

**April**



# **IEEE Publication Services and Products Board Operations Manual 2025**

IEEE Publications  
445 Hoes Lane  
Piscataway, NJ 08854, USA

This document incorporates changes to the PSPB Operations Manual approved by the IEEE Publication Services and Products Board through 21 June 2024 and incorporates revisions approved by the IEEE Board of Directors through 24 November 2024.

PSPB Operations Manual  
Amended

15 February 2002  
15 April 2025

# IEEE PSPB Operations Manual

## Table of Contents

<b>INTRODUCTION.....</b>	<b>4</b>
IEEE Incorporation .....	4
Governance.....	4
PSPB Operations Manual .....	4
IEEE Principles of Ethical Publishing .....	5
Approval of and Changes to the PSPB Operations Manual.....	5
Most Recent Amendments .....	6
<b>SECTION 1 – PSPB MANDATE.....</b>	<b>7</b>
1.1 PSPB Mandate from the IEEE Board of Directors .....	7
1.1.1 Mission .....	7
1.2 Role .....	7
1.3 Objectives.....	8
1.4 PSPB Responsibility for IEEE Publications .....	8
1.5 Oversight Responsibilities for Publications .....	9
1.5.1 Periodicals.....	9
1.5.2 Other Publications .....	10
1.6 Subscription Periods .....	10
<b>SECTION 2 - PSPB MEMBERSHIP AND KEY POSITIONS .....</b>	<b>11</b>
2.1 PSPB Membership .....	11
2.1.1 Voting Members .....	11
2.1.2 Staff Secretary.....	13
2.2 PSPB Officers and Roles .....	13
2.2.1 PSPB Chair .....	13
2.2.2 PSPB Vice Chair .....	14
2.2.3 PSPB Past Chair .....	14
2.2.4 PSPB Treasurer .....	15
2.2.5 PSPB Secretary .....	16
2.3 Roles of Other PSPB Members .....	16
2.3.1 Representatives Assigned by other IEEE Organizational Units.....	16
2.3.2 PSPB Committee Chairs.....	18
2.3.3 PSPB Members-at-large.....	18
2.4 Editor-in-Chief of any IEEE Refereed Publication .....	19
2.4.1 Functions .....	19
2.4.2 Duties and Responsibilities.....	19
2.4.3 Qualifications.....	21
2.4.4 Appointments .....	21
2.5 Editorial Board Members of any IEEE Refereed Publication.....	21
2.5.1 Functions .....	21
2.5.2 Qualifications.....	21
2.5.3 Appointments .....	22
2.6 Editor-in-Chief of Non-Refereed IEEE Publications .....	22
2.6.1 Functions .....	22
2.6.2 Duties and Responsibilities.....	22
2.6.3 Qualifications.....	22
2.6.4 Appointments .....	23
2.7 Volunteer Responsibilities for Conduct and Professionalism.....	23
2.7.1 Abiding by the IEEE Code of Ethics and Conduct as an Officer or a Member of an IEEE Board or Committee .....	24
2.7.2 Conflict of Interest.....	25
2.7.3 Acceptance of Position Obligations .....	25
2.7.4 Transfer of Position .....	26
2.7.5 Legal Aspects.....	26
2.8 Removal of a Member of PSPB or a PSPB Committee .....	26
<b>SECTION 3 - STRUCTURE OF THE PUBLICATION SERVICES AND PRODUCTS BOARD.....</b>	<b>27</b>

## Table of Contents (continued)

3.1	General Structure of PSPB .....	27
3.2	Responsibility of Individuals Holding PSPB Positions .....	27
3.3	PSPB Committees.....	27
3.3.1	Establishment .....	27
3.3.2	Current PSPB Committees.....	27
3.4	Joint Committees .....	27
3.4.1	Establishment .....	27
3.4.2	Current Joint Committees .....	28
3.5	Editorial Boards .....	28
3.5.1	Establishment .....	28
3.5.2	Current PSPB Editorial Boards .....	28
3.5.3	Appointment of the Editor-in-Chief.....	28
3.6	Vacancies in PSPB Committees and Editorial Boards .....	28
3.7	PSPB Ad Hoc Committees .....	28
3.8	IEEE Panel of Technical Publication Editors .....	29
<b>SECTION 4</b>	<b>- PSPB COMMITTEE AND EDITORIAL BOARD CHARTERS.....</b>	<b>30</b>
4.1	PSPB Committees.....	30
4.1.1	PSPB Publishing Conduct Committee Charter .....	30
4.1.2	PSPB Finance Committee Charter.....	32
4.1.3	PSPB Nominations and Appointments Committee Charter .....	33
4.1.4	PSPB Operating Committee Charter.....	35
4.1.5	PSPB Strategic Planning Committee Charter .....	37
4.1.6	PSPB Awards and Recognition Committee Charter .....	39
4.2	PSPB Joint Committees .....	41
4.2.1	TAB/PSPB Products and Services Committee Charter .....	41
4.3	PSPB Editorial and Advisory Boards.....	45
4.3.1	IEEE PRESS Editorial Board Charter.....	45
4.3.2	IEEE SPECTRUM Editorial Advisory Board Charter .....	47
4.3.3	PROCEEDINGS OF THE IEEE Editorial Board Charter .....	49
4.3.4	THE INSTITUTE Editorial Advisory Board Charter .....	51
4.3.5	IEEE THESAURUS Editorial Advisory Board Charter .....	53
4.3.6	IEEE ACCESS Editorial Board Charter .....	55
4.3.7	TechRxiv Editorial Advisory Board Charter.....	57
4.4	IEEE PSPB Editorial Advisory Group.....	59
4.5	IEEE Panel of Technical Publication Editors .....	60
<b>SECTION 5</b>	<b>- PSPB AND COMMITTEE OPERATIONAL PROCEDURES .....</b>	<b>63</b>
5.1	PSPB Meetings .....	63
5.2	PSPB Actions .....	63
5.2.1	Actions .....	63
5.2.2	Revision of the PSPB Operations Manual .....	63
5.3	PSPB Quorum .....	65
5.4	Agenda and Minutes of Meetings .....	65
5.4.1	Meeting Agendas .....	65
5.4.2	Meeting Minutes .....	66
5.5	PSPB Nominations and Appointments Process.....	66
5.5.1	Nominations and Appointment Direction and Oversight .....	66
5.5.2	Criteria for Each Nominee .....	67
5.5.3	Solicitation of Prospective Nominees.....	67
5.5.4	Nomination Coordination with other Organizational Units.....	67
5.5.5	Nomination and Election Process for PSPB Non-Editorial Positions .....	67
5.5.6	N&A Process for PSPB Editorial Positions .....	70
5.5.7	N&A Recommendations to Incoming Vice President .....	71
5.6	PSPB Publishing Conduct Committee .....	71
5.6.1	Confidentiality.....	71
5.6.2	Assigned Activities.....	71
<b>SECTION 6</b>	<b>- PSPB FINANCIAL MATTERS .....</b>	<b>73</b>
6.1	PSPB Annual Budgeting Process.....	73
6.1.1	Budget Cycle .....	73
6.1.2	Financial Guidelines for Service-Oriented Cost Centers .....	73
6.2	Administration of PSPB Finances .....	74
6.3	Publication Administration Charge.....	74

## Table of Contents (continued)

6.4	Publication Rates.....	74
6.5	Article Processing Charges.....	75
6.5.1	General Principles.....	75
6.5.2	Conditions for Establishing Article Processing Charges.....	75
6.6	IEEE PRESS Business and Financial Arrangements.....	76
6.6.1	Funding .....	76
6.6.2	Book Pricing .....	76
<b>SECTION 7 - PSPB AWARDS</b>	<b>.....</b>	<b>78</b>
	Reserved for Future Award Operational Procedures .....	78
<b>SECTION 8 - PSPB PROCEDURAL AND OPERATIONAL DECISIONS</b>	<b>.....</b>	<b>79</b>
8.1	Publication Policies .....	79
8.1.1	General.....	79
8.1.2	IEEE Organizational Unit Publications.....	81
8.1.3	Nontechnical Material.....	82
8.1.4	IEEE Copyright Policy and Procedures.....	83
8.1.5	Guidelines for Use of IEEE Logo and "IEEE" .....	85
8.1.6	Titling Protocols for IEEE Publication and Information Products.....	86
8.1.7	Multiple Publication of Original Technical Material in IEEE Periodicals .....	87
8.1.8	Advertising in IEEE Information Services and Products .....	89
8.1.9	Electronic Information Dissemination.....	95
8.1.10	Post Publication Changes .....	98
8.1.11	Removing Access to Content on IEEE Xplore.....	100
8.2	Publication Guidelines .....	101
8.2.1	Publication Principles.....	101
8.2.2	The Review Process .....	107
8.2.3	Appeal of Editorial Decisions .....	114
8.2.4	Allegations of Misconduct.....	114
8.2.5	Transactions, Journals and Letters .....	129
8.2.6	Magazines .....	130
8.2.7	Conference Publications.....	131
8.2.8	Virtual Journals .....	132
8.2.9	Newsletters .....	133
8.2.10	Referencing Guidelines .....	135
8.2.11	IEEE Organizational-Unit Publications .....	136
8.3	IEEE-Wide Initiatives by PSPB .....	136
8.3.1	THE PROCEEDINGS OF THE IEEE .....	136
8.3.2	IEEE SPECTRUM .....	136
8.3.3	THE INSTITUTE .....	137
8.3.4	THE IEEE PRESS.....	138
8.3.5	IEEE ACCESS™ .....	139
8.4	Methods and Processes .....	140
8.4.1	Approval of New Periodicals .....	140
8.4.2	Major Changes to an Existing Publication Product or Service .....	142
8.4.3	Publication of Periodicals Outside the IEEE .....	143
8.4.4	Second Class Mailing Permits .....	145
8.4.5	Conference Publication Identification .....	145

# OPERATIONS OF THE IEEE PUBLICATION SERVICES AND PRODUCTS BOARD

## 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 that relates to that law.

### **Governance**

#### **IEEE Bylaw I-300. Paragraphs 1 and 2**

**Governance.** The policies, procedures, rules and regulations by which the IEEE and its organizational units are governed are embodied in the following documents. The IEEE Certificate of Incorporation legally establishes the IEEE. The IEEE Constitution, which can be approved and amended only by the voting members of the IEEE, contains IEEE's fundamental objectives and organization. Implementation of the constitutional provisions by specific organizational units and their policies is contained in these IEEE Bylaws, which are approved and amended by the IEEE Board of Directors. The IEEE Policies contains more detailed statements of specific policies, objectives and procedures which may be approved only by the IEEE Board of Directors.

The precedence of these documents should be remembered by all those engaged in IEEE management duties. The IEEE Bylaws shall not be in conflict with the New York Not-For-Profit Corporation Law, the IEEE Certificate of Incorporation, or the IEEE Constitution. The IEEE Policies must conform to the provisions of all these documents. Accordingly, additional documents governing organizational units such as operations manuals, policy statements and organizational unit bylaws shall conform to and not conflict with the provisions of the IEEE governing documents cited above.

The IEEE Bylaws and Policies applying to the Publication Services and Products are proposed and amended by the IEEE Publication Services and Products Board (PSPB), with final approval by the IEEE Board of Directors.

### **PSPB Operations Manual**

#### **IEEE Bylaw I-303.9**

**Major Board Operating Procedures.** Each Major Board shall adopt operating procedures that are responsive to the needs of such Major Board for the purpose of governing its operations and administration. These operating procedures shall be maintained in an Operations Manual and shall conform to and not conflict with the IEEE governance documents described in Bylaw I-300. The Operations Manuals or any amendments to its procedures shall not be adopted until such Operations Manuals or any amendments have been submitted to and reviewed by the IEEE Governance Committee. The minimum required information to be contained in the Major Board Operations Manuals shall be specified in the IEEE Policies.

The PSPB Operations Manual follows the mandate of IEEE Bylaw I-303.9 and is arranged in eight sections, each covering a different facet of PSPB. The Manual contains only those items that directly affect the operations of PSPB and the decisions of PSPB on matters delegated to it by the IEEE Board of Directors, including guidelines for publication services and products of IEEE and its

organizational units. These guidelines amplify the requirements of IEEE Policies, particularly the IEEE Principles of Ethical Publishing.

### **IEEE Principles of Ethical Publishing**

IEEE considers the principles guiding its publications (periodicals and conference proceedings) to be the underlying foundation of its technical activities. These publication principles, detailed in Section 8 of this manual, are expressed below as guidelines for all activity in IEEE publications, and are formulated in the context of the IEEE Code of Ethics. These guidelines are intended for the benefit of editors, technical program committee chairs, authors, referees, and all others involved in the publication process.

Editors of IEEE periodicals and conference technical program chairs provide oversight and stewardship of IEEE periodicals and conferences. In doing so they shall uphold the IEEE Code of Ethics and take no coercive actions toward authors and referees and shall adhere to the requirements and guidelines outlined in this manual. Editorial decisions shall be fair, reasonable, and justifiable. These individuals shall perform their duties with collegiality and respect for authors and referees, as well as for other editors and professional staff.

Authors of IEEE publications, whether members of IEEE or otherwise, are expected to accept the basic definitions and guidelines of honest and proper behavior addressed by the requirements and guidelines in this manual. Fair and reasonable credit should be given to related technical work by others, and any reproduction of the work of others should be done with proper crediting and within acceptable norms for citation. These guidelines should be interpreted as providing direction for authors intending to publish their work in IEEE publications.

Referees of IEEE publications provide an invaluable service to editors of IEEE periodicals and conference technical program chairs. While referees generally act as volunteers to uphold the integrity of the IEEE article review process, expectations exist that align with the principles of ethical publishing put forth in this manual. Foremost among these expectations is that referees maintain a posture of collegiality in providing reviews of articles, without intent to influence bibliometric measures, citation indices, or other such metrics.

Perceived violations of these guiding principles by editors, technical program committee chairs, authors, referees, or others involved in the publication process should be reported to the Vice President – Publications Products and Services, either directly or through a reporting chain beginning with a publication editor or conference general chair. Subsequent action is at the discretion of the Vice President, who may initiate investigation through the PSPB Publications Conduct Committee or other means and determine possible sanctions.

Revisions to the above subsection, Principles of Ethical Publishing, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **Approval of and Changes to the PSPB Operations Manual**

The first edition of this document was authored by a PSPB focus group chaired by

Pete Morley with Ken Dawson, Murray Eden, and Josephine Germano as members and approved by PSPB on 16 November 2001. The version approved by PSPB on 23 June 2006 and by the IEEE Board of Directors on 11 August 2006 represented a major revision from previous editions. This current version includes IEEE Board of Directors-approved amendments through February 2025. Modifications to this document shall be approved by PSPB in accordance with Subsection 5.2.2 of this manual and IEEE Bylaw I-300.4(5). The PSPB Document Working Group responsible for the editorial effort is chaired by Steve Yurkovich with Michael Jensen, James Keller, and Gordon MacPherson as members. The IEEE intends to continuously update the PSPB Operations Manual.

### **Most Recent Amendments**

Modifications to the previous edition of the PSPB Operations Manual (which was dated 1 February 2025), approved by PSPB and appropriately by the IEEE Board of Directors, focus in this revised edition on the following subsections:

*Subsections 2.1.1; 4.3.2; 4.3.4; 4.3.5; 4.3.7, and [new] subsection 4.4*

This language describes a restructuring of PSPB, focused on a new grouping of the various Institute-wide publications into a single representative advisory structure: the PSPB Editorial Advisory Group (PSPB EAG), from which three EAG members will be appointed as voting members of PSPB to represent the publications, in addition to any other voting members as specified in the current IEEE Bylaws.

*Subsection 3.3.2 and [new] subsection 4.1.6: New PSPB Standing Committee*

These changes reflect the creation of a new PSPB Standing Committee entitled *PSPB Awards and Recognition Committee (PSPB-ARC)*.

## SECTION 1 — PSPB MANDATE

### **1.1 PSPB Mandate from the IEEE Board of Directors**

#### **1.1.1 Mission**

##### **From IEEE Bylaw I-303.4**

**Publication Services and Products Board (PSPB).** The IEEE Publication Services and Products Board shall report to the Board of Directors and shall be responsible for formulating and recommending information-related, published services and products policies to the Board of Directors, establishing and maintaining standards and procedures for IEEE information dissemination, recommending policies and best practices as they relate to the IEEE website, and otherwise coordinating and assisting those activities of the IEEE and its various organizational units. It is expected that the IEEE organizational units will fulfill their obligations for their services and products. Once approved by the Board of Directors, these procedures become part of the policy and procedures of the IEEE. Other organizational units shall be responsible for administering those policies set by PSPB as they relate to the publications, services and products for which they are responsible.

- (a) The IEEE shall provide services and products which disseminate information on technical, scientific, professional, and newsworthy topics of interest to members, the engineering and scientific community, and the general public.

### **1.2 Role**

##### **From IEEE Bylaw I-303.2. Major Boards**

Major Boards and their organizational units may authorize newsletters, periodicals, magazines, proceedings, and other publications as they may deem necessary for effectively disseminating and publicizing their activities. In so doing, they shall administer the policies and standards set by the Publication Services and Products Board as they relate to publications.

##### **IEEE Policies, Section 6.1– Authority for IEEE Publication Products and Services**

IEEE publications exist by Board of Directors directive or as Publication Services and Products Board 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 organizational units 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.



### **1.3 Objectives**

Publications play a major role in implementing the purposes of the IEEE as defined by its Constitution and in its vision and mission. Throughout the world, IEEE publications and information products serve to advance the theory and practice of electrical, electronics, communications, and computer engineering, as well as computer science and the allied branches of engineering and the related arts and sciences and technologies, and their applications for the benefit of IEEE members worldwide and for the general public.

To carry out these responsibilities, the IEEE shall:

- A. Provide archival publications of lasting value to the profession. Archival publications contain material that has been appropriately evaluated and published for preservation as a record of the field.
- B. Ensure that the material published by the IEEE is readily accessible and retrievable and that the needs of libraries and other important information services are met.
- C. Present, in appropriate publications, information on matters of professional and social concern to the membership.
- D. Enhance communication between the Institute and its members, among its members, and with the public on matters of mutual interest and concern.
- E. Develop and use new media and processes for information dissemination and exchange.
- F. Develop and implement new products and services that enhance IEEE's ability to provide information to members and the public.
- G. Optimize the use of the technical and financial resources of the Institute and its members in support of information dissemination activities.
- H. Ensure the widest possible dissemination of IEEE material consistent with maintaining the economic viability of IEEE's publication operations.

To help attain these objectives, PSPB shall propose for adoption by the IEEE Board of Directors policies, criteria and procedures governing all IEEE publications and related products and services.

Revisions to the PSPB Objectives, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5)

### **1.4 PSPB Responsibility for IEEE Publications**

The IEEE Publication Services and Products Board shall be responsible for

IEEE SPECTRUM and THE INSTITUTE, as defined in Subsections 8.3.2 and 8.3.3. The IEEE mandates for IEEE SPECTRUM and THE INSTITUTE are as follows:

**From IEEE Bylaw I-303.4. Publication Products and Services Board (PSPB)**

- (b) The IEEE shall publish a magazine entitled IEEE SPECTRUM, which contains technical and scientific articles of general interest to the entire membership.
- (c) The IEEE shall publish a newspaper entitled THE INSTITUTE, which contains news of current events in the IEEE itself, the industry, and the engineering and scientific community.
- (d) IEEE SPECTRUM and THE INSTITUTE shall be distributed to all Honorary Members, Fellows, Senior Members, Members, and Associate Members, Graduate Student Members and Student Members.

Revisions to the PSPB Responsibility for IEEE Publications, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

## **1.5 Oversight Responsibilities for Publications**

The IEEE Publication Services and Products Board shall have oversight responsibilities for the IEEE publications listed in this subsection.

### **1.5.1 Periodicals**

A. PROCEEDINGS OF THE IEEE

The IEEE Publication Services and Products Board shall oversee the publication of a monthly journal entitled PROCEEDINGS OF THE IEEE, as defined in Subsection 8.3.1. This publication shall be available to all IEEE members at a subscription fee set during the PSPB annual budget development process.

B. TRANSACTIONS, JOURNALS, AND LETTERS

The IEEE shall publish periodicals incorporating articles of lasting value to the profession and produced by the various IEEE organizational units named IEEE TRANSACTIONS ON \_\_\_\_\_, or IEEE JOURNAL OF \_\_\_\_\_, or IEEE \_\_\_\_\_ LETTERS, as defined in Subsection 8.2.5.

C. MAGAZINES

The IEEE and its organizational units may publish magazines incorporating articles on technical and professional topics as well as news articles, as defined in Subsection 8.2.6.

D. VIRTUAL JOURNALS

The IEEE and its organizational units may publish on-line only virtual journals, each incorporating a collection of previously published articles with value-added editorial commentary, as defined in Subsection 8.2.8.

E. NEWSLETTERS

The IEEE and its organizational units may publish newsletters, as

defined in Subsection 8.2.9.

F. OTHER PERIODICALS

The IEEE may publish periodicals, other than the transactions, magazines, and letters sponsored by one or more IEEE organizational units and subject to the approval of the Publication Services and Products Board. Proposals for new categories of publications must be submitted to the Publication Services and Products Board for review and approval.

**1.5.2 Other Publications**

A. IEEE PRESS

The IEEE shall establish an IEEE PRESS to publish books and monographs, as described in Subsection 8.3.4.

B. CONFERENCE PUBLICATIONS

The IEEE may publish convention and conference publications, as described in Subsection 8.4.5.

C. ANNUAL DIRECTORY

The IEEE may publish an annual Directory containing lists of its members, subject to the approval of the IEEE Board of Directors.

D. SPECIAL PUBLICATIONS

The IEEE may issue other special publications, such as abstracts and indexes, when warranted.

Revisions to the PSPB Oversight Responsibilities for Publications, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**1.6 Subscription Periods**

The IEEE Publication Services and Products Board shall have oversight responsibilities for member subscription periods.

## SECTION 2 - PSPB MEMBERSHIP AND KEY POSITIONS

### 2.1 PSPB Membership

#### **From IEEE Bylaw I-303.4. Publication Services and Products Board (PSPB)**

**PSPB Membership.** The Publication Services and Products Board shall consist of not more than 29 members, which shall include the Vice President – Publication Services and Products who shall serve as Chair; nine Members-at-large appointed by the IEEE Board of Directors for three-year staggered terms, for which PSPB shall recommend nominees; one IEEE Young Professional member appointed by the Chair for a one-year term; the Editors-in-Chief of IEEE Press, Proceedings, and Potentials; one member from each of the Spectrum and Institute Advisory Boards; one current or past member of the Computer Society Board of Governors, appointed by that Board; one member appointed by each of the other Major Boards; the Chairs of the Committees and other appointments, as specified in the PSPB Operations Manual; and the Staff Secretary, who shall serve without vote.

#### **2.1.1 Voting Members**

The voting members of PSPB shall consist of:

- A. The PSPB Chair, who is the Vice President - Publication Services and Products and elected by the IEEE Assembly.
- B. The PSPB Vice Chair shall be appointed by the Technical Activities Board for a one-year term, beginning 1 January. This appointee shall concurrently be a member of the Technical Activities Board or have been within the previous two years.
- C. Nine Members-at-large shall be appointed by the IEEE Board of Directors for three-year staggered terms beginning 1 January, each with the possibility of re-appointment for another three-year term. The number of consecutive terms shall not exceed two. Any individual who has completed two consecutive terms shall not be eligible for appointment during a period of three years following the second term.
- D. The immediate PSPB Past Chair.
- E. One IEEE Young Professional member, who has obtained his or her first collegiate degree within the last 15 years at the time of appointment, shall be appointed by the Chair of PSPB for a one-year term, beginning 1 January, and may be reappointed annually to serve no more than three consecutive years
- F. PSPB Treasurer
- G. Three of the lead volunteers for publications and classes of publications available to all members of the IEEE from among the following:
  - Editor-in-Chief, or that person's designee, from IEEE ACCESS™
  - Editor-in-Chief, or that person's designee, from IEEE CLIMATE

- Editor-in-Chief, or that person's designee, from IEEE POTENTIALS
- Editor-in-Chief, or that person's designee, from IEEE PRESS
- Editor-in-Chief, or that person's designee, from PROCEEDINGS OF THE IEEE
- THE INSTITUTE Editorial Advisory Board Representative
- IEEE SPECTRUM Editorial Advisory Board Representative
- Chair, or that person's designee, from TechRxiv Editorial Advisory Board
- Chair, or that person's designee, from IEEE THESAURUS Editorial Advisory Board

These three voting members shall be appointed annually by the PSPB Chair, in consultation with leadership from the respective Editorial and Editorial Advisory Boards. On an annual rotating basis, at least two of the three voting members shall be appointed from among the first five in the above list, so that each of the five serves at least once in any consecutive four-year period.

- H. One current or past member of the Computer Society Board of Governors who shall be appointed by that Board. The appointment shall be for one year, beginning 1 January, and the individual may be reappointed annually to serve no more than three consecutive years.
- I. An additional member from each of the following Major Boards (who shall either be a current or past voting member of such organizational unit or, in the case of Member and Geographic Activities and Technical Activities, may be a Director-Elect) to be named by, and at the option of, the respective Chairs of these Major Boards:
  - Educational Activities Board
  - Member and Geographic Activities Board
  - Standards Association
  - Technical Activities Board
  - IEEE United States of America.

These Major-Board appointments shall in all cases have terms of office for one year, beginning 1 January. Individuals may be reappointed annually to serve no more than three consecutive years.

- J. Chair, IEEE Conferences Committee.
- K. The Chair of each PSPB Committee.

Individuals holding more than one position on PSPB shall be limited to one vote on each matter being considered by PSPB.

Revisions to Subsection 2.1.1 – Voting Members, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **2.1.2 Staff Secretary**

The Managing Director, IEEE Publications, as appointed by the IEEE Executive Director, shall serve as a non-voting member and Staff Secretary to PSPB, with the title of PSPB Secretary.

## **2.2 PSPB Officers and Roles**

The Officers of the IEEE Publication Services and Products Board shall be the Vice President – Publication Services and Products, who serves as the PSPB Chair, the immediate PSPB Past Chair, the PSPB Vice Chair, the PSPB Treasurer, and the PSPB Secretary.

### **2.2.1 PSPB Chair**

The Vice President – Publication Services and Products is elected by the IEEE Assembly and shall serve as the Chair of the Publication Services and Products Board.

#### **A. FUNCTIONS**

1. Serves as the presiding officer of PSPB.
2. Oversees the activities in support of publication services and products.
3. Represents the IEEE as an elected official.
4. Represents the IEEE in its publication services and products activities and shall act on behalf of the IEEE President whenever requested by that individual.
5. Serves as the coordinator for all publication services and products activities of IEEE and on the IEEE Board of Directors.
6. Serves as an ex officio member of all PSPB Committees and Editorial Boards.

#### **B. DUTIES AND RESPONSIBILITIES**

1. Presides over the meetings of PSPB and the PSPB Operating Committee.
2. In consultation with the PSPB Operating Committee, resolves ambiguity and issues decisions in cases of conflicting interpretations of language in this PSPB Operations Manual. The PSPB Chair shall report all such decisions to PSPB.
3. Reports all PSPB Operating Committee decisions to PSPB.
4. Makes appointments as appropriate.
5. Informs PSPB of important IEEE Board of Directors matters.
6. Acts as the volunteer coordinator for the financial operation of IEEE PSPB.
7. Appoints one IEEE Young Professional member for a one-year term, to serve on PSPB.

#### **C. QUALIFICATIONS**

1. Must be an IEEE Senior Member or Fellow.
2. Shall have served as a voting member of PSPB.

3. Must be able to commit a significant amount of time to the position.
4. Should have the support of his/her employer in meeting the obligations of the position.

### **2.2.2 PSPB Vice Chair**

The PSPB Vice Chair shall be appointed by the Technical Activities Board for a one-year term, beginning 1 January.

#### **A. FUNCTIONS**

1. Serves as a PSPB Vice Chair and a member of the PSPB Operating Committee.
2. Reports administratively to the PSPB Chair.

#### **B. DUTIES AND RESPONSIBILITIES**

1. Chairs meetings in the absence of the PSPB Chair.
2. Attends all meetings of PSPB and the PSPB Operating Committee, keeps informed on all PSPB issues, and participates in discussions.
3. Assures that issues in areas relevant to TAB are brought to the attention of PSPB and, when appropriate, to the IEEE.
4. Reports to PSPB on relevant TAB matters and to TAB on appropriate PSPB matters.
5. Carries out other duties as requested by the PSPB Chair.

#### **C. QUALIFICATIONS**

1. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.
2. Must be able to commit a significant amount of time to the position.
3. Should have the support of his/her employer in meeting the obligations of the position.
4. Must be a member of the IEEE Technical Activities Board or have been within the previous two years.

### **2.2.3 PSPB Past Chair**

#### **A. FUNCTIONS**

1. Serves as Chair of PSPB Nominations and Appointments (N&A) Committee.
2. Serves as a member of PSPB and the PSPB Operating Committee.

#### **B. DUTIES AND RESPONSIBILITIES**

1. Manages the Nominations and Appointments process of PSPB
2. Attends all meetings of PSPB and the PSPB Operating Committee and submits reports on the progress and activities of PSPB N&A, keeps informed on all PSPB issues, and participates in discussions.
3. Carries out other duties as requested by the PSPB Chair.

C. QUALIFICATIONS

1. Must be an IEEE Senior Member or Fellow.
2. Must be able to commit a significant amount of time to the position.
3. Should have the support of his/her employer in meeting the obligations of the position.

**2.2.4 PSPB Treasurer**

The PSPB Treasurer shall be appointed by the PSPB Chair for a one-year term, beginning 1 January, and may be re-appointed annually to serve no more than three consecutive years.

A. FUNCTIONS

1. Serves as the chief financial officer of PSPB and chairs the PSPB Finance Committee.
2. Serves as a member of PSPB and the PSPB Operating Committee.
3. Serves as the PSPB financial representative to the IEEE Finance Committee.
4. Reports administratively to the PSPB Chair.

**From IEEE Bylaw I-305.8. Finance Committee**

Membership. The Finance Committee shall consist of not more than nine members including the Treasurer, Past Treasurer; and the financial representatives from the Awards Board, Educational Activities Board, Publication Services and Products Board, Member and Geographic Activities Board, Standards Association, Technical Activities Board and IEEE-USA. Travel support for these representatives shall be the responsibility of the appointing organizational unit. All members of the Finance Committee shall have voting rights. The Treasurer shall act as Chair.

B. DUTIES AND RESPONSIBILITIES

1. Ensures that there is sound financial management of Publication funds.
2. Develops the PSPB budget and reviews the budgets of appropriate PSPB entities.
3. Participates in and attends IEEE Finance Committee (FinCom) and submits a report on those activities to PSPB.
4. Ensures compliance with IEEE policies and procedures in all financial matters relating to PSPB.
5. Assures that specific issues of financial concern are brought to the attention of IEEE Finance Committee.
6. Attends all meetings of PSPB and the PSPB Operating Committee and submits a report on the progress and activities of the PSPB Finance Committee, keeps informed on all PSPB issues, and participates in discussions.

C. QUALIFICATIONS



1. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.
2. Must be able to commit a significant amount of time to the position.
3. Should have the support of his/her employer in meeting the obligations of the position.

#### **2.2.5 PSPB Secretary**

The Managing Director, IEEE Publications, shall be the PSPB Secretary, as designated by the IEEE Executive Director.

##### **A. FUNCTIONS**

1. Serves as an ex-officio non-voting member of PSPB and serves on other bodies as appropriate.
2. As Managing Director, IEEE Publications, serves as the chief publications staff executive in areas related to the publication functions of the IEEE.
3. Organizes, directs, and guides IEEE Publications staff operations in support of PSPB.

##### **B. DUTIES AND RESPONSIBILITIES**

1. Assumes responsibility for the logistical and administrative support of PSPB and its Committees.
2. Assists the PSPB Chair in determining the administrative needs of PSPB and its entities.
3. Advises appropriate IEEE organizational units of PSPB actions and plans. Assures that the administrative needs of PSPB members are appropriately met.
4. Attends appropriate meetings of PSPB and its committees to enhance their interaction with IEEE Headquarters.
5. Reports to PSPB on important publications, products, and services matters affecting IEEE. Also reports to PSPB on activities within the IEEE Publications department.

##### **C. QUALIFICATIONS**

1. Must have a broad knowledge of technical publishing business and operations.
2. Has professional or operations experience in publishing for industry, academe, or association activities.
3. Has a working knowledge of publishing functions.

