

## UCOP MAJOR PROJECTS AND INITIATIVES (MPI) PROPOSAL PROCESS

This document outlines **scope, deadlines, processes** and **FAQs** for the **UCOP Major Projects and Initiatives (MPI) Proposal process**. The MPI process went into effect on July 1, 2017 and subsequent details were revised on August 15, 2018; December 7, 2018; and February 25, 2019. The process is managed by the UCOP Strategy and Program Management Office (SPMO) and coordinated with OP Operations and the Presidential Correspondence Team. See the [UCOP SPMO website](#) for the latest versions of all MPI Proposal process documents.

### Scope of MPI Proposal Process

Proposals that should follow the MPI Proposal process include project or initiative funding decisions:

- 1) From the Strategic Priorities Fund, for any dollar amount
- 2) To increase existing Division budgets or FTEs, by any dollar amount
- 3) For \$300,000 or more, from any fund source (even if there is an approved line item in department budget allocation)

Examples of projects and initiatives include:

- One-time bridge funding for ongoing commitments
- Presidential initiatives, major projects or programs
- Matching commitments to campus initiatives
- Contractors/consultants/vendors to work on projects – new, extensions, change orders, or renewals
- Computer hardware/systems/databases – new, upgrades, enhancements, or replacements
- Software license agreements
- Marketing, research or communication campaigns
- OP or campus procurements and investments
- One-time expenditures associated with wide-scale upgrades or physical moves (not construction projects)

Proposals for previously approved MPIs, requesting additional funding, carryforward of funds, change in timeline, or change in scope, should use the **MPI Revisions Form**, available on the [UCOP SPMO website](#).

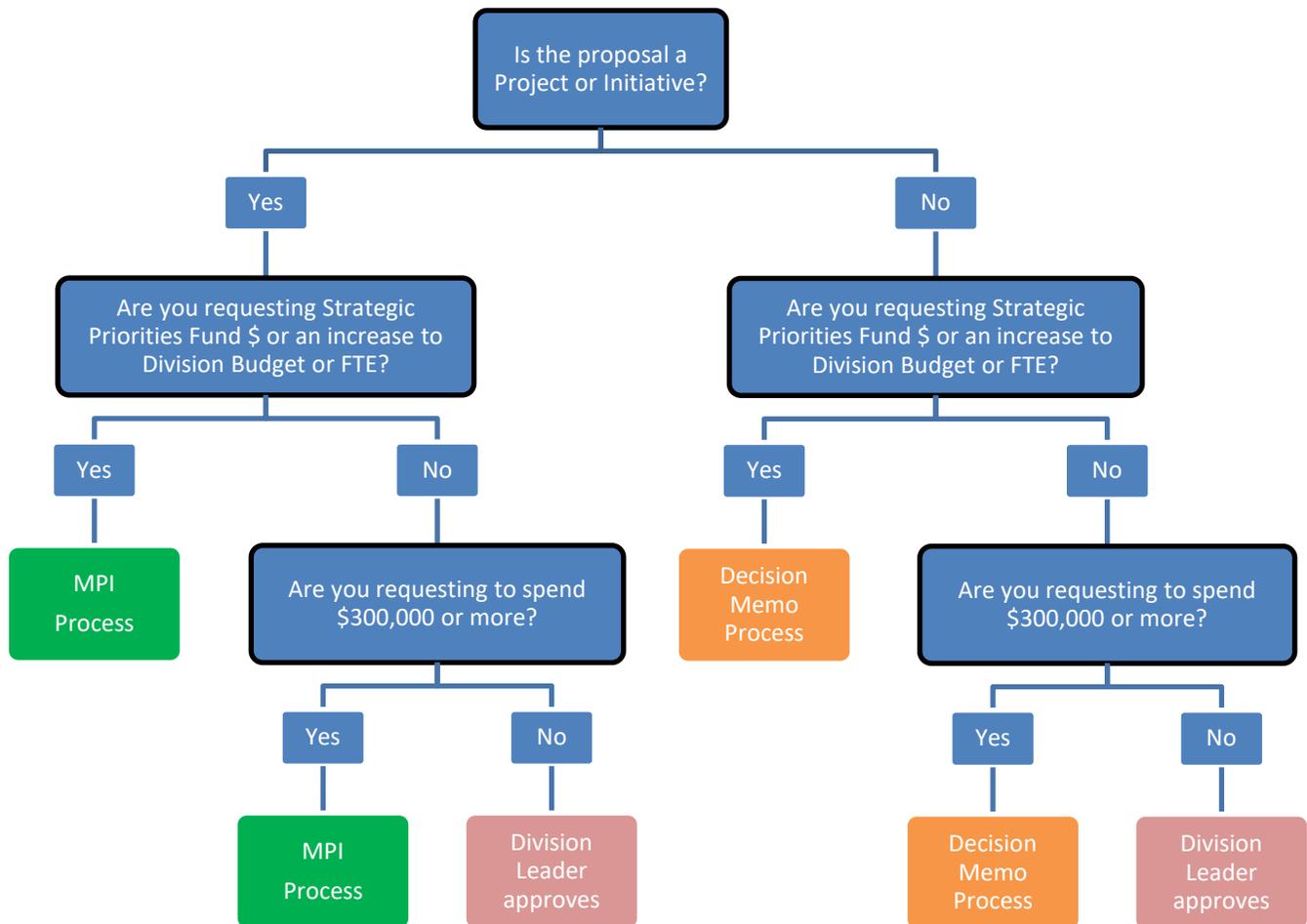
The criteria above may not capture every type of proposal that falls within the scope of the MPI process. See the **FAQs** below for additional clarification. If you have a proposal and need assistance in determining whether it follows the MPI process or Decision Memo process, please contact your Division Chief of Staff.

