American Institute of Aeronautics and Astronautics
Policy Paper Guidelines

Approved by the Public Policy Committee
October 2017

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I.   Purpose

As the world's largest aerospace professional society, the American Institute of Aeronautics and Astronautics (AIAA) has an important role in the national public policy debate. Toward that end, AIAA public policy papers are prepared to convey educational and informational material and may express opinions of and recommendations for action by the government (the U.S. Congress, executive branch departments/agencies, and state legislatures) to address issues of interest or concern to our members. They are a mechanism by which AIAA members contribute to crafting or influencing government solutions to problems. Policy papers are developed and approved for distribution to external audiences according to following the guidelines agreed upon by the Public Policy Committee (PPC).

II.   Types of Policy Papers

1. *Information Papers*
    A paper that provides information only on a particular topic and does not make any formal policy recommendations. They may be written to support the Institute's Key Issues. Information Papers are subject to approval at the Section, Technical, Program, and/or Standing Committee level.

2. *Opinion Papers*
    A paper that provides an objective and balanced study reflecting the collective opinion of a group or coalition of groups within the Institute. The paper may include formal recommendations of government action on the issue. It is important to note that these papers represent the views of the sponsoring group, but not necessarily the views of AIAA. These papers require the review and approval of the sponsoring group and shall not conflict with any Board of Trustees-approved position.

3. *Institute Position Paper*s
    A paper that provides an objective and balanced study with a clear AIAA position on the best course of action by government, industry, academia, or other stakeholders to address an issue of interest or concern to AIAA members. At a minimum, these papers are subject to review and approval by the PPC and the Board of Trustees.

4. *White Papers*
    A paper that offers information or proposals on a particular issue. From time to time AIAA, sister societies, and other constituent groups will collaboratively author such papers of relevance to our common audiences and reflect our common interests. These papers may include formal recommendations of government action on the issue. As such, there are not the sole position of AIAA and are exempt from these guidelines. Distribution of white papers may vary depending on the nature and purpose of the paper itself, and be determined by the authoring groups.

III.   Authors

Policy paper authors typically consist of a core group of AIAA members who share a common view about the particular issue being addressed. It is recommended that the authors represent a wide and diverse membership. The authors must become familiar with the policy paper guidelines set forth in this document.

It is in the authors' best interest to engage all appropriate stakeholders (e.g., technical committee, working group, section, etc.) in the early development of a policy paper, including review for technical content and messaging. Failure to do so may delay the process and may weaken the paper's message.

IV.   Criteria

The following criteria will be used to assess whether AIAA should pursue the preparation, review, and publishing of a specific policy paper. The paper shall:

- Be an original or revised work that is technically and factually accurate. Reference information should be provided or available upon request, and permission for use must be obtained for any portions of the text that are covered by prior copyright.
- Be free of any significant conflict of interest as referenced in the AIAA Code of Ethics.
- Address an issue of current or emerging importance, and address technical or professional issues germane to the aerospace field.
- Be written in a manner appropriate to communicate the message effectively to the intended audience. Bear in mind the intended audience can include legislators, administration decision makers and their staffs, media professionals, and even the public at large, all of whom may have a limited understanding of the underlying technology.
- Be read easily, have a clear message, be consistent, and be grammatically correct.
- Be consistent with previous or existing AIAA positions, when they exist, or clearly address the need for a policy change in the event the new paper diverts from previous AIAA position statements (e.g., new regulations, new developments, or new/emerging technologies).

V.   Copyright

Policy papers are prepared by AIAA members and sponsoring groups on behalf of the Institute, and copyright shall reside with AIAA. The following statement will appear on all Information, Opinion, and Institute Position Papers:

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VI.   Statement of Attribution

All Opinion Papers and Institute Position Papers shall contains the following three elements:
1. Identification of the author group (e.g., section, committee, or other Institute entity);
2. Definition of the author group's special expertise to address the issue; and
3. Indication of currency, which should include the date of drafting, date of review, and date of approval.

All Opinion Papers shall also contain:
1. The following sentence, in its entirety: "This statement reflects the expert views of (author group name) and is not necessarily a position of AIAA at large."