### **2.3 Roles of Other PSPB Members**

#### **2.3.1 Representatives Assigned by other IEEE Organizational Units**

##### **A. FUNCTIONS**

1. Represents the interests of the assigning organizational unit on PSPB.

2. Serves as the communication link between PSPB and the other organizational unit.

B. DUTIES AND RESPONSIBILITIES

1. Determines whether the major concerns of IEEE publication services and products are appropriately addressed by the assigning organizational unit.
2. Keeps PSPB informed of the important decisions made by the represented organizational unit.
3. Attends meetings of PSPB, keeps informed on all PSPB issues, and participates in discussions.
4. Helps to identify and clarify issues common to PSPB and to the represented organizational unit in order to foster and improve cooperation, and to improve service to members and customers.

C. QUALIFICATIONS

1. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.

2. Must be able to commit time to the position.
3. Should have the support of his/her employer in meeting the obligations of the position.

### **2.3.2 PSPB Committee Chairs**

#### **A. FUNCTIONS**

1. Chairs the Committee to which this individual is assigned or elected, in accordance with the Committee Charter.
2. Represents that Committee on PSPB, if so specified in the Committee Charter.
3. Reports administratively to the PSPB Chair.
4. Serves as a member of PSPB, if so specified in the IEEE Bylaws.

#### **B. DUTIES AND RESPONSIBILITIES**

1. Conducts business of that Committee to achieve its purpose and functions defined in its Charter.
2. Establishes subcommittees and Ad Hoc Committees as needed.
3. Calls and chairs meetings of that Committee.
4. Recommends to PSPB any proposed changes to the Committee Charter in order to insure it meets current needs and objectives.
5. Carries out other tasks assigned to that Committee by the PSPB Chair.
6. Brings appropriate Committee items to the attention of PSPB.
7. Reports the status of Committee activities to PSPB.
8. Prepares and presents the Committee budgets (if any).
9. Approves and forwards to IEEE Publications staff all Committee expenditures.
10. Attends PSPB meetings, becomes informed on the issues, and participates in the discussions.

#### **C. QUALIFICATIONS**

1. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.
2. Previous experience as a member of the Committee is preferred.
3. Must be able to commit sufficient time to carry out his/her duties and responsibilities.
4. Should have the support of his/her employer in meeting the obligations of the position.

### **2.3.3 PSPB Members-at-large**

The PSPB Members-at-large shall be appointed by the IEEE Board of Directors for a three-year term beginning 1 January. There shall be nine Members-at-large and their terms shall be staggered.

A. FUNCTIONS

1. Represents the interests of all IEEE members.

B. DUTIES AND RESPONSIBILITIES

1. Attends all PSPB meetings, becomes informed on the issues, and participates in the discussions.
2. Ensures, through PSPB participation, that its actions benefit the profession at large.

C. QUALIFICATIONS

1. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.
2. Previous experience as a member of one of the PSPB or ad hoc Committees is preferred.
3. Must be able to commit sufficient time to carry out his/her duties and responsibilities.
4. Should have the support of his/her employer in meeting the obligations of the position.

D. VACANCIES

In the case that an elected Member-at-large is no longer able to serve, the vacancy shall be filled from the most recent list of alternates approved by the IEEE Board of Directors in the order determined by the PSPB voting procedure. The person selected to fill the vacancy shall serve the remainder of the term of the vacated Member-at-large position. An exception occurs when a Member-at-large is no longer able to serve the final six months of the three-year term of service, in which case the position remains vacant for the remainder of the term.

Partial terms are counted toward established term limits for subsequent PSPB MAL elections, using the following criteria:

1. If a vacancy is filled during the first half of the term of the vacated position, the appointment counts as the initial term for the selected alternate with regard to term limit restrictions for the Member-at-large position.
2. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for the Member-at-large position.

## **2.4 Editor-in-Chief of any IEEE Refereed Publication**

### **2.4.1 Functions**

- A. The Editor-in-Chief has the highest authority on the publication on editorial matters, as defined in Subsection 2.4.2. There shall be one Editor-in-Chief for each IEEE refereed publication at any given point in time.
- B. Assures that the content follows the approved scope of the publication.

### **2.4.2 Duties and Responsibilities**

- A. Leads an editorial board (or equivalent) which consists of editors who assist in the editorial aspects of the publication. As determined by the sponsoring organizational unit, other editors are typically referred to as associate editor, technical editor, area editor, regional editor, deputy editor, contributing editor, and senior editor, among other titles. The editorial board may also include temporary editors, such as “guest editors” assigned to oversee special sections and special topical issues. In all cases, other editors should have defined terms of service.
- B. Works with PSPB with the support of sponsoring organizational unit(s) to ensure that all other editors, including those assigned to handle only a limited set of papers (“guest editors” of special issues/sections), are trained in the publication ethics policies and practices appearing in this manual. In particular, the Editor-in-Chief is responsible for ensuring that all editors undergo training in order to recognize actions that constitute all practices of author, editor, and referee misconduct, as well as IEEE volunteer responsibilities and conflicts of interest (see Subsection 2.6). Editors who refuse to participate in the training are subject to dismissal from further editorial duties on behalf of the publication.
- C. Manages the peer review process in order to publish high-quality articles consistent with accepted IEEE standards and the scope of subject areas approved for the publication.
- D. Delegates responsibility, as necessary, for various publication activities to other editors of the publication but retains ultimate responsibility for the editorial process.
- E. In conformance with Subsection 8.2.3 Appeal of Editorial Decisions, assures that a procedure is in place to resolve any editorial or peer review challenge.
- F. Assures the sponsoring organizational unit does not interfere or influence editorial procedures or decisions regarding the acceptance or rejection of individual submissions.
- G. Provides written acknowledgment of the receipt of a submission to the author. This acknowledgment should include the date by which the author can expect to receive the decision on the suitability of the submission for publication, which shall be no longer than 90 calendar days from the date of the receipt of the article by the Editor-in-Chief.
- H. Advises the submitting author of the relevant principles concerning material submitted for publication, especially the contents of Subsection 8.2 Publication Principles and Guidelines.
- I. Examines the comments of the referees and exercises his or her best judgment, in the light of the referees’ recommendations, on whether or not to publish. While this decision may be delegated to another editor of the publication, the Editor-in-Chief is ultimately accountable for the final decision. Reviewers’ comments and annotated articles are normally returned to the author in any case.
- J. Assures that the anonymity of the referees is protected during the

review process.

- K. Attends and participates in the annual meeting of the IEEE Panel of Technical Publication Editors.

#### **2.4.3 Qualifications**

- A. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.
- B. Must commit to undergo training in the publication ethics policies and practices appearing in this manual before assuming the position of Editor-in-Chief. In particular, the Editor-in-Chief must recognize actions that constitute all practices of author, editor, and referee misconduct, as well as IEEE volunteer responsibilities and conflicts of interest (see Subsection 2.6). Such training is essential to the role of each Editor-in-Chief in supporting and upholding the reputation of IEEE. PSPB shall be responsible for facilitating the training while working with IEEE Staff and the sponsoring organizational unit(s).
- C. Must be able to commit a significant amount of time to the position.
- D. Should have the support of his/her employer in meeting the obligations of the position.

#### **2.4.4 Appointments**

- A. Editor-in-Chief appointments shall be limited to a reasonable duration as determined by the sponsoring IEEE organizational unit(s) of the publication.
- B. An Editor-in-Chief may be re-appointed one or more times to a term of reasonable duration as determined by the sponsoring IEEE organizational unit(s) of the publication.
- C. Appointments and re-appointments shall be approved by the governing body of the sponsoring IEEE organizational unit(s) of the publication.

### **2.5 Editorial Board Members of any IEEE Refereed Publication**

#### **2.5.1 Functions**

- A. The editorial board (or equivalent) of any IEEE publication consists of editors (in addition to the Editor-in-Chief) who assist the Editor-in-Chief in the editorial aspects of the publication.
- B. Duties and responsibilities of editors are as defined by the Editor-in-Chief and the IEEE sponsoring organizational unit(s) of the publication.

#### **2.5.2 Qualifications**

- A. Must be able to commit an appropriate amount of time to the position. Persons considered for appointment, including temporary ("guest") editors, and those appointed as editor on the editorial board shall disclose information about service on other editorial boards for publications inside and outside IEEE (including service as temporary

editor). This disclosure shall be made to the Editor-in-Chief and the sponsoring organizational unit(s) of the publication.

- B. Should have the support of his/her employer in meeting the obligations of the position.

### **2.5.3 Appointments**

- A. Appointments for members of editorial boards shall be limited to a term of reasonable duration as determined by the sponsoring IEEE organizational unit(s) of the publication.
- B. An editor may be re-appointed one or more times for a limited consecutive number of terms of reasonable duration as determined by the sponsoring IEEE organizational unit(s) of the publication.
- C. The governing body of the sponsoring IEEE organizational unit(s) of the publication shall define clear processes for appointments and reappointments of editors in oversight of associated editorial boards.

## **2.6 Editor-in-Chief of Non-Refereed IEEE Publications**

### **2.6.1 Functions**

- A. Determines the editorial content of the publication.
- B. Determines scope of the publication.

### **2.6.2 Duties and Responsibilities**

- A. The Editor-in-Chief has the highest authority on the publication.
- B. Delivers publications with high-quality articles consistent with IEEE standards and the approved scope of publication.
- C. Assures the sponsoring organizational unit does not interfere or influence the editor's procedures or decisions on individual submissions.
- D. Provides written acknowledgment of the receipt of a submission to the author. This acknowledgment should include the date when the author can expect to receive the decision of the Editor-in-Chief on the suitability of the submission for publication, which will be no longer than 90 calendar days from the date of the receipt of the article by the Editor-in-Chief.
- E. Advises the submitting author of the relevant principles concerning material submitted for publication, especially the contents of Subsection 8.2 Publication Principles and Guidelines.
- F. Exercises his or her own best judgment on whether or not to publish.

### **2.6.3 Qualifications**

- A. Must be an IEEE Member, Graduate Student Member, Senior Member, or Fellow.

- B. Must be able to commit a significant amount of time to the position.
- C. Should have the support of his/her employer in meeting the obligations of the position.

#### **2.6.4 Appointments**

- A. Editor-in-Chief appointments shall be limited to a reasonable duration as determined by the sponsoring IEEE organizational unit(s) of the publication.
- B. An Editor-in-Chief may be re-appointed one or more times to a term of reasonable duration as determined by the sponsoring IEEE organizational unit(s) of the publication.
- C. Appointments and re-appointments shall be approved by the governing body of the sponsoring IEEE organizational unit(s) of the publication

### **2.7 Volunteer Responsibilities for Conduct and Professionalism**

#### **IEEE Policies, Section 7.8 – IEEE Code of Ethics** (updated June 2020)

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.



IEEE members and non-members, carry out a very wide range of duties and responsibilities on behalf of IEEE and are required to familiarize themselves with IEEE policies, procedures, practices and expectations for conduct and professionalism.

### **2.7.1 Abiding by the IEEE Code of Ethics and Conduct as an Officer or a Member of an IEEE Board or Committee**

The conduct of all IEEE members and non-members should reflect the highest level of ethics and professionalism. The behavior of all those engaging in activities on behalf of the IEEE should reflect the best interests of the Institute and its members. Each year, all IEEE members, through the membership renewal process, affirm their intention to abide by the IEEE Code of Ethics. Nonmembers who are involved in IEEE activities are also obligated to abide by the IEEE Code of Ethics. Such obligation is communicated through the governing procedures for the relevant IEEE activity. For the purpose of this policy, "non-member" relates to those non-members of IEEE who are involved in IEEE activities and includes IEEE staff.

#### **A. OVERALL CONDUCT AND PROFESSIONALISM**

Members and non-members are expected to treat each other with respect, consideration and civility.

Members or non-members engaging in activities which are contrary to or in violation of the IEEE Code of Ethics, IEEE Code of Conduct, IEEE governing documents, IEEE Operations Manuals and other internal and external rules and regulations that affect the membership and activities of IEEE may be subject to discipline, up to and including expulsion from participation in IEEE activities and/or IEEE membership.

#### **B. CONDUCT AS AN OFFICER OR A MEMBER OF AN IEEE BOARD OR COMMITTEE DURING MEETINGS**

Volunteers are expected to contribute to IEEE activities in a co-operative and constructive manner, to ensure that the best possible use is made of the time available, given that volunteers are usually able to offer IEEE their time and effort very sparingly. Meetings should be strongly focused on the business laid out in the agreed agenda, and not be impeded by irrelevant interventions. The Chair has the prime responsibility for the conduct of the meeting, but the co-operation of all members present is also an important factor in ensuring that the business is conducted in a fair and harmonious manner.

#### **C. IEEE PROCEDURES FOR REPORTING MISCONDUCT COMPLAINTS**

All members or non-members who believe they have been subjected to any behavior by any member or non-member that violates the policies and procedures mentioned in Subsection 2.6.1.A should bring the matter to the attention of IEEE through the process described in IEEE Policy 7.10. Prompt reporting allows IEEE to review, assess, and take any necessary actions to address the complaint immediately.

Information on IEEE Policy 7.10 and the IEEE Ethics Reporting Line can be found at: <https://www.ieee.org/about/ethics/complaint-procedures.html>.

### **2.7.2 Conflict of Interest**

#### **(extracted from) IEEE Policies, Section 9.9 – Conflict Of Interest**

Members, volunteers, and staff must act at all times in the best interests of IEEE when engaging in activities related to or on behalf of IEEE. Conflicts of interest, whether actual, perceived, or potential, must be avoided.

##### **A. Definitions.**

1. A conflict of interest is defined as any 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.
2. A potential conflict of interest arises from a situation where an individual might have a conflict of interest based on his or her responsibility to IEEE.
3. 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 his or her responsibility to IEEE.

##### **B. Responsibility.**

When conducting IEEE business or engaging in activities related to IEEE, members, volunteers and staff must be cognizant of any actual, perceived, or potential conflict of interest, especially those involving improper personal or financial gain. Consistent with the process outlined in §715 of the New York Not-for-Profit Corporation Law, it is the responsibility of all IEEE members and volunteers in any elected, appointed, or other decision-making position of an IEEE activity to consider each item of business where they have a vote or decision-making authority to determine if an actual, perceived, or potential conflict of interest may exist.

Any member or volunteer with a conflict of interest shall recuse himself or herself per Bylaw I-300.2 and shall not improperly influence the deliberations or vote on the matter giving rise to such conflict. For purposes of this Policy, improperly influence means coercing, manipulating, misleading, or fraudulently influencing the decision or deliberation when the person knows or should have known that the action, if successful, could result in the outcome which the person could not deliberate or vote on directly.

A common misunderstanding about "conflict of interest" is that it only applies where an individual attempts to obtain some monetary advantage by virtue of being an office holder. A broader view of the concept applies to any situation where some kind of advantage or privilege is being sought through the exercise of authority granted to an office holder. The guiding principle for Volunteers is to follow IEEE Policies, Procedures, and Practices, and be seen by their peers to be acting ethically in their decision-making.

### **2.7.3 Acceptance of Position Obligations**

Election or appointment of a Volunteer to a position, such as a Board or Committee chair or member, Editor-in-Chief, Reviewer, etc., implies that

there is an expectation that that person will be willing and able to undertake assigned duties and, if appropriate, to attend the meetings of the Board or Committee. Accepting a Board or Committee position also requires that the Volunteer is adequately prepared for the meetings, that agenda articles are read beforehand, and any items from the previous meeting requiring action are properly followed up. If a person is unable to perform these or other assigned duties, the expected result is a resignation from the position.

#### **2.7.4 Transfer of Position**

An orderly and regular turnover of Board or Committee membership, including that of the officers or editors, should be a routine feature of IEEE volunteerism. It ensures a healthy flow of new blood and invigorates all IEEE organizational units. Sections of this document define the terms of office for PSPB Volunteers and the procedures for their election or appointment. It is the responsibility of the PSPB Chair and the PSPB Operating Committee to ensure that these practices are followed. It is a duty of all PSPB Officers, PSPB Committee Chairs, and IEEE editors, to transfer all documents and other resources necessary for their successors to carry out their work effectively.

#### **2.7.5 Legal Aspects**

In the event that a legal issue arises, close adherence to the IEEE Code of Ethics, as well as IEEE Bylaws, Policies, Procedures, and Practices, provides a measure of protection to both IEEE and to individual members.

The IEEE Code of Ethics cannot, and does not, attempt to define in a comprehensive manner how IEEE Volunteers should conduct themselves in their service on behalf of the IEEE, but it provides a sound basis on which high ethical standards can be established.

### **2.8 Removal of a Member of PSPB or a PSPB Committee**

#### **IEEE Bylaw I-111. Removal or Suspension of Delegates, Directors, and Officers**

7. **Vote to Remove a Member of an IEEE Board or Committee or a Member of a Board or Committee of an Organizational Unit.** A member of an IEEE Board or Committee may be removed as a member of that Board or Committee, with or without cause, by the affirmative vote of two-thirds of the members of the appointing body present at the time of the vote, provided a quorum is present. A member of a board or committee of an organizational unit may be removed as a member of that board or committee, with or without cause, by either, as applicable, (i) the affirmative vote of two-thirds of the members of the appointing body, present at the time of the vote, provided a quorum is present, or (ii) the individual then currently holding the office that made the appointment.

Vacancies resulting from removal or suspension shall be filled following the methodology used to make the original appointment.

## **SECTION 3 - STRUCTURE OF THE PUBLICATION SERVICES AND PRODUCTS BOARD**

### **3.1 General Structure of PSPB**

The IEEE Publication Services and Products Board is a Major Board whose membership is defined by the IEEE Bylaws and this Operations Manual. It is supported by PSPB Committees, Joint Committees with other Major Boards, PSPB Editorial Boards, and Ad Hoc Committees. The IEEE Panel of Technical Publication Editors also reports to PSPB. This section describes the mandated PSPB membership, covers the establishment of PSPB organizational units, and lists the current PSPB organizational units. Section 4 of this manual will present details about each PSPB organizational unit.

### **3.2 Responsibility of Individuals Holding PSPB Positions**

The holders of all PSPB positions, whether elected or appointed, should be familiar with the IEEE Constitution, IEEE Bylaws, and IEEE Policies as well as this PSPB Operations Manual. They shall, at all times when carrying out their duties, adhere to the requirements of these documents.

### **3.3 PSPB Committees**

#### **3.3.1 Establishment**

To facilitate the performance of its duties, PSPB may establish Committees. With the exception of Committee members formally linked to other positions as defined in the PSPB Operations Manual, the members of the Committees shall be appointed by the PSPB Chair.

#### **3.3.2 Current PSPB Committees**

The current Committees reporting to the PSPB are:

- PSPB Publishing Conduct Committee
- PSPB Finance Committee
- PSPB Nominations and Appointments (N&A) Committee
- PSPB Operating Committee (OpCom)
- PSPB Strategic Planning Committee
- PSPB Awards and Recognition Committee

### **3.4 Joint Committees**

#### **3.4.1 Establishment**

The Publication Services and Products Board may establish Joint Committees with other IEEE organizational units. The choice of the Chairs of such Committees shall be made jointly by the PSPB Chair and the Chairs of the other IEEE organizational units involved with each such committee. The PSPB members of such Joint Committees shall be appointed by the PSPB Chair.

### **3.4.2 Current Joint Committees**

The current Joint Committee reporting to the Publication Services and Products Board is:

- TAB/PSPB Products and Services Committee (in collaboration with the Technical Activities Board).

## **3.5 Editorial Boards**

### **3.5.1 Establishment**

In order to help fulfill its mission with respect to IEEE-wide publication activities, PSPB may establish volunteer Editorial Boards. The Editorial Boards shall be appointed by PSPB on the advice of the individual Editorial Boards as given to the PSPB Nominations and Appointments Committee.

### **3.5.2 Current PSPB Editorial Boards**

The Editorial Boards appointed by and reporting to PSPB are:

- IEEE PRESS Editorial Board
- PROCEEDINGS OF THE IEEE Editorial Board
- IEEE ACCESS Editorial Board
- IEEE SPECTRUM Editorial Advisory Board
- THE INSTITUTE Editorial Advisory Board
- IEEE THESAURUS Editorial Advisory Board
- TechRxiv Editorial Advisory Board

### **3.5.3 Appointment of the Editor-in-Chief**

As specified in Subsection 5.5.3, nominees for the Editors-in-Chief of IEEE PRESS, PROCEEDINGS OF THE IEEE, and IEEE ACCESS™ are solicited by the PSPB Nominations and Appointments Committee, who shall in turn follow the process described in Subsection 5.5.6.

The Editors-in-Chief of IEEE SPECTRUM and THE INSTITUTE are IEEE staff members who are hired or appointed by the IEEE Executive Director, or that person's designee.

## **3.6 Vacancies in PSPB Committees and Editorial Boards**

The process used to fill vacancies in PSPB Committees, Joint Committees, and PSPB Editorial Boards shall be described within each organizational unit charter.

## **3.7 PSPB Ad Hoc Committees**

The PSPB Chair may authorize the formation of Ad Hoc Committees to address specific issues or deal with special situations as deemed appropriate. An Ad Hoc Committee shall only be appointed for the calendar year in which it was formed. The Committee's mandate must be renewed on an annual basis. If the Chair of the Ad Hoc Committee is not a voting member of PSPB, the principal financial support for the Chair of such an Ad Hoc Committee

shall be provided through the normal budgetary processes of PSPB.

### **3.8 IEEE Panel of Technical Publication Editors**

The IEEE Panel of Technical Publications Editors consists of the Editors-in-Chief of PROCEEDINGS OF THE IEEE; IEEE ACCESS™; IEEE PRESS; the transactions, journals, magazines, and newsletters of Societies and Technical Councils; and any other technical publications published by the IEEE or its organizational units. The Panel is chaired by the Chair of the TAB Periodicals Committee, and reports to PSPB and to TAB. If that person cannot chair the Panel, the immediate past Chair of the TAB Periodicals Committee shall serve as Chair. If that person is unable to chair the Panel, the Vice President – Publication Services and Products and Vice President - Technical Activities shall agree on a suitable person to do so.

## **SECTION 4 - PSPB COMMITTEE AND EDITORIAL BOARD CHARTERS**

### **4.1 PSPB Committees**

#### **4.1.1 PSPB Publishing Conduct Committee Charter**

##### **A. GENERAL**

The PSPB Publishing Conduct Committee is an organizational unit of, and reports operational matters to, PSPB. The Committee shall only report confidential matters to the PSPB Chair.

##### **B. SCOPE**

The PSPB Publishing Conduct Committee primarily assists the PSPB Chair on handling or interpreting misconduct cases as identified by appropriate sections of the PSPB Operations Manual. In this process, the Committee shall operate within the guidelines of the IEEE Principles of Ethical Publishing which appear in the Introduction Section of this Manual. Activities are restricted to those assigned by the PSPB Chair and include (but are not limited to) plagiarism, editor and referee misconduct, citation coercion and citation stacking.

##### **C. FUNCTIONS**

The PSPB Publishing Conduct Committee shall:

1. Assist PSPB Chair for handling editorial misconduct cases, including but not limited to:
  - Facilitating or conducting investigations
  - Providing expertise on related science and technology subjects
  - Making sure all individuals are treated fairly
  - Interpreting, with legal assistance if necessary, IEEE Procedures and Operations that apply to these misconduct cases
  - Providing other advice as needed by the PSPB Chair.
2. Through the PSPB Chair, keep IEEE abreast of the current ethics and protocols of scholarly publishing in the science and technology community (outside IEEE).
3. Maintain a confidential case archive, where each entry outlines the nature of each complaint, the committee's findings, and the reasons for the committee's findings.
4. Ensure confidentiality on all committee issues.

##### **D. COMPOSITION**

The PSPB Publishing Conduct Committee shall consist of up to ten voting members, the majority of which are current or past PSPB voting members, and two non-voting members as follows:

Voting Members

- Committee Chair appointed by the PSPB Chair
- Committee Past Chair
- A minimum of three (3) Members-at-large appointed by the PSPB Chair
- Other members appointed annually by the PSPB Chair

#### Non-Voting Members

- PSPB Chair
- Managing Director, IEEE Publications

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the PSPB Publishing Conduct Committee must be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

#### F. TERMS OF OFFICE

1. The Committee Chair shall be appointed for a two-year term, starting 1 January, with no reappointment.
2. Committee members shall be appointed for three-year terms, beginning 1 January, with the possibility of reappointment for another three-year term. The number of consecutive terms shall not exceed two. The terms shall be staggered.

#### G. COMMITTEES REPORTING TO THE PSPB PUBLISHING CONDUCT COMMITTEE

None

#### H. VACANCIES

Vacancies in the PSPB Publishing Conduct Committee shall be filled by the PSPB Chair. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

#### I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PSPB Publishing Conduct Committee shall be provided through the normal budgetary processes of PSPB. Administrative support for the Committee will be provided by the IEEE Publications department.

#### J. MEETINGS

PSPB Publishing Conduct Committee normally meets monthly via teleconference and holds one face-to-face meeting each year.

#### K. REPORTS

The PSPB Publishing Conduct Committee is responsible for the following.

Provide a written information report at the last PSPB meeting of the calendar year summarizing the Committee's operational activities during the current year. This report shall not contain any confidential



information.

#### L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB

### **4.1.2 PSPB Finance Committee Charter**

#### A. GENERAL

The Finance Committee is an organizational unit of, and reports to, PSPB, with administrative responsibility assigned by PSPB to the PSPB OpCom.

#### B. SCOPE

The PSPB Finance Committee shall be responsible for ensuring that there is sound financial management of the IEEE Publications department operating units and all editorial advisory boards that report to PSPB. The PSPB Finance Committee shall be responsible for budget review and endorsement for IEEE SPECTRUM, THE INSTITUTE, IEEE PRESS, PROCEEDINGS OF THE IEEE, IEEE ACCESS™, the IEEE Publications department, and the charge rates for services provided to other IEEE organizational units.

#### C. FUNCTIONS

The PSPB Finance Committee shall:

1. Review annual operating and capital budgets as well as monthly financial forecasts for the current year.
2. Review new initiatives requests for funding for financial viability.
3. Endorse page rates for services provided to other IEEE entities.
4. Ensure compliance with IEEE policies in all financial matters.

#### D. COMPOSITION

The PSPB Finance Committee shall consist of the PSPB Chair as a voting member and members appointed by the incoming or current PSPB Chair as follows:

##### Voting Members

- Chair, who shall be the PSPB Treasurer
- PSPB Chair(s) for prior two years
- PSPB Vice Chair
- Chair of the PSPB Strategic Planning Committee
- Chair of the TAB/PSPB Products and Services Committee
- Up to three Members-at-large selected from the PSPB Members-at-large by the Committee Chair in consultation with the PSPB Chair.

##### Non-Voting Members

- Managing Director, IEEE Publications
- Other staff as designated by the Managing Director, IEEE Publications, with the concurrence of the Committee Chair.

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the PSPB Finance Committee shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

F. TERMS OF OFFICE

Each voting member serves a one-year term, beginning 1 January. The Members-at-large may be reappointed annually to serve no more than three consecutive years.

G. VACANCIES

Vacancies in a Member-at-large position shall be filled by the PSPB Chair. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

H. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PSPB Finance Committee shall be provided through the normal budgetary processes of PSPB. Administrative support will be provided by the IEEE Publications department.

I. REPORTS

The Finance Committee Chair shall report on Committee activities and the current status of the budget at each PSPB meeting.

J. MEETINGS

The PSPB Finance Committee normally meets three times per year during the IEEE Board of Directors series before each date scheduled for a PSPB meeting. Additional meetings are normally held via teleconferencing.

K. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.1.3 PSPB Nominations and Appointments Committee Charter**

A. GENERAL

The PSPB Nominations and Appointments Committee is an organizational unit of, and reports to, PSPB.

B. SCOPE

The PSPB Nominations and Appointments Committee is responsible for managing the nominations and appointments process of the PSPB.

C. FUNCTIONS

The PSPB Nominations and Appointments Committee shall:

1. Make recommendations to PSPB for nominees to fill upcoming Member-at-large vacancies.
2. Make recommendations to an incoming PSPB Chair for pending appointments on PSPB Committees and task assignments for

Members-at-large.

3. Make recommendations to PSPB for Editorial-Board members on the IEEE SPECTRUM Advisory Board, IEEE THESAURUS Editorial Advisory Board, PROCEEDINGS OF THE IEEE Editorial Board, IEEE ACCESS Editorial Board, IEEE PRESS Editorial Board, THE INSTITUTE Editorial Advisory Board, and the TechRxiv Editorial Advisory Board.
4. Make recommendations to PSPB for the Chair of the IEEE THESAURUS Editorial Advisory Board, Editors-in-Chief of PROCEEDINGS OF THE IEEE, IEEE ACCESS™, and IEEE PRESS.
5. Following consultation with PSPB, make recommendations to the IEEE Nominations and Appointments Committee for individuals qualified to be considered for Vice President – Publication Services and Products.

#### D. COMPOSITION

The PSPB Nominations and Appointments Committee shall consist of five voting members, the majority of whom shall be voting members of PSPB as follows:

Voting Members

- The Committee Chair who shall be the Immediate PSPB Past Chair. If this person cannot serve as Chair, the most recent Past PSPB Chair available shall be Committee Chair. With extenuating circumstances and on the recommendation of the PSPB Chair, PSPB may appoint another person to this position.
- Four members recommended by the PSPB Chair and appointed by PSPB.

#### **From IEEE Bylaw I-307. Nominations and Elections**

1. **Nominations and Appointments Committees.** The following requirements shall govern the Nominations and Appointments (N&A) Committees of the six Major Boards and the IEEE Awards Board N&A Committee:
  - a. The Chair of each of these N&A Committees shall be either the past past chair or the immediate past chair of the governing body of that organizational unit as specified in the governing documents of that organizational unit. In the event of the incapacity or conflict of interest of the Chair, the most recent Past Chair of the organizational unit's N&A Committee available shall be the Chair of that respective N&A Committee. With extenuating circumstances an organizational unit may appoint a different individual to this position.
  - b. Chairs shall not be eligible to be elected to the Board of Directors during their term of service.
  - c. At least two-thirds of the voting members of each N&A Committee shall be elected or appointed by the governing body of their respective organizational unit.
  - d. A member of an N&A Committee may be nominated and run for a position for which such member's respective N&A Committee is responsible for making nominations only on the following conditions: (i) the nomination is not made by a member of the same N&A Committee and (ii) the member resigns from the N&A Committee prior to its first meeting in which the nomination shall be made.

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the PSPB Nominations and Appointments Committee shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

F. TERMS OF OFFICE

All PSPB Nominations and Appointments Committee members serve one-year terms, beginning 1 January and may be reappointed annually to serve no more than three consecutive years.

G. VACANCIES

Vacancies in the PSPB Nominations and Appointments Committee shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

H. COMMITTEES REPORTING TO PSPB NOMINATIONS AND APPOINTMENTS COMMITTEE

None

I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PSPB Nominations and Appointments Committee shall be provided through the normal budgetary processes of PSPB. If needed, administrative support for the committee will be provided by the IEEE Publications department.

J. MEETINGS

The PSPB Nominations and Appointments Committee normally meets three times per year either via prearranged teleconferences or during the IEEE Board of Directors series before each date scheduled for a PSPB meeting. Additional meetings may be held via teleconferencing.

K. REPORTS

The PSPB Nominations and Appointments Committee will issue the following reports:

1. Lists of proposed candidates for the various PSPB positions at the appropriate times for consideration by PSPB.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.1.4 PSPB Operating Committee Charter**

A. GENERAL

The PSPB Operating Committee (OpCom) reports to, and is a Committee of, PSPB.

B. SCOPE

The PSPB OpCom is an implementation oversight body for PSPB.

C. FUNCTIONS

The PSPB OpCom shall:

1. Function as the executive committee of the PSPB between PSPB meetings. However, any actions taken by the PSPB OpCom are subject to ratification by PSPB at its next meeting.
2. Monitor, review and prioritize IEEE Publications department resources, activities and facilities through reports by the Managing Director, IEEE Publications.
3. Coordinate and monitor the activities of PSPB and Ad Hoc Committees as necessary between meetings.
4. Name replacements to complete the term of office for PSPB positions, that are appointed by PSPB, left vacant because of illness, death, or inability to serve for whatever reason.

The PSPB may, by majority vote, rescind any act or decision of the PSPB OpCom.

D. COMPOSITION

The PSPB OpCom shall consist of up to nine voting members and two non-voting members as follows:

Voting Members

- Committee Chair, who is the PSPB Chair
- PSPB Vice Chair
- PSPB Finance Committee Chair
- PSPB N&A Chair
- PSPB Strategic Planning Committee Chair
- TAB/PSPB Products and Services Committee Chair
- Up to three Members-at-large selected from the PSPB Members-at-large by the PSPB Chair.

Non-Voting Members

- PSPB Publishing Conduct Committee Chair
- Managing Director, IEEE Publications

E. MEMBERSHIP REQUIREMENTS

All voting members of the Committee shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

F. TERMS OF OFFICE

The Members-at-large shall serve one-year terms, beginning 1 January, and may be reappointed annually to serve no more than three consecutive years. Other members shall serve by virtue of their position on PSPB.

