseeing IEEE's public policy-related legal and regulatory compliance operations.*
5. *Maintaining an open and searchable public archive of all IEEE public policy positions and associated policy communications.*
6. *Developing metrics and providing reports that gauge the effectiveness of IEEE's public policy activities.*
7. *Other assignments as may be made by the IEEE Board of Directors.*

### **C. Governing Documents**

The policies, procedures, and regulations governing the IEEE public policy activities and the operations of the IEEE Global Public Policy Committee are embodied in the following documents, which are listed below in the order of precedence:

- Not-for-Profit Corporation Law, State of New York
- IEEE Certificate of Incorporation
- IEEE Constitution
- IEEE Bylaws (in particular Bylaws I-305.7 and I-311)
- IEEE Policies (in particular Section 15, hereinafter referred to as Policy 15).
- Specific Resolutions of the IEEE Board of Directors
- IEEE Global Public Policy Committee Charter (Appendix A)
- The IEEE Global Public Policy Operations Manual (this document)
- IEEE Organizational Unit Operations Manuals
- Other established IEEE practices or procedures
- Robert's Rules of Order

## **II. PUBLIC POLICY DOCUMENTS**

### **A. Types and Purposes**

IEEE and its Organizational Units (as defined in IEEE Bylaw I-107.1) are authorized to produce and disseminate three basic types of public policy documents as specified in IEEE Policy 15 (see also Appendix B). These are:

#### **1. Technology Policy Whitepapers**

*A **Technology Policy Whitepaper** is a document that provides technically sound and balanced information relevant to a public policy issue(s), but does not make policy*

*recommendations. (P15.3.A) This category encompasses reports, issue briefs, technology information statements, technology assessments, and other types of documents (or document titles) which fall within this content-based definition.*

*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. (P15.3.A)*

## **2. Public Policy Position Statements**

*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.*

*IEEE Public Policy Position Statements may not be contradicted by Public Policy Position Statements or Policy Communications by IEEE Organizational Units.*

*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. (P15.4.A).*

*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.*

*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. (P15.4.B)*

*When an IEEE Position Statement is adopted and is deemed to contradict an existing OU Position Statement, the OU Position Statement will be withdrawn.*

## **3. Public Policy Communications**

*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. (P15.5.A)*

## **B. Policy-Related Communications of a Legal Nature**

**Amicus Curiae Briefs** and other public communications of a legal nature (i.e. authorized communications designed to aid the deliberations of a judicial body engaged in resolving an on-going legal matter) are specialized communications not addressed by this Operations Manual, and must adhere to the specific content, process and review requirements outlined in IEEE Policy 7.9.

## **C. Consistency with Governing Documents**

All IEEE Public Policy Documents shall be consistent with any and all relevant requirements contained in the Governing Documents cited in Section I.C, above. In particular, they shall be consistent with the descriptions and principles contained in IEEE Bylaw I-311 and the requirements contained in IEEE Policies, Section 15.

## **D. Official Language**

The official language of all Technology Policy Whitepapers, Public Policy Position Statements, and Public Policy Communications shall be English. Such documents may be translated into and disseminated in languages designated for official government communications and/or appropriate to the intended audience and usage, provided the official English language version has been reviewed and approved as described below and is made available to the public.

## **E. Special Formatting Requirements**

Policy documents shall meet the following formatting requirements for public release:

- 1. Logos:** Each official IEEE Technology Policy Whitepaper and Policy Position Statement shall display the IEEE logo on its cover, consistent with IEEE's official guidelines (see IEEE Policy 6.3.2) and associated logo compliance rules. An IEEE Organizational Unit Technology Policy Whitepaper or Policy Position Statement shall display the official Organizational Unit Logo on its cover, but shall not display the IEEE Logo, unless approved by the GPPC.
- 2. Heading/Title:** Each official technology policy whitepaper and policy position statement shall include both a descriptive header and subject matter title at the top of its first page or cover sheet. The descriptive header specifies the source and type of policy document (e.g. IEEE Policy Position Statement, IEEE-Technical Activities Technology Policy Whitepaper"). The subject matter title identifies the subject of the document (e.g. "Promoting Sustainable Energy for All").
- 3. Date of Adoption and Approving Authority:** Each official technology policy whitepaper and policy position statement shall include the date of adoption and the name of the approving authority as part of its header/cover page or other readily visible location within the document. This helps to insure the continuing relevance of the document and assists with administration of reviews and sun-setting.