VII.   Types of Positions

Institute Position Papers may be issued in response to government action or to recommend a course of action by the government. Examples of each follow.

1. In response to government actions – Responses to government actions on issues (e.g. bills, regulations, executive orders, etc.) should include:
   a. A statement of position such as:
      i. "AIAA supports/applauds/agrees/etc."; or
      ii. "AIAA opposes/disagrees/etc."; or
   b. Support/reason for the position

2. Providing a recommended course of action – Recommendations initiated by AIAA to encourage action by government to address issues (e.g., bills, regulations, executive orders, etc.) should include:
   a. Specific recommendations for government action (for example, to introduce legislation to _____; establish a policy to _____); and
   b. Support/reason for the recommendation(s).

VIII. Audience

AIAA policy papers are most commonly directed to non-technical people in state government(s) (state legislatures, governors) or in the federal government (Congress, the president, and agency heads). For that reason it is important to remember the audience and to ensure that technical issues are explained thoroughly, yet in a way easily understood by a layperson.

Policymakers are particularly interested in clear, concise descriptions of the relevance of the issue, the options for addressing the issue, and potential consequences resulting from either action or inaction. The paper should answer the questions "What is this?", "Why do I care?",

and "What should we do about it?" Actionable communication is more effective and engaging for policymakers than simply providing information for awareness.

The answers to questions regarding relevance and desired actions will vary across the specific interests of the audience. For example, legislators on authorizing committees typically focus on the establishment, continuation, and modification of agency priorities and programs. Their counterparts on appropriations committees set the budget authority for programs and activities prioritized in authorization bills.

When it comes to regulatory issues, keep in mind that the separation of powers between legislative and executive branches is often imprecise. In some cases, the legislature delegates both the formulation and enforcement of regulations to a designated agency, particularly when highly technical evaluation and consideration is required. Recommendations for action should reflect both a clear understanding of the existing system and likely repercussions of implementation.

Papers targeting state governments or local governments should be address the distinctive interests of that locality, though the analysis may include considerations of interstate compacts, relevant federal law, and other systemic effects beyond the locality's immediate jurisdiction. The Board of Trustees has the purview to endorse any paper on behalf of the Institute regardless of local, state, national, or international jurisdiction.

IX.   Paper Length

The specific length of a policy paper varies and will likely be determined by the complexity of the issue being addressed. Keeping in mind that the audience is typically non-technical, the more concise the document the better.

An Information Paper should be clear and concise – making the information easily digestible by the intended audience. The suggested length of this type of document is 1-2 pages. Should the topic be of technical nature, the author should utilize an abstract or summary to convey critical points.

The length of Opinion Papers and Institute Position Papers may vary, depending on whether the paper is in response to a government action or includes specific recommendations for government action.
   a. Response to Government Action: The suggested length of this type of document is 3-5 pages, and may include a clearly identified executive summary and citations. It must include a cover sheet.
   b. Recommendations calling for Government Action: The suggested length of this type of document is 1-3 pages. This paper must include a clearly identified executive summary, citations, and clearly labeled sections identifying the purpose, background, and recommendations. It also must include a cover sheet.

X.   Paper Reviewers

The PPC Chair is responsible for appointing an indefinite/undefined number of committee members as policy paper reviewers. At a minimum reviewers must include the PPC Chair, representative(s) of the Key Issue Development Subcommittee, and the Director of Public Policy and Government Relations (AIAA staff). The PPC reviewers may initially ask the authors to present the paper and provide context and background prior to any formal review process.

Papers may cover broad range of topics that touch on various aspects of the aerospace community. These may include subjects that are technical, economic, managerial, legal, regulatory, etc., in nature or potentially impact key business areas of the Institute or a combination of all of the above. For this reason, the review process must remain flexible, yet incorporate the inputs and address the concerns of all appropriate AIAA communities (Technical Activities Division, Section and Region Activities Division, Integration and Outreach Division, or Board-related committees) or specific subcomponents thereof.