G. VACANCIES

Vacancies in Member-at-large positions shall be filled by the PSPB Chair. If such an appointment occurs during the first half of the term

of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

H. COMMITTEES REPORTING TO THE PSPB OPERATING COMMITTEE

The PSPB Operating Committee shall have administrative responsibility for the following committees of PSPB:

1. PSPB Committees
  - a. PSPB Finance Committee
  - b. PSPB Strategic Planning Committee
2. PSPB Joint Committees
  - a. TAB/PSPB Products and Services Committee.
3. PSPB Ad Hoc Committees

The Committee Chair may create Ad Hoc Committees which have a maximum tenure of two years to address specific issues or deal with special situations as deemed appropriate. The Chair of such an Ad Hoc Committee must be a member of PSPB or one of its Committees and shall be appointed by the PSPB Chair.

I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PSPB OpCom shall be provided through the normal budgetary processes of PSPB. Administrative support for the Committee will be provided by the IEEE Publications department.

J. MEETINGS

The PSPB OpCom shall meet at least once during each PSPB meeting series and may hold additional meetings as needed.

K. REPORTS

The PSPB Chair shall report all activities and actions of the PSPB OpCom to PSPB at each PSPB meeting immediately following an OpCom meeting.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.1.5 PSPB Strategic Planning Committee Charter**

A. GENERAL

The PSPB Strategic Planning Committee is an organizational unit of, and reports to, PSPB, with administrative responsibility assigned by PSPB to the PSPB OpCom.

B. SCOPE

The PSPB Strategic Planning Committee shall make recommendations to PSPB for strategic initiatives in publications and related products and services.

C. FUNCTIONS

The PSPB Strategic Planning Committee shall be responsible for originating and recommending to PSPB a plan that responds to the goals and objectives of the IEEE Strategic Plan that are related to the mission of the PSPB. The Committee shall also monitor and report upon progress in implementing the plan as approved by PSPB.

D. COMPOSITION

The members of the PSPB Strategic Planning Committee shall be IEEE members appointed by the PSPB Chair. The majority of the members shall be Members-at-large of PSPB.

E. MEMBERSHIP REQUIREMENTS

All voting members of the PSPB Strategic Planning Committee shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

F. TERMS OF OFFICE

Terms of office for members of the PSPB Strategic Planning Committee are in all cases for one year, beginning 1 January, may be reappointed annually to serve no more than three consecutive years.

G. VACANCIES

Vacancies in the PSPB Strategic Planning Committee shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

H. COMMITTEES REPORTING TO PSPB STRATEGIC PLANNING COMMITTEE

Reporting to the PSPB Strategic Planning Committee shall be a number of Focus Groups whose focus and charters change from year to year. The Chairs of such Focus Groups must be members of the PSPB Strategic Planning Committee and shall be appointed by the Strategic Planning Committee Chair.

I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PSPB Strategic Planning Committee shall be provided through the normal budgetary processes of PSPB. Administrative support for the committee will be provided by the IEEE Publications department.

J. MEETINGS

The PSPB Strategic Planning Committee normally meets approximately one month before a scheduled PSPB meeting. These meetings are

normally coordinated with the scheduled meetings of the PSPB Operating Committee.

K. REPORTS

The PSPB Strategic Planning Committee will issue the following reports:

1. A progress report at each PSPB meeting, except the last meeting of the calendar year
2. A final report at the last PSPB meeting of the calendar year detailing recommendations for strategic initiatives in the following year.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.1.6 PSPB Awards and Recognition Committee Charter**

A. GENERAL

The PSPB Awards and Recognition Committee is an organizational unit of, and reports to, PSPB, with administrative responsibility assigned by PSPB to the PSPB OpCom.

B. SCOPE

The PSPB Awards and Recognition Committee shall administer all PSPB awards and make recommendations to PSPB for establishment, revision or discontinuance of PSPB Awards.

C. FUNCTIONS

The PSPB Awards and Recognition Committee shall:

1. Originate and administer all PSPB awards (subject to IEEE Policies) and maintain an operations manual with descriptions of all PSPB awards and opportunities for recognition.
2. Consider proposals to establish, revise or discontinue PSPB Awards.
3. Oversee periodic reviews of all awards, per IEEE policies.
4. Monitor compliance with IEEE policy and procedures related to the awards programs.
5. Support nominations solicitation from the broadest IEEE eligible membership segment possible.
6. Support, supervise or conduct impartial evaluation of nominations, possibly with the aid of Subcommittees.

D. COMPOSITION

The PSPB Awards and Recognition Committee shall consist of up to seven (7) voting members, the majority of which shall be voting

- The Chair, who shall be appointed by the PSPB Chair;
- Immediate Past PSPB Awards and Recognition Committee Chair;



- One representative member from the PSPB Committee on DEI, appointed by the PSPB Chair in consultation with the Chair of the PSPB Committee on DEI;
- The immediate past PSPB Chair;
- At least one PSPB Member-at-Large appointed by the PSPB Chair;
- Remaining members appointed by the PSPB Chair.

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the PSPB Awards and Recognition Committee shall be IEEE Senior Member grade or higher.

#### F. TERMS OF OFFICE

1. The Committee Chair shall be appointed to a one-year term, starting 1 January, and may be reappointed once for a maximum of two terms as Chair.
2. Terms of office for appointed Committee Members (other than the Chair) are in all cases for one year, beginning 1 January. Appointed Committee Members may be reappointed to additional terms, to serve a maximum of three consecutive terms as appointed Committee Members, and not to exceed a total of six terms.

#### G. VACANCIES

Vacancies in the PSPB Awards and Recognition Committee shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

#### H. COMMITTEES REPORTING TO PSPB AWARDS AND RECOGNITION COMMITTEE

Subcommittees for individual awards may be formed as needed and report to the PSPB Awards and Recognition Committee. Serving as a liaison, at least one member of each subcommittee must be a member of the Committee.

#### I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PSPB Awards and Recognition Committee shall be provided through the normal budgetary processes of PSPB. Administrative support for the committee will be provided by the IEEE Publications department.

#### J. MEETINGS

The PSPB Awards and Recognition Committee shall hold enough meetings to complete Committee business in a timely manner. To the extent possible, meetings shall be conducted virtually.

#### K. REPORTS

Status reports shall be provided at PSPB Meetings, including an annual report of activities for the last regularly scheduled PSPB meeting of the year and of the Awards Board. Other reports are prepared as necessary. The Committee Chair will provide the proposed revisions of awards to the PSPB Chair prior to each PSPB meeting.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

## **4.2 PSPB Joint Committees**

### **4.2.1 TAB/PSPB Products and Services Committee Charter**

A. GENERAL

The TAB/PSPB Products and Services Committee (The Committee) is a Joint Committee of the IEEE Technical Activities Board (TAB) and the IEEE Publication Services and Products Board (PSPB). The Committee reports to TAB and PSPB as requested.

B. SCOPE

The Committee works in partnership with IEEE Product Design to make recommendations on TAB and PSPB intellectual property (IP) products and services, which meet the needs of members and/or the profession at large, while generating revenue or other defined benefits.

The Committee:

1. Stimulates the generation of new products and services by actively contributing to strategy development, product planning and establishment of business objectives.
2. Monitors progress toward achieving goals and objectives of the business activities within its scope.
3. Identifies and recommends new or updated products and services.
4. Performs additional assignments as requested by TAB and/or PSPB.

C. FUNCTIONS

The Committee:

1. Cooperates with staff in the preparation of business proposals related to products and services within the Committee's charter.
2. Makes recommendations to TAB and PSPB for new and updated products and services as appropriate.
3. Facilitates the introduction of new and updated products and services proposals.
4. Facilitates agreements to host third-party content in IEEE Xplore. Related procedures and guidelines shall be maintained on the Technical Activities Website in a separate document, titled "Third-Party Content Hosting Agreement Process," prepared and approved by the TAB/PSPB Products and Services Committee.

5. Monitors the progress of products and services within the Committee's scope, in relation to defined goals, and makes recommendations as appropriate.
6. Establishes criteria for allocating package products and services revenue back to Societies, Councils, and other organizational units.
7. Advises staff in developing products and services pricing proposals.
8. Performs other functions as requested by TAB and/or PSPB.

#### D. COMPOSITION

The TAB/PSPB Products and Services Committee shall consist of up to sixteen (16) voting and three non-voting members as follows:

##### Voting Members

1. Committee Chair
2. Seven (7) members representing the Technical Activities Board as follows:
  - a. Conference Publications Committee Chair
  - b. Six (6) S/C appointees.
3. Four (4) members representing the Publications Services and Products Board.
4. One member representing each of the following: Educational Activities Board (EAB), Member and Geographic Activities Board (MGAB), Standards Association, and IEEE-USA.

##### Non-Voting Members

- Immediate Past Chair of the Committee
- Corresponding members. (Each S/C President may appoint a corresponding member. They will receive all announcements and other documentation that is distributed to other Committee members, but do not attend regular Committee meetings.)

##### Staff positions as appointed by the IEEE Executive Director

- Managing Director, Technical Activities (or designee)
- Managing Director, IEEE Publications (or designee)

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the Committee shall be IEEE members holding a grade of Graduate Student Member, Member, Senior Member or Fellow grade.

#### F. APPOINTMENTS AND TERMS OF OFFICE

1. The Committee Chair shall be elected by paper ballot using Single Transferable Vote (STV) by both TAB and PSPB from a slate prepared by the Nominations and Appointments Committees of TAB and PSPB. Nominees may be past or present Division Directors, Society/Council Presidents, past or present

members of PSPB, or individuals with past service on the Committee or one of its predecessors (TAB Products Committee, PSPB/TAB Electronic Services & Products Committee).

Nominations may be added by petition of at least 20% of the electorate, but not from the floor. The ballots shall not be tallied until both TAB and PSPB have voted.

The Committee Chair shall serve a two-year term, with reappointment permissible for a maximum one additional two-year term.

2. The seven (7) members representing the Technical Activities Board are appointed as follows:
  - a. The one (1) additional TAB representative, who serves as the Chair of the Conference Publications Committee, shall be appointed by the Committee Chair, in consultation with the Vice President - Technical Activities.
  - b. The six (6) S/C appointees shall serve a one-year term starting 1 January, with reappointment permissible for a maximum tenure of three (3) years. These six (6) appointees shall have experience as an S/C President, Vice President of Publications, or another publications role. Each of the three (3) largest Societies may nominate one of these six (6) appointees. The TAB Nominations and Appointments Committee shall prepare the slate for consideration by the Directors Forum. Nominations submitted by any of the three (3) largest societies shall be included for consideration. The Division Directors shall make the final decision on all appointments. The Division Directors' Forum shall attempt to establish the broadest S/C representation among these six (6) appointees.
3. The four (4) members representing Publications Services and Products Board are appointed by the Vice President - Publications Services and Products and shall serve a one-year term starting 1 January, with reappointment permissible for a maximum tenure of three (3) consecutive years.
4. The Committee Chair shall serve as a voting member on TAB and the TAB Finance Committee and shall also serve as a voting member on PSPB.
5. The Chair may appoint a Vice-Chair from among the voting members of the Committee.
6. The representatives from EAB, MGAB, IEEE-SA, and IEEE-USA shall be appointed by the respective Chairs of these Major Boards.

#### G. VACANCIES

1. In the event of the incapacity of the Chair, the most recent Past Chair shall serve as Acting Chair until a successor is elected (using the methodology originally used to fill that position as noted in Subsection F). The Acting Chair shall notify TAB and PSPB in a timely manner and continue to serve until further

directed. The replacement will serve for the remainder of the original term.

2. If other vacancies occur, they are filled using the methodology originally used to fill that position as noted in Subsection F.

#### H. COMMITTEES REPORTING TO THE TAB/PSPB PRODUCTS AND SERVICES COMMITTEE

Reporting to the Committee shall be the following Committees:

1. Committees
  - Conference Publications Committee
2. Ad Hoc Committees

An Ad Hoc Committee may be appointed to address a specific issue or activity within the scope of the Committee.

The scope, membership, source of funding, and expected duration of each such Ad Hoc Committee shall be specified at the time of appointment.

The activities of an Ad Hoc Committee shall be completed by the end of the calendar year of the Committee's formation, at which time the Ad Hoc Committee shall terminate. Ad Hoc Committee term extensions in increments of one calendar year or less may be made by the appointing authority, the Vice President - Technical Activities, or Vice President-Elect, Technical Activities, as applicable.

#### I. MEETINGS

1. The Committee meets a minimum of three (3) times a year.
2. Electronic mail, teleconference and other non face-to-face means may be utilized for the transaction of business and for the conduct of interim meetings as called by the Chair.
3. A majority of the voting members of the Committee shall constitute a quorum.
4. Voting shall be conducted in accordance with Robert's Rules of Order. The Committee Chair shall have no vote except if the vote is by secret ballot or unless the Chair's vote can change the outcome of the vote.
5. The business of the ad hoc committees should be accomplished by electronic mail, phone, FAX, virtual community, etc.

#### J. REPORTS

The Committee Chair will provide a highlight report to PSPB and TAB at each of their meetings and will provide additional reports as requested by the PSPB and TAB Chairs.

#### K. FINANCIAL AND ADMINISTRATIVE SUPPORT FINANCIAL

Meeting accommodation costs for the TAB/PSPB Products and Services Committee shall be provided two-thirds by TAB and one-third by PSPB, in an amount to be determined through the normal budgetary processes of the respective boards. Since the Committee meetings are

normally scheduled to be in conjunction with IEEE Board of Directors Series meetings, those attending shall have their personal expenses covered by their respective OUs.

#### ADMINISTRATIVE

Administrative support for the Committee will be provided by the Technical Activities department with the support of the Publication Activities department and includes agenda preparation, minute taking, distribution and follow-up of action items, data gathering and analysis, meeting coordination, subject matter expert and strategic analysis.

#### L. CHANGES TO CHARTER

Changes to this Charter must conform with IEEE governing documents and be approved by both TAB and PSPB.

### **4.3 PSPB Editorial and Advisory Boards**

#### **4.3.1 IEEE PRESS Editorial Board Charter**

##### A. GENERAL

The IEEE PRESS Editorial Board is an organizational unit of, and reports to, PSPB.

##### B. SCOPE

1. Duties. The IEEE PRESS Editorial Board shall be responsible for defining and overseeing the mission of the IEEE PRESS, as specified in Subsection 8.3.4.
2. Meetings. Meetings shall occur at least once per year and be chaired by the Editor-in-Chief.

##### C. FUNCTIONS

The IEEE PRESS Editorial Board consists of experts in their own field and as such it collectively:

1. Reviews and approves the policies of the IEEE PRESS and makes recommendations for operational improvements.
2. Complements the IEEE PRESS staff by adding scientific perspective on the activities of the IEEE PRESS.
3. Provides scientific expertise and guidance.
4. Provides input on "Emerging and Hot Topics" and areas of interest for potential book titles and electronic media as well as potential authors
5. Provides input on the importance and quality of proposed book titles and electronic media.

##### D. COMPOSITION

###### Voting Members

Board members shall be appointed by PSPB, based on recommendations by the PSPB Nominations and Appointments Committee, following the process described in Subsection 5.5.6. The number of Board Members shall be at least seven.

- The Board shall be chaired by the Editor-in-Chief.

#### Non-Voting Members

- PSPB Chair
- Managing Director, IEEE Publications, or that person's designee

#### Corresponding Members

- Society Liaisons to IEEE PRESS are delegated by the officers of IEEE Technical Societies to work with IEEE PRESS staff and volunteers. They are invited to attend the annual IEEE PRESS Editorial Board Meeting. The Society Liaisons identify promising projects and authors, and recommend projects to be sponsored by the Society for publication by IEEE PRESS. Each society shall define the term of service for their respective Liaison.

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the IEEE PRESS Editorial Board shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

#### F. TERMS OF OFFICE

1. The Editor-in-Chief shall serve a two-year term, beginning 1 January, with the possibility of re-appointment for another two-year term. The number of consecutive terms shall not exceed two.
2. All other voting members serve three-year terms, beginning 1 January, with the possibility of re-appointment to one additional three-year term. The number of consecutive terms shall not exceed two.
3. The total number of consecutive years for combined service as a member and the Editor-in-Chief shall not exceed 10 years.

Coverage of all technical areas of the IEEE shall be considered when choosing members.

#### G. VACANCIES

Voting member vacancies in the IEEE PRESS Editorial Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

#### H. COMMITTEES REPORTING TO IEEE PRESS EDITORIAL BOARD

Reporting to the IEEE PRESS Editorial Board shall be the following Committees:

1. PSPB Committees  
None
2. Ad Hoc Committees  
The Chair of the IEEE PRESS Editorial Board may create Ad Hoc Committees to address specific issues or deal with special situations as deemed appropriate. The Chair of each such Ad

Hoc Committees must be a member of IEEE PRESS Editorial Board and shall be appointed by the IEEE PRESS Editorial Board Chair.

I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the IEEE PRESS Editorial Board shall be provided through the normal budgetary processes of. Administrative support for the IEEE PRESS Editorial Board will be provided by the IEEE Publications department.

J. MEETINGS

Meetings of the IEEE PRESS Editorial Board shall occur at least once per year and be chaired by the Editor-in-Chief.

K. REPORTS

The IEEE PRESS Editorial Board will issue the following reports:

1. Minutes of the annual IEEE PRESS Editorial Board Meeting.
2. Informational reports by the IEEE PRESS Publisher to each PSPB meeting.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.3.2 IEEE SPECTRUM Editorial Advisory Board Charter**

A. GENERAL

The IEEE SPECTRUM Editorial Advisory Board is an organizational unit of, and reports to, PSPB.

B. SCOPE

The IEEE SPECTRUM Editorial Advisory Board is responsible for overseeing the editorial mission of IEEE SPECTRUM, as defined in Subsection 8.3.2.

C. FUNCTIONS

1. Broad editorial policies of IEEE SPECTRUM are determined by PSPB. These policies must be in accordance with the editorial objective of IEEE SPECTRUM, which is to present timely articles of high quality, written to be meaningful to a wide audience to ensure that members can keep abreast of important developments in the IEEE's diverse fields of interest. The implementation of these policies is the responsibility solely of the Editor-in-Chief and the Managing Director, IEEE Publications.
2. The Editorial Advisory Board's main mission is to assist with forward planning for IEEE Spectrum, providing leads for articles, suggesting potential authors, and suggesting ways for IEEE SPECTRUM to improve and expand its editorial coverage.
3. The Editorial Advisory Board is also called upon from time to time to assist with the review of or to help find reviewers for IEEE SPECTRUM's content.



#### D. COMPOSITION

##### Voting Members

- In consultation with the Editor-in-Chief, the PSPB Chair shall appoint one person each year to be a voting member of the IEEE SPECTRUM Editorial Advisory Board for a one-year term, with possible reappointment for up to three terms. This person serves as a representative of the IEEE SPECTRUM Editorial Advisory Board on the PSPB Editorial Advisory Group.
- All other IEEE SPECTRUM Editorial Advisory Board members may be proposed to the PSPB Nominations and Appointments Committee by the Editorial Advisory Board members or by the Editor-in-Chief of IEEE SPECTRUM and shall be approved by PSPB. The number of members shall be between 18 and 27. They should reflect the diversity of the IEEE membership.

##### Non-Voting Members

- PSPB Chair

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Editor-in-Chief of IEEE SPECTRUM shall serve as the non-voting Chair of the Editorial Advisory Board
- Managing Director, IEEE Publications

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the IEEE SPECTRUM Editorial Advisory Board shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

#### F. TERMS OF OFFICE

With the exception of the voting member appointed by the PSPB Chair, each voting member serves a two-year term beginning 1 January, with the possibility of re-appointment to two additional two-year terms. The number of consecutive terms shall not exceed three.

#### G. VACANCIES

Voting member vacancies in the IEEE SPECTRUM Editorial Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

#### H. COMMITTEES REPORTING TO THE IEEE SPECTRUM EDITORIAL ADVISORY BOARD

1. PSPB Committees
  - There are no committees reporting to IEEE SPECTRUM Editorial Advisory Board.
2. Ad Hoc Committees

The Chair of the Editorial Advisory Board may create Ad Hoc Committees to address specific issues or deal with special situations as deemed appropriate. The Chairs of such Ad Hoc Committees must be members of the Editorial Advisory Board and shall be appointed by the IEEE SPECTRUM Editorial Advisory Board Chair.

I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the IEEE SPECTRUM Editorial Advisory Board is provided by IEEE SPECTRUM through the normal budgetary processes of the PSPB. Administrative support for the Editorial Advisory Board will be provided by IEEE SPECTRUM.

J. MEETINGS

The IEEE SPECTRUM Editorial Advisory Board shall meet at least once each year, along with the editorial staff of IEEE SPECTRUM. During meetings, the Editor-in-Chief, editors, and Board members exchange ideas on present and future content and format of IEEE SPECTRUM.

K. REPORTS

The Chair of the Editorial Advisory Board will provide status reports for each PSPB meeting.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

#### **4.3.3 PROCEEDINGS OF THE IEEE Editorial Board Charter**

A. GENERAL

The PROCEEDINGS OF THE IEEE Editorial Board is an organizational unit of, and reports to, PSPB.

B. SCOPE

The PROCEEDINGS OF THE IEEE Editorial Board shall be responsible for overseeing the mission of the PROCEEDINGS, as defined in Subsection 8.3.1.

C. FUNCTIONS

The PROCEEDINGS OF THE IEEE Editorial Board shall:

1. Generate and convey ideas for PROCEEDINGS content, including Invited Articles and Special Issues to the Editor-in-Chief, usually via the Managing Editor. This activity includes recommending authors and potential Guest Editors who are knowledgeable in the subject area.
2. Comment upon articles as requested.
3. Suggest names of qualified reviewers for appropriate articles.
4. Provide opinions on all proposals for articles, special issues, and

other content.

5. Offer informed counsel and advice in support of all publishing objectives.
6. Support special projects and objectives as delineated by the Editor-in-Chief.

#### D. COMPOSITION

The PROCEEDINGS OF THE IEEE Editorial Board shall consist of a minimum of seven voting members, as well as non-voting members as follows:

##### Voting Members

- Board members shall be appointed by PSPB, based on recommendations by the PSPB Nominations and Appointments Committee, following the process described in Subsection 5.5.6.
- The Editor-in-Chief shall serve as Chair of the PROCEEDINGS OF THE IEEE Editorial Board. The Editor-in-Chief shall have served as a member of the PROCEEDINGS OF THE IEEE Editorial Board prior to being elected the Editor-in-Chief.

##### Non-Voting Members

- PSPB Chair

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Managing Director, IEEE Publications
- Senior Director, Publishing Operations
- Senior Managing Editor, PROCEEDINGS OF THE IEEE.

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the Editorial Board must be IEEE Fellows, or IEEE Senior Members who have served as recent Guest Editors of an issue of the PROCEEDINGS.

#### F. TERMS OF OFFICE

1. The Editor-in-Chief shall serve a term of service of three years, beginning 1 January, with the possibility of re-appointment to one additional three-year term. The number of consecutive terms shall not exceed two.
2. Members of the Editorial Board shall serve a term of service of three years, beginning 1 January, with the possibility of re-appointment to one additional three-year term. The number of consecutive terms shall not exceed two. Members may be chosen from any technical area of the IEEE.
3. The total number of consecutive years for combined service as a member and the Editor-in-Chief shall not exceed 12 years.

#### G. VACANCIES

Voting member vacancies in the PROCEEDINGS OF THE IEEE Editorial Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the

position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

#### H. COMMITTEES REPORTING TO PROCEEDINGS OF THE IEEE EDITORIAL BOARD

Reporting to the PROCEEDINGS OF THE IEEE Editorial Board shall be the following Committees:

1. Committees
  - a. Awards Committee: charged with nominating PROCEEDINGS OF THE IEEE articles and other content, as appropriate for IEEE awards.
  - b. Readership Service Committee: Examines the readership profile (i.e., academia versus industry), the appropriate level of coverage (theory versus practical application, etc.), and makes recommendations accordingly.

#### 2. Ad Hoc Committees

The Chair of the PROCEEDINGS OF THE IEEE Editorial Board may create Ad Hoc Committees to address specific issues or deal with special situations as deemed appropriate. The Chairs of such Ad Hoc Committees must be members of the PROCEEDINGS OF THE IEEE Editorial Board and shall be appointed by the Editorial Board Chair.

#### I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the PROCEEDINGS OF THE IEEE Editorial Board shall be provided through the normal budgetary processes of PSPB. Administrative support for the Editorial Board will be provided by the IEEE Publications department.

#### J. MEETINGS

Meetings of the PROCEEDINGS OF THE IEEE Editorial Board shall occur at least once per year and be chaired by the Editor-in-Chief.

#### K. REPORTS

The Editor-in-Chief will issue the following reports:

1. The PROCEEDINGS OF THE IEEE Status Report will be conveyed to PSPB in advance of each meeting.
2. Proposals for new Editorial Board Members shall be conveyed to the PSPB Nominations and Appointments Committee in advance of each annual nomination cycle.

#### L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

### **4.3.4 THE INSTITUTE Editorial Advisory Board Charter**

#### A. GENERAL

THE INSTITUTE Editorial Advisory Board is an organizational unit of,

and reports to, PSPB.

B. SCOPE

The editorial mission of THE INSTITUTE is defined in Subsection 8.3.3.

C. FUNCTIONS

THE INSTITUTE Editorial Advisory Board shall provide advice and counsel to the Editor of THE INSTITUTE through individual discussion and during Editorial Board meetings.

D. COMPOSITION

THE INSTITUTE Editorial Advisory Board shall consist of up to ten voting members and four non-voting members as follows:

Voting Members

- In consultation with the Editor-in-Chief, the PSPB Chair shall appoint one person each year to be a voting member of THE INSTITUTE Editorial Advisory Board for a one-year term, with possible reappointment for up to three terms. This person serves as a representative of THE INSTITUTE Editorial Advisory Board on the PSPB Editorial Advisory Group.
- Other Editorial Advisory Board members of THE INSTITUTE may be proposed to the PSPB Nominations and Appointments Committee by the Editorial Advisory Board members or by the Editor-in-Chief of THE INSTITUTE and shall be approved by PSPB. An effort should be made to assemble a Board that reflects many different elements of the IEEE membership.
- Voting members are appointed because of their deep interest in the publication, their understanding of the publishing business, writing experience, their representation of membership outside of the United States which provides a global perspective; and their representation of an IEEE Affinity group, Chapter, Society, Section or Region.

Non-Voting Members

- PSPB Chair

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Managing Director, IEEE Publications
- Editor-in-Chief of IEEE SPECTRUM
- Editor-in-Chief of THE INSTITUTE shall serve as the non-voting Chair of the Editorial Advisory Board.

E. MEMBERSHIP REQUIREMENTS

All voting members of THE INSTITUTE Editorial Advisory Board shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

F. TERMS OF OFFICE

With the exception of the voting member appointed by the PSPB Chair, each voting member serves a three-year term, beginning 1 January, with the possibility of re-appointment for another three-year term. The

number of consecutive terms shall not exceed two.

G. VACANCIES

Voting member vacancies in THE INSTITUTE Editorial Advisory Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

H. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for THE INSTITUTE Editorial Advisory Board shall be provided through the normal budgetary processes of PSPB. Administrative support is provided by the editorial staff of THE INSTITUTE

I. MEETINGS

THE INSTITUTE Editorial Advisory Board shall hold at least one meeting a year and be chaired by the Editor-in-Chief of THE INSTITUTE.

J. REPORTS

THE INSTITUTE Editorial Advisory Board will issue the following reports:

1. Activity reports from THE INSTITUTE's Editor-in-Chief are made at each PSPB meeting.

K. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.3.5 IEEE THESAURUS Editorial Advisory Board Charter**

A. GENERAL

The IEEE THESAURUS Editorial Advisory Board is an organizational unit of, and reports to, PSPB.

B. SCOPE

The editorial mission of the IEEE THESAURUS Editorial Advisory Board shall be to maintain and update the IEEE THESAURUS so it remains current with IEEE's technical areas of interest.

C. FUNCTIONS

The IEEE THESAURUS Editorial Advisory Board shall provide advice and counsel to the Chair on matters related to the IEEE THESAURUS.

D. COMPOSITION

The IEEE THESAURUS Editorial Advisory Board shall consist of a minimum of 11 voting members, as well as non-voting and corresponding members as follows:

Voting Members

- The voting members shall consist of no more than one voting member from each IEEE Division, plus the Chair.
- The Chair shall have served as a member of the IEEE THESAURUS Editorial Advisory Board prior to being appointed Chair.
- Board members may be proposed to the PSPB Nominations and Appointments Committee by the Board itself, by the Chair, or by the Senior Director, Publishing Operations, and shall be approved by PSPB.
- The Chair of the IEEE THESAURUS Editorial Advisory Board, or that person's designee, shall represent the Board on the PSPB Editorial Advisory Group and provide guidance to IEEE staff based on the advice and counsel of the Board.

#### Non-Voting Members

- PSPB Chair
- No more than one Corresponding Member from each of the IEEE Societies and Technical Councils.

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Managing Director, IEEE Publications, or that person's designee
- Senior Director, Publishing Operations, or that person's designee

#### E. MEMBERSHIP REQUIREMENTS

All voting members of the IEEE THESAURUS Editorial Advisory Board shall be IEEE Senior Members or Fellows.

#### F. TERMS OF OFFICE

Each voting member serves a three-year term, beginning 1 January, with the possibility of re-appointment for another three-year term. The number of consecutive terms shall not exceed two.

#### G. VACANCIES

Voting member vacancies in IEEE THESAURUS Editorial Advisory Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

#### H. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the IEEE THESAURUS Editorial Advisory Board shall be provided through the normal budgetary processes of PSPB. Administrative support is provided by the staff of Publications Operations.

#### I. MEETINGS

The voting members of the IEEE THESAURUS Editorial Advisory Board shall hold at least one meeting a year.

J. REPORTS

The IEEE THESAURUS Editorial Advisory Board will issue the following reports:

1. Activity reports from Editorial Advisory Board Chair shall be made at least annually at a PSPB meeting
2. Information reports to the Corresponding Members.

K. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

**4.3.6 IEEE ACCESS Editorial Board Charter**

A. GENERAL

The IEEE ACCESS Editorial Board is an organizational unit of, and reports to, PSPB.

B. SCOPE

The IEEE ACCESS Editorial Board shall be responsible for overseeing and carrying out the editorial mission of IEEE ACCESS™, as defined in Subsection 8.3.5.

C. FUNCTIONS

The IEEE ACCESS Editorial Board shall:

1. Periodically review and make recommendations for changes to IEEE ACCESS™.
2. Offer informed counsel and advice in support of all publishing objectives.
3. Suggest names of qualified reviewers for appropriate articles.
4. Comment upon articles as requested.
5. Support special projects and objectives as delineated by the Editor-in-Chief.
6. Share the Editorial Board's efforts and results with interested IEEE organizational units.

D. COMPOSITION

The IEEE ACCESS Editorial Board shall consist of a minimum of 11 voting members, as well as non-voting and corresponding members as follows:

Voting Members

- The voting members shall consist of at least one voting member from each IEEE Division, plus the Editor-in-Chief.
- The Editor-in-Chief shall have served as a member of the IEEE ACCESS Editorial Board prior to being appointed the Editor-in-Chief.
- Board members shall be appointed by PSPB, based on recommendations by the PSPB Nominations and Appointments Committee, following the process described in Subsection 5.5.6.
- The Editor-in-Chief shall serve as Chair of the IEEE ACCESS Editorial Board.



## Non-Voting Members

- PSPB Chair
- No more than one Corresponding Member from each of the IEEE Societies and Technical Councils.

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Managing Director, IEEE Publications, or that person's designee
- Senior Director, Publishing Operations
- Managing Editor, IEEE ACCESS.

## E. MEMBERSHIP REQUIREMENTS

All voting members of the IEEE ACCESS Editorial Board shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

## F. TERMS OF OFFICE

1. The Editor-in-Chief shall serve a term of service of three years, beginning 1 January, with the possibility of re-appointment to one additional three-year term. The number of consecutive terms shall not exceed two.
2. Members of the Editorial Board shall serve a term of service of three years, beginning 1 January, with the possibility of re-appointment to one additional three-year term. The number of consecutive terms shall not exceed two.
3. The total number of consecutive years for combined service as a member and the Editor-in-Chief shall not exceed 12 years.

## G. VACANCIES

Voting member vacancies in IEEE ACCESS Editorial Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

## H. COMMITTEES REPORTING TO THE IEEE ACCESS EDITORIAL BOARD

1. Ad Hoc Committees  
The Chair of the IEEE ACCESS Editorial Board may create Ad Hoc Committees to address specific issues or deal with special situations as deemed appropriate. The Chairs of such Ad Hoc Committees must be members of the IEEE ACCESS Editorial Board and shall be appointed by the Editorial Board Chair.