4. **Identification of Authors:** In the case of an IEEE or OU public policy position statement, the individual authors of the document will not be identified. In the case of an IEEE or OU technology policy whitepaper, it is permissible, but not required, to identify the primary author(s) or authoring body (e.g. committee, etc.), including a list of author names or endorsing members, in the end materials of the document.
5. **Organizational Description and Disclaimer:** Each official technology policy whitepaper and policy position statement shall contain an official description of the originating organization and appropriate disclaimer as follows:
  - a. **IEEE Documents:** IEEE Technology Policy Whitepapers and Policy Position Statements shall include a subheading “About IEEE” with the following descriptive statement in highlighted text on the inside cover or at the end of the main body (before background materials) of the position statement or whitepaper.

***ABOUT IEEE***

*IEEE is the world's largest technical professional organization dedicated to advancing technology for the benefit of humanity. IEEE and its members inspire a global community to innovate for a better tomorrow through its highly-cited publications, conferences, technology standards, and professional and educational activities. IEEE is the trusted “voice” for engineering, computing and technology information around the globe.*

*There are more than [insert current number] IEEE members in more than [insert current number] countries. The IEEE publishes a third of the world’s technical literature in electrical engineering, computer science and electronics and is a leading developer of international standards that underpin many of today's telecommunications, information technology and power generation products and services.*

This statement may be found at <https://www.ieee.org/about/index.html> and may be revised/updated by IEEE Corporate Communications with notice to the Global Public Policy Committee.

The originating author/entity may propose an alternative “About IEEE” statement, modified to better suit the needs of the intended audience, for approval by the GPPC.

- b. **Organizational Unit Documents:** As specified in Policy 15, each Organizational Unit Position Statement shall contain the following highlighted disclaimer on the inside cover, or at the close of the formal statement before any additional background or attached materials:

*“This statement was developed by the [insert name of IEEE organizational unit] 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] do not necessarily reflect the views of IEEE or its other Organizational Units.”*

Subject to the approval of the GPPC, IEEE Organizational Units may also include “About (the OU)” and “About IEEE” statements appropriate to their respective audiences. Organizational units are encouraged to adopt a standardized organizational description for this purpose.

#### **F. Annual Review and Expiration**

As provided in IEEE Policy 15.9,

*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. All Position Statements (except those adopted as “IEEE Core Public Policy Positions”) and Whitepapers expire on December 31 following the third anniversary of their approval, or most recently approved update.*

*When deemed advisable, a specific expiration date or condition may be adopted by the approving entity and affixed to the Position Statement or Whitepaper (e.g., a position statement endorsing a specific piece of legislation may be approved with the condition that it will expire and be withdrawn upon adoption of the legislation into law or at the end of the legislative session at which the legislation is eligible for consideration).*

*Copies of withdrawn policy documents will be archived and maintained as historical records.*

### **III. INITIATING PUBLIC POLICY POSITION STATEMENTS AND TECHNOLOGY POLICY WHITEPAPERS**

Any IEEE Member (or group of members) in good standing may initiate a proposal for a public policy position statement or technology policy whitepaper, which should be referred for consideration of adoption to the organizational unit with geographic or subject-matter responsibility for the issue addressed in the proposed position or whitepaper. Proposals can also be submitted to the Global Public Policy Committee, which will refer them to the appropriate IEEE body or organizational unit for consideration.

With respect to proposals for IEEE public policy positions and technology policy whitepapers requiring approval by the IEEE Board of Directors, IEEE Policy 15.4.A.4 provides that:

*IEEE Public Policy Position Statements may be proposed by any member of the IEEE Board of Directors, by the IEEE Global Public Policy Committee, or by any IEEE Major Organizational Unit.*

*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.*

IEEE Policy 15.3.B.1. also provides that:

*The IEEE Board may delegate responsibility for developing and/or approving IEEE Technology Policy Whitepapers on particular topics to the IEEE Global Public Policy Committee.*

