



# **Ethics and Member Conduct Committee Operations Manual**

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Approved by the IEEE Board of Directors

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## Section 1 – Introduction

### 1.1 Vision – Ethics & Member Conduct Committee

A world in which engineers and scientists are respected for their exemplary ethical behavior and the IEEE and its Ethics & Member Conduct Committee (EMCC) are recognized as a major driving force in this regard.

### 1.2 Mission – Ethics & Member Conduct Committee

The Ethics & Member Conduct Committee advises the Board of Directors on ethics policy and concerns, as well as fosters awareness on ethical issues and promotes ethical behavior among individuals and organizations working within the IEEE fields of interests.

### 1.3 Scope

#### IEEE Bylaw I-305.6

“The Ethics and Member Conduct Committee shall make recommendations for policies and/or educational programs to promote the ethical behavior of members and staff, and shall consider instituting proceedings, as defined in IEEE Bylaws I-110 and I-111, related to matters of member and officer discipline and requests for support. Neither the Ethics and Member Conduct Committee nor any of its members shall solicit or otherwise invite complaints, nor shall they provide advice to individuals.”

### 1.4 Limits to Activities

#### IEEE Constitution, Article 1, Section 2

“The IEEE shall not engage in collective bargaining on such matters as salaries, wages, benefits, and working conditions, customarily dealt with by labor unions.”

The Ethics & Member Conduct Committee shall not be involved in employee-employer disputes.

### 1.5 Governance

The policies, procedures and rules of operation by which the IEEE and the Ethics & Member Conduct Committee are governed are embodied in the following documents:

IEEE Certificate of Incorporation (legally establishes the IEEE under New York State Not for Profit Law)

IEEE Constitution (contains IEEE’s fundamental objectives and organization and is approved by the voting members of IEEE)

IEEE Bylaws (govern the implementation of Constitutional provisions in specific organizational structures and are approved by the IEEE Board of Directors)

IEEE Policies (provide more detailed statements of IEEE-wide policies and objectives than are appropriate for inclusion in the Constitution & Bylaws and are approved by the IEEE Board of Directors)

## Section 1 - Introduction

Operations Manuals (provide more detailed statements of the procedures used by the different Major Boards, Standing Committees and sub-committees).

## **1.6 Ethics & Member Conduct Committee Operations Manual**

**IEEE Bylaw I-304.9**

“Standing Committee Operations Manual. The functions, scopes, and responsibilities of each Standing Committee, together with rules for operation and guidance, as recommended by the Standing Committee, shall be compiled by the Executive Director for the approval of the Board of Directors and contained in a document titled "Standing Committee Operations Manual." Following appointment, each new member of a Standing Committee shall be provided with a copy of the applicable Manual.”

The IEEE Ethics & Member Conduct Committee Operations Manual describes the principal functions, activities and administrative processes of the EMCC. It is intended to provide a guide for consistent application of practices and procedures by the EMCC member and IEEE staff.

## **1.7 Approval of and Changes to the EMCC Operations Manual**

This document was originally approved by the IEEE Board of Directors on 20 February 2005. This manual is intended to be continuously updated. Modifications to this document shall be recommended by the EMCC to the IEEE Board of Directors for their approval in accordance with IEEE Bylaw I-303.9.

## Section 2 –Membership & Activities

### 2.1 Membership

#### IEEE Bylaw I-305.6

“The IEEE Ethics and Member Conduct Committee shall consist of not more than nine members of the IEEE, including the Chair, who are not members of the IEEE Board of Directors. The Committee membership should include persons having experience and knowledge of the major operational organizational units of IEEE.”

#### IEEE Bylaw I-304.3

Appointment of Standing Committee Chairs, Members, and Staff Secretaries.

- (a) Unless specified otherwise the chairs and members of the Standing Committees shall be appointed by the Board of Directors.
- (b) The following Standing Committees shall have at least one member who obtained his or her first collegiate degree within the last ten years at the time of appointment and who is at Member grade or higher.

Ethics and Member Conduct Committee  
History Committee  
Individual Benefits and Services Committee  
Meetings and Services Committee  
Membership Development Committee  
Nominations and Appointments Committee  
Strategic Planning Committee  
Tellers Committee  
Women in Engineering Committee

- (c) Staff secretaries shall be designated by the Executive Director, when appropriate, to assist the committees in their work.

The EMCC shall consist of 9 voting members, one of whom shall be an IEEE GOLD member, and a non-voting Staff Secretary.

