



New Initiatives Operations Manual

Approved by the IEEE Board of Directors November 2010

This document is the New Initiatives Operations Manual approved by the IEEE Board of Directors November 2010 and incorporating revisions through June 2018.

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Introduction

The New Initiatives Program is designed to support potential new IEEE programs, products, or services that will provide significant benefit to IEEE members, the public, the technical community, and customers, or which could have lasting impact on the IEEE or its business processes. Initiatives must be of strategic importance to IEEE. The purposes of this New Initiatives Operations Manual are to guide the Board of Directors and the New Initiatives Committee in effectively managing and evaluating the submission, approval, funding, implementation, and monitoring of new initiatives programs that support IEEE's vision, mission and Strategic Plan, which may be found on the IEEE website at:

http://www.ieee.org/about/ieee_strategic_plan.html

This manual contains the framework of the New Initiatives Program, as approved by the IEEE Board of Directors, and defines the responsibilities and operations of the New Initiatives Committee, which has been delegated oversight of the program.

Details on specific procedures for the submission of a New Initiative or Seed Grant proposal within this framework are developed by the New Initiatives Committee and are maintained on the IEEE website at:

<http://www.ieee.org/initiatives>

Changes to this manual, other than administrative updates, shall be approved by the IEEE Board of Directors and may follow the review and approval process in accordance with IEEE Bylaw I-300.4(5).

This manual shall be provided to members of the IEEE New Initiatives Committee and shall be posted on the New Initiatives Committee web page.

For ease of use of this manual, wherever IEEE Bylaws, Policies or text from other governing documents are used within this manual, they appear in ***Bold/Italic*** font.

NIOM.1 New Initiatives Committee

In accordance with IEEE Bylaw I-305.16:

New Initiatives Committee. The IEEE New Initiatives Committee (NIC) shall be appointed by and report to the IEEE Board of Directors. The NIC shall identify, recommend, and monitor new

initiative projects and programs consistent with IEEE's vision, mission, and Strategic Plan.

A. Responsibilities and Functions

Responsibilities and functions of the NIC shall include:

- Oversight of the processes related to the submission and review of proposals, and the implementation, and monitoring of new initiatives.
- Proactively seek new initiative proposals.
- Identify, review, and if found worthy, recommend for approval by the IEEE Board of Directors new initiatives whose total budget exceeds US\$40,000.
- Identify, review, and if found worthy, approve seed grants requesting funding in amounts up to US\$40,000.
- Provide reports to the IEEE Board of Directors on the status of new initiative proposals, projects in progress, and the NIC's assessment as to the success or failure of completed projects.

B. Membership

In accordance with IEEE Bylaw I-305.16,

Membership. The New Initiatives Committee shall consist of not more than eleven voting members as follows: Chair; Chair-Elect; Past Chair; the IEEE President-Elect; a representative from IEEE's strategic planning activity, as appointed by the IEEE President; and up to six members-at-large who shall serve two-year staggered terms. In view of the special expertise required for members-at-large, selection will be based on competencies in the fields of science, technology and engineering, up-to-date knowledge on research, practice and education of science and engineering fields. Following completion of his/her term as Chair-Elect, that individual shall automatically become the Committee Chair. The Chair-Elect shall be selected from among those individuals who have served at least one full term as a member-at-large on the committee and are IEEE members in good standing of Graduate Student Member, Member, Senior Member or Fellow grade. Members shall not serve as advocates or be directly involved in the development of proposals

under consideration by NIC within the conflict of interest guidelines that shall be specified in the Committee Operations Manual.

Vacancies shall be filled using the methodology originally used to fill that position.

C. Meetings

The NIC shall normally hold at least one in-person meeting per year and hold regular monthly meetings via teleconference to conduct its business.

When meeting via teleconference or other forms of telecommunications, the NIC may meet and act upon the vote of its members, when, in accordance with IEEE Bylaw I-300.4, all parties participating in the meeting can hear each other at the same time.

Quorum. A majority of the voting members of the NIC shall constitute a quorum.

Action. A majority vote of the members of the NIC present and entitled to vote, provided a quorum is present, shall be the act of the Committee.

D. Conflict of Interest

Committee members have a responsibility to proactively seek out and identify new initiative proposals. Committee members are allowed and expected to provide advice and suggestions to proposers on what types of proposals NIC is looking for and what makes a good proposal.

Committee members must abide by IEEE's Conflict of Interest (CoI) Policy stated in IEEE Bylaw I-300.2 and as defined in IEEE Policies, Section 9.8. In accordance with the IEEE Bylaws, Committee members shall not serve as advocates or be directly involved in the development of proposals under consideration by NIC. Therefore, NIC will not consider proposals for funding when a Committee member is directly involved in the development of the proposal as the initiative leader, a proposal contact, a project team member, is the Champion who writes the endorsement for the project, or when a Committee member receives significant benefit from the project related to other IEEE responsibilities.

When CoI issues arise, the Committee Chair will engage and consult with and seek the advice of the Committee.

NIOM.2 Initiatives

A. Definition

An IEEE Initiative is a new program, service, or product that will provide significant benefit to members, the public, the technical community, or customers, or which could have lasting impact on the IEEE or its business processes. Initiatives must be of strategic importance to IEEE and are not operational necessities at the time of their initiation. Initiatives are projects that cannot be offset by baseline budget reductions. Projects that can be funded by appropriate baseline budget reductions within the unit are not classified as initiatives and are, therefore, not subject to initiative review and approval.