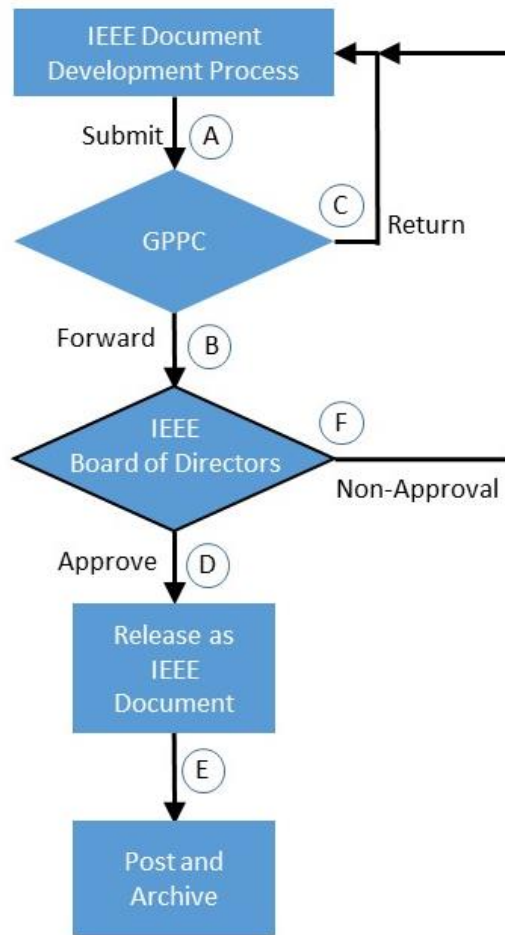
With respect to the proposals for public policy positions and technology policy whitepapers for adoption by an IEEE organization unit other than the IEEE Board of Directors, IEEE Policy 15.4.B.4 provides that:

*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 Statement 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.*

Proposed amendments/additions to major organizational unit's Operations Manuals outlining policies and procedures for the administration of public policy documents shall be referred to the IEEE Global Public Policy Committee for review and input concurrent with their review by the IEEE Governance Committee pursuant to IEEE Bylaw I-303.9.

The Global Public Policy Committee may also recommend standard processes and guidelines for administration of public policy documents as a model for adoption by organizational units.

#### IV. REVIEW AND APPROVAL OF IEEE TECHNOLOGY POLICY WHITEPAPERS AND PUBLIC POLICY POSITION STATEMENTS



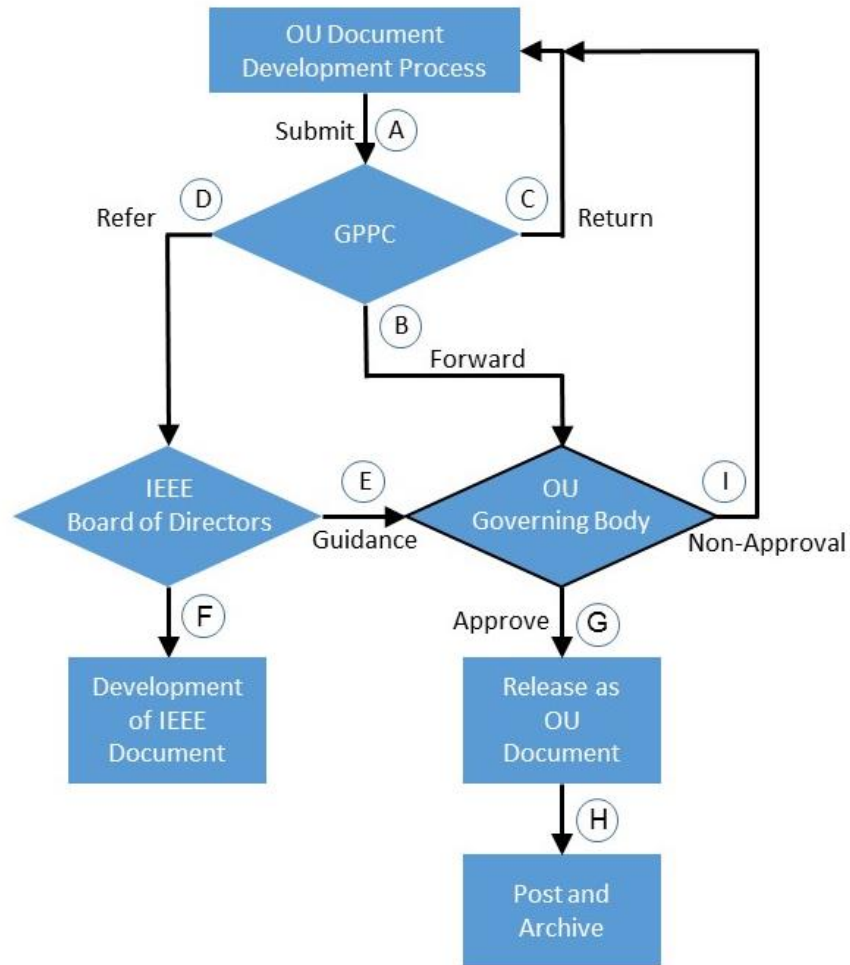
**Figure 1. Process for Review and Approval of IEEE Technology Policy White Papers and Position Statements**

