



Operations Center
445 Hoes Lane
P.O. Box 1331
Piscataway, NJ 08854

IEEE DISCLOSURE STATEMENT

Responsibility for compliance with the requirements for completion of this form rests with the Audit Committee of the IEEE Board of Directors.

This form may be completed and submitted by mail or electronically by:

- Responding to each question
- Entering the required information at the end of the form
- Sending, e-mailing or faxing it to the appropriate staff point of contact, if all questions are answered “No” or
- Sending, e-mailing or faxing it to the Director, Operations Audit at k.maze@ieee.org (Fax # 1-732-562-5455), if any questions are given a “Yes” answer.

For Staff:

This questionnaire is to be completed by all employees with signing authority and forwarded to the Controller’s Department in conjunction with the annual update of the Signing Authority Tables.

Staff members, without signing authority, who have other responsibilities that could represent a potential conflict of interest should complete and return this questionnaire to their respective supervisors once per year to assure that such situations are identified, addressed and kept current.

For Volunteers and Others:

For volunteers, editors and others, involved in making procurement decisions or other activities that could represent a potential conflict of interest, the questionnaire should be completed and returned to the Director, Operations Audit at the Operations Center for preliminary review, prior to final determination by the responsible Board or Committee officer.

Before submitting completed questionnaires with explanations to “YES” answered questions that could be considered as revealing “business confidential” information, it may be advisable to discuss such responses with your corporate and/or personal attorney.

Due to the size and scope of the Institute, it is not unusual for an employee, volunteer, editor or others to make some affirmative responses to the questions included herein. If a question is answered “YES,” it does not mean that a conflict of interest necessarily exists.

All “YES” answers will be reviewed in the context of the employee, volunteer or other individual’s respective IEEE assignment(s). Discussion is encouraged with responsible Staff supervision and/or Volunteer officers in determining the appropriate disposition of potential conflict of interest situations. For example, as a result of the review and subsequent discussions, it might be determined that

a Staff member should not work on a particular project or a Volunteer should not participate in a particular decision.

The following definitions have been provided to assist you in making responses to this statement. They are for purposes of the statement only and are not necessarily determinative of the question of whether a conflict of interest exists.

Definition of Terms:

IEEE:

As used in this statement, "IEEE" means The Institute of Electrical and Electronics Engineers, Inc. and any company owned in whole or in part, directly or indirectly, by it, including any specific project in which any such company is a participant.

Immediate Family:

As used in this statement, a member of your Immediate Family means your spouse and children, and the father, mother, sisters and brothers of yourself and your spouse. You are not required to question members of your family for this statement. It is sufficient to give the facts as you know them or believe them to be.

Financial Interest:

As used in this statement, Financial Interest includes (except as stated below) any stock, bond or other debt obligation, option or right to purchase stock, share in profits, investment, partnership interest or other proprietary interest of any nature. Ownership of securities in a corporation shall not be deemed to constitute financial interest therein within the meaning of this questionnaire, if all the following conditions are met: (a) the securities are traded on a national securities exchange, or regularly reported in over-the-counter quotations in the financial press; (b) the securities owned by you and, to your knowledge or belief, owned by members of your immediate family do not exceed one-tenth of 1% of the outstanding securities of the same class of such corporation; and (c) the market value of the securities, so owned, does not exceed 50% of your gross annual revenue. Financial Interest also includes employment and contractual relationships.

Example: An employee or volunteer owns 100 shares of stock in Dell Computers. The individual would not have a conflict of interest in participating in decisions, involving the selection of Dell PCs, because the stock is traded on a national securities exchange, the stock that is owned by the individual or their immediate family doesn't represent more than .1% of the outstanding stock of the corporation and the market value of the stock does not represent more than 50% of their gross annual income.

The individual would have a potential conflict of interest, if they or an immediate family member were employed by Dell and/or had contractual relationships with IEEE for the provision of goods or services to IEEE (e.g., lease or purchase of PCs). In such cases, the individual should complete the form and send it to the Director, Operations Audit at the above e-mail address, or fax number. In order to avoid the potential for a conflict of interest, the individual would likely be advised to recuse themselves from (decline to participate in) any decision-making that involves Dell computers.

Participated:

In answering this statement's questions, you should consider that you have Participated in a transaction on behalf of the IEEE, if you have acted directly or have recommended, directed, authorized or approved the action of another who has acted for the IEEE in the transaction, or if you have been involved in the selection or specification of the property purchased, sold or leased or the services procured, even though you may not have been involved in the actual negotiation or transaction.