## I. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the IEEE ACCESS Editorial Board shall be provided through the normal budgetary processes of PSPB.

Administrative support will be provided by the IEEE Publications department.

J. MEETINGS

Meetings of the IEEE ACCESS Editorial Board shall occur at least once per year and be chaired by the Editor-in-Chief.

K. REPORTS

The IEEE ACCESS Editorial Board will issue the following reports:

1. The IEEE ACCESS Status Report will be conveyed to PSPB in advance of each meeting.
2. Information reports to the Corresponding Members.
3. Proposals for new Editorial Board Members shall be conveyed to the PSPB Nominations and Appointments Committee in advance of each annual nomination cycle.

L. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

#### **4.3.7 TechRxiv Editorial Advisory Board Charter**

A. GENERAL

The TechRxiv Editorial Advisory Board is an organizational unit of, and reports to, PSPB.

B. SCOPE

TechRxiv™ is an open, moderated preprint server for unpublished research in general areas of engineering technology and practice, particularly as they relate to the IEEE Field of Interest. The editorial mission of the TechRxiv Editorial Advisory Board shall be to promote, monitor and oversee operations of TechRxiv™ so it remains current with IEEE's technical areas of interest and practice.

C. FUNCTIONS

The TechRxiv Editorial Advisory Board shall:

1. Oversee TechRxiv™ policy and procedures.
2. Periodically review and make recommendations for changes to TechRxiv™ regarding short- and long-term goals, technical areas, policies and procedures.
3. Offer informed counsel and advice in support of TechRxiv™, including user and partner needs.
4. Work with IEEE staff to oversee a selection process for moderators who perform regular tasks in content screening for TechRxiv™.
5. Share the TechRxiv™ efforts and results with interested IEEE organizational units.
6. Promote and advance TechRxiv™ in general areas of engineering technology and practice.

D. COMPOSITION

The TechRxiv Editorial Advisory Board shall consist of a minimum of 7 (seven) voting members, as well as non-voting and corresponding members as follows:

Voting Members

- The Chair of the TechRxiv Editorial Advisory Board shall be appointed by the PSPB Chair and shall have served as a voting member of the TechRxiv Editorial Advisory Board prior to being appointed Chair. The Chair, or that person's designee, shall serve as a representative of the TechRxiv Editorial Advisory Board on the PSPB Editorial Advisory Group and provide guidance to IEEE staff based on the advice and counsel of the Board.
- At least one member shall be a PSPB Member-at-large appointed by the PSPB Chair. This person will serve as a representative and liaison to PSPB on behalf of the TechRxiv Editorial Advisory Board.
- Board members may be proposed to the PSPB Nominations and Appointments Committee by the Board itself, by the Chair, or by the Managing Director, IEEE Publications, and shall be approved by PSPB.

Non-Voting Members

- PSPB Chair

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Managing Director, IEEE Publications, or that person's designee
- Senior Director, Publishing Operations

E. MEMBERSHIP REQUIREMENTS

All voting members of the TechRxiv Editorial Advisory Board shall be IEEE members. Exception to this may be made for members assigned to represent partnering organizations, while maintaining a majority of IEEE members on the Board.

F. TERMS OF OFFICE

Each voting member serves a three-year term, beginning 1 January, with the possibility of re-appointment for another three-year term. The number of consecutive terms shall not exceed two. Terms should be staggered to facilitate continuity.

G. VACANCIES

Voting member vacancies in the TechRxiv Editorial Advisory Board shall be filled by the PSPB Operating Committee for the balance of the term of the vacated position. If such an appointment occurs during the first half of the term of the vacated position and the position has a reappointment provision, this appointment counts as the initial term. If the appointment occurs during the second half of the term, that time served will not count as a full term with regard to term limit restrictions for that position.

H. FINANCIAL AND ADMINISTRATIVE SUPPORT

The principal financial support for the TechRxiv Editorial Advisory Board shall be provided through the normal budgetary processes of PSPB. Administrative support is provided by staff of IEEE Publishing Operations.

I. MEETINGS

The voting members of the TechRxiv Editorial Advisory Board shall hold at least one meeting a year. Meetings may be virtual in nature.

J. REPORTS

The TechRxiv Editorial Advisory Board shall submit an activity report to PSPB at least once a year.

K. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

#### **4.4 IEEE PSPB Editorial Advisory Group**

A. GENERAL

The PSPB Editorial Advisory Group (PSPB-EAG) is an organization of, and reports to, PSPB. PSPB-EAG members are also obligated to report to their sponsoring organizational units. The PSPB-EAG has representation on PSPB by way of three PSPB voting members according to Subsection 2.1.1.

B. SCOPE AND FUNCTIONS

The PSPB-EAG shall provide a means for coordinating publication activities, assist in the PSPB Nominations and Appointments Committee process regarding candidates for editor and editorial board appointments, and assist PSPB in determining general publication policy and procedure recommendations for Institute-wide publication initiatives.

C. COMPOSITION

The PSPB-EAG shall consist of voting and non-voting members and a Chair as follows.

Voting Members

- All voting members of PSPB-EAG, including the Chair, are appointed annually by the PSPB Chair.
- Voting members of the PSPB-EAG shall be the EICs or those persons' designees from the Editorial Boards of Institute-wide publications, and representatives from each of the PSPB Editorial Advisory Boards.
- Other voting members of the PSPB-EAG, with participation at the discretion of TAB and MGAB leadership, may consist of Chairs of TAB Periodicals Committee Standing Committees for Transactions and Magazines, or members of those standing committees; EiC or that person's designee from the POTENTIALS Editorial Board; and, EiC or that person's designee from the IEEE Women in Engineering Magazine Editorial Board.

#### Non-Voting Members

- PSPB Chair
  - Managing Director, IEEE Publications, or that person's designee
- Chair
- The Chair of PSPB-EAG shall be appointed annually by the PSPB Chair from among the voting members.

#### D. MEMBERSHIP REQUIREMENTS

All voting members of the PSPB-EAG shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

#### E. TERMS OF OFFICE

All PSPB-EAG members are appointed annually for one-year terms, with limits on the number of terms defined by their service on their respective editorial boards or committees.

#### F. FINANCIAL AND ADMINISTRATIVE SUPPORT

Any travel expenses incurred for meetings of the PSPB-EAG shall be provided through the normal budgetary processes of the respective editorial boards or committees on which the PSPB-EAG members serve.

#### G. MEETINGS

The PSPB-EAG shall hold at least one meeting a year, virtually or in person.

#### H. REPORTS

The PSPB-EAG, through its Chair, will issue an annual report of the PSPB-EAG activities, actions, and recommendations at the final PSPB meeting of the year.

#### I. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB.

### **4.5 IEEE Panel of Technical Publication Editors**

#### A. GENERAL

The Panel of Technical Publication Editors is an organization of, and reports to, PSPB and TAB. Panel members are also obligated to report to their sponsoring organizational units.

#### B. SCOPE AND FUNCTIONS

The Panel of Technical Publications Editors shall provide a means for coordinating publication activities, consult with the PSPB Nominations and Appointments Committee concerning candidates for PSPB Members-at-large, and assist PSPB in determining general publication policy and procedure recommendations.

#### C. COMPOSITION

The Panel of Technical Publications Editors shall consist of voting and non-voting members and a Chair as follows.

#### Voting Members

- Voting members of the Panel shall be the Editors-in-Chief of PROCEEDINGS OF THE IEEE; IEEE ACCESS™; IEEE PRESS; the transactions, journals, magazines, and newsletters of Societies and Technical Councils; and any other technical publications published by the IEEE or its organizational units. In the event that there is a Society Editor-in-Chief responsible for all Society publications, then the Editors-in-Chief of the individual society publications shall also be voting members of the Panel.

#### Non-Voting Members

- PSPB Chair

Staff positions as appointed by the IEEE Executive Director, or that person's designee

- Managing Director, IEEE Publications
- Editor-in-Chief of IEEE SPECTRUM

#### Chair

- The Chair of the TAB Periodicals Committee shall serve as the Chair of the Panel.

### D. MEMBERSHIP REQUIREMENTS

All voting members of the Panel of Technical Publication Editors shall be IEEE Members, Graduate Student Members, Senior Members, or Fellows.

### E. TERMS OF OFFICE

The terms of office of all members of the Panel of Technical Publication Editors is limited to the period in which they hold their editorial positions.

### F. FINANCIAL AND ADMINISTRATIVE SUPPORT

Excluding room and travel expenses, the principal financial support for the annual meeting of the Panel of Technical Publication Editors shall be provided through the normal budgetary processes of PSPB, as well as TAB. Room and travel expenses of each Panel member are the responsibility of the organization unit that the member represents. Administrative support is provided by the IEEE Publications department.

### G. MEETINGS

IEEE Panel of Technical Publications Editors shall hold at least one meeting a year.

### H. REPORTS

The Panel of Technical Publication Editors, through its Chair, will issue an annual report of the Panel's activities, actions, and recommendations at the PSPB and TAB meetings immediately following the annual meeting of the Panel.

### I. CHANGES TO CHARTER

Changes to this Charter must conform to IEEE Bylaws and IEEE Policies and be approved by PSPB and TAB.

## **SECTION 5 - PSPB AND COMMITTEE OPERATIONAL PROCEDURES**

### **5.1 PSPB Meetings**

There shall be at least three meetings per year of PSPB. The meetings should normally be held in conjunction with the IEEE Board of Directors meeting series.

Robert's Rules of Order (latest revision) shall be used to conduct business at PSPB meetings.

### **5.2 PSPB Actions**

#### **5.2.1 Actions**

Unless otherwise provided in the IEEE Certificate of Incorporation, the IEEE Constitution, the IEEE Bylaws, the Not-for-Profit Corporation Law of the State of New York, or elsewhere in this Operations Manual, the vote of a majority of the voting members present at the time of the vote, provided a quorum is present at such time, shall be the act of PSPB and any committee thereof.

#### **5.2.2 Revision of the PSPB Operations Manual**

##### **From IEEE Bylaw I-303.9. Major Board Operating Procedures**

The Operations Manuals or any amendments to its procedures shall not be adopted until such Operations Manuals or any amendments have been submitted to and reviewed by the IEEE Governance Committee.

Proposed changes to the PSPB Operations Manual and reasons therefore shall be distributed to all voting members of PSPB at least 20 calendar days before the stipulated meeting of the Board at which the vote shall be taken. An affirmative vote of two-thirds of the members present and entitled to vote, provided there is a quorum shall be required to approve any new Operations Manual statement, amendment, or revocation. The IEEE Board of Directors shall be informed about these actions.

Additionally, the IEEE Board of Directors has identified that changes related to specific responsibilities directed to the major organizational units shall be reviewed and approved by the Board using the process in accordance with IEEE Bylaw I-300.4(5). The following chart indicates the sections of this manual for which PSPB is responsible which shall follow that process and for which review and consent shall be obtained by additional Major Boards or Committees, as indicated, prior to submission to the IEEE Board of Directors

<b>PSPB Manual Section/Activity</b>	<b>Involved OU(s) Review/Consent</b>
1.3 Objectives	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
1.4 PSPB Responsibility for IEEE Publications	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB



<b>PSPB Manual Section/Activity (continued)</b>	<b>Involved OU(s) Review/Consent</b>
1.5 Oversight Responsibilities for Publications	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
2.1.1 Voting Members	Deliberation: PSPB Review/Consent: PSPB Approval: PSPB
6.1.2 Financial Guidelines for Service-Oriented Cost Centers	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
6.3 Publication Administration Charge	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
6.5 Article Processing Charges	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
6.6 IEEE PRESS Business and Financial Arrangements	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.1.1 General (under 8.1 Publication Policies)	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.1.3 Presentation of Nontechnical Material	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.1.6 Titling Protocols for IEEE Publications	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.1.7.F Publication of Articles in IEEE Periodicals Based Upon Conference Articles	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.1.8 Advertising in IEEE Information Services and Products	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA, IEEE-USA Approval: PSPB
8.1.10 Post Publication Changes	Deliberation: PSPB Review/Consent: PSPB Approval: PSPB
8.1.11 Removing Access to Content on IEEE Xplore	Deliberation: PSPB Review/Consent: PSPB Approval: PSPB
8.2 Publication Guidelines (for any changes in the introductory paragraph)	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.1.A Authorship	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.1.B Responsibilities of Authors of Articles Published by IEEE	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.2 Review Process	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.3 Appeal of Editorial Decisions	Deliberation: PSPB Review/Consent: PSPB, EMCC, TAB, MGAB, EAB, SA Approval: PSPB
8.2.4.A Handling of Complaints	Deliberation: PSPB Review/Consent: PSPB, EMCC, TAB, MGAB, EAB, SA Approval: PSPB
8.2.4.B Investigation Possible Misconduct	Deliberation: PSPB Review/Consent: PSPB, EMCC, TAB, MGAB, EAB, SA Approval: PSPB

<b>PSPB Manual Section/Activity (continued)</b>	<b>Involved OU(s) Review/Consent</b>
8.2.4.C Corrective Actions	Deliberation: PSPB Review/Consent: PSPB, EMCC, TAB, MGAB, EAB, SA Approval: PSPB
8.2.5 Transactions, Journals and letters	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.6 Magazines	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.7 Conference Publications	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.8 Virtual Journals	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.2.9 Newsletters	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.3.1 THE PROCEEDINGS OF THE IEEE	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.3.2 IEEE SPECTRUM	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.3.3 THE INSTITUTE	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.3.4 THE IEEE PRESS	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.3.5 IEEE ACCESS™	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.4.1 Approval of New Periodicals	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB
8.4.2 Major Changes to an Existing Publication Product or Service	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA, IEEE-USA Approval: PSPB
8.4.3 Publication of Periodicals Outside the IEEE	Deliberation: PSPB Review/Consent: PSPB, TAB, MGAB, EAB, SA Approval: PSPB

### **5.3 PSPB Quorum**

The majority of the voting members of PSPB and any committee thereof shall constitute a quorum in accordance with the IEEE Bylaws.

### **5.4 Agenda and Minutes of Meetings**

#### **5.4.1 Meeting Agendas**

The preparation of a PSPB Agenda is a multi-step process. A “Call for Agenda Items” is sent to all members of PSPB, including all PSPB Committee Chairs and liaison representatives, approximately seven weeks before the meeting to solicit action/ discussion/ information items. Within the “Call for Agenda

Items” will be a deadline for submitting material, which is approximately two weeks later. The Agenda and attachments are made available to PSPB via e-mail or posted on the IEEE website.

The Agenda will contain action items with the relevant background material to allow PSPB members to be informed about the issue at hand. All action items shall include a statement of the financial impact the action might have on the PSPB Budget. Reports of each of the PSPB Committees, PSPB Liaison representatives, the PSPB Chair and PSPB Secretary will be included in the Agenda.

After the Agenda has been set for each PSPB meeting, the Managing Director, IEEE Publications shall consult with the PSPB Chair concerning the appropriate staff to invite to the meeting. The staff selected will depend on the anticipated needs of the items on the agenda.

If an individual (not directly associated with PSPB) wishes to present an information item to PSPB, a written report must be included with the Agenda. The individual must obtain permission from the PSPB Chair, in order to have an item placed on the PSPB Agenda. These individuals are urged to work through the PSPB Vice Chair or the appropriate PSPB Committee.

#### **5.4.2 Meeting Minutes**

At all PSPB meetings, an IEEE Publications department staff member should be present to record the minutes of the meeting. If no IEEE Publications department staff member is available, the PSPB Chair shall appoint an appropriate person to record the minutes. The minutes need not be verbatim, but a summary of the actions with a reasonable amount of detail to insure the intent of the action taken will be understood by those who have not attended the meeting. Appendices containing all materials handed out during the PSPB Meeting but not included in the Agenda book/diskette shall accompany the minutes. A list of attendees shall be included in the appendices. Copies of minutes shall be distributed to all PSPB members within a reasonable amount of time after the close of each meeting.

PSPB Committees shall produce a meeting summary, which contains an attendance list and reports on all actions taken during the meeting. Appendices containing material distributed at or before the Committee meeting may be included. The meeting summary shall be distributed electronically to each PSPB Committee member (including Corresponding Members, where applicable) within a reasonable amount of time after the close of the meeting.

The PSPB Secretary shall maintain copies of all PSPB Meeting Agendas, Minutes and Committee Meeting summaries.

### **5.5 PSPB Nominations and Appointments Process**

#### **5.5.1 Nominations and Appointment Direction and Oversight**

The appointment, election, and recommendation process of PSPB shall be volunteer driven and overseen. The PSPB Nominations and Appointments Committee (PSPB N&A) shall assist the Vice President – Publication Services

and Products (PSPB Chair) in making appointments and shall advise PSPB in regard to the PSPB's appointments and elections.

#### **5.5.2 Criteria for Each Nominee**

Willingness to serve shall be a mandatory selection criterion for any nominee. The PSPB N&A Committee shall also consider the following non-prioritized criteria for each nominee:

- A. Publication experience or interest.
- B. Active volunteer and/or contributor experience.
- C. Skills or interest areas.
- D. Diversity (e.g., geographic, technical, gender, and age).
- E. For Members-at-large, a balance of IEEE entities and customers.
- F. For editorial boards, a strong editorial service record.

#### **5.5.3 Solicitation of Prospective Nominees**

The PSPB N&A Committee shall solicit prospective nominees from PSPB members, and appropriate PSPB customers, identifying an appropriate deadline for closing nominations.

In addition, regarding prospective nominees for each editorial board and editorial advisory board, the following practice shall be followed:

- A. For the position of Editor-in-Chief and Chair of the IEEE THESAURUS Editorial Advisory Board, the PSPB N&A Committee shall solicit names of suitable nominees from the current Editor-in-Chief or Chair, from the Managing Editor, and from current editorial board and editorial advisory board members. Self-nomination is acceptable.
- B. For the position of editorial board and editorial advisory board member(s), the PSPB N&A Committee shall solicit names of suitable nominees from the current Editor-in-Chief or Chair and from the Managing Editor.

This solicitation process shall be implemented with appropriate staff support, wherein a biography and position statement for each applicant shall accompany the nominations.

#### **5.5.4 Nomination Coordination with other Organizational Units**

The PSPB N&A Committee and the TAB N&A Committee shall jointly prepare the slate of recommended nominees for Chair, TAB/PSPB Products and Services Committee.

#### **5.5.5 Nomination and Election Process for PSPB Non-Editorial Positions**

- A. NOMINATION PROCESS FOR PSPB NON-EDITORIAL POSITIONS
  - 1. Recommendations by the PSPB N&A Committee for PSPB Members-at-large and Vice President – Publication Services and Products, as well as the joint TAB/PSPB recommendation for

Chair, TAB/PSPB Products and Services Committee, shall be presented to PSPB at the second PSPB meeting of the year.

2. The PSPB N&A Committee shall distribute the names and credentials of recommended nominees for each slate to PSPB members at least 20 calendar days prior to the scheduled PSPB Meeting at which the nomination shall be considered. The PSPB N&A Committee shall recommend at least two nominees for each non-editorial PSPB position.
3. Nominations by petition for non-editorial PSPB positions may be made on signed requests by at least five voting members of PSPB. Nominations by petition for the Chair, TAB/PSPB Products and Services Committee must be signed by at least 20% of the voting members of PSPB and TAB. Biographies and position statements for nominees by petition shall accompany each nomination. Petitions for non-editorial PSPB positions shall be received by the PSPB Chair no later than 10 calendar days prior to the scheduled PSPB meeting. Petitions for the Chair, TAB/PSPB Products and Services Committee, shall be received at least 10 calendar days prior to the scheduled PSPB or TAB meeting, whichever occurs first. These petitions can be received by either the PSPB or TAB Chair, and both chairs shall jointly share the receipt and verification of such nominations. The PSPB Chair shall distribute the name, nominated position, and credentials of each verified candidate to PSPB members no later than seven calendar days prior to the scheduled PSPB meeting.
4. Position statements from candidates shall not exceed a maximum word-length requirement of 200 words. The following will be used to determine the 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.
5. Nominations from the floor to add candidates to a slate shall not be accepted during the scheduled PSPB meeting.

**B. MEMBERS-AT-LARGE ELECTION PROCESS**

1. The slate of candidates for the PSPB Member-at-large positions shall be presented to PSPB at the second meeting of the year. Each candidate may speak for up to five minutes prior to voting by PSPB voting members. An advocate may speak for up to five minutes in support of the nomination of a candidate who is unable to participate. A period of up to five minutes is allowed in order for each candidate or advocate to answer questions. Presentations by each candidate or advocate shall be done individually with other candidates or advocates absent from the room. Following the last candidate or advocate presentation, PSPB voting members may discuss all candidates in executive

session with no candidates present.

2. The PSPB Chair shall appoint two or three persons as tellers, who are not voting members of PSPB.
3. Voting shall be conducted by secret ballot for three Member-at-large positions and three alternates. The election shall utilize Single Transferable Voting (STV). Tellers shall collect and tally the completed ballots, then report election outcomes without divulging tallies to the Chair of the PSPB N&A Committee. The PSPB N&A Committee Chair shall announce the outcome of the voting to PSPB.

C. TAB/PSPB PRODUCTS AND SERVICES CHAIR ELECTION PROCESS

1. The slate of candidates for the Chair of the TAB/PSPB Products and Services Committee position shall be presented to PSPB at the second meeting of the year. Each candidate may speak for up to five minutes prior to voting. An advocate may speak for up to five minutes in support of the nomination of a candidate who is unable to participate. A period of up to five minutes is allowed in order for each candidate or advocate to answer questions. Presentations by each candidate or advocate shall be done individually with other candidates or advocates absent from the room. Following the last candidate or advocate presentation, voting members may discuss all candidates in executive session with no candidates present.
2. Tellers shall be the Managing Director, IEEE Publications, and the Managing Director, Technical Activities, or their designees.
3. The election by PSPB and TAB shall use Single Transferable Voting (STV). An exception occurs for the case when there are only two candidates, where the standard practice of majority vote may be applied. All voting shall be conducted by secret ballot. Tellers shall collect and confidentially maintain completed ballots. Following the final voting, tellers shall tally the completed ballots and determine the successful candidate. The Managing Director, IEEE Publications, or that person's designee, shall announce the election results to PSPB without divulging tallies.

D. PSPB CHAIR CANDIDATE RECOMMENDATION PROCESS

1. According to IEEE Bylaw I-305.17, the IEEE Nominations and Appointments Committee submits for vote to the IEEE Assembly a list of at least two candidates recommended for Vice President – Publication Services and Products. At least two of those candidates may not be included on the IEEE Annual Election ballot for a position in which the period of service as a member of the IEEE Board of Directors will run concurrently with the Assembly-elected position. Therefore, normally PSPB recommends two candidates to send forward to the IEEE Nominations and Appointments Committee for this purpose.
2. Candidates recommended for Vice President – Publication Services and Products shall be determined by the PSPB N&A

Committee and presented to PSPB as a list for endorsement at the second meeting of the year. Each candidate may speak for up to five minutes prior to voting by PSPB voting members. An advocate may speak for up to five minutes in support of the nomination of a candidate who is unable to participate. A period of up to five minutes is allowed in order for each candidate or advocate to answer questions. Presentations by each candidate or advocate shall be done individually with other candidates or advocates absent from the room. Following the last candidate or advocate presentation, PSPB voting members may discuss all candidates in executive session with no candidates present.

3. Following all candidate presentations and PSPB discussion in executive session, a vote by PSPB shall be conducted for endorsement of the list of recommended candidates. In the event that the list is not endorsed by PSPB, the process reverts back to PSPB N&A Committee who shall bring forward an updated list of recommended candidates for endorsement vote by PSPB as soon as practical but no later than the next PSPB meeting.

#### **5.5.6 N&A Process for PSPB Editorial Positions**

##### **A. NOTIFICATION OF PENDING APPOINTMENTS**

Each year, IEEE Publications staff supporting the PSPB N&A Committee shall notify the appropriate volunteer and staff leadership of each PSPB Editorial Board and each Editorial Advisory Board of pending appointments regarding editorial positions for the following year, and request nominations for consideration by the PSPB N&A Committee. The request shall include a specified number of required alternate nominations for each position.

##### **B. PSPB N&A COMMITTEE CONSULTATION AND DELIBERATIONS**

The PSPB N&A Committee shall maintain the level of confidentiality inherent in all IEEE nomination processes. For the purpose of transparency, the Committee shall consult with the Editors-in-Chief of IEEE SPECTRUM, PROCEEDINGS OF THE IEEE, IEEE ACCESS™, IEEE PRESS, and THE INSTITUTE, the Chair of the IEEE THESAURUS Editorial Advisory Board, and the Chair of the TechRxiv Editorial Advisory Board regarding respective editorial position nominations brought forward to the Committee. The PSPB N&A Committee shall also consult with the Managing Director, IEEE Publications, as well as the Senior Director, Publishing Operations, regarding editorial position nominations.

Members of the PSPB N&A Committee shall deliberate on the nominations and recommend candidates to be presented to PSPB for approval.

##### **C. PSPB APPROVALS**

The PSPB N&A Committee shall present a single candidate for each Editor-in-Chief position to PSPB for approval in executive session. The candidate for Editor-in-Chief of PROCEEDINGS OF THE IEEE and the

candidate for Editor-in-Chief of IEEE ACCESS™ shall be presented for approval during the second PSPB meeting of the year. The candidate for Editor-in-Chief of IEEE PRESS shall be presented for approval by PSPB in executive session during the last PSPB meeting of the year.

The PSPB N&A Committee shall present a single candidate for the position of Chair of the IEEE THESAURUS Editorial Advisory Board to PSPB for approval in executive session during the last PSPB meeting of the year.

The PSPB N&A Committee shall present slates of recommended candidates for each editorial board or editorial advisory board of IEEE PRESS, PROCEEDINGS OF THE IEEE, IEEE ACCESS™, IEEE SPECTRUM, IEEE THESAURUS, THE INSTITUTE, and TechRxiv for approval by PSPB in executive session during the last PSPB meeting of the year.

Before voting for approval of candidates for each Editor-in-Chief position, Chair of IEEE THESAURUS Editorial Advisory Board, and slates of candidates for each editorial board and editorial advisory board, PSPB voting members may discuss all candidates in executive session, without the candidates present.

In the event that candidates recommended by PSPB N&A Committee are not approved by PSPB, the process reverts back to PSPB N&A Committee who shall bring forward alternative candidates for approval vote by PSPB as soon as possible but no later than the next possible PSPB meeting.

D. **DISSEMINATION OF RESULTS**

Following approval actions at a PSPB meeting, IEEE Publications staff shall separately contact each individual regarding the status of the person's appointment to the position.

(See also Section 3.5.3 – Appointment of the Editor-in-Chief.)

**5.5.7 N&A Recommendations to Incoming Vice President**

The PSPB N&A Committee shall provide an appointment-recommendations report to the incoming Vice President – Publication Services and Products before that person takes office.

**5.6 PSPB Publishing Conduct Committee**

**5.6.1 Confidentiality**

Due to the sensitive nature of complaints concerning editorial conduct, all Committee correspondence, discussions, and deliberations shall be kept confidential.

**5.6.2 Assigned Activities**

- A. Activities handled by the PSPB Publishing Conduct Committee are restricted to assignments made by the PSPB Chair.
- B. Activities involving misconduct are restricted to non-staff individuals involved in the editorial processes of creating intellectual property.



IEEE staff members are bound by publication conduct concerns, but the Executive Director or that person's designee handles their matters.

## **SECTION 6 - PSPB FINANCIAL MATTERS**

### **6.1 PSPB Annual Budgeting Process**

The IEEE Publications department and PSPB shall adhere to the IEEE annual budgeting procedures and guidelines documented in the IEEE Finance Operations Manual (FOM).

#### **6.1.1 Budget Cycle**

The IEEE annual budget development process and timelines are established annually by the IEEE Finance Committee and disseminated to IEEE staff. Budget reviews are conducted throughout the year and the overall budget is reviewed at the June and September IEEE Finance Committee meetings. The Budget is then presented for approval to the IEEE Board of Directors at its last scheduled meeting for the year (normally in November).

#### **6.1.2 Financial Guidelines for Service-Oriented Cost Centers**

Service-oriented cost centers shall budget to break even or achieve a small surplus, i.e., less than USD100,000. A surplus is defined as a positive variance from a zero budget. Service-oriented cost centers include but are not limited to Transactions, Indexing, Magazines/Newsletters, Authoring Tools and Peer Review. If a service-oriented cost center generates a surplus greater than USD100,000, then the following process shall be used for determining if a rate reduction or rebate is warranted:

- A. The net surplus of all service-oriented cost center budgets may not be used to offset deficits in other IEEE Publications department cost centers.
- B. Budgets for service-oriented cost centers should be developed close to breakeven, but potential budgets shall not contain a surplus exceeding 2% of total expense or greater than USD100,000 per cost center.
- C. All positive variances to budget should be distributed, in the form of a rebate, to IEEE Publications department customers, who utilize IEEE internal service(s). Reviews for potential rebates, related to a budget year, will be performed three times:
  - 1. In July during the budget year, where the rebate will be issued in August of that budget year;
  - 2. In October during the budget year, where the rebate will be issued in December of that budget year; and
  - 3. At budget year end, where the rebate will be processed during the FM13 year end close.
- D. If Society/Council customers fail to meet their budgeted service levels (i.e., page counts or article counts) that result in a negative variance to the service-oriented cost center, the IEEE Technical Activities Board shall fund the negative variance.

Revisions to Subsection 6.1.2 – Financial Guidelines for Service Oriented Cost Centers, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

## **6.2 Administration of PSPB Finances**

The IEEE Publications department shall be responsible for the overall management of IEEE Publications department and PSPB finances, which include the coordination of the annual budget cycle, management of actuals against budget, and preparation of year-end forecasts versus budget. In addition, the IEEE Publications department supports the PSPB Treasurer and the activities of the PSPB Finance Committee.

## **6.3 Publication Administration Charge**

Publication sponsoring organizational units shall pay their appropriate share of the Publications Administration Charge. These charges are to recover the costs of providing services including, but not limited to: providing mailing lists, postal permits, microfiche, copyrighting of materials, permissions requests, PSPB support, library services, and archiving.

Revisions to Subsection 6.3 – Publication Administration Charge, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

## **6.4 Publication Rates**

The IEEE Publications department is responsible for establishing and enforcing numerous service rates annually. They include, but are not limited to:

- Transactions/Journals/Letters
- Magazines
- IEEE Media
- Newsletters
- Publications produced outside the IEEE
- ScholarOne Manuscripts
- Indexing
- Publications Administration (see Subsection 6.3)
- Voluntary page charges and overlength-article charges (see Subsections 6.5.1 and 6.5.2, respectively)
- IEEE Xplore
- Conference Publishing.

All rates are developed annually in conjunction with the IEEE annual budget development process and reviewed by the PSPB Operating Committee and PSPB during their first two meetings in the calendar year. More detailed information, including specific rates and service descriptions, is provided in

the IEEE Approved Publication Rates Manual.

## **6.5 Article Processing Charges**

### **6.5.1 General Principles**

IEEE and IEEE organizational units are authorized to adopt Article Processing Charges (APCs) under the following principles.

- A. Article Processing Charges are necessary to help keep IEEE publishing program self-sustaining.
- B. Article Processing Charges are of two types, mandatory and voluntary. Examples of APCs include, but are not restricted to, voluntary page charges, overlength article charges, mandatory open access publishing charges, and mandatory charges for article modification.
  - 1. A voluntary page charge by a publication is at the option of the publication and its sponsoring organizational unit to help cover the cost of publication.
  - 2. An overlength article charge is a mechanism for accommodating the maximum number of authors' articles within a given publication by requiring authors to pay a charge for each page that exceeds a specified limit.
  - 3. Open access processing charges help defray the cost of publishing an article and maintaining it on IEEE's digital library for free access by readers. An organizational unit may require payment of the APC after article acceptance and before the article is published.
  - 4. The charges for some requested article modifications may result in significant costs. When a request does not meet the requirements of Subsection 8.1.10, IEEE may levy an appropriate charge.
  - 5. In addition, the sponsoring organizational unit of an IEEE publication is authorized to charge authors, at cost, extra expenses incurred when meeting acceptable author specified requirements not regularly supplied to authors.
- C. Article Processing Charges, including an author's request for a waiver, shall not influence the editorial decision process of the publication.

### **6.5.2 Conditions for Establishing Article Processing Charges**

IEEE and IEEE organizational units are authorized to adopt Article Processing Charges (APCs) under the following conditions:

- A. Article Processing Charges may be established by the sponsoring unit for any authorized IEEE publication type, subject to approval by PSPB and the TAB/PSPB Products and Services Committee. Authorized publication types are named in Subsection 1.5 - Oversight Responsibilities for Publications.
- B. Article Processing Charges and the rules for processing them shall be

clearly stated in the Guidelines for Authors for that publication. Modification of charges and rules may occur at any time following the approval by PSPB and the TAB/PSPB Products and Services Committee as specified in item 6.5.2.A and following posting of a 90-day notice in the Guidelines for Authors.