### 2.2 Terms

#### IEEE Bylaw I-304.5

“Term of Appointment. Unless specified otherwise, the term of appointment for members, including the Chair and any other officers of the Boards and Standing Committees listed in Bylaw I-304 and I-303, shall be for the calendar year of appointment. However, acceptance of appointment will carry with it the understanding that a member would normally be re-appointed annually to serve for no more than three consecutive years.”

#### IEEE Bylaw I-304.6

Duration of Service. Unless specified otherwise, the consecutive period of service of any member of any Board or Standing Committee listed in Bylaw I-305 shall not extend beyond three years, except that a Chair or Past Chair may serve one additional year. The limitations of tenure may be waived in individual cases for reasons deemed by the Board of Directors to be in the best interests of IEEE.

### 2.3 Vacancies

In the event of the incapacity of the Chair, or any member of the EMCC, the IEEE Board of Directors shall fill the vacancy.

### 2.4 Responsibilities of Committee Members

#### 2.4.1 Chair

- Calls and presides over the EMCC meetings.
- Reviews and acknowledges member conduct complaints and ethical inquiries to the EMCC.
- Prepares and works with the EMCC staff on finalizing meeting agendas.
- Reviews draft meeting minutes and actions items with the EMCC staff.
- Assists staff and committee members with any submissions to the IEEE Board of Directors.
- Prepares an annual report on activities of the EMCC, or as requested by the IEEE Board of Directors.
- Works with staff to adhere to the approved annual budget.

#### 2.4.2 Members

- Conduct preliminary investigations of member conduct complaints and prepares reports on findings.
- Review and respond to ethical inquiries to the EMCC as assigned by the Chair.
- Review agenda material prior to each meeting.
- Attend the EMCC meetings and monthly teleconferences.
- Actively participate in discussions.
- Perform such duties as assigned by the Chair.

#### 2.4.3 Staff Secretary

- Assists the EMCC in administrative matters.
- Archives the EMCC meeting minutes, agendas and case information.
- Maintains the EMCC webpage.
- Answers routine inquiries by and to the EMCC.
- Assists in developing and adherence to the EMCC budget.

### 2.5 Meetings

#### 2.5.1 Types of Meetings

- a. In-person meetings. The EMCC shall hold at least one, but normally two, in-person meetings per year. The time and location of the EMCC's meetings shall be determined at the EMCC's discretion.
- b. Teleconferences. The EMCC typically holds monthly teleconferences. Additional teleconferences may be held depending on caseload.

#### 2.5.2 Parliamentary Procedure

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Unless otherwise specified in the IEEE Bylaws, Policies or this Manual, Roberts Rules of Order (latest edition) shall be used to conduct business at the EMCC meetings.

### 2.5.3 Quorum

A majority of the voting members of the EMCC shall constitute a quorum.

### 2.5.4 Actions of the Committee

Unless otherwise specified in the IEEE governance documents, a vote of the majority of the voting members of the EMCC present at the time of the vote, provided there is a quorum, shall constitute an act of the EMCC.

## **2.6 Committee Communications**

### 2.6.1 Confidentiality

Due to the sensitive nature of ethics complaints, all committee correspondence, discussions, and deliberations shall be kept confidential.



## Section 2 –Membership & Activities

### 2.6.2 Electronic

The EMCC business shall be conducted electronically whenever possible, keeping in mind the **strict** confidentiality of some of the EMCC's material. Emails must never include information about people, names, locations, companies, etc. It shall be incumbent on the Chair to determine any guidance that may be necessary in order to proceed with each case.

### 2.6.3 Email

The EMCC has two email addresses; one is for the exclusive use of the EMCC and the other for IEEE members and the public. The EMCC members shall be cognizant of the "[IEEE Email Policy](#)" and "[Acceptable Use Practices](#)".

- a. EMCC Email Alias. The EMCC uses a committee email address for communications and discussion purposes. The alias list goes to everyone on the committee roster, including the IEEE Board coordinator and the EMCC staff support. The alias is not publicized.
- b. Public Email Alias ([ethics@ieee.org](mailto:ethics@ieee.org)). The public email alias has been established to allow IEEE members and non-members to contact the committee. Messages to this alias go to the EMCC's Staff Secretary who responds to routine requests for information. Correspondence through this alias is shared with the EMCC for additional response.

### 2.6.4 Minutes

Meeting minutes and action items are prepared after the EMCC meeting or teleconference and approved at the following meeting.