- A. Submit to the GPPC:** When a proposed IEEE Technology Policy Whitepaper or Position Statement is deemed by the originating entity to be complete and ready for IEEE Board consideration, it shall be submitted to the GPPC electronically, marked “draft” along with a cover memorandum providing information about the submission (see Appendix C). In this circumstance, the GPPC’s role is that of advisor to the Board.
- B. Forward to IEEE Board:** After a timely review, normally within two weeks, the GPPC may forward the proposed Whitepaper or Position Statement to the Board with comments and recommendations. In preparing its advice to the Board, the Committee will consider the criteria set forth in IEEE governing documents, especially Bylaw I-311 and Policy 15, and may consider any other factors that it considers relevant, drawing upon its experience

and expertise in public policy, and its knowledge of the global public policy context. GPPC will also identify any OU Position Statements on related topics.

- C. Return to Originating Entity:** If the GPPC finds issues that must be addressed in order to comply with IEEE governing documents, or other issues that it believes should be addressed before the document is considered by the Board, it may return the proposed document to the originating entity with comments and recommendations, and may, as needed, provide consultation. The originating entity may, after reconsideration and modification, resubmit the document to the GPPC for further review. In the event of unresolvable disagreements between the originating entity and the GPPC, the document will be forwarded to the IEEE Board, by GPPC, with both viewpoints expressed.
- D. Approval by IEEE Board:** After reviewing the document along with comments and recommendations from the GPPC, the Board may approve the document as an IEEE Technology Policy Whitepaper or IEEE Position Statement. Such approval shall represent final approval and authorization to disseminate the document publicly.
- E. Posting and Archiving:** Upon approval by the Board, the document shall be returned to the GPPC, which will place a copy in the IEEE digital public policy archive and make it available on the IEEE Public Policy web portal (see Section VI). The GPPC may also assist in publicizing the document, as appropriate.
- F. Non-Approval by IEEE Board:** If the Board does not approve the document, it will be returned to the originating entity with notice of non-approval and any guidance or explanation the Board may choose to provide. Non-approval by the Board should not preclude the same originating entity, or another, from subsequently submitting a document on the same, or a related, topic.

**V. REVIEW AND APPROVAL OF IEEE ORGANIZATION UNIT PUBLIC POLICY POSITION STATEMENTS AND TECHNOLOGY POLICY WHITEPAPERS**



**Figure 2. Process for the Approval of IEEE Organizational Unit Technology Policy White Papers and Position Statements**

- A. Submit:** When a proposed IEEE Organizational Unit Technology Policy Whitepaper or Position Statement is deemed by the originating entity to be complete and ready for consideration by the Organizational Unit’s governing body, it must be submitted to the GPPC electronically, marked “draft,” along with a cover memorandum providing information about the submission (see Appendix C).
- B. Forward to the OU Governing Body:** After a timely review, normally within two weeks, with IEEE governing documents, the GPPC may forward the proposed Whitepaper or Position Statement to the relevant OU Governing Body with comments and recommendations. In preparing its advice to the OU Governing Body, the

Committee will consider the criteria set forth in IEEE governing documents, especially Bylaw I-311 and Policy 15. Particular attention shall be given to the criteria specified in Policy 15.6, which provides the following:

*When reviewing proposed Organization Unit Technology Policy Whitepapers and Position Statements....the Global Public Policy Committee 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.*
- *Whether the document addresses matters of a legal nature that warrant review by IEEE corporate counsel.*
- *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.*

The GPPC may consider and advise the OU Governing Body regarding other factors that it considers relevant, drawing upon its experience and expertise in public policy, and its knowledge of the global public policy context.

**C. Return to Originating Entity:** If the GPPC finds issues that must be addressed in order to comply with IEEE governing documents, or other issues that it believes should be addressed before the document is considered by the OU Governing Body, it will return the proposed document to the originating entity with comments and recommendations, and may, as needed, provide consultation. The originating entity may, after reconsideration and modification, resubmit the document to the GPPC for further review. In the event of unresolvable disagreements between the originating entity and the GPPC, the document will be forwarded to the IEEE Board of Directors by GPPC with both viewpoints expressed.