Example #1: An employee or volunteer would be considered to have a potential conflict of interest, if they participated in the process of selecting personal computers and an immediate family member's job responsibilities involve the sale of personal computers to IEEE.

Again, in such cases, the individual should reveal the potential conflict in their response to the questions on this form. In such cases, the employee or volunteer would be asked to recuse themselves from involvement in such decision-making.

Example #2: A volunteer or member of their immediate family serves as an editor or in another decision-making capacity for an IEEE publication and also serves in a similar capacity for a competing non-IEEE publication. This potential conflict of interest should be reported in answer to question #s 1, 2 & 3, in the questionnaire below.

In order to manage the potential conflict, respondents would likely be asked to recuse themselves from any decision-making with respect to issues that relate to both the IEEE publication and the non-IEEE publication that competes with it.

Example #3: A volunteer serves in a decision-making capacity for an IEEE conference and also has a direct or indirect interest in a potential supplier of goods and/or services to the conference (e.g., registration services). This potential conflict

should be reported in response to question #s 1, 2 & 3, included in the questionnaire below.

In order to manage the potential conflict, respondents would likely be asked to recuse themselves from the selection process for such goods and services.

Example #3: A volunteer who serves on an EAB committee would be considered to have a potential conflict of interest if s/he participates in international accreditation activities and receives for this service gifts, remuneration, or personal income (as opposed to receiving reimbursement for travel and lodging expenses). The reason is that EAB decisions on accreditation activities may affect this volunteer's future income.

In such cases, the individual should reveal the potential conflict in the response to the questions on this form, and may be asked to recuse herself/himself from participation in any discussion or vote regarding accreditation in the country or countries where s/he performs or expects to perform accreditation services for a fee.

Loan:

As used in this statement, Loan means a loan of money, property, or services other than a bank loan at prevailing interest rates.

Example: In this case, a potential supplier might have loaned a personal computer to an employee or volunteer. If that individual is involved in the selection of PCs, the situation should be revealed in the COI disclosure statement under Question 4, and he or she should recuse themselves from participation in the decision-making process for the subject equipment.

Transactions:

The Transactions to which this statement relates are (a) purchases, sales and leases, and contracts for the purchase, sale or lease of property of any kind, or (b) the procurement of services such as printing, advertising and catering.

Example: If an employee or volunteer were to have decision-making responsibility for the purchase or lease of PCs and they or their immediate family member had worked for the involved supplier, during the prior twelve months, they would be considered to have a potential conflict of interest that should be disclosed in the COI disclosure statement. In response to this disclosure, they would be asked to recuse themselves from the decision-making process for the purchase or lease of PCs by the IEEE.

Conflict of Interest Disclosure Statement:

(Provide an explanation for Yes answers in the space provided.)

1. Are you or is any member of your immediate family affiliated with a business that supplies property, goods or services to IEEE or engages in any business that is competitive with IEEE? Yes No

2. Do you or any member of your immediate family have a direct or indirect interest in a business that supplies property, goods or services to IEEE or is in competition with IEEE? Yes No

3. If you answered "Yes" to Questions 1 and/or 2 above, in the past 12 months have you made a business decision on behalf of IEEE with any business, named in the responses to those questions? Yes No

4. In the past 12 months, have you received any compensation, loan, gift, benefit or unusual hospitality from any supplier to IEEE? Yes No

5. Do you have any other business or personal relationships, not covered in your answers to Questions 1 through 4 above that could appear to be a conflict of interest? Yes No

I have entered required responses to the above questions to the best of my knowledge and belief.

EMPLOYEE/VOLUNTEER ATTESTATION:	
Signature	Date
Full Name (Printed)	
Staff or Volunteer Position Title	
Conference Title & Year (if applicable)	
IEEE Location for Staff or Address for Volunteers	
City, State (or Province)	
Country, Zip Code (or Mail Code)	
Telephone Number (Including Area Code or Country and City Code)	

OTHER ATTESTATION (FOR RESPONDENTS WHO ARE NOT EMPLOYEES OR VOLUNTEERS:	
I have read and understand the IEEE Code of Ethics, particularly as it relates to the potential conflicts of interest noted above - see IEEE web page: http://www.ieee.org/about/whatis/code.xml	
Signature	Date
Full Name (Printed)	
Staff or Volunteer Position	
Conference Title & Year (if applicable)	
IEEE Location for Staff or Address for Volunteers	
City, State (or Province)	
Country, Zip Code (or Mail Code)	
Telephone Number (Including Area Code or Country and City Code)	