- C. Organizational units shall establish a process for authors to apply for a waiver of Mandatory APCs in cases of financial hardship.
- D. IEEE or its organizational units may offer discounts on Mandatory APCs. However, IEEE reserves the right to set an IEEE-wide discount in order to reduce confusion among authors. Such discounts shall be publicized and made available to all authors under similar terms and conditions. Examples are member discounts or discounts to authors affiliated with an organization that has established a master account for paying APCs.
- E. Non-payment of an APC by an author shall not be considered an automatic application for waiver. If an author has not paid a Mandatory APC after a reasonable amount of time, this non-payment of the charges may be reported to the appropriate credit monitoring agencies. PSPB or the organizational unit sponsoring the publication may establish the length of time that must occur before this action is taken, and this information shall be included in the related instructions to authors.
- F. Authors who do not pay Mandatory APCs without a waiver shall be barred from submitting future articles to IEEE publications until such time as their previous outstanding charges are paid.
- G. If a third party (such as the author's institution or research sponsor) is responsible for paying the Mandatory APCs, it is the author's responsibility to (1) inform IEEE of this arrangement and (2) ensure that the fees are paid.

(See also Subsection.1.10 – Correcting Metadata in IEEE Xplore.)

Revisions to Subsection 6.5 – Article Processing Charges, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

## **6.6 IEEE PRESS Business and Financial Arrangements**

The PSPB is responsible for IEEE PRESS business and financial arrangements.

### **6.6.1 Funding**

The costs and financial risk for books and other products are borne predominately by John Wiley & Sons, a commercial publishing partner.

### **6.6.2 Book Pricing**

A list price is set for each book by John Wiley & Sons, in consultation with the IEEE PRESS. An IEEE member price is based on a discount from the list price.

Revisions to Subsection 6.6 – IEEE PRESS Business and Financial Arrangements, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

In the event that the commercial publishing partnership with John Wiley & Sons is interrupted, terminated or ceases to exist in its present form, the above guidelines shall be suspended. If a new partnership is established with another commercial partner, revisions to the above guidelines shall be made in a reasonable time frame based on the agreed upon terms and conditions of the new partnership.

## **SECTION 7 - PSPB AWARDS**

**Reserved for Future Award Operational Procedures**

## **SECTION 8 - PSPB PROCEDURAL AND OPERATIONAL DECISIONS**

### **8.1 Publication Policies**

#### **IEEE Policies, Section 6.1– Authority For IEEE Publication Products and Services**

IEEE publications exist by Board of Directors directive or as Publication Services and Products Board 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 organizational units 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.

#### **8.1.1 General**

All persons involved with any aspect of IEEE publications should be cognizant of the general policies that govern all IEEE publications and, particularly, to those that relate to their areas of responsibility.

- A. The IEEE is a transnational organization. Special care should therefore be taken in using the word “national” in connection with IEEE activities. For example, references to a national Headquarters, a national President, or a national Society President, are all potentially inappropriate.
- B. Statements and opinions given in work published by the IEEE are the expression of the authors. Responsibility for the content of published articles rests upon the authors, not the IEEE.
- C. No letter or article received unsigned shall be published. It is acceptable for letters or articles to carry the notation “Name withheld on request.”
- D. No letter or article shall be published if it contains any pejorative ad-hominem remarks or any other material deemed inappropriate or offensive.
- E. Authors of articles reporting on research involving human subjects or animals, including but extending beyond medical research, shall include a statement in the article that the research was performed under the oversight of an institutional review board or equivalent local/regional body, including the official name of the IRB/ethics



committee, or include an explanation as to why such a review was not conducted. For research involving human subjects, authors shall also report that consent from the human subjects in the research was obtained or explain why consent was not obtained.

- F. Material of a nontechnical nature should conform with Subsection 8.1.3, Presentation of Nontechnical Material.
- G. Material involving the support or nonsupport of candidates for public office is not permitted.
- H. Unduly commercial material should also be avoided. For example, “company profiles” and/or “industrial biographies” merit careful attention.
- I. The language used in all IEEE Journals, Transactions, and Letters, as well as the proceedings of any IEEE conference designated as an international conference, shall be English. English style guidelines are specified in the *IEEE Editorial Style Manual*. The *IEEE Editorial Style Manual* contains references that should be consulted for guidance on spelling, grammar and usage.

All other IEEE publications should normally be produced in English, and the *IEEE Editorial Style Manual* shall be consulted for guidance on spelling, grammar, and usage. However, if Editors-in-Chief or Conference Organizers choose to accept submissions in languages other than English, titles and abstracts for those submissions shall be provided in English using the recommended style guidelines specified by the *IEEE Editorial Style Manual*.

- J. IEEE defines the “date of publication” as the date that content was first made publicly available.
  - 1. For IEEE periodicals, the date of publication will be cited as the date an article was made available to the public, either online through IEEE’s content delivery platform, IEEE Xplore, or in print, whichever comes first. For example, IEEE journal articles may be published online prior to final copy editing of the content, assignment of that content to an issue, or final pagination of the content. The definition of publication, in this case, shall be the date that the article was first posted to IEEE Xplore, either as a pre-print (accepted as result of peer review, but not copyedited) or as a rapid post article (accepted as a result of peer review and copyedited, except for pagination).  
Consistent with Subsection 8.2.5, IEEE journals, transactions, and letters shall display the following series of dates in the first footnote of the article: article received, article revised. By 1 January 2011, articles in IEEE journals, transactions, and letters shall also include the following dates into the footnotes: date of article acceptance, date of publication, date of current version.
  - 2. The date of publication for an IEEE Standard shall be the same date that the first version of the document with a specific revision or edition year is transmitted to IEEE Standards Online and IEEE Xplore. Approved IEEE Standards shall be clearly

distinguished from published drafts, so drafts shall not be considered first publications. Drafts shall be distinguished by a date assigned by a volunteer editor.

3. For all other types of IEEE publications, the date of publication shall be cited as the date that each publication was made available to the public, whether distributed online through IEEE's content delivery platform, IEEE Xplore, in print, or on CD-ROM/DVD, whichever comes first.
4. All IEEE publications shall include the date of publication, unless the sponsoring organizational unit has requested and received an exception from the Vice President – Publication Services and Products.

(See also the IEEE-SA Standards Board Operations Manual Section 5 - Standards Development and Section 8 - Publication.)

K. Units of Measure in IEEE Publications.

**IEEE Policies, Section 9.16 – Metric Policy**

All IEEE Organizational Units shall:

- A. Actively support the use of the International System of Units (Le Système International d'Unités, 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 International System of Units (SI units) shall be used in IEEE publications. An exception to this requirement is non-SI units that are based on international industry practice. Some examples of acceptable non-SI units include the bel, plane angle degree, and electronvolt. Equivalent customary units of measurement may be included but shall follow the SI units in parenthesis. The *IEEE Transactions, Journal, and Letters Information for Authors* guide should be consulted for preferred usage of units and conversion factors.

(See also IEEE/ASTM SI 10, Standard for Use of the International System of Units (SI): The Modern Metric System.)

Revisions to Subsection 8.1.1 – General, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**8.1.2 IEEE Organizational Unit Publications**

**IEEE Policies, Section 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 Executive Director.

Any IEEE organizational unit may issue a local publication and shall inform the IEEE Publication Services and Products Board accordingly, and shall provide copies to the Secretary of the Publication Services and Products Board, as published. Advertising is permitted (see Subsection 8.1.8). The objective of the publication shall be consonant with the objectives of the IEEE.

### **8.1.3 Nontechnical Material**

The discussion of technical matters will continue to be the primary function of the forum provided by IEEE. To enable the presentation of nontechnical material in a manner appropriate to the needs of the membership, and recognizing that the IEEE membership is very diverse, the following guidelines are to be implemented by the PSPB and followed by editors and meeting organizers. This subsection applies to reviewed articles of all IEEE publications, and serves as guidelines for relevant decisions made by the person responsible for the publication.

#### **A. ALLOWABLE CONTENT**

1. Technical articles accepted for inclusion in IEEE publications shall be comprised of scientific or technical content that is observable and falsifiable.
2. Any nontechnical content or material in an article accepted for publication is expected to be essential to the technical content of that article (for example, content that extends, supports, or provides background). Author(s) shall state how the nontechnical content or material contributes to the article. The person responsible for the publication shall determine if the author's explanation is acceptable.
3. Nontechnical content to acknowledge contributors, who are not authors of the article, such as in a footnote or an acknowledgments section, shall be limited to statements relative to funding sources, as well as technical or material contributions from individuals or organizations. Nontechnical content to acknowledge technical or material contributions (such as construction of a laboratory apparatus) should include a brief explanation of how such contributions are essential to the technical content of the article.
4. It should be made evident to the audience that any opinions expressed (within these guidelines) are those of the author, and no endorsement by IEEE, its officials, or its members is implied.

#### **B. SOCIETAL IMPACT**

Technical developments can have a profound impact on society and social conditions shaping the course of technical developments. It is therefore appropriate that discussions of the social, as well as the

purely technical aspects, of the author's work be included, according to the following guidelines.

1. The subject matter should be relevant to the IEEE fields of interest and their impact on society. If the relevance or appropriateness is not self-evident from the author's presentation, it should be made clear by the addition of a suitable introductory statement. The discussion of pertinent interrelated social, economic and technical aspects may lead to political conclusions on the part of the author. Since political conclusions ordinarily have particular relevance to a specific national environment, such limitations of the author's or speaker's conclusions should be made clear if they are not self-evident.
2. Reasonable efforts should be made to provide for adequate and timely presentations of differing viewpoints. This may be accomplished either by planned simultaneous presentations or by presentation of one side of an issue, clearly identified as such, with provision for prompt, subsequent presentation of representative audience discussion and rebuttal.

(See also Subsection 8.2.2 – The Review Process)

Revisions to Subsection 8.1.3 – Nontechnical Material, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### **8.1.4 IEEE Copyright Policy and Procedures**

##### **IEEE Policies, Section 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 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.

Procedures with regard to IEEE copyright policies are specified in this subsection, including A. General Principles of the policies and procedures, B. Ownership and Rights of IEEE copyrighted material, and Implementation of IEEE policy.

A. GENERAL PRINCIPLES OF IEEE COPYRIGHT POLICIES AND PROCEDURES

1. Enhancing the accessibility, distribution and use of information is a major objective of the IEEE publication program, limited only by the requirements of viability and professional propriety.
2. To meet this objective and control the use of its good name, the IEEE is obligated to secure copyright ownership of the material it publishes.
3. In exercising its rights under copyright, the IEEE recognizes that it is acting in part to serve and protect the interests of its authors and their employers.
4. Fees for the reuse of IEEE material are appropriate for contributing to the cost of original publication, especially where the reuse involves a license to copy, or allows resale, or is of a magnitude that would tend to reduce subscription or other sales income.
5. Copyright policies shall be consistently applied throughout IEEE.

B. OWNERSHIP AND RIGHTS OF IEEE COPYRIGHTED MATERIAL

1. Copyright is held by IEEE itself and not any of its organizational units.
2. All technical, educational and professional publications of the IEEE, except newsletters, but including Society and Technical Council Newsletters and e-Newsletters, are required to be copyrighted by the IEEE.
3. 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 articles. Such transfer shall be a necessary

requirement for publication, except for material in the public domain, material which is reused from a copyrighted publication, or articles published Open Access. Open Access articles shall be published under the appropriate license.

4. In return for the transfer of authors' copyrights, the IEEE shall grant authors and their employer's permission to make copies and otherwise reuse the accepted versions of their articles under terms approved by the Board of Directors.
5. In the case of jointly sponsored conferences, IEEE recognizes the right of another qualified sponsor to hold the copyright and administer all copyright matters on behalf of the IEEE and its author, provided, however, that such right shall be the subject of a written agreement between IEEE and the qualified sponsor. A conference is not considered a sponsor and may not hold a copyright to IEEE material, except in the case of a conference which is incorporated and maintains its own permanent administrative office.
6. Licenses and permissions to copy or republish IEEE material may be granted under terms approved by PSPB.

C. **IMPLEMENTATION OF IEEE COPYRIGHT POLICY**

1. The Editor-in-Chief or conference publication committee chair shall be responsible for obtaining the written transfer of author rights and for forwarding appropriate confirmations to the Publishing Ethics & Conduct Office. A form for effecting the interchange of rights with the author per Subsections 8.1.4.B.3 and 8.1.4.B.4 shall be supplied by PSPB or its authorized representative. The wording used on the form shall be approved by PSPB or its authorized representative.
2. For journals and conference publications, an appropriate copyright notice shall appear on the first page or in close proximity to the article abstract of each technical contribution.
3. Should the need for isolated exceptions to any of the above policies and procedures arise, PSPB or its authorized representative is authorized to deal with them on a case-by-case basis.

**8.1.5 Guidelines for Use of IEEE Logo and "IEEE"**

**IEEE Policies, Section 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, Inc.

- 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. In every use, the integrity of the logo must be preserved. For example:
  - (1) Only the complete, official logo in either solid or outline form may be used. (Hand drawn or deformed versions are not permitted.)
  - (2) Neither the whole nor recognizable parts may be incorporated into another logo whether designed by an IEEE organizational unit or not.
  - (3) The logo may be printed in any color with another color as background, but should not be printed in several colors.
  - (4) The logo should not be obscured by any other design, lettering, etc.
  - (5) The logo should not be used frivolously.
- D. The logo shall be used only in connection with official business of the IEEE.

### **8.1.6 Titling Protocols for IEEE Publication and Information Products**

To maintain excellence in publishing practices and to minimize the possibility of legal problems, IEEE volunteers and staff must assure, to the extent possible, that IEEE publication and information-product titles are not knowingly selected, formatted or used in a way which might promote confusion with any other publication title or compromise the integrity of an IEEE title.

Proposals for new journals and magazines must include a statement that the proposers themselves are aware of the literature in the field and either perceive no potential title problems or have clearly identified (for further advice or examination) any points of potential conflict. For magazines, the proposal must also include evidence that a legal title search has been performed through the IEEE Legal and Compliance Department and shows no title conflicts. The expense of the legal title search shall be borne by the sponsoring organizational unit.

The design and formatting of new (or changed) magazine titles, as used on covers and in promotional or advertising material, will be subject to review by appropriate Legal staff at the earliest possible opportunity prior to public use.

This requirement must be observed by all periodicals and is of particular importance to magazines. The spirit of the requirement is also applicable to other classes of IEEE publication and information products.

The IEEE Legal and Compliance Department shall take all appropriate measures, including registering qualifying magazine titles through the U.S. Patent and Trademark Office, to protect its titles from infringement by others. The expense of title registration will be borne by the sponsoring organizational unit.

(See also IEEE Policies, Subsection 6.3.2 – Guidelines on the Use of the IEEE Logo and “IEEE”. This policy is also stated under Subsection 8.1.5 for convenience.)

(See also Subsection 8.4.5 for information on Conference Proceedings titles.)

Revisions to Subsection 8.1.6 – Titling Protocols for IEEE Publication and Information Products, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.1.7 Multiple Publication of Original Technical Material in IEEE Periodicals**

#### **IEEE Policies, Section 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 PSPB Operations Manual.

Exceptions to IEEE Policies, Section 6.4 shall be restricted to the following.

#### **A. REPUBLICATION OF INDIVIDUAL ARTICLES**

The occasional republication of an individual article from another IEEE (or non-IEEE) publication is permitted at the discretion of the Editor-in-Chief, provided:

1. Such republication happens in rare and exceptional cases and will significantly benefit the readers of the second publication.
2. The author's permission is sought and obtained by the Editor-in-Chief.
3. Permission is also cleared through the IEEE Permissions Office or, in the case of a non-IEEE publication, the other publisher's Permissions Department.
4. The republished article shall include an appropriate copyright/credit notice indicating the original source.

#### **B. SPECIAL DISSEMINATION VIA "BONUS" ISSUE**

Collaboration between two or more IEEE or Society periodicals in jointly sponsoring a special issue on an interdisciplinary subject of mutual interest is permissible provided that the articles appear in only one periodical, hereafter identified as the Bonus Periodical.

In such cases, the Bonus Periodical would be provided to the member and nonmember subscribers of the collaborating publication(s).

Although no formal approval is required, the Editors-in-Chief involved must jointly notify the Vice President - Publication Services and Products (via the PSPB Secretary) of their intent to produce a Bonus Issue at least six months prior to the proposed publication date. The notification must clearly specify the agreed upon arrangements for distribution and cost-sharing.

#### **C. JOINT PUBLICATION OF A WHOLE ISSUE**

Joint publication of an entire issue (or of a substantial section of an issue) is not encouraged, and requires the approval of a Multiple Publication Proposal by PSPB and the Board to which the sponsoring IEEE organizational unit reports. Approval must be obtained prior to the beginning of the annual IEEE budgeting cycle of the year preceding



the anticipated publication date.

The Multiple Publication Proposal must include:

1. Statistics about overlapping members and subscribers;
2. A statement relative to the novelty of the topic; and
3. A joint agreement signed by the Editor-in-Chief of each of the periodicals indicating which will be the “primary” and which the “secondary” or republished publication.

**D. JOINT PUBLICATION OF SPECIAL ISSUES WITH NON-IEEE PUBLICATIONS**

Joint publication of special issues between an IEEE periodical and a non-IEEE periodical is not encouraged and should be considered only in the spirit of the above requirements. The “Bonus” issue approach is recommended over the traditional joint issue. However, if a joint issue is finally agreed to be desirable, the IEEE Editor-in-Chief is required to follow the procedures of Subsection 8.1.7.C for approval of IEEE involvement. The IEEE Editor-in-Chief should strive to arrange that the IEEE publication be the “primary” publication. In this case additional information should be supplied concerning which publisher is responsible for editorial handling, composition, production, manufacturing, and distribution; which will hold copyright and handle republication permissions; how expenses and income are to be handled, etc. Early consultation with Publications, Products, and Services is highly recommended.

**E. PUBLICATION IN IEEE PERIODICALS OF ARTICLES BASED UPON THESES AND DISSERTATIONS**

It is common in technical publishing for an author to base an article on work appearing in a thesis or dissertation written by that author. IEEE recognizes the importance of this publication paradigm and fully supports it, but IEEE requires that the thesis or dissertation be fully referenced through direct citation of the thesis or dissertation or through other articles generated from and referencing the thesis or dissertation. Accordingly, the publication in an IEEE periodical based on original technical material contained in a thesis or dissertation is considered appropriate provided that the articles have undergone the standard peer review for the specific periodical in question.

**F. PUBLICATION OF ARTICLES IN IEEE PERIODICALS BASED UPON CONFERENCE ARTICLES**

IEEE Policies, Section 6.4, specifies that IEEE’s technical publications shall include original material, which appears only once in the archival literature, and Subsection 1.3.A of this Manual presents a definition of an archival publication. Nevertheless, it is common in technical publishing for material to be presented at various stages of its evolution, such as publishing early ideas in a workshop or as a draft article posted as a Preprint (see Subsection 8.1.9.A.2.d), more developed work in a conference, and fully developed contributions as journal or transactions articles. IEEE recognizes the importance of this evolutionary publication process as a significant means of scientific

communication and fully supports this publishing paradigm, but IEEE requires that this evolutionary process be fully referenced. Accordingly, the publication in an IEEE periodical of original technical material contained in a conference article or articles is permitted provided that:

1. All the articles have undergone the standard peer review for the specific periodical in question
2. With the exception of that specified in Subsection 8.1.7.A, all the articles published in the periodical contain substantial additional technical material with respect to the conference article or articles of which they represent an evolution.
3. Each article in the periodical satisfies the requirements of Subsection 8.2.4.G.2.
4. If the organizational unit or units sponsoring the periodical desire to set a quantitative threshold for the additional technical material mentioned in 8.1.7.F.2, the requirements shall be clearly specified in the instructions for the authors of the periodical.

(See also Subsection 8.2.4.G. "Guidelines for Editorial Reuse of Previously Published Material, and Adjudicating Inappropriate Reuse of Previous Work or the Failure to Inform Editors of Previous Publications or Multiple Submissions.")

Revisions to the Subsection 8.1.7.F – Publication of Articles in IEEE Periodicals Based Upon Conference Articles, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.1.8 Advertising in IEEE Information Services and Products**

#### **A. GENERAL**

Advertising is an important means of disseminating technological and scientific information to professionals working in IEEE fields of interest. It does this by presenting descriptions concerning the availability and capabilities of new or improved products and services to professionals. The acceptance of advertising in the information services and products of IEEE and its organizational units has a long tradition dating back well over half a century. Advertising has special value in that the revenue it generates helps subsidize the expense of producing the information services and products and enables the further dissemination of technological and scientific information.

It is, therefore, entirely fitting that the IEEE should permit the inclusion of advertising in information services and products where appropriate. These include, but are not limited to:

- Magazines
- Journals, Transactions, and Letters
- Virtual Journals
- Newsletters

- Newspapers
- Other periodicals
- Conference publications
- Websites
- Webcasts/Webinars
- Online or e-learning courses
- e-newsletters/alerts
- Videocasts
- Podcasts
- Job Sites
- Apps
- Mobile Versions
- Digital Editions.

For the purposes of the following policy statements, “advertising” is defined as display advertising of a specific product or service. “Print advertising” is defined as ink on paper or the digital facsimile of print presented on digital devices, such as computers, tablets, or smartphones. “Electronic advertising” is defined as banner advertising, whitepapers, sponsored content, sponsored webinars, sponsored webcasts, sponsored videocasts, sponsored blogs, and so forth appearing in the context of an IEEE branded website or on a mobile device.

Excluded from these policy requirements are institutional listings or logos of sponsors, donors, or patrons, which are regarded by IEEE as acknowledgments of contributions supporting a particular activity, such as for a meeting or conference, rather than advertising of products or services.

#### B. ACCEPTABLE ADVERTISING

Requirements have been established to ensure that the benefits afforded by such advertising are achieved within the bounds of good taste and in a manner consistent with IEEE’s scientific and educational objectives. It is a further intent to provide a mechanism for maintaining and monitoring balance among the sometimes conflicting or competing elements of a vigorous advertising program.

All IEEE print and electronic services and products are subject to the following general advertising requirements.

1. The advertising intent should be to serve “common interests” of the user/reader of the print or electronic product. It should contain technical content or be of informational usefulness to appropriate and fitting to the member demographic.
2. The advertising shall be appropriate to the editorial context of the print or electronic product in which it appears and be consistent with what the IEEE brand represents. Advertisements shall also be clearly distinguishable from editorial content, and the appearance and usefulness of the information service or

product shall not be impaired by the advertising content.

3. The Editor-in-Chief, other editors on the editorial board, or the associated editorial staff shall not be influenced by advertiser or business staff pressure that would interfere with their prerogative to decide the position and merits of technical editorial content for print or electronic dissemination.
4. The appearance of paid advertising in an IEEE product shall constitute neither a guarantee nor an endorsement by IEEE of the product, service, or company involved, or of the claims made for the product within the advertisement. The information service or product shall include a disclaimer statement regarding any paid advertising.
5. IEEE logos shall not appear on any advertisement without prior written approval by IEEE. The advertiser shall not refer to the fact that its ad has appeared in any IEEE information service or product in any collateral advertising.
6. Authorization for a class of an IEEE information service or product to carry advertising shall not be granted if, in the judgment of PSPB with the concurrence of the IEEE Board of Directors, the inclusion of advertising would cause an overall reduction of the product's value to the IEEE membership or to the IEEE institutional subscribers and end users, or would be otherwise detrimental to the IEEE brand.

#### C. SALE OF ADVERTISING IN IEEE INFORMATION SERVICES AND PRODUCTS

The IEEE Media department and IEEE organizational units can sell advertising in IEEE information services and products under their management or control when the inclusion of such advertising does not interfere with the Mission, Vision or Values of IEEE, or the development or implementation of IEEE's Strategic Plan. The decision to sell advertising space shall be made independently of editorial content.

The IEEE Media department and IEEE organizational units retain sole discretion, subject to oversight by PSPB, when deciding to approve or deny advertisements in IEEE information services and products under their management or control. This includes, but is not limited to, such factors as the advertisement's size, format, appearance, placement, and the length of time the advertisement will appear, as well as the removal of any advertisement that has been previously approved.

The sale of advertising in IEEE information services and products shall adhere to the following.

1. When the sale of advertising in any information service and product that has more than Regional distribution requires the services of independent contractors (i.e., paid professional advertising sales representatives), either (a) the IEEE Media department or (b) the staff or designated volunteer members of the responsible IEEE organizational unit shall handle all arrangements with these contractors in accordance with all

related IEEE policies. In cases where an organizational unit uses volunteers to handle this activity, all arrangements shall be coordinated with the sponsoring organizational unit's administrative body.

(See also the IEEE Finance Operations Manual.)

2. If advertising is to be sold directly by the IEEE Media department or the staff of the responsible IEEE organizational unit, or through independent contractors managed by the IEEE Media department staff or the IEEE organizational unit staff, the following shall apply:
  - a. Sponsoring organizational unit participation in the sales effort will be fully coordinated with the involved IEEE staff.
  - b. The advertising rates will be set by the involved IEEE staff, in consultation with the sponsoring organizational units concerned, subject to PSPB approval.
3. If advertising is to be handled by volunteer members of a sponsoring organizational unit, the following shall apply:
  - a. The sponsoring organizational unit will appoint one or more volunteer members to handle advertising sales, arrange for collections, coordinate advertising plans with IEEE staff, and see that publication requirements and schedules are met.
  - b. The setting of advertising rates will be coordinated with the sponsoring organizational unit's administrative body.
  - c. No advertising shall be placed in an approved class of publication unless authorized by its sponsoring organizational unit.
  - d. All advertising income will be credited to and expenses borne by the sponsoring organizational unit.

(See also IEEE Policies, Section 13.3, Elections and Electioneering.)

#### D. ADVERTISING IN REGION/SECTION PUBLICATIONS

1. Advertising in Section publications is subject to the general IEEE requirements stated in this subsection and is permitted on the basis that it provides a worthwhile service to readers in a particular geographical area and to advertisers, and that the publication's distribution and method of selling advertising is sufficiently localized so as to not normally interfere with the advertising programs of other IEEE publications having distribution in multiple Sections. However, Section publications containing advertising may be distributed to the members of more than one Section only with the approval of the other Sections involved and the Member and Geographic Activities Board.
2. An advertiser is free to buy advertising separately in two or more Section publications. However, two or more Section publications may sell advertising to the same advertiser at

combination rates only with the prior approval of the PSPB Chair.

E. ADVERTISING IN TRANSACTIONS JOURNALS AND LETTERS

Advertising is permitted in Transactions, Journals and Letters, and is subject to the general IEEE advertising requirements stated in this subsection. Advertisements in print or digital facsimiles of print products of these periodicals shall be positioned only on the inside front cover or the inside or outside back covers, or at the back of the issue. Advertisements in other electronic products of these periodicals shall not interfere with the text or other elements of a technical article.

F. ADVERTISING IN MAGAZINES

Advertising is permitted in Magazines subject to the general IEEE requirements stated in this subsection.

G. ADVERTISING IN NEWSLETTERS

Advertising is permitted in newsletters, including free ads, when approved by the sponsoring organizational unit's administrative body. Such advertising is subject to the general IEEE advertising requirements stated in this subsection.

H. ADVERTISING IN IEEE SPECTRUM, THE INSTITUTE, PROCEEDINGS OF THE IEEE, and IEEE ACCESS™

1. All advertising arrangements shall be handled by the IEEE Media department staff.
2. The advertising rates shall be set as part of the budget development process of each publication.
3. The net income from advertising will revert to the general treasury of IEEE.
4. PSPB is assigned the responsibility of monitoring the suitability of the advertising and its adherence to the above requirements.

I. ADVERTISING IN CONFERENCE PUBLICATIONS

Conference publications, such as programs, digests and Conference Proceedings, may carry advertising subject to the general IEEE requirements stated in this subsection.

J. ADVERTISING IN IEEE SPONSORED CONFERENCES

The following advertising procedures are guidelines for IEEE conferences, where IEEE has 50% or more financial sponsorship.

1. No advertising should be placed in a conference publication unless authorized by the conference organizing committee. If the conference organizing committee wishes to have advertising in a conference publication, the request may be made a part of the conference budget approval procedures.
2. To enable the IEEE to act as a clearinghouse for advertising information and to provide guidance to other conferences, it is desired that the following information be included with the request:
  - a. For print or digital facsimiles of print conference

- publications, the number of copies to be printed and to whom they will be distributed.
- b. Advertising rates to be charged.
- c. The method of soliciting advertising.
- 3. All advertising arrangements will be handled by the conference organizing committee or its designated agent.
- 4. The advertising rates will be set by the conference organizing committee.
- 5. The net income from advertising will be received by the conference.
- 6. The conference organizing committee is assigned the primary responsibility of monitoring the suitability of the advertising and its adherence to the above requirements.

(See also IEEE Policies, Section 10, MEETINGS, CONFERENCES, SYMPOSIA AND EXPOSITIONS.)

#### K. ADVERTISING IN VIRTUAL JOURNALS

Advertising is permitted in Virtual Journals subject to the general IEEE requirements stated in this subsection.

#### L. WEBSITE ADVERTISING

##### **From IEEE Policies, Section 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.

Advertising is permitted on the IEEE Main Website (<http://www.ieee.org>) or an IEEE organizational unit website with the permission of the website owner. Such advertising is subject to the general IEEE policy on advertising, which is specified in this subsection, and website advertising shall also conform to the following procedures. This includes websites of IEEE conferences, where IEEE has 50% or more financial sponsorship.

- 1. Website visitors shall have the option to “click on” or not to “click on” the advertisement. Visitors shall not be sent to a commercial website unless they choose to do so by “clicking on” the advertisement. Visitors shall not be prevented from returning to an IEEE website or to other previously viewed screens, nor shall the visitor be redirected to a website they did

not intend to visit.

2. Advertiser websites shall not redisplay, reuse, or frame the IEEE website content without the express permission of IEEE.
3. The IEEE Media department shall maintain a Website Advertising Fee Schedule that lists their discounted IEEE Media department (house) website advertising rates. The schedule shall be reviewed at least annually. IEEE organizational units are not required to use the schedule and can set their own advertising rates. However, IEEE organizational units and staff departments, who enlist the services of the IEEE Media department, will be eligible for the discounted website advertising rates for their products and/or services. House rates are rates lower than what is charged external advertisers.

#### M. ADVERTISING IN OTHER PUBLICATIONS

IEEE publication classifications not specifically mentioned in the foregoing may carry advertising only with the consent of PSPB.

Revisions to Subsection 8.1.8 – Advertising in IEEE Information Services and Products, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.1.9 Electronic Information Dissemination**

#### A. GENERAL PRINCIPLES OF ELECTRONIC INFORMATION DISSEMINATION

1. The requirements in this subsection shall apply to all articles submitted to IEEE journals, transactions, letters, magazines, and conference publications. The requirements of this subsection do not apply to articles published under IEEE open access conditions.
2. The terminology used in this subsection is defined as follows:
  - a. An author-submitted article is the version originally submitted by the author to an IEEE publication. An author includes a completed IEEE Copyright Form during submission of the article to an IEEE publication and thereby transfers the copyright of the article to IEEE.
  - b. An accepted article is a version which has been revised by the author to incorporate review suggestions, and which has been accepted by IEEE for publication.
  - c. The final, published version is the reviewed and accepted article, with copy-editing, proofreading and formatting added by IEEE.
  - d. E-prints are digital texts of research articles. Electronic preprint is a form of an e-print where an author posts a draft article on the author's or another web site. For purposes of this definition, a preprint is assumed to be the article in the form prior to submission to the IEEE, at



which point copyright is transferred to IEEE. Authors who have submitted articles for publication by the IEEE may be interested in posting various preprint versions of the same article on e-print servers operated by third parties. E-print servers provide authors rapid dissemination of new results, with the opportunity of receiving comments from the peer community and with the opportunity to have a time-stamp associated with the announcement of results.

3. IEEE seeks to maximize the rights of its authors and their employers to post preprint versions of an article on the author's personal web site, on a server operated by the author's employer, or on a server operated by an approved not-for-profit third party as specified in 8.1.9.G.2 below.
4. IEEE allows its authors to follow mandates of agencies that fund the author's research by posting accepted versions of their articles in the agencies' publicly accessible repositories.
5. IEEE does not restrict the rights of authors to use their IEEE-copyrighted articles in their own teaching, training, or work responsibilities, or those of their institutions or employers. In any preprint version archived by the author after submission, IEEE requires that IEEE will be credited as copyright holder. Upon publication of the work, authors are asked to include the article's Digital Object Identifier (DOI).
6. As indicated in Subsection 8.1.9.A.4 (above) and amplified in Subsections 8.1.9.C through G below, IEEE's policy for permitting posting of IEEE-copyrighted articles extends only to authors, their employers, approved third-party not-for-profit organizations, and IEEE organizational units. The IEEE Publishing Ethics & Conduct Office maintains a list of not-for-profit third-party servers where material submitted to the IEEE may be posted.