Proposals may be submitted by one or more IEEE members or organizational units, individually or in cooperation with an IEEE staff group. Submissions may be made at any time throughout the year.

B. Types

The two types of initiatives are defined below:

1. *New Initiatives* are large-scale projects that are in line with IEEE's strategic directions, support the vision and mission of the IEEE and require significant funding.

The following basic guidelines shall apply to New Initiatives:

- Typical New Initiatives are expected to require US\$100,000 or more for a 12-month period. However, any project proposed to the New Initiative Committee with a total budget exceeding US\$40,000 will be considered a New Initiative.
- Multi-year funding is allowable, with a maximum of up to three 12-month periods.
- Proposals shall be reviewed by the NIC and those accepted are recommended for approval to the IEEE Board of Directors.
- New Initiatives shall be approved by the IEEE Board of Directors. In an effort to allow for the timely implementation of new initiatives, the review and approval process as described in IEEE Bylaw I-300.4(4) may be used.
- An initiative leader(s) shall be identified.
- Endorsement by an IEEE volunteer member is required, who shall champion the project.

- Staff submissions shall have a volunteer or operational unit co-sponsor.
 - A NIC member may be designated to serve as a contact for the initiative leader.
 - On multiyear projects, a NIC member shall be appointed to monitor the project.
2. *Seed Grants* are smaller scale initiative projects or pilot programs that are innovative and may entail more risk.

The following basic guidelines shall apply to Seed Grants:

- Funding is limited to not more than US\$40,000.
- Programs should not normally run for more than 12 months.
- Funds may not be used to pay salaries or to purchase capital equipment.
- Proposals shall be reviewed and approved by the New Initiatives Committee, normally within 45 days of receipt.
- An initiative leader(s) shall be identified.
- Staff submissions shall have a volunteer or operational unit co-sponsor.
- Funded Seed Grants shall be reported to the IEEE BOD.

Seed Grant projects may serve as a precursor/pilot for a subsequent New Initiative proposal.

3. Submission of Proposals

The IEEE New Initiatives Committee shall establish a uniform format and appropriate forms for submitting new initiative and seed grant proposals. The new initiative proposal shall include an executive summary, detailed program/project description, business plan, milestone schedule, and monitoring/management plans sections. Each proposal shall contain cost/benefit analyses and fiscal details. The seed grant proposal shall include an executive summary, a plan and schedule for completion, key milestones, desired outcomes and objectives. Each seed grant proposal shall include a budget providing the cost of materials and services needed.

Detailed submission procedures, proposal requirements, instructions, forms and other related information shall be made available on the IEEE NIC website.

Proposals shall be screened to determine that all required information is included, and then forwarded to the NIC within five working days of submission. Proposals for NIC consideration shall be distributed to the NIC no less than one week in advance of a meeting. Proposals must be received 10 working days prior to an NIC meeting to meet the deadlines for submissions. Proposals missing the deadline shall be considered at the following NIC meeting.

Organizational Units may review new initiatives and provide comments to NIC.

C. Reporting

Progress reports on both types of initiatives shall be provided by the initiative leader(s) to the NIC at least quarterly, and shall include comments on all milestones documented in the project proposal.

The NIC may request program status presentations.

Upon completion, the initiative leader(s) shall submit a final report to the NIC within 30 days. At a minimum, the report should include an assessment as to the success or failure of the project, lessons learned, when appropriate the possible continuation or expansion of the project, and a description of how it can be extended IEEE-wide.

The New Initiatives Committee shall provide reports to the IEEE Board of Directors at least twice a year on their activities, the overall new initiative program and the status of initiative projects in process.

The New Initiatives Committee shall provide reports to the IEEE Finance Committee when requested.

NIOM.3 Funding

In accordance with the spending rule as defined in the IEEE Finance Operations Manual, FOM.2, the IEEE Board of Directors approves, through the normal budgetary process, the amount of funding available for initiative spending in a given year.

The release of funding for approved initiatives shall occur after approval of the New Initiative by the IEEE Board of Directors. Upon approval, the starting date and

spending rate of New Initiatives may be adjusted to suit the NICs cash flow, and the initiative leader's or manager's desires. Funding for Seed Grants shall be made available as soon as possible after approval.

If an initiative achieves actual financial breakeven (revenues equal expenses) or better in a given year, it shall be moved to the operational budget(s) of the proposing organizational unit(s).

NIC will consider on a case-by-case basis accepting "purchased services" for internal services as an expense for new initiatives. NIC will fund purchased and reimbursed services internally when the internal resources provide IEEE with clear advantages over the use of an outside vendor.

NIOM.4 What NIC Does Not Fund

NIC receives a wide range of funding requests but will not fund the following types of proposals:

- University, private company, and individual research and development projects, including prototypes and testing products
- Venture capital for patentable inventions
- Humanitarian activities typically funded through other IEEE mechanisms
- Overhead (general & administrative or indirect costs)
- Ongoing activities or operational costs of the applicant
- Construction or building renovations (unless it is an extraordinary strategic initiative)
- Lobbying or electioneering
- Commercial promotion activities
- Personal or commercial loans
- Grants with an individual as the sole beneficiary
- Scholarships to individuals or institutes
- Endowments
- Participation of specific/individual teams at competitions or conferences
- Extensive travel and meeting expenses