### 2.6.5 Summary Log

All inquiries and complaints received by the EMCC shall be tracked in a summary log which lists the date received, summary of the complaint/inquiry, status, action taken and follow up dates. The summary log is confidential to the EMCC and the EMCC staff. It shall be distributed regularly to the EMCC prior to each meeting/teleconference and as new updates are received. The EMCC staff shall maintain the summary log.

### 2.6.6 Website

The EMCC website shall be maintained to provide information on the EMCC, IEEE Code of Ethics, related IEEE Bylaws & Policies, archives of Ethics articles in The Institute and other ethics resources. EMCC staff

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shall maintain the site under the direction of the EMCC. The URL is [www.ieee.org/ethics](http://www.ieee.org/ethics).

### 2.6.7 EMCC Booth & Literature

- a. Tabletop Display. The EMCC shall maintain a tabletop display that can be used at IEEE Board of Directors Series, meetings, conferences, and other special events. The display is also available for loan to other IEEE Organizational Units upon request.
- b. Brochure. The EMCC shall maintain a brochure with details about the EMCC and the IEEE Code of Ethics, which is available to members and the public upon request.
- c. IEEE Code of Ethics. The EMCC shall maintain and provide hard copies of the IEEE Code of Ethics to members and the public upon request.
- d. Promotional Material. The EMCC has a supply of promotional items (such as pens) that can be given out at small events.

## 2.7 Financial Matters

### 2.7.1 Budget

The EMCC Chair and staff shall work within the normal IEEE Budget Development Process to develop a budget for the ensuing year. Details on the IEEE budget process are located in FOM.2 of the [IEEE Finance Operations Manual](#).

The EMCC budget covers the following:

- Volunteer and staff travel
- Teleconferences
- Meeting expenses (meeting room fees, etc.)
- Subscriptions
- Shipping (express carriers, booth, etc.)
- [On-line Ethics Center](#) contribution
- Ethics Officers Association membership fees
- Special projects.

### 2.7.2 Expense Reporting/Travel Reimbursement

<p>IEEE Policy 11.6 "It is IEEE policy to reimburse reasonable, authorized travel expenses. Guidelines and procedures for reimbursement, required receipts and related limitations are specified in the <a href="#">IEEE Finance Operations Manual</a>."</p>
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The EMCC members shall familiarize themselves with the guidelines and procedures for reimbursement of authorized travel expenses contained in the IEEE Finance Operations Manual. The Finance Operations Manual does change from time to time; therefore, the EMCC members should consult it before making travel arrangements.

An electronic expense report is available on the [IEEE Volunteer Resources Website](#) or by contacting the EMCC Staff Secretary.

## **2.8 Activities with Other Professional Organizations**

### **2.8.1 Ethics Officers Association (EOA)**

The IEEE is a sponsoring partner to the [EOA \(www.eoa.org\)](http://www.eoa.org). The Staff Director of Corporate Activities is normally the Sponsoring Partner Representative. The EMCC Chair is an Associate member. For continuity, the EMCC staff support persons are also Associate members of the EOA. The EMCC budget provides funding for the EMCC Chair, or his/her designee, to attend an EOA conference.

## Section 3 - Awards

### 3.1 IEEE Award for Distinguished Ethical Practices

#### IEEE Policy 4.9 – Other Institute Awards

“The following awards are administered by other organizational units:

IEEE Award for Distinguished Ethical Practices, for (a) exemplary ethical behavior/practices and/or (b) persuasive advocacy or promotion of ethical behaviors/practices by an IEEE member or organizations employing IEEE members.

This award is administered by the IEEE Ethics & Member Conduct Committee (EMCC) and may be presented annually, unless in the judgment of the EMCC, a suitable candidate is not available.

Details of the award shall be provided in the EMCC Operations Manual.”

#### IEEE Policy 4.4.H – Eligibility & Process Limitations

“No person shall receive an award who, at any state of the recipient selection process for that award, is eligible to vote on who shall receive that award. Nor may they be the nominator or reference for a nomination of a candidate for such award. This conflict of interest limitation shall apply to all awards given by the IEEE or any of its organizational units. “

#### 3.1.1 Description of the Award

The IEEE Award for Distinguished Ethical Practices is presented for (a) exemplary ethical behavior/practices and/or (b) persuasive advocacy or promotion of ethical behavior/practices. The award consists of a framed, engraved silver certificate. Reasonable travel costs for the awardee to attend the award ceremony are also provided.