**B. COPYRIGHT NOTICE**

In any electronic posting permitted by this Subsection 8.1.9, the following copyright notice must be displayed on the initial screen displaying IEEE-copyrighted material:

"© 20xx IEEE. Personal use of this material is permitted. Permission from IEEE must be obtained for all other uses, in any current or future media, including reprinting/republishing this material for advertising or promotional purposes, creating new collective works, for resale or redistribution to servers or lists, or reuse of any copyrighted component of this work in other works."

**C. PERSONAL SERVERS**

Authors and/or their employers shall have the right to post the accepted version of IEEE-copyrighted articles on their own personal servers or the servers of their institutions or employers without permission from IEEE, provided that the posted version includes a prominently displayed IEEE copyright notice (as shown in 8.1.9.B,

above) and, when published, a full citation to the original IEEE publication, including a Digital Object Identifier (DOI). Authors shall not post the final, published versions of their articles.

D. E-PRINTS

Before submitting an article to an IEEE publication, authors frequently post preprints of their articles to their own web site, their employer's site, or to another server that invites constructive comment from colleagues and provides a publication time stamp. Upon submission of an article to IEEE, an author is required to transfer copyright in the article to IEEE, and the author must update any previously posted version of the article with a prominently displayed IEEE copyright notice (as shown in 8.1.9.B). Upon publication of an article by the IEEE, the author must replace any previously posted electronic versions of the article with either (1) the full citation to the IEEE work with a Digital Object Identifier (DOI), or (2) the accepted version only with the DOI (not the IEEE-published version). IEEE shall make available the accepted manuscript for posting that includes the Digital Object Identifier (DOI), IEEE's copyright notice, and a notice indicating the article has been accepted for publication by IEEE. This service is available to authors who received an article proof for review through the IEEE Author Gateway. Authors who did not receive an article proof through the Gateway must consult with lead publication volunteers to ensure that they have the appropriate version of the article for posting.

E. CLASSROOM OR INTERNAL TRAINING USE

An author is expressly permitted to post any portion of the accepted version of his/her own IEEE-copyrighted articles on the author's personal web site or the servers of the author's institution or company in connection with the author's teaching, training, or work responsibilities, provided that the appropriate copyright, credit, and reuse notice from 8.1.9.B (above) appears prominently with the posted material. Examples of permitted uses are lecture materials, course packs, e-reserves, conference presentations, or in-house training courses.

F. COLLECTED WORKS

IEEE organizational units wishing to place previously published collected works, such as Transactions, Journals, Magazines, conference proceedings/digests or collections of published articles on their web sites for limited-time promotional purposes must request permission from the IEEE Permissions Office. Such permission will be contingent upon the placement of prominently displayed copyright and reuse notices. Another condition in granting permission will be that the posted collected work includes a monitoring mechanism (e.g., simple password protection) for authorizing access to the material.

G. THIRD-PARTY RIGHTS TO POST IEEE-COPYRIGHTED MATERIAL

1. With the exception of approved servers as indicated in Subsection 8.1.9.A.3 above and specified in 8.1.9.G.2, no third party may post IEEE-copyrighted material without obtaining the

necessary licenses or permissions from the IEEE Permissions Office or other authorized representatives of the IEEE, and only under terms approved by PSPB.

2. The IEEE permits posting on certain approved third-party servers. The list of approved servers shall be reviewed annually, and a complete and up-to-date list shall be maintained by the IEEE Publishing Ethics & Conduct Office. The process by which a third-party server can gain acceptance to the approved list is given in 8.1.9.G.4.
3. The same rules regarding versions that apply to individual IEEE authors shall be enforced for third-party hosting. Specifically, the rules of 8.1.9.C will apply.
4. PSPB shall have the authority to approve or disapprove a third party for hosting IEEE copyrighted content. Approval of third-party hosting shall only be granted to not-for-profit organizations. Application to become an approved third-party host of IEEE copyrighted content must be made to PSPB. All applications shall be received and reviewed by the Chair of PSPB along with a two-member committee that the Chair appoints. The committee shall make recommendations for approval or disapproval to PSPB, and PSPB shall vote on acceptance at the first meeting to occur after receiving the recommendation.
5. Third parties that are approved by PSPB to host IEEE content shall be included on a list maintained by the IEEE Publishing Ethics & Conduct Office.

#### **8.1.10 Post Publication Changes**

- A. If an error is discovered within the metadata records for periodicals, conferences proceedings, standards, press books, educational courses, or multimedia files contained on IEEE Xplore, a request for correcting the error may be submitted to the Managing Director, IEEE Publications. Requests shall identify the error, recommend an appropriate correction to the metadata, and provide a statement of justification for correcting the error. Verification of errors may include review and approval by the authoritative individual or body for the publication record (such as the Editor-in-Chief, conference organizer, organizational unit, etc., or designee). Only correction requests for content of a substantive nature shall be considered. Acceptable requests include, but are not limited to, an author name is either missing or spelled incorrectly; author affiliation is incorrect or missing; title of publication is incorrect; author order is incorrect; publication has missing text; publication has missing or incorrect graphics or figures; publication has an error in publication identifiers (DOI, ISSN or ISBN); and publication has been truncated or is missing pages. Such requests should be verifiable from comparing original submissions with the published work or the requester has provided sufficient documentation to justify the correction. Unacceptable requests are those that alter the author's original intent of the article, or that involve a possible breach of publications policy.

- B. IEEE considers retraction a mechanism for correcting the literature and alerting readers to publications that contain such seriously flawed analysis or erroneous data that their findings and conclusions cannot be relied upon. Unreliable data may result from honest error or from research misconduct. Retractions are also used to alert readers to cases of redundant publication, plagiarism, and failure to disclose a major competing interest likely to influence interpretations or recommendations.

Retracted articles should not be removed from printed copies of the publication nor from electronic archives, but their retracted status should be indicated as clearly as possible.

IEEE recognizes the importance of the integrity and completeness of the scholarly record to its community. IEEE attaches the highest importance to maintaining trust in the authority of its IEEE Xplore Digital Library archive and recognizes that the scholarly archive should be a permanent, historic record of the transactions of scholarship. Therefore, articles that have been published shall remain extant, exact and unaltered as much as possible. However, extraordinary circumstances may arise where a published article must later be retracted or even removed.

Requests to retract or remove an article will be reviewed to determine whether retraction or removal is appropriate. The Managing Director, IEEE Publications shall assign the investigation and validation of requests for retraction or removal to staff within the IEEE Publications department. Verification of requests shall include review by the authoritative individual or body behind the publication record (such as the Editor-in-Chief, conference organizer, organizational unit, etc.). Removal of articles is addressed in Subsection 8.1.11.

- C. The Managing Director, IEEE Publications shall assign the investigation, confirmation, and correction of IEEE Xplore metadata to staff within the IEEE Publications department. Staff shall establish criteria and guidelines for correcting author metadata records in IEEE Xplore. These criteria and guidelines, and changes thereto, shall be approved by PSPB before application.
- D. If an error is confirmed or a retraction is approved by the PSPB Chair using the established criteria and guidelines, staff shall modify the IEEE metadata record itself and add an annotation to the bibliographic view in IEEE Xplore to describe the correction for the user. The full-text document (e.g., PDF) associated to the metadata shall be modified as warranted in cases of retraction and removal.
- E. If an author wishes to replace their published name with their preferred name for any reason, IEEE shall honor that request. Such changes shall be made upon validation of the identity of the requesting author. Change in the author list is considered rare and exceptional (see also Subsection 8.2.1.A).
- F. In the event a case cannot be resolved, the Vice President - Publication Services and Products, shall be the officer authorized to

determine a resolution. The resolution shall be final and not subject to appeal.

- G. Staff of the IEEE Publications department shall provide information at the last PSPB meeting of the calendar year summarizing actions taken during the immediate past 12 months.

Revisions to 8.1.10 – Correcting Metadata in IEEE Xplore, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### **8.1.11 Removing Access to Content on IEEE Xplore**

Under an extraordinary situation, it may be desirable to remove access to the content in IEEE *Xplore* for a specific article, standard, or press book. Removal of access shall only be considered in rare instances:

- The article contains content that could pose a serious risk if followed or acted upon
  - The article's content violates the rights to privacy of a study participant
  - The article is defamatory or infringes on other legal rights (for example, copyright)
  - The article is subject to a court order.
- A. Requests for removal may be submitted to the Managing Director, IEEE Publications. Such requests shall identify the publication and provide a detailed justification for removing access.
- B. The IEEE Executive Director has designated that the Managing Director, IEEE Publications shall assign the investigation and validation of requests, and removal of metadata access to staff within the IEEE Publications department. Staff shall establish criteria and guidelines for this process. Validation of requests shall include review and approval by the authoritative individual or body behind the publication record (such as the Editor-in-Chief, conference organizer, organizational unit, etc.). These criteria and guidelines, and changes thereto, shall be approved by PSPB before application. The final decision for removal, however, shall remain with the Vice President - Publication Services and Products.
- C. If the request is validated and approved by the Vice President - Publication Services and Products, staff shall take the following actions:
1. The original metadata record shall be retained, but staff shall annotate the record with a note regarding the status of access to the full-text document.
  2. The full-text document (e.g., PDF) associated to the metadata shall be handled with one of the following two actions, depending on the results of the investigation and evaluation.
    - a. Remove original full-text document, and replace with a new notice that states the reason for removal: or

- b. Retain original full-text PDF, but annotate with comments regarding the disposition of the claim.
- D. The Vice President - Publication Services and Products, shall be the officer authorized to determine a resolution. The resolution shall be final and not subject to appeal.
- E. Staff of the IEEE Publications department shall document each instance for record keeping, as well as provide an information report at the last PSPB meeting of the calendar year about actions taken during the immediate past 12 months.

Revisions to 8.1.11 – Removing Access to Content on IEEE Xplore, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

## **8.2 Publication Guidelines**

The IEEE supports the highest standards of intellectual discourse in its publications. All members of the publication process -- authors, editors and reviewers -- should be treated with fairness and balance, and adhere to the principles in this subsection. These principles represent a minimum set of requirements. Individual publications may have additional requirements.

(See also Subsection 2.6 Volunteer Responsibilities and the IEEE Code of Ethics)

(See also INTRODUCTION - Principles of Ethical Publishing)

Revisions to the above paragraph require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

Except where statements are limited to a specific publication type, this Subsection 8.2 applies to all IEEE publications, such as Journals, Transactions, Magazines, Letters, Conference Proceedings, Newsletters, and so forth. The person responsible for each of these IEEE publications, as determined by the body of the sponsoring IEEE organizational unit, is termed "the Editor\*." For Journals, Transactions, Magazines, and Letters, that person is the Editor-in-Chief, as defined in Subsection 2.4, whereas any other editor of the publication is termed "editor."

### **8.2.1 Publication Principles**

#### **A. AUTHORSHIP**

Authorship and co-authorship should be based on a substantial intellectual contribution. It is assumed that all authors have had a significant role in the creation of an article that bears their names. Therefore, the list of authors on an article serves multiple purposes; it indicates who is responsible for the work and to whom questions regarding the work should be addressed. Moreover, the credit implied by authorship is often used as a measure of the contributors' productivity when they are evaluated for employment, promotions, grants, and prizes.

1. The IEEE affirms that authorship credit must be reserved for individuals who have met each of the following conditions:
  - a. Made a significant intellectual contribution to the theoretical development, system or experimental design, prototype development, and/or the analysis and interpretation of data associated with the work contained in the article;
  - b. Contributed to drafting the article or reviewing and/or revising it for intellectual content; and
  - c. Approved the final version of the article as accepted for publication, including references.

Inclusion of deceased persons is deemed appropriate, as authors should be so included with a footnote reporting their death.
2. In articles with multiple authorship, the order of the authors shall be at the discretion of the authors.
3. Once the list and order of authors has been established, the list and order of authors should not be altered without permission of all living authors of that article. Change in the author list is considered rare and exceptional, and the decision to allow such changes rests with the Editor\*. Exception to such decisions is in the case of a request by an author to change their name (see Subsection 8.1.10.D).
4. Any part of an article essential to its main conclusions must be the responsibility of at least one author.
5. In the case of articles with multiple authors, a “corresponding” author must be designated as having responsibility for overseeing the publication process and ensuring the integrity of the final document. The corresponding author accepts the responsibility for:
  - a. Including as co-authors all persons appropriate and none inappropriate;
  - b. Obtaining from all co-authors their assent to be designated as such, as well as their approval of the final version of the article as accepted for publication; and
  - c. Keeping all co-authors apprised of the current status of an article submitted for publication, including furnishing all co-authors with copies of the reviewers’ comments and a copy of the published version, as appropriate.
6. Co-authors have responsibility for work submitted under their names. They should remain knowledgeable in so far as possible regarding the contents and status of the article, including the nature of any revisions.
7. If an article is revised and resubmitted to the same journal, co-authors should be asked by the corresponding author to reaffirm their assent to be listed as co-authors and to approve the revised version. In addition, if the article is rejected or

withdrawn from a journal and then submitted to a different IEEE journal, the co-authors should be asked again by the corresponding author to affirm their assent to authorship even if no substantive changes have been made.

8. Co-authors added at any time during the review process or when the final version of the article is submitted for publication shall satisfy the requirements of authorship outlined in Subsection 8.2.1.A.1, and the corresponding author shall notify the responsible editor regarding addition of co-authors.
9. A co-author has the right to withdraw that person's name from an article at any time before acceptance of the article by an editor. The corresponding author shall notify the responsible editor regarding removal of co-authors.

Revisions to the Subsection 8.2.1.A - Authorship, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**B. RESPONSIBILITIES OF AUTHORS OF ARTICLES PUBLISHED BY IEEE**

1. Peer review is essential to discourse. Authors are encouraged to have the first formal publication of their results be a peer-reviewed article.
2. Financial support of the work being reported and of the authors should be clearly acknowledged in the article, as well as any potential conflict of interest.
3. Methods and materials should be described in sufficient detail to permit evaluation and replication.
4. All data should be presented upon request by an editor, to facilitate the review process.
5. When submitting an article, authors shall disclose whether or not the article has been published previously or if it is still under active consideration by another publication. In addition, if an author submits an article to a non-IEEE publication while that article is under review by IEEE, the author shall immediately notify IEEE about the additional submission.
6. When submitting an article, authors shall disclose if the article reports on research using human subjects or animals and, if so, the authors shall adhere to the requirements as specified in Subsection 8.1.1.E.
7. Upon request from IEEE, each author shall confirm having met the conditions of authorship as defined in Subsection 8.2.1.A.1
8. Authors have an obligation to correct errors promptly.
9. IEEE defines plagiarism as the use of someone else's work (for example, use of text, prior ideas, processes, results, or algorithms) without explicitly acknowledging the original author and/or source. Plagiarism in any form is unacceptable and is considered a serious breach of professional conduct, with potentially severe ethical and legal consequences. Subsection



8.2.4.D provides detailed guidelines for a) handling allegations of plagiarism, b) applying appropriate corrective actions when findings of plagiarism have been reached, and c) referencing previously published material.

10. The use of content generated by artificial intelligence (AI) in an article (including but not limited to text, figures, images, and code) shall be disclosed in the acknowledgments section of any article submitted to an IEEE publication. The AI system used shall be identified, and specific sections of the article that use AI-generated content shall be identified and accompanied by a brief explanation regarding the level at which the AI system was used to generate the content.

The use of AI systems for editing and grammar enhancement is common practice and, as such, is generally outside the intent of the above policy. In this case, disclosure as noted above is recommended.

11. Fabrication or falsification of any aspect of an article is unacceptable.
12. Except as indicated in IEEE Policies, Subsection 6.4 (Multiple Publication of Original Technical Material in IEEE Periodicals) and Subsection 8.1.7 of this Manual, authors should only submit original work that has neither appeared elsewhere for publication, nor which is under review for another publication. If authors have used their own previously published work(s) as a basis for a new submission, they are required to cite the previous work(s) and very briefly indicate how the new submission offers substantive novel contributions beyond those of the previously published work(s). Subsection 8.2.4.G provides guidelines for handling instances of inappropriate multiple submission and prior publication.
13. Authors should not discuss any aspect of an article under evaluation with reviewers of the submitted article.
14. Only those articles of a researcher's publication record that are directly relevant to the subject matter of the article under consideration should be included in the bibliography. Furthermore, an article shall be appropriately labeled as "submitted" when still in the review process or "accepted" when it has been accepted for publication but has not yet been published.
15. The IEEE assumes that the material submitted to its publications is properly available for general dissemination to the readership of those publications. 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. If authors make use of charts, photographs, or other graphical or textual material from previously published material, the authors are responsible for obtaining written permission to use the material in the article.

16. An author, in offering an article for presentation at an IEEE conference, or accepting an invitation to present an article, is expected to be present at the meeting to deliver the article. In the event that circumstances unknown at the time of submission of an article preclude its presentation by an author, the program chair should be informed on time, and appropriate substitute arrangements should be made. IEEE reserves the right to exclude an article from distribution after the conference (e.g., not placed on IEEE Xplore) if the article is not presented at the conference.
17. Once an article has gone through the review process and a decision for final acceptance has been rendered, the corresponding author provides the final version of the article and supporting materials for publication. Any substantial and unauthorized changes made to the accepted article during this final stage of the publication process must be communicated in writing to the Editor\*, who then will decide if a re-review is necessary. This includes addition or removal of any citations. Failure of such notification may be considered as author misconduct, and at the discretion of the Editor\* may be reported as such to the Vice President - Publication Services and Products.

Revisions to the Subsection 8.2.1.B - Responsibilities of Authors of Articles Published by IEEE, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### C. REVIEWERS OF ARTICLES

1. Reviewers should be chosen for their high qualifications and objectivity regarding a particular article.
2. Reviews should be prompt and thorough.
3. Anonymity of reviewers of a given article shall be preserved to the extent possible, unless the reviewer and editor agree to disclosure.
4. Information contained in an article under review is confidential and shall not be shared with others. An exception to this is when a reviewer requests assistance from a colleague as a second reviewer in the review process, such as a professor asking a student to assist as a form of training. In such cases, the reviewer from whom the review was originally requested is responsible for the following: attention shall be given to potential conflict of interest or bias regarding authors of the article being reviewed, the confidentiality of the review process shall be strictly maintained with both reviewers involved, and it shall be reported to the editor requesting the review that a co-reviewer was used in the review process. In the case that the co-reviewer provides an independent review, the name of the reviewer shall be reported to the editor requesting the review.

5. Referees shall not use non-public information contained in an article to advance their own research or financial interests.
6. Information or content contained in or about a manuscript under review shall not be processed through a public platform (directly or indirectly) for AI generation of text for a review. Doing so is considered a breach of confidentiality because AI systems generally learn from any input.

D. EDITORS OF IEEE JOURNALS, TRANSACTIONS, LETTERS, AND MAGAZINES

1. All editors of IEEE publications shall adhere to the highest standards of ethical publishing in handling submissions to the publication (see also Principles of Ethical Publishing). Actions taken by any editor generally intended to manipulate the peer review process for any article submitted for review shall be considered serious misconduct and may result in sanctions levied on that editor.
2. The Editor-in-Chief is ultimately accountable for acceptance or rejection of an article, although the decision may be delegated to another editor of the publication.
3. The Editor-in-Chief should generally grant the request of an author who asks, when submitting an article, that particular individual(s) be excluded from the review of that article.
4. The Editor-in-Chief shall establish a review process that minimizes bias.
5. The Editor-in-Chief shall subject all articles of a given type to equivalent and unprejudiced reviews. Decisions about acceptance for publication should occur in a reasonable time frame, and (except for issues devoted to special topics) articles should, to the editor's best ability, be published in the chronological order of acceptance.
6. The Editor-in-Chief should provide to the authors a written rationale for editorial decisions regarding an article submitted for publication. This is especially important if the article is being rejected.
7. Unpublished articles must be treated as confidential documents by all individuals involved in the editorial process.
8. The Editor-in-Chief shall correct errors in an article if the errors are detected or reported before publication or publish corrections if they are detected afterward.
9. The review process for technical articles submitted by the Editor-in-Chief of the publication shall be handled by another editor of the publication. To avoid conflict of interest, the choice of editor to handle the submission shall be made through an independent process (excluding the Editor-in-Chief) as specified by the sponsoring organization(s) of the publication. The editor who handled the review process shall make the decision for acceptance or rejection of such articles and is ultimately

accountable for that decision.

The Editor-in-Chief or another editor of the publication may handle the review process for articles submitted by an editor of the publication other than the Editor-in-Chief. In such cases, the Editor-in-Chief or the editor delegated by the Editor-in-Chief to handle the review process shall make the decision regarding acceptance or rejection. The Editor-in-Chief is ultimately accountable for that decision.

Actions taken by any editor intended to manipulate the peer review process for their own submission or that of another editor shall be considered serious misconduct and may result in sanctions levied on that editor and others who participate in such actions. Such misconduct includes any breach of or demonstrated disregard for either the established practices of the IEEE peer review process or the IEEE Principles of Ethical Publishing. Perceived violations of this type should be reported to the IEEE Vice President–Publications Products and Services. Subsequent action is at the discretion of the Vice President, who may initiate investigation through the PSPB Publishing Conduct Committee or by other means and may determine possible sanctions.

10. The Editor-in-Chief or another editor of the publication shall not perform or accept any action that has the sole purpose of increasing the number of citations to influence the bibliometric independent measures of quality or impact of a periodical.

(See also Subsection 8.2.4 - Allegations of Misconduct, Part A – Handling Complaints.)

## **8.2.2 The Review Process**

### **A. PERIODICALS**

The review process shall ensure that all authors have equal opportunity for publication of their articles. Acceptance and scheduling of publication of articles in these periodicals shall not be impeded by added criteria and procedures beyond those contained in the IEEE review requirements contained in this Subsection 8.2.2.A.

1. Responsibilities of Editors. The policies contained in this Subsection 8.2.2.A shall apply to the editors of all regular technical periodical IEEE publications, except IEEE SPECTRUM and Society newsletters. Whereas the policies in this Subsection 8.2.2.A primarily refer to actions by the Editor-in-Chief, these actions may be delegated to another editor of the publication. This includes the final decision regarding acceptance or rejection of an article, for which the Editor-in-Chief remains accountable as the highest authority on the publication.

At no time should an article be accepted or published in an archival journal without prior review of the complete article by two or more referees who are conversant with the pertinent subject area, at least two of which are independent of persons

involved in the decision process for acceptance. Careful selection of referees shall be made to avoid any conflict of interest or bias with regard to authors of the article being reviewed (see also Subsection 2.6.2). Editors responsible for the final decision on an article shall not serve as a referee for one of the independent reviews used in the decision for an article.

It is the responsibility of the office of Editor-in-Chief of each publication to see to it that the corresponding author receives a prompt written acknowledgment of the receipt of his or her article. This acknowledgment should include the date when the corresponding author can expect to receive the decision of the Editor-in-Chief on the suitability of the submission for publication, which will be no longer than 90 calendar days from the date of receipt of the article by the Editor-in-Chief.

It is also the responsibility of the Editor-in-Chief to advise the corresponding author of the relevant IEEE policy concerning material submitted for publication, especially the contents of Subsection 8.2.1.A (Authorship) and 8.2.1.B (Responsibilities of Authors).

2. Handling of Articles Authored by Publications Volunteers.

Editorial responsibility and authority for any article authored by an editor and submitted to the editor's publication shall be delegated to another qualified person. Editorial consideration of the article in any way or form by the author-editor shall constitute a conflict of interest and is therefore improper. All editors and referees shall immediately disqualify themselves from review of articles in which there exists a conflict of interest.

Editors and other volunteers involved in IEEE periodicals shall not abuse access privileges to obtain confidential information, particularly about the review results of their own articles. This includes any effort to form a coalition with others such as to manipulate the review process or other established IEEE publication practices. Doing so shall be considered serious misconduct. Intentional unauthorized access to confidential information about an IEEE publication shall be considered an act of misconduct, and suspected misuse of access shall be reported to the volunteer leader of the sponsoring organizational unit and to the PSPB Chair. The PSPB Chair shall be the IEEE Officer with cognizance of the case process, will oversee any investigation, and will be responsible for adjudication.

Organizational units shall establish procedures for their periodicals so that no one can acquire unauthorized access to privileged information and submit these procedures to the IEEE Publishing Ethics & Conduct Office for filing. Documentation of these procedures shall include a statement about how articles by editors and other publication volunteers are handled.

3. Prescreening of Articles by Editors-in-Chief. Editors-in-Chief may prescreen articles immediately after they are submitted and before they are transmitted to referees for evaluation. The purpose of such prescreening is to verify that the article adheres to minimum criteria set forth by IEEE, as well as by the organizational unit responsible for the specific publication. Typical prescreening measures include the following:
- a. The author(s) have followed the IEEE guidelines for style.
  - b. The author(s) have not obviously violated IEEE Policies.
  - c. The article is comprehensible (in other words, not so poorly written that it is unreadable).
  - d. The subject and contents of the article meet the scope of the periodical or a specific issue.
  - e. The article meets a minimum criterion for technical substance established for the periodical.

In the case of a prescreened rejection decision, if the Editor-in-Chief assesses that a submission has met prescreening criteria 3.a through 3.d but has not met criterion 3.e, and an appeal of this decision is made by the corresponding author to the Editor-in-Chief, the Editor-in-Chief shall subsequently consult with at least two members of the editorial board for concurrence.

Rejection on the basis of criterion 3.e shall require the general agreement of the Editor-in-Chief and those consulted.

An article is considered in review if it passes the prescreening process and is forwarded to referees. An "administrative reject" refers to an article that does not meet the prescreening measures and is, therefore, returned to the author(s) with explanation.

Organizational units that prescreen submitted articles, as enabled by this subsection, shall include a statement of the prescreening measures in the unit's instructions to authors.

4. Review of Articles by Referees. For all scientific articles and communications published in IEEE publication and information products, the Editor-in-Chief or another editor from the editorial board of the publication shall select at least two referees who are competent and have experience in the area of the subject matter of the article. Editors-in-Chief of a specific periodical cannot act as formal referees for articles being considered for publication in their area of responsibility of that periodical. It shall be clearly stated by the Editor-in-Chief when the Editor-in-Chief submits the article to the referee that the recipient is a formal reviewer and that his or her comments and opinions, with those of other formal reviewers, will form the basis upon which the Editor-in-Chief will decide whether or not to publish the article, and with what changes. Submission of articles to referees for "informal review" is to be avoided. The Editor-in-Chief shall state that the referee is expected to return comments and opinions within a specified time, not longer than

90 calendar days or else request that the article be returned immediately for submission to another referee. The use of a standard review form for each periodical is recommended. The office of the Editor-in-Chief shall maintain all records pertinent to submitted articles for a period of two years from the date of final disposition.

IEEE requires that referees treat the contents of articles under review as confidential information not to be disclosed to others before publication. It is expected that no one with access to an article under review will make any inappropriate use of the special knowledge that access provides. Contents of abstracts submitted to conference program committees should be regarded as confidential as well, and handled in the same manner.

The editor examines the comments of the referees and exercises his or her own best judgment, in the light of the referees' recommendations, on whether or not to publish. Reviewers' comments and marked articles are normally returned to the author in any case. It is essential that the editor assure that the anonymity of the referees is protected during this process.

Everything within this review process must be done openly, except that the referees are protected from personal interactions with the authors by withholding their names. The editor in any event, should be guided in technical matters by the reviewers' comments. The editor must not arbitrarily withhold the referees' comments from the corresponding author, or vice-versa, unless the editor deems them clearly to be irrelevant, incorrect, or otherwise inappropriate. In particular, editors should not arbitrarily ignore referees' suggestions for modifications of the article without sufficient technical cause to do so. If an article is returned for revision, it is important to make clear to the corresponding author whether on the one hand the article will be accepted if the indicated changes are made or, on the other hand, the article will be resubmitted to the referee for further review.

Information or content contained in or about a manuscript under review shall not be processed through a public platform (directly or indirectly) for AI generation of text for a review. Doing so is considered a breach of confidentiality because AI systems generally learn from any input. Editors should convey this policy to referees when a review is requested.

In writing a review, it is unacceptable for a referee to require additional citations for the sole purpose of influencing bibliometric measures of either an individual or a periodical. In such cases, referee comments shall be transmitted to the authors, but editorial judgment shall be exercised in explaining requirements to the authors regarding addition of citations. The editor's decision is always based on all the reviews received, but

mixed reviews present the need for the exercise of editorial judgment. Responsibility for the final decision of acceptance or rejection lies with the Editor-in-Chief.

Authors may request that their article's review not be handled by specific editors and that their article not be reviewed by specific individuals. All reasonable requests of this nature shall be complied with.

Periodicals which are published in cooperation with non-IEEE organizations must have a review policy that ensures the quality of the articles. The policies of the non-IEEE organizations should be generally consistent with the IEEE requirements contained in this Subsection 8.2.2.A.

## B. CONFERENCE PUBLICATIONS

1. Conference Submissions Review Process. Submissions to IEEE conferences shall undergo a review process by referees who are knowledgeable in the pertinent subject area, and who are independent of persons involved in the decision process for acceptance. The manner of implementation of the process shall be defined by the appropriate governing body (e.g., Society, Region, Section, etc.) of the IEEE major sponsor organization. It is strongly recommended that the governing body use Subsection 8.2.2.A as a basis for their review process.

Conferences that are held in cooperation with non-IEEE organizations are encouraged to have a review process that is consistent with the policy stated in the paragraph above. All conferences that intend to have their proceedings published in IEEE Xplore shall have a review policy as stated in the above paragraph and have a memorandum of understanding between the IEEE organizational unit (or organizational units) and the non-IEEE entity (or entities) that includes the requirement for the review process. The appropriate governing body of the cooperating IEEE organizational unit shall establish the review process in agreement with the non-IEEE organization.

Participants in the review process (i.e., referees and anyone else who is authorized to handle conference submissions) shall treat the contents of conference submissions under review as confidential information not to be disclosed to others before publication. No one with access to a submission shall make any inappropriate use of the special knowledge that access provides.

2. Prescreening of Conference Submissions. This part of Subsection 8.2.2.B only applies to conference proceedings where IEEE is the copyright holder, which includes proceedings from all conferences where IEEE is the sole financial sponsor.

Organizers of IEEE conferences are expected to ensure that publications from their conferences that are posted in IEEE Xplore adhere to minimum criteria set forth by IEEE, as well as by the responsible organizational units. The minimum standards for scope and quality shall include the following:



- The subject and contents of each article are within the stated subject matter or the scope of the conference, and are within the IEEE fields of interest.
- The author(s) has/have not obviously violated IEEE Policies.
- Each article is comprehensible (in other words, not so poorly written that it is unreadable).
- Each article meets a minimum criterion for technical substance established for the conference.

Conference organizers and/or conference sponsors have the right to prescreen conference submissions and, if a submitted article fails to meet any of these standards, exclude that article in the conference publication from being posted on IEEE Xplore. Conference organizers shall inform each author that the article has been excluded from IEEE Xplore because it was out of scope and/or of poor quality.

Organizers shall also clearly communicate the following to all authors prior to or at the time of article submission (with special attention paid to the “call for papers”):

“IEEE reserves the right to exclude a submission from distribution after the conference, including exclusion from IEEE Xplore, if the submission does not meet IEEE standards for scope and/or quality.”

Articles excluded from further distribution shall be archived by IEEE but shall not be indexed or appear on IEEE Xplore.

If an out-of-scope or poor-quality article is included in the proceedings distributed onsite to attendees and the organizers subsequently elect to exclude that article from further distribution, organizers are still required to provide that article to IEEE publications. As the publisher of the conference proceedings, IEEE must have in its possession the complete set of proceedings of every conference.

A conference shall inform IEEE publications if it decides not to prescreen articles and/or exclude out-of-scope or poor-quality articles from its conference publications. In all cases, IEEE reserves the right to exclude out-of-scope or poor-quality articles from IEEE Xplore. The IEEE will inform the involved conference organizers of any hold on uploading. It is the responsibility of conference organizers to inform each author that an article has been excluded from IEEE Xplore because it was out of scope or of poor quality.

#### C. PLAGIARISM DETECTION

Plagiarism is a threat to scholarly publishing in general and to IEEE’s publication program in particular. Originality of the submitted work can be maximized through screening to prevent publication of plagiarized content. For maximum effectiveness among IEEE periodicals and

conferences, all IEEE articles shall be submitted to a plagiarism detection process prior to being uploaded to IEEE Xplore.