- D. Refer to the IEEE Board of Directors:** If, following its review, the GPPC concludes that the proposed policy document should be reviewed by the IEEE Board of Directors, it will forward the document to the IEEE Board with a statement of reasons and any relevant comments or recommendations. If appropriate, referral to the IEEE Board of Directors may occur at the same time the document is forwarded to the OU Governing Body (Option B, above). Both the originating entity and the relevant Organizational Unit shall be notified of the IEEE Board referral.
- E. Guidance to the OU Governing Body:** After review and consideration of the recommendations of the GPPC concerning the proposed Organizational Unit policy document, the Board may provide guidance or direction to the Organizational Unit.
- F. Develop IEEE Document:** After reviewing the proposed organizational unit policy document and related comments and recommendations, the IEEE Board of Directors may decide to develop and consider an IEEE policy document on the subject of, or a subject related to, the proposed Organizational Unit document, and may direct the GPPC to lead the development of such document. Depending on circumstances, this may or may not affect the approval of the Organizational Unit document. In the event that the IEEE Board adopts an IEEE position statement containing recommendations that are inconsistent, in whole or in part, with a proposed or existing OU position statement, the OU position statement shall be withdrawn.
- G. Approval by OU Governing Body:** After reviewing the document along with comments and recommendations from the GPPC and any direction or guidance from the IEEE Board of Directors, the OU Governing Body may approve the document (with any required modifications) as an Organizational Unit (not IEEE) Technology Policy Whitepaper or Position Statement. Such approval shall represent final approval and authorization to disseminate the document publicly. If the OU Governing Body acts to provisionally approve the document prior to receiving and considering comments and recommendations from the GPPC and/or guidance or direction from the IEEE Board, the proposed document shall be embargoed from release until such input has been reviewed and all mandatory revisions have been made.
- H. Posting and Archiving:** Upon approval by the OU Governing Body, the document shall be returned to the GPPC which will place a copy in the IEEE digital public policy archive and make it available on the IEEE Public Policy web portal (see Section VI). The GPPC may also assist in publicizing the document, as appropriate.
- I. Non-Approval by OU Governing Body:** If the OU Governing Body does not approve the document, it will be returned to the originating entity with notice of non-approval and any guidance or explanation the OU Governing Body may choose to provide. Non-approval by the OU Governing Body should not necessarily preclude the same originating entity, or another, from subsequently submitting a document on the same, or a related, topic.

## **VI. IEEE AND ORGANIZATIONAL UNIT POLICY COMMUNICATIONS**

Policy-related communications (see definition in Section II.A.3 above) to public policy-makers and/or to the public-at-large may be made by IEEE and its Organization Units within their authorized geographic, technical or business scope, subject to the following requirements:

### **A. Requirement of an Approved Public Policy Position Statement or Whitepaper**

IEEE Policy 15.5.C states:

*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 Public Policy Committee, 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.*

In the absence of an approved public policy position or whitepaper which provides an authoritative basis for the policy communication, the proposed policy communication can be reviewed and authorized for release as though it were a Public Policy Position Statement and authorized per Section IV/V above.

### **B. Policy Communications Through Coalitions, Membership Organizations or Other Collaboration**

IEEE and its Organizational Units that engage in public policy may find opportunities to enhance their influence through participation in a coalition of like-minded organizations, membership in a policy advocacy organization, or other forms of external collaboration. In this regard, IEEE Policy 15.5.E provides:

*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.*

### **C. Formatting**

Policy communications should be formatted on approved IEEE or organizational unit letterhead or in the form required by the recipient government body.



#### **D. Coordination With Other Organizational Units**

IEEE organizational units pursuing policy communications to regional, national or sub-national governmental or policy-related entities on topics within their technical or business scope should coordinate their communications in advance with the IEEE organizational unit that has geographical responsibility for that region or country. See for example, IEEE Bylaw I-303.8, which provides “IEEE-USA shall be the organizational unit that represents the professional interests of IEEE before U.S. governmental bodies. It shall also be responsible for coordinating and reporting, under federal disclosure laws, all official communications with government.”

Similarly, IEEE geographic organizational units pursuing policy communications with governmental bodies within their geographic jurisdiction should coordinate with the other IEEE organizational units whose technical or business scope conveys responsibility for the subject matter of the proposed policy communication (e.g. standards, engineering accreditation, etc.).

In situations where the policy interests of two or more IEEE organizational units are aligned, a joint OU policy document or the proposal of an IEEE document is recommended.