Therefore, depending on the topic discussed and the recommendations made, multiple Institute stakeholders may be required to review and approve the submitted policy paper. It is the responsibility of the PPC to offer an initial assessment of the paper's content and purpose, to identify the affected Institute stakeholders, and to provide the appropriate outreach to stakeholder leadership (e.g., Council of Directors chiefs, Technical Activities Division, Section and Region Activities Division, Integration and Outreach Division chiefs, other directors, and Board of Trustees-related committee chairs). Stakeholder leadership must decide whether or not that particular constituency will participate in the review process. Should they choose to engage in the review of a particular paper, the stakeholder leadership must identify a review body and communicate this to the PPC. Either the leadership or the review body must establish criteria and timelines for consideration, so long as they conform to the overarching guidelines and timelines defined in this document.

XI.   Review and Approval Process

1. *Information Papers*
   Once an Information Paper has been drafted, the authors must submit it electronically to AIAA's Director of Public Policy and Government Relations. The paper will be considered by the PPC Chair and the committee's reviewers. The reviewers will consider all content and determine if the paper is relevant and timely. They will then determine if any changes must be made to the paper, and may elect to involve other applicable Institute stakeholders. These other applicable stakeholders may also review the paper for accuracy in the background provided. This process may be iterative. The applicable stakeholders must come to their own consensus on recommendations, concurrence, or non-concurrence. After doing so, one of the following decisions must be reached by the PPC:

a. Concur – The Information Paper is approved and can now be published and disseminated. It will be used by the Institute and its members as appropriate.
b. Concur with recommendations – The Information Paper is approved provided the PPC's recommendations are made. The paper can then be published and disseminated. It will be used by the Institute and its members as appropriate.
c. Non-concurrence – The Information Paper is rejected by the PPC. The authors may still disseminate the paper without an AIAA affiliation; however, some content may be used or referenced by the Institute and its members in certain circumstances. The paper will not be published or archived on the AIAA website.

Note: AIAA's Director of Public Policy and Government Relations will manage the circulation of the Information Paper to the other applicable Institute stakeholders as directed by the PPC Chair or his or her surrogate. The Director will also manage the correspondence between the authors and the reviewers.

2. *Opinion Papers*
Once an Opinion Paper has been drafted, the authors must submit it electronically to AIAA's Director of Public Policy and Government Relations. The paper will be considered by the PPC Chair and the committee's reviewers. The reviewers will consider all content and determine if the paper is relevant and timely. They will then determine if any changes must be made to the paper, and may elect to involve other applicable Institute stakeholders. These other applicable stakeholders may also review the paper for accuracy in the background provided. This process may be iterative. The applicable stakeholders must come to their own consensus on recommendations, concurrence, or non-concurrence. After doing so, one of the following decisions must be reached by the PPC:
a. Concur – The Opinion Paper is approved and can now be published and disseminated. It will be used by the Institute and its members as appropriate.
b. Concur with recommendations – The Opinion Paper is approved provided the PPC's recommendations are made. The paper can then be published and disseminated. It will be used by the Institute and its members as appropriate.
c. Non-concurrence – The Opinion Paper was rejected by the PPC. The authors may still disseminate the paper without an AIAA affiliation; however, some content may be used or referenced by the Institute and its members in certain circumstances. The paper will not be published or archived on the AIAA website.

Note: AIAA's Director of Public Policy and Government Relations will manage the circulation of the Opinion Paper to the other applicable Institute stakeholders as directed by the PPC Chair or his or her surrogate. The Director will also manage the correspondence between the authors and the reviewers.

Institute Position Papers

Once an Institute Position Paper has been drafted, the authors must submit it electronically to AIAA's Director of Public Policy and Government Relations. The paper will be considered by the PPC Chair and the committee's reviewers. The reviewers will consider all content and determine if the paper is relevant and timely. They will then determine if any changes must be made to the paper, and may elect to involve other applicable Institute stakeholders. These other applicable stakeholders may also review the paper for accuracy in the background provided. This process may be iterative. The applicable stakeholders must come to their own consensus on recommendations, concurrence, or non-concurrence. After doing so, one of the following decisions must be reached by the PPC:

a. Concur – The Institute Position Paper is approved and can now be presented to the Board of Trustees for their review.
b. Concur with recommendations – The Institute Position Paper is approved provided the PPC's recommendations are made. The paper can then be presented to the Board of Trustees for their review.
c. Non-concurrence – The Institute Position Paper was rejected by the PPC. The authors may still disseminate it as an Opinion Paper; however, some content may be used or referenced by the Institute and its members in certain circumstances. The paper will not be published or archived on the AIAA website.