Publication volunteers are encouraged to utilize a plagiarism detection process to prescreen all articles upon submission. Any article found to have plagiarized content at Level 1, 2 or 3, as defined in Subsection 8.2.4.D, shall have its review suspended. Editors and conference organizers shall inform each author that review of their article has been suspended due to its similarity to previously published work and provide the author with an opportunity to explain the similarity. If the investigating editor or conference organizer finds that no plagiarism has occurred, the article should be released for the normal review process.

Any content of a periodical or conference publication that has not been screened upon submission to IEEE shall be submitted by IEEE to a plagiarism screening process prior to being sent to IEEE Xplore. IEEE will examine articles found to have a high similarity to previously published work. Any article found to have plagiarized content at Level 1, 2 or 3, as defined in Subsection 8.2.4.D, will be excluded from upload to IEEE Xplore pending investigation by responsible editors or conference organizers. The IEEE will inform the involved editors or conference organizers of any hold on uploading. It is the responsibility of editors and conference organizers to inform each author that an article has been excluded from IEEE Xplore due to its similarity to previously published work, and to provide the author with an opportunity to explain the similarity. If the investigating editor or conference organizer reports to IEEE that no plagiarism has occurred, the article shall be released for upload to IEEE Xplore.

#### D. MONITORING THE REVIEW PROCESS

Misconduct of any type during the review process undermines the position of trust held by the IEEE in the community, and constitutes a serious threat to the reputation of IEEE and to the role of scientific research in society. PSPB shall be responsible for implementing and maintaining a sufficient system of practices, tools, and analysis to monitor and analyze IEEE's review activities at all stages and for all published content. The goals of such practices shall be to detect, identify and prevent any form of misconduct or behavior not consistent with the IEEE Code of Ethics, the IEEE Principles of Ethical Publishing, or any relevant policy in the PSPB Operations Manual. All forms of data, metadata, and other information relating to the review process conducted by any organizational unit within the IEEE shall be made available as required by PSPB in order to achieve these goals.

PSPB shall be responsible for formulating a description of the monitoring practice for the review process, and for distributing reporting to stakeholders on a regular basis.

(See also 8.1.4 - IEEE Copyright Policy and Procedures and Subsection 8.2.4 - Allegations of Misconduct.)

Revisions to Subsection 8.2.2 – The Review Process, as contained in this

manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.3 Appeal of Editorial Decisions**

The editorial policy of an IEEE publication or information product shall be determined by the organizational unit which sponsors or controls the publication, within the framework and policies set by PSPB and the IEEE Board of Directors. Implementation of these policies shall be the responsibility of the Editor\* of the publication. The process for resolution of appeals of editorial decisions shall be carried out by other editors independent of the editor who made the decision, with consultation from leadership at the sponsoring organizational level when necessary. Disputes which arise over review or acceptance of material submitted for publication are expected to be resolved by the editorial leadership of the publication. The Editor\* shall be, in general, the final authority on matters of content and appropriateness of material in the publication.

In the event of a challenge to review or publishing actions which cannot be resolved at the sponsoring organizational unit level, the Vice President - Publication Services and Products shall be the IEEE Officer with cognizance of the appeals process. An appeal of an editorial decision must be submitted within 60 calendar days of final notification of the decision to the Managing Director, IEEE Publications who will acknowledge receipt of appeal and inform the Vice President - Publication Services and Products within 30 calendar days. The Vice President - Publication Services and Products shall, within 30 calendar days of receipt of a written appeal, determine whether the dispute merits a formal arbitration process. For arbitration, the Vice President - Publication Services and Products shall appoint an individual who shall, in consultation with all the parties to the dispute and with the assistance of knowledgeable members of the professional community, assess the merits of the dispute and recommend a resolution. The recommendation shall be presented to the Vice President - Publication Services and Products for review within 120 calendar days of the receipt of the complaint. The decision, which shall be binding on the IEEE organizational unit that is party to the dispute, shall be made within 15 calendar days of the receipt of the recommendation by the Vice President - Publication Services and Products, and shall be reported to PSPB. The decision of the Vice President - Publication Services and Products shall be final and not subject to further appeal.

Revisions to Subsection 8.2.3 – Appeal of Editorial Decisions, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.4 Allegations of Misconduct**

For clarification, Subsection 8.2.4 applies to all IEEE publications, and the use of "the Editor\*" refers to the person responsible for the publication (e.g., Transactions, Magazine, Conference Proceedings, etc.). Sources of allegations are treated separately in the following sections: Subsection 8.2.4.A.1 specifically addresses allegations that originate from those involved with the publication process of a submitted article, and Subsection 8.2.4.A.2 addresses allegations (publishing misconduct complaints) of any kind,

providing an anonymous reporting route.

A. HANDLING ALLEGATIONS

1. When a possible publishing misconduct is detected by those involved with the publication process of a submitted article, then the matter must be referred to the Editor\* who shall then notify the IEEE Publishing Ethics Team (PET) regarding the allegation and notify the PET when initiating an investigation. The purposes of these notifications are to provide information, create a record, and serve as notification to the Managing Director, IEEE Publications, and the Vice President, Publication Services and Products, either directly or through a reporting chain, that an allegation of publishing misconduct has been received (and is being investigated if that is the case).

Further action may be taken by the Vice President, Publication Services and Products, who may initiate investigation through the PSPB Publishing Conduct Committee or other means and determine possible sanctions.

2. Allegations about publishing misconduct of any kind may also be reported directly to the IEEE PET, which shall also accept anonymous allegations. The IEEE PET shall then notify the Managing Director, IEEE Publications, and the Vice President, Publication Services and Products, either directly or through a reporting chain, that an allegation of publishing misconduct has been received (and is being investigated if that is the case). Subsequent action is at the discretion of the Vice President, Publication Services and Products, who may initiate investigation through the PSPB Publications Conduct Committee or other means and determine possible sanctions. During the handling of an allegation, the contents of the allegation, identity of the persons involved, and the scope of the inquiry shall remain confidential to the extent practicable, consistent with the need to provide information in support of an expeditious review. If an allegation is sent directly to the Editor\*, other members of the editorial board of an IEEE publication, any volunteer or a member of IEEE staff, these individuals shall forward the allegation to the IEEE PET prior to engaging directly with the person making the allegation.
3. In handling a case of alleged plagiarism, the following basic information should be made available:
  - a. The alleged plagiarized work:
    - (1) Title of article
    - (2) Full list of author names
    - (3) Any other information necessary to identify the alleged, plagiarized work
  - b. The use of someone else's unpublished ideas:
    - (1) Description of idea
    - (2) Full list of creators
    - (3) Verifiable date of creation

- c. Full name and email address of the person making the allegation (if not anonymous).
  - d. The alleged plagiarizing article:
    - (1) Title of article
    - (2) Full list of author names
    - (3) Any other information necessary to identify the publication in which the article appeared
  - e. Copies of both the plagiarized work and the alleged plagiarizing or, if appropriate, documentation of an idea and the alleged plagiarizing article, preferably with highlighted text showing all instances of alleged, inappropriate reuse
4. If an allegation is received concerning the accuracy or completeness of an article published in an IEEE publication, the person responsible for that publication shall investigate the allegation. If it is ascertained that the allegation stems from differences in opinion, the responsible person shall dismiss the allegation and notify the person making the allegation of the conclusion. The responsible person may also recommend that the person making the allegation prepare and submit a rebuttal for publication.
  5. Specifically for cases of editorial misconduct (also see below), the accused individual shall be notified of the allegation only by the PSPB Chair at the conclusion of the investigation. The PSPB Chair shall offer the accused individual the opportunity to respond within 30 calendar days. Any decisions, including possible sanctions, shall be communicated no later than 90 calendar days after notifying the accused individual. The PSPB Chair will issue a final determination of corrective action(s) to be taken and notify the person making the allegation, the Vice President(s) of Publications of the sponsoring Society(ies) or the similarly empowered officer(s), and the accused individual. The decision of the PSPB Chair shall be final and not subject to further appeal.
  6. If an allegation is received against the Editor\*, another editor, or reviewer of an IEEE publication, one of the following steps applies depending on the allegation.
    - a. If the complaint concerns the judgment of the Editor\* in the rejection of an article, then the person making the allegation shall be informed that the Editor\* has final decision-making authority over such matters.
    - b. If the allegation is communicated directly to the Editor\* and is against an editor of the editorial board or referee, the Editor\* shall evaluate the merits of the allegation, determine the appropriate course of action in accordance with established policies, and respond to the person making the allegation. If the accused person is an editor and an investigation ensues, only the PSPB Chair shall

- notify the accused editor (see Subsection 8.2.4.A.5).
- c. If the allegation involves a claim of bias on the part of the Editor\*, then the person making the allegation may appeal directly to the designee of the organizational unit responsible for the publication (such as the Vice President - Publications, the Chair of the Publications Committee, etc.) or to its chair (such as the Society President). If such a position does not exist, the allegation should be made to the PSPB Chair who shall then investigate the allegation in accordance with Subsection 8.2.3. Only the PSPB Chair shall notify the accused individual in such cases. Upon completion of the investigation, the PSPB Chair's findings shall be sent to the Editor\*, the responsible person(s) for the sponsoring IEEE organizational unit(s), and the person making the allegation. The decision of the PSPB Chair shall be final and not subject to further appeal.
  - d. If the allegation is against the Editor\* or another editor of the editorial board for violation of the principle regarding the publication's bibliometric independent measures as specified in Subsection 8.2.1.D.10, then the allegation should be made directly to the PSPB Chair who shall then investigate the allegation. In this case, upon completion of the investigation, the PSPB Chair's findings shall be sent to the Editor\*, the responsible person(s) for the sponsoring IEEE organizational unit(s), and the person making the allegation. The decision of the PSPB Chair shall be final and not subject to appeal.

Revisions to Subsection 8.2.4.A – Handling Allegations of Publishing Misconduct, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### B. INVESTIGATING POSSIBLE AUTHOR MISCONDUCT

1. If the Editor\* learns that an author may have acted improperly, which may include but is not limited to misrepresenting data, plagiarizing text, or not informing the Editor\* that an article had been published, accepted for publication, or concurrently under review by another publication, then the Editor\* shall investigate the alleged misconduct and notify the IEEE PET as described in Subsections 8.2.4.A.1 or 8.2.4.A.2. All inquiries shall be handled promptly and fairly. To the extent possible, all parties relevant to the allegation shall be contacted at the start of the investigation and given the opportunity to respond.
2. The IEEE PET may contact the Editor\* to discuss the allegations and the appropriate process for adjudication.
3. In considering the allegation, the Editor\* shall appoint an independent ad-hoc committee of experts in the topic to

confidentially investigate and make a recommendation on the allegation to the Editor\*. In addition to the material supplied by the Editor\*, the ad-hoc committee may seek other sources of relevant information, such as the IEEE Publishing Ethics & Conduct Office. However, the ad-hoc committee shall not contact institution where the work was performed unless it has explicit information that such institution has already investigated the issue.

Revisions to 8.2.4.B – Investigating Possible Author Misconduct, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### C. CORRECTIVE ACTIONS FOR AUTHOR MISCONDUCT

1. If a finding of misconduct relevant to an IEEE publication (data misrepresentation/fabrication, plagiarism, multiple submission, or prior publication, etc.) is made by the person responsible for the IEEE publication, then appropriate corrective and/or disciplinary actions shall be initiated. Such actions may include prohibition from publishing and holding any editorial role in all IEEE publications for a period up to and including lifetime prohibition, as determined by the PSPB Chair.
2. For all cases involving alleged plagiarism or the multiple submission/publication of the same article, the responsible person shall inform the PSPB Chair of the investigating committee's conclusions or recommend action(s) in accordance with Subsection 8.2.4.D "Guidelines for Adjudicating Different Levels of Plagiarism" and Subsection 8.2.4.G "Guidelines for Adjudicating Prior Publication, Multiple Submission, and Reuse of Previous Publications." For cases in which a decision by the PSPB Chair is required, the responsible person shall report on the result of the process followed to the Vice President(s) of Publications of the sponsoring Society(ies) or the similarly empowered officer(s), who shall then submit these results to the PSPB Chair. Confidentiality shall be maintained throughout the entire process. For cases where a decision by the PSPB Chair is not required, and no later than 90 calendar days after the responsible person informs the author(s) about the allegation, the responsible person shall notify the author(s), the person making the allegation, the Vice President(s) of Publications of the sponsoring Society(ies) or the similarly empowered officer(s), and the IEEE Publishing Ethics & Conduct Office in writing of the final decision of the Editor\*.
3. Except for cases involving allegations of plagiarism or multiple submission/publication (see Subsections 8.2.4.D and 8.2.4.G below for more specific information), the PSPB Chair shall notify the individual(s) named in the recommendation of the Editor\* that an action is being reviewed. The PSPB Chair shall offer the named individual(s) the opportunity to respond within 30 calendar days to the recommended action, and the Chair may

choose to request additional information from the Editor\* and/or the named individual(s).

4. For cases in which a decision by the PSPB Chair is required, and no later than 90 calendar days after notifying the individual(s) named in the recommendation of the Editor\*, the PSPB Chair will issue a final determination of corrective action(s) to be taken and notify the author, the person making the allegation, the Vice President(s) of Publications of the sponsoring Society(ies) or the similarly empowered officer(s), and the responsible person of the decision. The decision of the PSPB Chair is final and not subject to further appeal within the process and guidelines specified by Subsection 8.2.4.

Revisions to Subsection 8.2.4.C – Corrective Actions, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(6).

#### D. GUIDELINES FOR ADJUDICATING DIFFERENT LEVELS OF PLAGIARISM

The following guidelines require or recommend appropriate corrective actions to be taken by editors of IEEE publications for each of four defined levels (or degrees) of plagiarism. Plagiarism includes, but is not limited to, (a) uncredited copying and/or paraphrasing of someone else's work, (b) using someone else's material without clear delineation or citation, and (c) uncited reuse of an author's previously published work that also involves other authors. Guidelines for referencing of other peoples' work are covered in Subsection 8.2.10. It should be noted that plagiarism is a type of copyright infringement, and as such may also subject the author(s) to legal liability. These guidelines apply to all articles at any point in the publication process, from initial submission to final publication.

The following corrective actions must be taken, absent special circumstances that provide good cause for varying some or all of the specified measures. Such special circumstances must be identified in writing to, and the variation approved by, the PSPB Chair. The PSPB Chair may grant leniency regarding sanctions to first-time offenders in the plagiarism resolution process. If granted, leniency would only be with respect to periods of prohibited publishing and inclusion on the Prohibited Authors List (see Subsection 8.2.4.E). In such cases, sanctions shall be enforced unless an author education process on plagiarism (as determined by PSPB) is completed by the individual(s) within 30 calendar days of notification, constituting resolution of the plagiarism process. IEEE staff will maintain a list of individuals that have completed the author education process.

In the following description of the corrective actions, general terms are used to describe the portions of work plagiarized: major portion, large portion, and significant portion. In cases of verbatim copying, these descriptors are generally characterized as follows: a major portion represents 50% or more plagiarized material; a large portion represents 20% to 50% plagiarized material; and a significant portion



represents up to 20% plagiarized material. Delineation of these levels is determined in the adjudication process.

Proposed corrective actions related to level 1 or 2 of the following shall be approved by the PSPB Chair. Furthermore, a number of the corrective actions below either require or allow notice of the offense to be placed in the IEEE electronic database and/or in the relevant publication.

1. Plagiarism of a Major Portion of a Published Work. [The most extreme case of plagiarism is when (a) a major portion of a published work is copied (verbatim or paraphrased) without acknowledgment and any name of the original author list is replaced with another person, or (b) the main contributions of a published work (such as, but not limited to ideas, processes, results, data, and algorithms) are used without explicitly acknowledging the original author and/or source], or  
Plagiarism of a Major Portion within a Single Article. [An instance is where a large section of the original published work or a large portion of the main contributions of the plagiarized work is used without quotation marks, credit notice, reference, and bibliography. This case also includes instances where different portions of an article plagiarize a number of published works by other authors, and the sum of plagiarized material represents a major portion.], or  
Plagiarism within More than a Single Article by the Same Author(s). [This case includes instances where more than one article by the offending author(s) has been found to contain plagiarized content, and the sum of all plagiarized material in each of the discovered articles represents a major portion.]
  - a. Corrective actions that shall be taken for level-1 violations involving only one article are:
    - (1) Publication of a Post-publication Notice for Publishing Misconduct, as specified in Subsection 8.2.4.F, in the IEEE electronic database as part of the article's bibliographic record
    - (2) Publication of a Post-publication Notice for Publishing Misconduct, as specified in Subsection 8.2.4.F, on the appropriate IEEE article in Xplore where the violation of IEEE Principles against plagiarism first occurred
    - (3) Possible prohibition of publication in all IEEE publications by the offending individual(s) for up to five years as determined by PSPB Chair
    - (4) If a publication prohibition is imposed against the offending author(s), a prohibition from holding any editorial role in all IEEE publications may also be imposed. If imposed, the editorial prohibition shall be for a period no less than the publication prohibition duration, as determined by the PSPB

Chair

- (5) Rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication queue (articles may be re-submitted after resolution of the plagiarism process and after the prohibition term, if any, has expired).
- b. Recommended corrective actions for level-1 violations involving only one article may also include the following:
  - (1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and publication editor(s).
  - (2) Publication of the offending author's apology.
- c. If the action recommended by Subsection 8.2.4.D.1.b.(1) is taken, and the offending individual(s) fail to apologize in writing, the following corrective action shall be taken:
  - (1) The duration of the prohibition of publication in all IEEE publications specified by Subsection 8.2.4.D.1.a.(3) shall be increased by one or two years as determined by PSPB Chair.
  - (2) The duration of the prohibition of holding editorial roles shall be increased for a period determined by the PSPB Chair.
- d. Corrective actions for level-1 plagiarism within more than one article by the offending author(s) shall include the following.
  - (1) For instances where the sum of plagiarized material in each of the discovered articles represents the equivalent of a major portion, corrective actions shall follow the guidelines in Subsections 8.2.4.1.a through 8.2.4.1.c, noting that different authors and multiple editors might be involved.
  - (2) For instances where plagiarized material in one or more of the discovered articles represents the equivalent of a major portion, corrective actions shall be assigned to each offense following the guidelines in Subsections 8.2.4.1.a through 8.2.4.1.c, and the PSPB Chair has the discretion of applying any combination of the assigned corrective actions that the Chair considers appropriate.
- e. A repetitive level-1 plagiarism misconduct by authors previously found guilty of level-1 offense shall result in an increase of up to five years of the duration of suspension of publication privileges specified by Subsection 8.2.4.D.1.a.(3) as determined by PSPB Chair. For multiple repetitive level-1 misconducts, the PSPB Chair can administer up to and including a lifetime prohibition of publication in all IEEE publications. For repeated level-1

misconducts, the PSPB Chair may administer up to and including a lifetime prohibition of holding any editorial role in all IEEE publications.

2. Plagiarism of a Large Portion within an Article. [An instance is where a section of the article plagiarizes a published work without quotation marks, credit notice, reference, and bibliography. This case also includes instances where different portions of an article plagiarize without attribution from a number of published works, and the sum results in a large portion of plagiarized material in the article.], or  
Plagiarism within More than One Article by the Same Author(s). [This case includes instances where the sum of plagiarized material from the different articles would constitute the equivalent of a large portion of the plagiarized published work with the fewest words.]
  - a. In this case corrective actions that shall be taken are:
    - (1) Publication of a Post-publication Notice for Publishing Misconduct, as specified in Subsection 8.2.4.F, in the IEEE electronic database as part of the article's bibliographic record
    - (2) Publication of a Post-publication Notice for Publishing Misconduct, as specified in Subsection 8.2.4.F, on the appropriate IEEE article in Xplore where the violation of IEEE Principles against plagiarism first occurred
    - (3) Possible prohibition of publication in all IEEE-copyrighted publications by the offending individual(s) for up to three years as determined by the organizational unit's publications officer, subject to approval by the PSPB Chair
    - (4) If a publication prohibition is imposed against the offending author(s), a prohibition from holding any editorial role in all IEEE publications may also be imposed. If imposed, the editorial prohibition shall be for a period no less than the publication prohibition duration, as determined by the PSPB Chair.
    - (5) Rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication queue (articles may be re-submitted after resolution of the plagiarism process and after the prohibition term, if any, has expired).
  - b. Recommended corrective actions for plagiarizing large portions of articles may also include the following:
    - (1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and publication editor
    - (2) Publication of the offending author's apology.

- c. If the corrective action recommended by Subsection 8.2.4.D.2.b.(1) is taken, and the offending individual(s) fail to apologize in writing, the following corrective action shall be taken:
    - (1) The duration of the prohibition of publication in all IEEE publications specified by Subsection 8.2.4.D.2.a.(3) shall be increased by one or two years as determined by the organizational unit's publications officer (for example, the Vice President for Publications in an IEEE Society).
    - (2) The duration of the prohibition of holding editorial roles shall be increased for a period determined by the PSPB Chair.
  - d. Level-2 plagiarism within more than single article by the offending author(s) is equivalent to a level-1 offense, and corrective actions shall follow the guidelines in Subsections 8.2.4.1.a through 8.2.4.1.c, noting that different authors and multiple editors might be involved.
  - e. A repetitive level-2 plagiarism misconduct by authors previously found guilty of level-1 or level-2 offense shall result in an increase of up to five years of the duration of suspension of publication privileges specified by Subsection 8.2.4.D.2.a.(3) as determined by PSPB Chair. Sequential instances of level-2 plagiarism will be determined using the same definition specified in Subsection 8.2.4.D.1.d.(2). For multiple repetitive level-2 misconducts, the PSPB Chair can administer up to and including a lifetime prohibition of publication in all IEEE publications. For repeated level-2 misconducts, the PSPB Chair may administer up to and including a lifetime prohibition of holding any editorial role in all IEEE publications.
3. Uncredited Verbatim Copying of Individual Elements (Paragraph(s), Sentence(s), Illustration(s), etc.) Resulting in a Significant Portion within an Article. [An instance could be where portions of a published work are used in an article without quotation marks, credit notice, reference, and bibliography.]
- a. In this case corrective actions that shall be taken are:
    - (1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and to the editor of the publication where the plagiarized work was submitted.
    - (2) Publication of a Post-publication Notice for Publishing Misconduct, as specified in Subsection 8.2.4.F, in the IEEE electronic database as part of the article's bibliographic record.
    - (3) Possible prohibition from holding any editorial role in all IEEE publications for all offending author(s)

- for up to three years, as determined by the PSPB Chair.
- b. If the offending individual(s) fail to apologize in writing, the following corrective actions shall be taken:
    - (1) Prohibition of publication in the IEEE publication where the offense took place by the offending individual(s) for the next one or two years of the publication or, if appropriate, the next one or two volumes of the conference proceedings, as determined by the Editor\* of the publication
    - (2) Rejection and return of all articles for that publication by the author(s) that are currently in review or the queue for that publication (articles may be re-submitted after prohibition term has expired).
  - c. The following action may also be taken:
    - (1) Publication of the offending author's apology.
  - d. Repeated offenses for uncredited verbatim copying of individual elements of articles shall result in suspension of publication privileges in any IEEE Publications for one year and suspension of all articles by the author(s) that are currently in review or in any IEEE publication's queue. For repeated level-3 misconducts, the PSPB Chair may administer up to and including a lifetime prohibition of holding any editorial role in all IEEE publications.
4. Credited Verbatim Copying of a Major Portion of an Article without Clear Delineation. [Instances could include sections of an original article copied from another article; credit notice is used but absence of quotation marks or offset text does not clearly reference or identify the specific, copied material.]
- a. In this case corrective actions that shall be taken are:
    - (1) Offending individual(s) prepare and submit an apology to the original author(s) and publication editor
    - (2) Offending individual(s) prepare correction or retraction and submit this document to the editor for the publication.
  - b. If the offending individual(s) fail to carry out the above actions, the following corrective actions shall be taken:
    - (1) Prohibition of publication in the IEEE publication where the offense took place by the offending individual(s) for one year of the publication or, if appropriate, the next volume of the conference proceedings.
  - c. The following action may also be taken:
    - (1) Publication of a Post-publication Notice for Publishing Misconduct, as specified in Subsection

8.2.4.F, in the IEEE electronic database as part of the article's bibliographic record.

- d. Repeated offenses for improper credited verbatim copying shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after prohibition term has expired). For repeated level-4 misconducts, the PSPB Chair may administer up to a three-year prohibition of holding any editorial role in all IEEE publications for each offense.

#### E. PROHIBITED PARTICIPANTS LIST

The Prohibited Participants List (PPL) provides information about individuals who have been found to have violated IEEE Principles of Ethical Publishing, appearing in the Introduction of this manual, and who have been prohibited from participating in specific IEEE publishing activities. In this context "participants" refers to individuals such as, but not limited to, authors, reviewers, editors, conference technical program committee chairs, and so forth. The PPL includes the names of offending participants, their email addresses, professional affiliations at the time the misconduct was discovered, the area(s) of participation where the restrictions apply, and the time duration of the resulting restrictions. The PPL is shared primarily with volunteers who are directly involved with the review process for manuscripts submitted to IEEE. Volunteers are encouraged to consult with the IEEE Publishing Ethics & Conduct Office to confirm the identity of any individual whose name appears to match a name on the PPL. Volunteers are required to treat the contents of the PPL as strictly confidential and, therefore, shall not share the PPL with anyone not directly related to IEEE publishing activities or not responsible for appointing volunteers to key publishing positions.

To ensure corrective actions are enforced effectively pursuant to Subsection 8.2.4.D, IEEE shall

1. Maintain a list of individuals who have been prohibited from participating in IEEE publishing activities, and
2. Make this list available to IEEE volunteers as deemed appropriate by the Vice President - Publication Services and Products.

Although the PPL is used primarily to enforce corrective actions related to publishing misconduct, it is recognized that IEEE Organizational Units may wish to use the PPL when reviewing nominations of individuals to positions of leadership or decision-making roles involving IEEE publications, or nominations for awards and recognitions related to the individual's service or performance within IEEE. Requests for access to the PPL to be used for these purposes, in accordance with the Organizational Unit's rules and procedures, should be sent to the IEEE Publishing Ethics & Conduct Office. Received requests will be presented to the Vice President - Publication Services and Products for

approval.

F. POST-PUBLICATION NOTICES FOR PUBLISHING MISCONDUCT

After an adjudication process is complete, post-publication notices for articles deemed to have violated the principles of ethical publishing include Retraction Notices, Removal Notices, Expressions of Concern, and Violation Notices. All notices shall be factual, objective, and avoid inflammatory language. The PSPB Chair shall approve the content of all such notices published by IEEE.

1. Retraction Notices The mechanism to issue a retraction notice has been defined in subsection 8.1.10.B of this manual. An article retracted because of adjudicated misconduct should not be removed from printed copies of the publication nor from electronic archives, but the retracted status shall be indicated as clearly as possible. IEEE shall publish a notice of retraction explaining the reason(s) for the retraction. Notices of retractions shall state who initiated the retraction.
2. Removal Notices In rare circumstances, it may be desirable to remove access to the content in IEEE Xplore for a specific article, standard, or press book. When this occurs, a removal notice shall be published as outlined in Subsection 8.1.11.
3. Expressions of Concern Expressions of Concern (EOCs) are notices published to alert readers of serious concerns about published work. In some cases, an EOC may be published as an interim notice while an issue is still under investigation. An EOC may also be used as a resolution to a post-publication case if it is concluded that some issues remain unresolved. After an EOC is published, the same article may be corrected or retracted, or the EOC itself may be corrected or retracted, depending on new assessment of information, data, and/or materials received in subsequent investigations.
4. Violation Notices A Violation Notice shall be used to precede an IEEE publication for which a violation of IEEE's Publication Principles has been ascertained and such violation does not rise to the level that a retraction, removal, or EOC notice should be issued.

G. GUIDELINES FOR EDITORIAL REUSE OF PREVIOUSLY PUBLISHED MATERIAL, AND ADJUDICATING INAPPROPRIATE REUSE OF PREVIOUS WORK OR THE FAILURE TO INFORM EDITORS OF PREVIOUS PUBLICATIONS OR MULTIPLE SUBMISSIONS.

The following procedures are presented in light of support of the evolutionary publication paradigm presented in Subsection 8.1.7.F.

1. Editorial Reuse of Previously Published Material. The Editor of a publication may choose in a limited number of cases and following Subsection 8.1.7.A to republish existing material for a variety of reasons including serving readers by aggregating special material in a single publication. When such a

republication occurs, the articles must be annotated as being republished, and their original publication venue provided as a special note in the front page of the article. As necessary, appropriate permission shall be obtained.

2. Author Obligations to Cite Previous Work. If author(s), within the evolutionary publishing paradigm, have used their own previously published or submitted material as a basis for a new submission, Subsection 8.2.1.B.9 requires that the author(s) cite the previous work(s) and very clearly indicate how the new submission differs from the previously published work(s). Guidelines for referencing of author's previous work are covered in Subsection 8.2.10. Authors who do not properly cite their previous work and who are found not to be in compliance with the requirements of Subsection 8.2.1.B.12 are also subject to corrective actions.
  - a. In these cases, corrective actions that shall be taken are:
    - (1) Offending individual(s) will be reminded that the practice is considered inappropriate scholarly practice, referred to Subsections 8.2.1.B.12 and 8.2.10, and notified that repeated offenses could result in correction actions as specified in Subsection 8.2.4.G.3.b.
  - b. In cases of a second offense, corrective actions that shall be taken are:
    - (1) A formal warning to offending individuals stating that, if additional offenses are discovered, action 2c shall occur
  - c. An additional offense following action 2b shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after suspension term has expired).

Proposed corrective actions related to level-2c violations of Subsection 8.2.4.G.2 shall be approved by the PSPB Chair.

3. Author Obligations to Inform the Editor\* of Previous Work. As described in Subsection 8.2.1.B.12, authors should only submit original work that has neither appeared elsewhere for publication, nor which is under review for another refereed publication. Multiple submission is defined as a given article being concurrently under active consideration by two or more publications. It is at the discretion of each IEEE Organization Unit whether or not to allow multiple submissions. Authors shall inform the Editor\* of multiple submissions of articles. Authors in violation of these multiple-submission guidelines are subject to corrective actions.
  - a. At the time of article submission, or during the review of an article, the Editor\* was not informed that the article



had been published.

- (1) In this case, corrective actions that shall be taken are:
  - (i) A formal warning to offending individual(s)
- (2) In this case, corrective actions that may also be taken are:
  - (i) Offending individual(s) prepare and submit an apology to the Editor\* of the publication editor
  - (ii) Publication of the offending author's apology.
- (3) Discovery of a second offense shall result in:
  - (i) Another formal warning to offending individuals stating that, if additional offenses are discovered, action a(4) shall occur
  - (ii) Suspension of publication in the IEEE publication where the offense took place by the offending individual(s) for one year of the publication or, if appropriate, the next volume of the conference proceedings.
- (4) An additional offense following action a(3) of Subsection 8.2.4.G.3 shall result in suspension of publication privileges in all IEEE Publications from three to five years as determined by the PSPB Chair and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after suspension term has expired).

b. Lack of disclosure to the Editor\* by the author(s) that the article is under active consideration by another publication. Individual publications can choose to either accept or reject outright concurrent consideration of articles. Authors should be made aware of the publication's policy on this matter.

- (1) In case authors fail to inform the Editor\* of other consideration of the article, corrective actions that shall be taken are:
  - (i) Offending individual(s) will be reminded that the practice is considered inappropriate scholarly practice, referred to Subsections 8.2.1.B.12 and 8.2.7, and notified that repeated offenses could result in correction actions as specified in 8.2.4.G.2.b.
- (2) Discovery of a second offense shall result in:
  - (i) Another formal warning to offending individuals stating that, if additional offenses are discovered, action a(3) of Subsection 8.2.4.G.3 shall occur

- (3) An additional offense following action b(2) of Subsection 8.2.4.G.3 shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after suspension term has expired).

Proposed corrective actions related to level a(4) or b(3) of Subsection 8.2.4.G.3 shall be approved by the PSPB Chair.

(See also Subsection 8.1.7 – Multiple Publication of Original Technical Material in IEEE Periodicals and Subsection 8.2.1.B – Responsibilities of Article Authors.)

#### H. RELATIONSHIP TO THE IEEE CODE OF ETHICS

Violations of Subsection 8.2.4 may also constitute violations of the IEEE Code of Ethics. Beyond the application of adjudication guidelines of Subsection 8.2.4.D, the complainant, if an IEEE member, may bring the case to the IEEE Ethics and Member Conduct Committee upon the completion of all appropriate investigations and actions through the respective organizational unit and PSPB.