In situations where the policy interests or recommendations of two or more IEEE organizational units are not aligned, each OU may express its views and recommendations within the limits of its authority and/or geographic jurisdiction. Where the authority or jurisdiction overlaps, any disagreements on proposed policy documents that can't be resolved through direct negotiation between the interested organizational units should be referred to the GPPC, which will serve as mediator and may recommend elevation of the issue to the IEEE Board for resolution.

#### **E. Review and Approval**

All policy communications must be appropriately reviewed and approved before release. IEEE Policy 15.5.D states that:

*IEEE Public Policy Communications shall be approved by the IEEE President, or the Chair of the Global Public Policy Committee. Public Policy Communications by IEEE Organizational Units shall be approved by the chief officer of the Organizational Unit's formally constituted governing body.*

#### **F. Posting and Archiving**

Pursuant to IEEE Policy 15.8, once an IEEE or organizational unit policy communication has been released to its external audience, an authoritative copy (in English) shall be submitted to the GPPC along with the information specified in an accompanying cover sheet (Appendix D).

GPPC shall place a copy of the policy communication in the IEEE digital policy archive and make it available for viewing via an IEEE Public Policy web portal (see Section VI).

## **VII. PUBLIC DISSEMINATION AND ARCHIVING**

IEEE Bylaw I-311 requires that:

*All official IEEE and IEEE Organizational Unit Position Statements and Policy Communications shall be freely available to members and to the public.*

Pursuant to IEEE Policy 15.8, this requirement is met through the submission of the final (official) versions of all IEEE and IEEE organizational unit position statements, technology policy whitepapers and policy communications to the IEEE Global Public Policy Committee as soon as possible after final approval and release. The GPPC will maintain an IEEE digital archive of all policy-related documents and will post a publicly accessible version on the IEEE web site. IEEE organizational units may also disseminate their policy documents through their own website and/or communications means.

## **VIII. RESPONSIBILITY FOR LOBBYING-RELATED REPORTING AND DISCLOSURE**

Public policy activity typically involves communications in various forms with governmental bodies on matters that may relate to the creation or revision of public law or regulations. Countries commonly regulate these types of interactions with their government officials. It is the responsibility of any IEEE entity that seeks to engage in public policy activities to ensure that its activities comply with the laws of the nation (and its political sub-entities) with which the IEEE entity is communicating. This should be explored in advance by consulting with the IEEE General Council/Chief Compliance Office, which will assist in identifying the applicable requirements and restrictions for that country or governmental body.

As a non-profit association organized in the United States under New York Law, IEEE is required to provide an annual disclosure to the U.S. Internal Revenue Service of all funds expended on lobbying activity, and to disclose its lobbying activities to the U.S. Congress on a quarterly basis. This includes any activities that fit the United States' legal definition of "lobbying," in which IEEE or its organizational units might engage outside the United States, regardless of whether it is similarly regulated in the country where it occurs. Reporting of lobbying-related expenses is coordinated through IEEE-USA, per IEEE Bylaw I-300.8, and the IEEE Tax Compliance Office. To ensure accurate reporting essential for legal compliance, IEEE organizational units should keep careful records of any lobbying related activities they engage in and the associated expenses. For more information, see the IEEE Lobbying Compliance Guidelines (currently accessible at: <http://www.ieeeusa.org/volunteers/files/IEEELObbyComplianceGuidelinesVer12.09.pdf>).

## **IX. REVISIONS TO THE GLOBAL PUBLIC POLICY OPERATIONS MANUAL**

Revisions to this Operations Manual may be proposed by the IEEE Board of Directors or by a majority vote of the Global Public Policy Committee and require approval by the IEEE Board of Directors.

Confirming changes to the IEEE Global Public Policy Operations Manual required to update references to the IEEE Bylaws and IEEE Policies, to reflect changes in committee, program or publication names, to update forms, and/or other house-keeping revisions that do not substantively affect the Global Public Policy Committee's operations may be made by staff as authorized by the IEEE Global Public Policy Committee Chair, without requiring IEEE Board approval.

## **APPENDIX A**

### **CHARTER**

#### **IEEE GLOBAL PUBLIC POLICY COMMITTEE**

##### General

The IEEE Global Public Policy is a committee of IEEE and shall be responsible to the IEEE Board of Directors as set forth in Bylaw I-305.7

##### Purpose

The Global Public Policy Committee shall advise IEEE through the IEEE Board of Directors on matters related to public policy. It shall encourage, assist, coordinate, and oversee public policy activities throughout IEEE with the goal of enhancing and sustaining IEEE's reputation as a globally-relevant resource of high-quality, balanced and effective advice, information and advocacy on public policy issues within IEEE's sphere of technical competence and professional interest.