AIAA's Board of Trustees will ultimately determine the outcome of the paper. Upon its review, the Board will decide to:

a. Concur – The Institute Position Paper is approved and can now be published and disseminated. It will be used by the Institute and its members as appropriate.
b. Concur with recommendations – The Institute Position Paper is approved provided the Board's recommendations are made. The paper can then be published and disseminated. It will be used by the Institute and its members as appropriate.
c. Non-concurrence – The position paper was rejected by the Board. The authors may still disseminate it as an Opinion Paper; however, some content may be used or referenced by the Institute and its members in certain circumstances. The paper will not be published or archived on the AIAA website.

Note: AIAA's Director of Public Policy and Government Relations will manage the circulation of the Position Paper to the other applicable Institute stakeholders and the Board of Trustees as directed by the PPC Chair or his or her surrogate. The Director will also manage the correspondence between the authors and the reviewers.

XII. Appeals Process

Information Papers and Opinion Papers that do not receive concurrence by the PPC may not be appealed. Should an Institute Position Paper be rejected by the PPC the authors may elect to

appeal the decision and escalate the review to the Board of Trustees. The Board members will ultimately determine the outcome of the paper.

<u>Note</u>: AIAA's Director of Public Policy and Government Relations, through the Executive Director, will present the contested Institute Position Paper to the Board of Trustees.

XIII. Review Timelines

The process by which papers will be reviewed and approved may be somewhat time consuming; therefore, patience is necessary throughout the process. Below is the nominal timetable for completion of each step of the process.

1. Information Papers
   a. Submission – No timeframe on how long it takes for the authors to complete a draft policy paper
   b. Review Period – 30 calendar days from submission (this includes both the PPC and other applicable Institute stakeholders)
   c. Author Response – 10 calendar days from completion of review
   d. PPC Decision – 10 calendar days from author response
2. Opinion Papers
   a. Submission – No timeframe on how long it takes for the authors to complete a draft policy paper
   b. Review Period – 45 calendar days from submission (this includes both the PPC and other applicable Institute stakeholders)
   c. Author Response – 10 calendar days from completion of review
   d. PPC Decision – 14 calendar days from author response
3. Institute Position Papers
   a. Submission – No timeframe on how long it takes for the authors to complete a draft policy paper
   b. Review Period – 45 calendar days from submission (this includes both the PPC and other applicable Institute stakeholders)
   c. Author Response – 10 calendar days from completion of review
   d. PPC Decision – 14 calendar days from author response
   e. Board of Trustees Decision – 45 calendar days from submission (<u>Note</u>: Board consideration may exceed the 45 calendar days)

<u>Note</u>: Institute stakeholders may ask the PPC Chair for a review extension that may not exceed 14 calendar days, and all reviews may be iterative.

XIV. Final Edits

Prior to publishing and dissemination, all policy papers must be reviewed by the Institute's internal editing team. The editors will only make necessary changes to grammar, sentence structure, and formatting. Editing should not take more than one week. AIAA's Director of Public Policy and Government Relations will facilitate the process.

XV. Published Papers

All published policy papers will be posted online at http://www.aiaa.org/PolicyPapers/. Information Papers, Opinion Papers, and Institute Position Papers written to support the Institute's Key Issues will be included as part of the Congressional Visits Day outreach folder and, if relevant, may also be disseminated during other public policy activities (e.g., August is for Aerospace section events, congressional briefings, etc.).

The PPC's Key Issues Development Subcommittee will review previously published policy papers for applicability and relevancy every three years. As a result, papers may be archived or revisions may be sought.

If you have any questions about the policy paper guidelines, please contact Steve Sidorek (Director, Public Policy and Government Relations) at 703.264.7541 or steves@aiaa.org.