#### 3.1.2 Justification

There exists a need in IEEE to recognize an IEEE member or an organization employing IEEE members for (a) exemplary ethical behavior/practices and/or (b) persuasive advocacy or promotion of ethical behavior/practices.

#### 3.1.3 Basis for Judging and Selection

Nominations for the award are required and shall include evidence of (a) exemplary ethical behavior/practices or (b) persuasive advocacy of ethical behavior/practices reflecting the relationships of that behavior or those practices to the IEEE Code of Ethics.

#### 3.1.4 Eligibility

Members of the IEEE and organizations that employ IEEE members can be nominated for the award. There are no restrictions as to IEEE membership grade. Eligibility limitations adhere to IEEE Policy 4.4.H.

#### 3.1.5 Frequency

This award is presented annually, unless EMCC judges that a suitable candidate is not available for a specific year.

### 3.1.6 Award Citation

The person originating the nomination may propose the award citation. EMCC will review and modify the citation as appropriate.

## Section 3 - Awards

### 3.1.7 Presentation

The award shall be presented at a meeting hosted by the IEEE Board of Directors, preferably the annual IEEE Honors Ceremony or another event mutually agreed upon by the awardee and EMCC.

### 3.1.8 Funding and Budget

The award will be funded through the EMCC budget, including the cost of the certificate and reasonable travel costs for the awardee.

### 3.1.9 Nominations

Nominations of candidates for this award shall be made on nomination forms available from the IEEE Staff person of EMCC, the EMCC Web site ([www.ieee.org/ethics](http://www.ieee.org/ethics)), and a link off the Awards Board website under "Other Awards Programs."

Nominations should be solicited by suitable notices placed in IEEE publications, such as IEEE Spectrum; The Institute; and Region, Section, and Society newsletters. In addition, a press release should be made available to appropriate trade and technical publications outside of the IEEE.

Any person may nominate or support a candidate for this award, except individuals limited by IEEE Policy 4.4.H, who include members of the IEEE Board of Directors, members of the IEEE Awards Board, members of EMCC, and IEEE Staff. Self-nominations are also not allowed.

### 3.1.10 Selection Committee

The IEEE Award for Distinguished Ethical Practices Selection Committee, a subcommittee of the EMCC composed of three people, shall screen the nominations and make a recommendation to the EMCC for its approval and recommendation to the IEEE Board of Directors. The IEEE Board of Directors shall have final approval.

The IEEE Selection Committee will be convened when there are nominations to be reviewed. The Committee shall only recommend a recipient, who meets the eligibility and selection criteria described in IEEE Policy 4.4.H and Section 3.1.3.

### 3.1.11 Schedule

Nominations submitted to IEEE for this award will follow the same schedule as the other IEEE awards. The presentation of the award shall be made during the same calendar year as the year of the award.

### 3.1.12 Publicity

Publicity for the IEEE Award for Distinguished Ethical Practices Selection Committee should consist of a call for nominations, an announcement of award recipient(s), and an announcement of the presentation of the award.

## Section 4 – Ethics Awareness Activities

### 4.1 IEEE Student Ethics Competition

#### 4.1.1 Overview

The IEEE Student Ethics competition is sponsored by EMCC. It was developed for use at IEEE Student events to encourage the study and awareness of professional ethics by IEEE Student and Graduate Student Members. The competition includes a presentation and defense of a case analysis by teams of students. Specific objectives of the competition program are:

- a. To foster familiarity with the IEEE Code of Ethics and ethical concepts,
- b. To promote a model for discussing and analyzing ethical questions, and
- c. To provide experience in applying ethical concepts to typical professional situations.

#### 4.1.2 Funding

The EMCC will provide funding for events involving Student Branches each year as part of its budget, depending on the availability of funds.

Approved events shall be funded per a schedule developed by EMCC.

All funding shall be used for Student Branch activities.

#### 4.1.3 Eligibility for Funding

- a. To receive funding for prizes, a funding request form shall be submitted to EMCC for review and approval. The funding request form shall be available through the EMCC Web site ([www.ieee.org/ethics](http://www.ieee.org/ethics)).
- b. Each IEEE Region is eligible for funding every other year.
- c. IEEE Organizational Units, such as Sections, Student Branches and Chapters are also eligible for funding.

#### 4.1.4 Participant Eligibility

Participants must be IEEE Student or Graduate Student Members in good standing.

#### 4.1.5 Guidelines

The EMCC shall maintain a list of competition guidelines.

These guidelines shall be available through the EMCC Web site ([www.ieee.org/ethics](http://www.ieee.org/ethics)).