##### Functions

The functions of the Global Public Policy Committee shall include, but not be limited to:

1. Identifying and recommending topics for IEEE Public Policy Position Statements and Whitepapers and leading or guiding their development for Board consideration.
2. Reviewing Public Policy Position Statements and Whitepapers proposed for adoption by other IEEE Organizational Units, to ensure they are consistent with applicable IEEE policies, positions and principles, and referring them for Board consideration when discerned conflicts are not resolved.
3. Educating IEEE volunteers and members of staff regarding effective and appropriate methods of engaging in public policy discussions and IEEE policies related to such activity.
4. Overseeing IEEE's public policy-related legal and regulatory compliance operations.
5. Maintaining an open and searchable public archive of all IEEE public policy positions and associated policy communications.
6. Developing metrics and providing reports that gauge the effectiveness of IEEE's public policy activities.
7. Other assignments as may be made by the IEEE Board of Directors.

##### Membership

The Committee shall comprise a Chair and six At-Large Members, who shall be appointed by the Board of Directors for two year terms, and who shall be eligible for reappointment for up to six consecutive years of service. One At-Large Member, chosen by the Committee, shall serve as Vice-Chair. Committee Members shall have relevant experience in public policy, preferably within IEEE. They shall not concurrently serve on the IEEE Board of Directors or the Governing Board of a Major Organizational Unit. In selecting members, consideration shall be given to achieving diversity among geographic, professional, technical and other relevant perspectives. No more than three At-Large Members may reside within Regions 1-6. Within Regions 7-10, no more than one At-Large Member may reside within any single country.

### Operations

The Committee shall meet as frequently as required via electronic means, and normally hold at least one in-person meeting each year. A minimum of four members, including the Chair, shall be required to provide a quorum.

The Committee shall be provided an annual budget for operations through the normal IEEE budgeting process.

The Committee shall keep minutes of its meetings and submit summary reports of its activities to each regular meeting of the IEEE Board of Directors and otherwise as directed.

The Committee shall develop and maintain a Public Policy Operations Manual outlining processes and requirements relevant to the performance of the committee's mission and functions.

Staff will be assigned to support the committee and its operations at the discretion of the IEEE Executive Director.

### Amendments

The Committee may propose changes to the Charter by majority vote. Charter changes must be approved by the IEEE Board of Directors.

### History

Approved by IEEE Board of Directors (4 Oct. 2015)

## APPENDIX B

### IEEE PUBLIC POLICY DOCUMENTS

#### QUICK REFERENCE

<b>Technology Policy Whitepapers</b> Information & perhaps options; no recommendations	IEEE Whitepapers	<ul style="list-style-type: none"> <li>• Approved by BoD with advice and recommendation from GPPC</li> <li>• May be developed/proposed by other entities</li> </ul>
	OU Whitepapers	<ul style="list-style-type: none"> <li>• Developed &amp; Approved by OUs &amp; focused on their jurisdiction</li> <li>• Reviewed by GPPC</li> </ul>
<b>Policy Position Statements</b> Policy Recommendations	IEEE Position Statements	<ul style="list-style-type: none"> <li>• Approved by BoD with advice and recommendation from GPPC</li> <li>• May be developed/proposed by other entities</li> <li>• Defines IEEE-wide position</li> </ul>
	OU Position Statements	<ul style="list-style-type: none"> <li>• Developed and approved by OUs</li> <li>• Reviewed by GPPC</li> <li>• Appropriate for, &amp; limited to, the domain of the OU, &amp; so identified in Statement</li> <li>• Consistent with existing IEEE Position Statements, and may expand</li> </ul>
<b>Public Policy Communications</b> (e.g. letter, testimony, speech or public remarks, media release) Conveys or explains content of Position Statements and Whitepapers	IEEE Policy Communications	<ul style="list-style-type: none"> <li>• Based on IEEE Position Statements</li> <li>• Consistent w/ any relevant IEEE Whitepapers</li> </ul>
	OU Policy Communications	<ul style="list-style-type: none"> <li>• Based on OU Position Statements</li> <li>• Consistent with any relevant IEEE or OU Whitepapers</li> </ul>