### **8.2.5 Transactions, Journals and Letters**

- A. Periodicals with TRANSACTIONS, JOURNAL or LETTERS in the title are the primary means for publication of technical articles concerning original work in IEEE fields of interest. These periodicals may also contain reviews and tutorial articles concerning such work. The primary purpose of these periodicals is to disclose, and provide a permanent archival record of original technical work that advances the state of the art or provides novel insights. Articles in these periodicals should be of lasting value to the profession as judged by the authors' peers through a formal review process.
- B. All articles that appear in TRANSACTIONS, JOURNAL or LETTER periodicals must list the author(s) and affiliation(s) and must undergo peer review according to the process set forth in Subsection 8.2.2. Articles are to be selected strictly on the basis of merit and appropriateness.
- C. Editorials, instructions, copyright forms, lists of referees, announcements of special issues and other material concerning the publication may be included in these periodicals.
- D. The following standards apply to all TRANSACTIONS, JOURNAL, and LETTER periodicals.
  - 1. All of these periodicals shall have a uniform format and style and should be fully and uniformly edited, including quality graphics and text.
  - 2. The front cover shall have a header containing the full name of the periodical, as well as the ISSN, volume and issue numbers.
  - 3. Flexibility in the use of the area underneath the front cover header is allowed, such as placement of the table of contents or

- the use of appropriate photographs or graphical designs.
4. A cover spine, when used, shall contain the full name of the periodical, as well as volume and issue numbers.
  5. Minimum Activity. Articles from these publications must be published periodically. For periodicals having a print component, the US Postal Service requires that the periodical be published four times within a calendar year to qualify a periodicals postal permit.
  6. Volume Numbering. The volume number shall increase successively by one each calendar year.
  7. Indexing. Only the technical material will be indexed. Indexing will be left to the discretion of the indexing staff of the IEEE Publications department.
  8. For internal consistency, the title of these periodicals will normally be IEEE TRANSACTIONS ON \_\_\_\_\_, or IEEE JOURNAL OF \_\_\_\_\_, or IEEE \_\_\_\_\_ LETTERS.
  9. All articles published in IEEE Transactions, Journals, and Letters shall have printed on the first page the date that the article was initially received and the date on which the article was received in finalized form from the authors for publication. These two dates shall serve to define the start and end of the review process.
  10. US Postal Permits. All requests for United States periodical postal permits must be made through Publishing Operations of the IEEE Publications department, which holds the main permit for IEEE publications. IEEE staff will handle the processing of the application. Applications for third-class bulk rate permits may be submitted directly to any local post office.

(See also Subsection 8.1.6 – Titling Protocols for IEEE Publications.)

Revisions to Subsection 8.2.5 – Transactions, Journals and Letters, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.6 Magazines**

- A. IEEE Magazines are characterized by regular and continuing issues with significant technical content in addition to general news and regular columns. Magazines are made available to libraries, institutions and individuals on a subscription basis. They are so organized that material within them can be referenced.
- B. Minimum Activity. Articles from magazines must be published periodically. For magazines having a print component, the US Postal Service requires that the periodical be published four times within a calendar year to qualify a periodicals postal permit.
- C. The technical content shall constitute a significant component of the Magazine and shall be refereed as described in Subsection 8.2.2 before

publication.

- D. Volume Numbering. The volume number shall increase successively by one each calendar year.
- E. Stable Titles. The title of the Magazine and any later revisions shall be approved by the sponsoring IEEE organizational unit and PSPB. The title shall begin with "IEEE" and end with "Magazine," unless an exception is approved by PSPB. If an exception is desired, a reason for it must accompany the title application to PSPB. Title changes are to be avoided unless clearly needed.
- F. Indexing. Only the technical material will be indexed. Indexing will be left to the discretion of the indexing staff in the IEEE Publications Department, with the agreement of the Magazine's Editor-in-Chief.
- G. US Postal Permits. All requests for United States periodical postal permits must be made through Publishing Operations of the IEEE Publications department, which holds the main permit for IEEE publications. IEEE staff will handle the processing of the application. Applications for third-class bulk rate permits may be submitted directly to any local post office.

(See also Subsection 8.1.6 – Titling Protocols for IEEE Publications.)

Revisions to Subsection 8.2.6 – Magazines, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.7 Conference Publications**

Articles presented at IEEE meetings sponsored wholly or in part by any IEEE organizational unit may be published in IEEE Conference Records or Proceedings. Prior permission to do so shall be obtained from the sponsoring IEEE organizational unit who shall be responsible for ensuring that appropriate IEEE copyright (see Subsection 8.1.4) is obtained for each article published and that the publication is correctly titled (see Subsections 8.1.5 and 8.1.6). Conference publications may require peer review as specified by Subsection 8.2.2.B.

Allegations of misconduct by authors of articles in IEEE Conference Records or Proceedings shall be investigated by the Editor\* or by the Publication Officer of the IEEE organizational unit that sponsored the conference, if the allegation is made after the publication of the conference proceedings. The procedures prescribed in Subsection 8.2.4 shall be used in any such allegation involving conference proceedings.

All inquiries regarding publication by an agency outside of IEEE of articles presented at any IEEE meeting shall be directed to the IEEE Publishing Ethics & Conduct Office, and no representative of a Section, Society, or any other IEEE organizational unit is authorized to grant such permission.

(See also Subsection 8.4.5 – Conference Publication Identification.)

Revisions to Subsection 8.2.7 – Conference Publications, as contained in this

manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.8 Virtual Journals**

- A. Periodicals with VIRTUAL JOURNAL in the title shall be on-line publications containing a collection of previously published IEEE articles in specific scientific and technical disciplines, paired with value-added editorial commentary from technology experts. The selection of articles shall be based on their relevance to the topic as decided by an editorial team of experts in the journal's fields-of-interest. IEEE Virtual Journal subscribers shall have on-line access to the full-text PDF articles from the original IEEE publications without the need to subscribe to each individual publication.
- B. The Editor-in-Chief of an IEEE Virtual Journal has the highest authority on the publication and shall be responsible for managing the editorial aspects of the publication, including the article-selection process and the appropriateness and quality of the value-added editorial commentary. The Editor-in-Chief also assures that the sponsoring organizational unit does not interfere or influence the Editor-in-Chief's procedures or decisions on article selection.
- C. The article-selection process shall ensure that all authors have equal opportunity for inclusion of their articles. The determination of the appropriateness and quality of the value-added editorial commentary shall not be based on a single person's opinion.
- D. Minimum Activity. Virtual Journals shall have regular and continuing issues. These publications shall be published periodically, and at a rate not less than quarterly.
- E. Issue Numbering. The issue number shall increase successively by one with each publication.
- F. Stable Titles. The title of the Virtual Journal and any later revisions shall be approved by the sponsoring IEEE organizational unit and PSPB. The title shall begin with "IEEE" and end with "Virtual Journal," unless an exception is approved by PSPB. If an exception is desired, a reason for it must accompany the title application to PSPB. Title changes shall be avoided unless clearly needed.
- G. Host Location. It is expected that all IEEE Virtual Journals will be located on the IEEE Xplore platform.
- H. Language. Subsection 8.1.1.H specifies the language requirements for IEEE publications.
- I. The sponsoring IEEE organizational unit shall consult with the IEEE Executive Director or that person's designee to manage any conflicts between a proposed Virtual Journal and any other IEEE product.

(See also Subsection 8.1.6 – Titling Protocols for IEEE Publications.)

Revisions to Subsection 8.2.8 – Virtual Journals, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the

process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.9 Newsletters**

Newsletters are usually published by IEEE organizational units (Boards, Committees, Societies, Councils, Sections, and Chapters). Newsletters are not considered archival periodicals, although they may be archived by the organizational units.

Newsletters are normally distributed only to members of the organizational unit as a member benefit, and are intended to communicate news and information deemed of interest to the members. Typical information includes: reports on organizational-unit activities, messages from officers and editors, letters from the readers, calls for articles, news from chapters, meeting notices, conference reports, awards publications of interest to the readers.

Newsletters may also contain technical articles of general interest to the members. Documents for the purpose of informing members about a conference, meeting, special event, or any other items of interest shall not be titled a Newsletter. Such publications should be titled bulletin, announcement, news release, organizational-unit notice, or other descriptive term preceded by the organizational-unit name.

#### **A. REQUIREMENTS**

The following requirements are necessary conditions for publication of IEEE organizational unit newsletters:

1. Newsletter Title. The title of an organizational unit newsletter shall contain the "IEEE," and the "organizational unit name." The word "Newsletter" is suggested as part of the title, but is not mandatory. For print newsletters, identification of the full name of the IEEE must be within the first two pages of the newsletter and in any required postal statement. For electronic only versions of newsletters, the name "IEEE" shall be presented at the beginning of the publication.
2. Masthead. The following information shall be included on the newsletter masthead:
  - a. The newsletter title
  - b. IEEE Logo Master Brand (the IEEE Logo, followed by the letters "IEEE")
  - c. Name of organizational unit
  - d. Volume and/or issue number
  - e. Date of issue
3. Frequency of Publication. Newsletters can be published at any frequency, but three (3) issues or more per year are recommended. However, if a United States second-class non-profit postal permit is used, it is a requirement of the U.S. Postal Service that the newsletter be published four (4) times within the calendar year.
4. U.S. Postal Permits. All requests for United States second-class postal permits must be made through Publishing Operations of

the IEEE Publications department, which holds the main permit for IEEE publications. IEEE staff will handle the processing of the application. Applications for third-class bulk rate permits may be submitted directly to any local post office.

5. Pricing and Subscription. The newsletter shall be supplied to each organizational-unit member at no additional charge. Free access or copies of the newsletter may be given to nonmembers at conferences, meetings, etc., to encourage them to join IEEE and/or the organizational unit. Society and Technical Council newsletters may be made available for sale in order to accommodate the needs of libraries and non-IEEE members. Newsletters that are offered for sale shall contain intellectual and technical content of value to non-IEEE members. The appropriateness of a newsletter for subscription, and the nonmember subscription price shall be determined by the Society or Technical Council and approved by the TAB Periodicals Committee and PSPB.
6. Advertisements. Advertising is permitted in newsletters, including IEEE ads, when approved by the governing body of the organizational unit and subject to the provisions of IEEE policy.
7. Copyright. Many newsletters regularly publish original or republished technical articles which require copyright protection. The following guidelines shall be followed to protect the IEEE, its authors, and other publisher rights.
  - (a) Newsletters that do not contain technical articles shall have the following statement included on the front inside cover for print versions or an appropriate credits section for electronic versions: "IEEE Information contained in this newsletter may be reproduced without permission provided that the content is not used for commercial advantage and that the title of the publication and its date appear on each use."
  - (b) Newsletters that provide one or more technical articles or scholarly articles within an issue shall operate under the following procedures:
    - (1) Original technical material (article) must be accompanied by a signed IEEE Copyright Form by the author. Copyright Forms can be obtained from the IEEE Publishing Ethics & Conduct Office.
    - (2) Articles republished from other publishers must be accompanied by a letter of permission granted by the original publisher (contact IEEE Copyrights and Permissions Office for a sample request letter and other assistance). For print newsletters, the publisher's credit line or acknowledgment must appear on the first page of the republished article. For electronic only versions of newsletters, the acknowledgment shall be presented at the beginning of the republished article.

Revisions to Subsection 8.2.9 – Newsletters, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.2.10 Referencing Guidelines**

- A. An article submitted for publication to IEEE should be original work submitted to a single IEEE publication. The article should not have been published previously and should not be concurrently under consideration for publication elsewhere. The IEEE assumes that material submitted to its publications and information products is properly available for general dissemination for the readership of those publications and products. It is the responsibility of the authors, not the IEEE, to determine if disclosure of their material requires the prior consent of other parties. If prior consent is required, then authors must obtain permission prior to article submission.  
  
Recycling of material in a new document happens when the material in the new document is identical, or substantively equivalent in both form and content, to that of the source. At times, it may be necessary for authors to recycle portions of their own previously published work or to include another author's material.
- B. When an author uses text, charts, photographs, or other graphics from another author's material, the author shall:
  - 1. Clearly indicate reused material and provide a full reference to the origin (publication, person, etc.) of the material and
  - 2. Obtain written permission from the publisher or, if the reused material has not been published, obtain written permission from the original source.
- C. When an author recycles text, charts, photographs, or other graphics from his/her own previously published material, the author shall:
  - 1. Adhere to all copyright policies, clearly indicate all recycled material and provide a full reference to the original publication of the material (see also Subsection 8.2.4.G).
  - 2. If the previously published or submitted material is used as a basis for a new submission, clearly indicate how the new submission differs from the previously published work(s).



### **8.2.11 IEEE Organizational-Unit Publications**

#### **IEEE Policies, Section 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 Executive Director.

## **8.3 IEEE-Wide Initiatives by PSPB**

### **8.3.1 THE PROCEEDINGS OF THE IEEE**

The PROCEEDINGS OF THE IEEE publishes comprehensive, in-depth review, tutorial, and survey articles written for technically knowledgeable readers who are not necessarily specialists in the subjects being treated. The articles are of long-range interest and broad significance. Coverage includes all aspects of electrical and computer engineering and science, including the managerial, historical, economic, and ethical aspects of technology.

The relevant policies of PSPB are implemented by the Editor-in-Chief and the Editorial Board of the PROCEEDINGS.

The Editor-in-Chief of the PROCEEDINGS is responsible for obtaining reviews by qualified experts of each article to be published. Special effort shall be made to select the most appropriate reviewers for each article. Reviewers may be sought through the PROCEEDINGS Editorial Board or directly by the Editor-in-Chief.

Revisions to Subsection 8.3.1 – THE PROCEEDINGS OF THE IEEE, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

### **8.3.2 IEEE SPECTRUM**

IEEE SPECTRUM is a set of multimedia outlets that are available to all IEEE members. The outlets include, but shall not be limited to, a print magazine; a PDF edition; and a web site. IEEE SPECTRUM reports primarily on emerging technologies and also contains articles on the history of technology and the social implications of technology. It strives for technical accuracy and readability.

#### **A. EDITORIAL MISSION & OBJECTIVES**

The primary editorial mission and objectives of IEEE SPECTRUM shall be to:

1. Explore the development and use of new and emerging technologies and their underlying science, as well as interesting current technologies;
2. Present high-quality articles about technology, prepared using objective, professional journalistic standards, and written to be meaningful to a wide audience;
3. Carry content related to the professional concerns of IEEE

members, such as jobs, salaries, careers, and management;  
and

4. Provide a forum for opinion, discussion, and leadership in these areas, even if the topics are controversial.

IEEE SPECTRUM shall also occasionally present material devoted to professional and technical activities of the IEEE.

**B. EDITORIAL AUTHORITY AND RESPONSIBILITY**

1. Broad editorial policies of IEEE SPECTRUM shall be determined by PSPB. Consistent with editorial independence, the implementation of these policies shall be the sole responsibility of the Editor-in-Chief.
2. The IEEE SPECTRUM Advisory Board shall provide advice and counsel to PSPB and the Editor-in-Chief related to the editorial mission and content of IEEE SPECTRUM.

**C. REVIEW PROCEDURES**

The Editor-in-Chief of IEEE SPECTRUM is responsible for ensuring the relevance and accuracy of SPECTRUM content. IEEE SPECTRUM conducts a review process which differs from the Journals, Transactions, Magazines, and Letters process described in Subsection 8.2.

IEEE SPECTRUM conducts source review or expert review, and fact-checking according to accepted journalistic practice. In source review, a writer, editor or journalist queries the people interviewed in an article or queries the expert author whose article is being edited to ensure that the factual information in the article is correct. Expert review is also used to ensure that articles are factually correct. In those cases, content is sent out to knowledge experts in a given field, most often when the subject matter is technically complicated and difficult to explain. Depending upon the type of content, articles appearing in IEEE SPECTRUM shall receive source review and/or expert review, overseen by the IEEE SPECTRUM editorial staff.

Revisions to Subsection 8.3.2 – IEEE SPECTRUM, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**8.3.3 THE INSTITUTE**

THE INSTITUTE's mission is to feature news about the IEEE and its members. THE INSTITUTE is a set of multimedia outlets that are available to all IEEE members. The outlets include, but shall not be limited to, a print publication; a PDF edition; and a web site.

**A. EDITORIAL OBJECTIVES**

Using high professional journalistic standards and maintaining a worldwide perspective, THE INSTITUTE shall:

1. Deliver unbiased news about IEEE activities;
2. Communicate to members IEEE's direction, objectives, plans,

- and results;
3. Act as an open forum for discussion of technology issues, even if they are controversial;
  4. Present content that broadens technological exposure;
  5. Promote membership in IEEE;
  6. Provide IEEE product and service information;
  7. Encourage members to take a broad perspective of IEEE and the profession;
  8. Raise awareness of IEEE;
  9. Encourage members to become volunteers, become more engaged, and participate in IEEE.

Vision Statement: THE INSTITUTE shall be the main vehicle for IEEE member news, commentary, and communication with the members.

Value Statement: THE INSTITUTE shall provide accurate, useful, and timely news and information that help members develop their professional competencies.

**B. EDITORIAL AUTHORITY AND RESPONSIBILITY**

Broad editorial policies for THE INSTITUTE shall be determined by PSPB. Consistent with editorial independence, the Editor-in-Chief shall have sole responsibility for implementation of these policies. THE INSTITUTE Editorial Advisory Board shall provide advice and counsel to PSPB and the Editor-in-Chief on the editorial mission of THE INSTITUTE. The Editor-in-Chief shall seek to report accurately and fully on official IEEE positions, the policies of the IEEE Board of Directors and other IEEE organizational units reporting to the Board.

**C. REVIEW PROCEDURES**

The Editor-in-Chief of THE INSTITUTE is responsible for ensuring the relevance and accuracy of THE INSTITUTE content. THE INSTITUTE does not contain content requiring peer review. THE INSTITUTE reports news about and from IEEE and its members. Depending upon the type of content, articles may receive source review overseen by THE INSTITUTE editorial staff as needed. In source review, a writer or editor or journalist queries the people interviewed in an article or queries the expert author whose article is being edited, to ensure that the factual information in the article is correct.

Revisions to Subsection 8.3.3 – THE INSTITUTE, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**8.3.4 THE IEEE PRESS**

The IEEE PRESS is operated to serve the information needs of members and the profession. It accomplishes this by publishing books and electronic media of high quality and usefulness, by co-publishing with non-IEEE organizational units, and by distributing products of other publishers. Authors and editors benefit from the success of books by sharing incentive royalties with book

sponsors. The governing body of the IEEE PRESS is the IEEE PRESS Editorial Board, which provides advice and counsel to the PSPB and IEEE PRESS. The IEEE PRESS Editorial Board and the IEEE PRESS shall operate according to procedures in this subsection.

Proposals from individuals, from Societies and from other IEEE organizational units are welcome. Publication decisions are reached by the IEEE PRESS Editorial Board in consultation with the Managing Editor of the IEEE PRESS, and in accordance with standard publishing practices or as directed by the IEEE PRESS Editorial Board.

A. SPONSORSHIP OF BOOKS AND ELECTRONIC MEDIA

1. Books and electronic media may be sponsored by an IEEE organizational unit, such as a Society, Council, or the EAB. To qualify as a sponsor, the organizational unit must meet the following conditions:
  - a. A sponsor should be an existing, continuing IEEE organizational unit. An ad hoc body formed solely for the purpose of sponsoring a book would not normally qualify.
  - b. The operational responsibilities of the sponsor should be such as to qualify it to take responsibility for the technical organization of the book and to identify potential buyers and promote the book within the sponsor's membership, in accordance with the terms of the sponsorship agreement.
2. Sponsors shall share in the royalties according to a scheme that recognizes the extent of their contribution to the project. The royalty schedule shall be set forth from time to time by the IEEE Press Editorial Board and approved by PSPB.
3. Books and electronic media proposed by the IEEE PRESS, or by individuals to the IEEE PRESS, that fall predominantly in the field of one organizational unit will be referred for further consideration to that organizational unit as the most appropriate sponsor. Books that overlap the fields of several entities without falling predominantly into the field of any one organizational unit may be cosponsored by several Units. The IEEE PRESS reserves the right to sponsor books referred to such IEEE organizational units, when they fail to act on the books or decline to sponsor
4. All books and electronic media issued under the IEEE PRESS imprint are subject to review and acceptance by the IEEE PRESS Editorial Board.

Revisions to Subsection 8.3.4 – IEEE PRESS, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**8.3.5 IEEE ACCESS™**

A. EDITORIAL MISSION

IEEE ACCESS™ shall provide an IEEE-wide, interdisciplinary, electronic-only journal that features standardized peer review, editorial

selection and rapid publication processes. Submissions shall be primarily judged on the technical presentation of the author's original work and its interest to readers. Editors shall encourage the submission of practical articles dealing with experimental methods, technology applications and manufacturing techniques. In addition, IEEE ACCESS™ shall be completely open access, as operations will be supported by article processing charges paid by authors (or their funders/employers), and all readers can access articles without payment.

B. EDITORIAL AUTHORITY AND RESPONSIBILITY

The relevant policies of PSPB shall be implemented by the Editor-in-Chief and the Editorial Board of IEEE ACCESS™.

The Editor-in-Chief of IEEE ACCESS™ shall be responsible for obtaining reviews by qualified experts of each article to be published. Reviewers may be sought through the IEEE ACCESS Editorial Board or directly by the Editor-in-Chief.

C. PUBLICATION PROCEDURES

Publication in IEEE ACCESS™ shall ensure that the author's work will be maintained in the IEEE archive, in perpetuity, with access for all without payment. Articles from IEEE ACCESS™ shall be discoverable in IEEE Xplore. Each published article shall be accompanied by usage and citation data. User comments may be introduced, in a format that permits intervention by moderators.

Revisions to Subsection 8.3.5 – IEEE ACCESS™ as contained in this Manual, shall require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

## **8.4 Methods and Processes**

### **8.4.1 Approval of New Periodicals**

A. INTENT

The intent of this policy is to enable IEEE Major organizational units to introduce new publications of a previously established type in a timely way while, at the same time, allow adequate oversight of all IEEE publications.

B. PUBLICATIONS AND EXCEPTIONS

This policy applies to all formal publications designed to disseminate technical, professional, or news material in furtherance of IEEE's educational and scientific goals. Excepted from this approval policy are the following:

1. Region, Section, Society/Council Newsletters
2. Conference Publications
3. Publications of the IEEE Standards Association
4. IEEE PRESS Books and Society Press Books
5. Internal administrative communications such as newsletters for committee members.

All these types of publications can be approved by the sponsoring Major organizational unit itself, who shall take full responsibility for their content and appropriateness.

#### C. GENERAL REQUIREMENTS

Any proposal for a new periodical shall include at least the following information:

1. Description and title of periodical, including frequency of appearance, methods of dissemination, and length of each issue.
2. Evidence that the topic of the periodical is within the organizational unit's field of interest and does not conflict with another IEEE periodical.
3. Evidence that there is sufficient interest in the proposed content and that the number of potential articles and size of the readership is sufficiently large to establish a viable new periodical with a long-term potential.
4. Three-year financial plan.

In addition, the periodical's sponsoring organizational unit shall undertake to ensure that quality standards for IEEE publications will be met.

It is recommended that the Editor-in-Chief and other staff be selected before proposal submission and their names be included in the proposal. Otherwise, the proposal shall include assurances that these individuals will be appointed in time to facilitate on-time production of the first issue.

#### D. APPROVAL PROCESS

There are two ways of gaining approval for new periodicals of an established type; traditional and expedited. If a publication is to be included in the annual member billing and promotional cycle, approval must be obtained on or before 30 June.

1. Traditional. In the traditional process, the sponsoring organizational unit must first gain the approval of the Major organizational unit to which it reports. Then the documentation specified in Subsection 8.4.1.C along with the major organizational unit's endorsement must be received by the Managing Director, IEEE Publications at least four weeks prior to the PSPB meeting at which the proposal is to be considered. It is recommended that a representative of the sponsoring organizational unit attend this meeting to present the proposal and answer questions.
2. Expedited. In order to be eligible for expedited approval, the major organizational unit to whom the periodical's sponsoring unit reports must have defined a process to be followed, which incorporates at least all the items in Subsection 8.4.1.C, is approved by PSPB, and is on file with the Managing Director,

IEEE Publications. For each publication thus approved, the organizational unit shall forward for information purposes a copy of the documentation to the Managing Director, IEEE Publications. The Managing Director, IEEE Publications, will bring to the attention of PSPB any approvals that appear to be non-compliant.

Revisions to Subsection 8.4.1 – Approval of New Periodicals, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### **8.4.2 Major Changes to an Existing Publication Product or Service**

##### **A. PUBLICATION PROGRAM REVIEWS**

While the following assessments are not mandatory, they are strongly recommended.

Organizational units should perform strategic reviews of all of their existing publication products and programs at least every five years.

- Program or Product Attractiveness: Involving factors contributing to judgments about whether the program or product is attractive to the organization as a basis for current and future resource deployment
- Competitive Position: Involving factors contributing to judgments about whether the organization is in a position to support the program
- Alternative Coverage: The extent to which other organizational units can, or may be positioned to serve the same customers through similar programs.

The results of these investigations should at least answer the following questions:

- Does the existing program support goals, objectives, and strategies of the organizational unit?
- Does the product or program meet the needs of members and customers?
- Does the organizational unit desire and have the ability to continue support?
- Does the existing product program need to be repositioned, enhanced, or discontinued?

It is recommended that the organizational unit utilize the Strategic Program Assessment Guide available from the IEEE Corporate Strategy Office. The organizational unit should inform the responsible Major Board about the review results. If the organizational unit determines that a product or program requires a major change, the organizational unit shall follow the process in Subsection 8.4.2.B to implement the change. Some examples of a major change include a merger of publications, dramatically redirecting an operation, and ending a publication product or service. Questions about what constitutes a major change should be directed to the (1) Vice President of the responsible Major Board, and (2) Managing Director, IEEE Publications,

or the PSPB Chair. Determination of what constitutes a major change must be made by both the (1) Vice President of the responsible Major Board and (2) Managing Director, IEEE Publications, or the PSPB Chair.

**B. PROCESS FOR MAJOR CHANGES TO AN EXISTING PUBLICATION PRODUCT OR SERVICE**

1. The sponsoring organizational unit shall conduct a strategic program assessment of the product or program as specified in Subsection 8.4.2.A.
2. A proposal for the desired change shall be prepared that includes at least the following information:
  - a. Title of publication product or program
  - b. Statement of the desired change
  - c. Justification for the change, such as the results of the required review
  - d. An evaluation as to possible conflict with any other existing IEEE publication product or program
  - e. Names of the individuals responsible for implementing the change
  - f. If appropriate, a timeline for implementing the change
  - g. A financial impact statement that includes a three-year financial plan for major expansions.
3. The proposal shall be reviewed and approved by the responsible Major Board, including its Finance Committee.
4. The procedure for change shall be reviewed by PSPB or the responsible Major Board to ensure that any major change is conducted in a manner that minimizes disruption to members and/or customers, preserves IEEE's reputation, protects IEEE's intellectual property rights, and allows coordination with the IEEE Publications Department so needed changes to IEEE Xplore and the IEEE Business Management System can be made.
5. Any major change to an IEEE-wide publication supervised by PSPB shall be reviewed and approved by the IEEE Board of Directors.

Revisions to Subsection 8.4.2 – Major Changes to an Existing Publications Product or Service, as contained in this manual, require the review and approval of the IEEE Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

**8.4.3 Publication of Periodicals Outside the IEEE**

Publication of periodicals outside the IEEE is permitted only with the approval of PSPB and the Board to which the sponsoring organizational unit reports. Approval shall only be granted when the conditions below have been met. Periodicals that are published under the supervision of IEEE staff are defined as published inside the Institute. All others are considered to be published outside the Institute. Periodicals that are not published under the supervision of IEEE staff are termed as being published "Outside the IEEE."



- A. The sponsoring organizational unit shall submit a written proposal for such publication, with which the relevant Director concurs.
- B. There shall be a potential distinct cost or time advantage for comparable quality, or if the expected advantage is other than cost or time, that expected advantage shall be stated in the proposal.
- C. Quotations shall be obtained from at least two sources other than the IEEE for production of the periodical.
- D. The sponsoring organizational unit shall have a functioning broad-based publishing organization, including a Publications Committee, an Editor-in-Chief and other editors of the editorial board or equivalent.
- E. The above publishing organization shall have demonstrated proven performance capabilities and knowledge in the publications field.
- F. If possible, the transition to outside publication shall start with the first issue of the calendar year.
- G. An annual review shall be made for three years after a transition to publication outside IEEE is made and thereafter at least every five years, with more frequent review at the discretion of PSPB.
- H. All contracts for outside publication shall be handled through the IEEE Publications department. (Sponsoring organizational-unit officers may make initial, exploratory negotiations, but the final documents are subject to review by and signature of Managing Director, IEEE Publications, or that person's designated agent.)
- I. The sponsoring organizational unit shall continue to pay its appropriate share of the fixed costs established for the IEEE Publications department for a period of three years following withdrawal from the use of the IEEE Publications-department services for the publication of organizational-unit periodicals. The schedule of said fixed costs per page shall be determined by the Managing Director, IEEE Publications. It shall reflect the then current conditions in the IEEE Publications department and shall receive the approval of PSPB. Then, the sponsoring organizational unit shall pay its fee according to the sliding scale-as follows.
  - 1. In year one of the three-year recovery period, the fee is based on the number of pages currently published by the periodical times the fixed cost per page.
  - 2. In year two, the fee will be 2/3 of the annualized fixed costs.
  - 3. In year three, the fee will be 1/3 of the annualized fixed costs.

In summary, the total is equal to fixed costs for two years. Any services of the IEEE Publications department in connection with the transition to outside publication, or required to correct deficiencies in the performance of the outside publisher, will be billed separately and shall be an additional responsibility of the sponsoring organizational unit.

Revisions to Subsection 8.4.3 – Publication of Periodicals Outside the IEEE, as contained in this manual, require the review and approval of the IEEE

Board of Directors, using the process in accordance with IEEE Bylaw I-300.4(5).

#### **8.4.4 Second Class Mailing Permits**

##### **IEEE Policies, Section 6.5 – Second Class Mailing Permits**

All IEEE periodicals which use U.S. Post Office Second Class, nonprofit 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 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.

#### **8.4.5 Conference Publication Identification**

##### **(extracted from) IEEE Policies, Section 10.1.2 – Sponsorship**

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

##### **(extracted from) 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.

- . . . . .
- will be responsible for proper usage of the IEEE name (Policies, Section 10.1.16) and the IEEE logo (Policies, Section 10.1.17).
- 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 committees.

##### **(extracted from) 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).

**(extracted from) IEEE Policies, Section 10.1.20 – 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.

Publications resulting from conferences solely sponsored by IEEE shall follow the procedures in the PSPB Operations Manual. Conferences in which the lead sponsor is not an IEEE organizational unit(s) are urged to follow these policies and procedures. 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, and 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.

Publications resulting from conferences solely sponsored by IEEE shall be governed by the following procedures. Technical co-sponsored conferences in which the lead sponsor is not an IEEE organizational unit are urged to use these guidelines.

**A. CONFERENCE PROCEEDINGS TITLES**

1. The titles of conference proceedings containing full articles shall be unique and address the conference contents. A conference proceedings title shall begin with the word "IEEE" when an IEEE organizational unit is the sole or lead sponsor. The word "IEEE" shall not be used in the title of a conference proceedings if an IEEE organizational unit does not financially support the conference. It is recognized that in some cases the year should also be included in the conference proceedings title.
2. A conference proceedings title shall remain consistent for each time the conference is held and shall follow the guidelines that govern conference titling. Each title shall include the year in which the specific conference is held.
3. Conference proceedings titles that have remained consistent for at least four years and have been assigned an ISSN (International Standards Serial Number) are to continue using that title and are otherwise exempt from the guidelines in Subsection 8.4.5.A.2.
4. Proceedings subtitles may be used to reflect specific yearly topic variations and must appear below the approved proceedings title on electronic media, as well as the spine and title page of the printed version or on the main screen of the digital version.
5. Proceedings titles must appear on the physical media, as well as the spine and title page of the printed version or on the main screen of the digital version and copyright page.

**B. GENERAL CONSIDERATIONS**

1. The production cost of such IEEE conference proceedings will be borne by the conference or sponsoring organizational unit.
2. Every conference proceedings will be identified by an IEEE

catalog number(s), an ISBN(s) (International Standard Book Number), a Library of Congress number and, possibly, an ISSN printed on its front or back cover and the back of the title page to be assigned in advance by the TAB Conference Publications Product Management Group. The IEEE catalog number must also appear on electronic media, as well as the spine and title page of the printed version or on the main screen of the digital version.

3. The IEEE Intellectual Property Rights Office shall assume responsibility for all copyright matters related to all conference publications that are copyrightable by the IEEE. It is understood that immediate consideration will be given by IEEE Intellectual Property Rights Office to author requests for copyright release.

(See also Subsection 8.1.6 – Titling Protocols for IEEE Publications.)