**APPENDIX C**

**SUBMITTAL COVER SHEET FOR GPPC REVIEW**

<b>To:</b>	Chair, Global Public Policy Committee
<b>From:</b>	(Insert name of IEEE Entity)
<b>Title:</b>	(Insert name of document)
<b>Date:</b>	(Insert date of submission)
<b>Tracking #:</b>	(To be inserted by GPPC)

**ACTION REQUESTED** (*Check Appropriate Box*)

<input type="checkbox"/>	Review of Proposed IEEE Position Statement
<input type="checkbox"/>	Review of Proposed IEEE Technology Policy White Paper
<input type="checkbox"/>	Review of Proposed OU Public Policy Position Statement
<input type="checkbox"/>	Review of Proposed OU Technology Policy White Paper
<input type="checkbox"/>	Consultation on Draft Position State/White paper/Policy Communication

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**PURPOSE/RATIONALE:** (*Provide brief statement of purpose, key findings or recommendations, anticipated significance of the draft document*)

**Intended Use/Distribution:** (*Insert description*)

**Related IEEE/OU Positions (If Known):** (*Insert description*)

**Dissenting Views/Organizations (if known):** (*Insert names/links if relevant*)

**Review Process:**

<b>Entity/Step</b>	<b>Action/Outcome</b>	<b>Date</b>
( <i>originating entity</i> )		
( <i>reviewing entity – insert lines for each reviewing entity</i> )		
( <i>approving entity</i> )		
IEEE Global Public Policy Committee		

**Attachment:** (*Attach draft of review document*)

**APPENDIX D**

**GPPC REVIEW OF PROPOSED OU DOCUMENTS**

<b>Name of GPPC Reviewer:</b>	
<b>Title of Document:</b>	
<b>Type of Document:</b>	
<b>Submitting OU:</b>	
<b>Tracking Number</b>	
<b>Date of Review:</b>	

**Instructions:** Please review the indicated policy document, taking into consideration the criteria set forth in IEEE Bylaw I-311 and Policy 15, and any other factors that you consider relevant, drawing upon your knowledge of IEEE and your expertise in public policy. Support your assessment by providing comments or concerns and stating a recommendation in the boxes below.

**Chair’s notes:**

**Assessment: Check box(s) as appropriate**

	<b>Meets Criteria</b>
	<b>Does Not Meet Criteria (select applicable problem criteria below)</b>
<b>1</b>	The document conflicts with a current IEEE Whitepaper, Position Statement or policy adopted by the IEEE Board of Directors.
<b>2</b>	The document raises matters of significant corporate concern or impinges on corporate business interests that warrant review by the IEEE Board.
<b>3</b>	The document addresses matters of a legal nature that warrant review by IEEE corporate counsel.
<b>4</b>	The subject and proposed distribution of the document exceeds the geographic and subject-matter jurisdiction of the originating Organizational Unit.
<b>5</b>	The document raises matters of joint concern to other IEEE Organizational Units with an interest in the subject matter that warrant referral to those units for review and coordination.
<b>6</b>	The document fails to present its findings, recommendations, or conclusions, and the basis thereof, in a clear and professional manner.
<b>7</b>	The originating Organizational Unit has not followed its own internal procedures and processes for development, review and approval of the document.
<b>8</b>	The document fails to follow applicable IEEE formatting and identity policies and guidelines, including correct use of IEEE and entity logos.



**Comments or Concerns** *(append additional pages if necessary)*

**Recommended Action**

**APPENDIX E**

**SUBMITTAL COVER SHEET FOR IEEE DIGITAL POLICY ARCHIVE**

<b>To:</b>	Chair, Global Public Policy Committee
<b>From:</b>	(Insert name of IEEE Entity)
<b>Title:</b>	(Insert name of document)
<b>Date:</b>	(Insert date of submission)
<b>Tracking #:</b>	(To be inserted by GPPC)

Please provide the following information for inclusion in the IEEE Digital Policy Archive (check box or insert as indicated):

<b>Type of Document:</b>	Position Statement	<input type="checkbox"/>	Whitepaper	<input type="checkbox"/>	Policy Communication	<input type="checkbox"/>
<b>Source of Document:</b>	IEEE	<input type="checkbox"/>	OU	<input type="checkbox"/>	(Insert name of OU)	
<b>Date of Approval:</b>	(Insert)					
<b>Initial Distribution:</b>	(Insert)					
<b>Contact for Questions/Inquiries</b>	(Insert)					

Attachment: *(Please attach copies in both Word and .pdf formats.)*