## Visual Guide to Scope of MPI Process

The table and decision tree below provide visual guides on when to follow the MPI process versus the Decision Memo process. (Note: Decision Memo forms may be found [here](#).)

Projects and Initiatives	Within Existing Division Budget and FTEs	Strategic Priorities Fund or Increase to Existing Division Budget and/or FTEs
Under \$300,000	Division Leader Approves	MPI Required
\$300,000 & over	MPI Required	

Service and Operational Contracts	Within Existing Division Budget and FTEs	Strategic Priorities Fund or Increase to Existing Division Budget and/or FTEs
Under \$300,000	Division Leader Approves	Decision Memo Required
\$300,000 & over	Decision Memo Required	



## Quarterly Submission Deadlines

MPI Proposals are reviewed quarterly by both a Submission Review Team and a Review Committee, and approved at the discretion of the President. Submissions received between cycles are held for review until the following quarterly cycle, with very limited exception. Please plan ahead to meet these quarterly deadlines.

Divisions should anticipate a 30-day turnaround for review and decision on all MPI submissions, including proposals received out of cycle. Proposals with \$1mm+ of ongoing UCOP operational impact are subject to additional Executive Budget Committee review and may take an additional 30-days for full review (60 days total).

### Quarterly deadlines for FY19-20 submissions:

**July 15, 2019**

**October 15, 2019**

**January 15, 2020**

**March 17, 2020**

## Roles and Key Responsibilities

<b>Project Lead</b>	Completes the MPI Proposal Form from the <a href="#">UCOP SPMO website</a> , supplies accompanying documentation, and addresses follow-up questions during the review process.
<b>Division Chief of Staff (COS)</b>	Serves as Division point of contact for MPI questions and submissions, and ensures Division Leader approval.
<b>Strategy &amp; Program Management Office</b>	Manages overall process and serves as central point of contact. Team: Deanna Geddie, Sam Gersten
<b>Submission Review Team</b>	Reviews submissions for sufficient documentation and budget impact, and provides input to Review Committee. Team: Dave Baltaxe, Deanna Geddie, Eva Goode, Thera Kalmijn, Zoanne Nelson, Molly Greek, Mark Cianca
<b>Review Committee</b>	Reviews submissions and UCOP budget priorities, and provides recommendations to the President. Committee: Michael Brown, Claire Holmes, Paul Jenny, Rachael Nava, Zoanne Nelson
<b>President Napolitano</b>	Determines if requests are approved, not approved, or approved with modifications.
<b>Presidential Correspondence Team</b>	Routes Review Committee recommendations to President, tracks and monitors signatures, and forwards signed MPI forms to SPMO and OP Operations. Team: Teri Campbell, John Flores, Deborah McCaskey
<b>Executive Budget Committee</b>	Reviews any MPI Proposals which exceed \$1mm+ in ongoing UCOP operational impact and makes recommendations to the President.

## Submission Process

<b>Project Lead</b>	<ol style="list-style-type: none"> <li>1. Downloads current MPI Proposal Form from the <a href="#">UCOP SPMO website</a>, completes form with detailed descriptions and budget, and attaches accompanying documentation.</li> <li>2. Emails MPI form (in Word not PDF) and attachments (in PDF) to Division Chief of Staff in advance of the quarterly submission deadline. If proposal is out-of-cycle, provides details for exception request.</li> </ol>
<b>Division Chief of Staff</b>	<ol style="list-style-type: none"> <li>1. Reviews MPI form and attachments with Division Leader and appropriate division staff.</li> <li>2. Submits MPI form (in Word not PDF) and attachments (in PDF) to <a href="mailto:Deanna.Geddie@ucop.edu">Deanna.Geddie@ucop.edu</a> and <a href="mailto:Sam.Gersten@ucop.edu">Sam.Gersten@ucop.edu</a> on or before the quarterly submission deadline.</li> </ol>

## Review Process

<b>Strategy &amp; Program Management Office</b>	<ol style="list-style-type: none"> <li>1. Receives MPI submissions by email from COS and logs MPIs into online tracking tool shared with COS for current status viewing.</li> <li>2. Coordinates with COS to address initial proposal issues or concerns prior to formal review.</li> <li>3. Presents MPIs to reviewers at Submission Review Team and Review Committee meetings.</li> <li>4. Documents open questions during formal reviews, coordinates responses with Division COS, and replies to Submission Review Team and/or Review Committee.</li> <li>5. Updates MPI Forms with questions and responses throughout the process.</li> <li>6. Coordinates with Executive Budget Committee for securing EBC's review on any relevant proposals.</li> <li>7. Coordinates with Presidential Correspondence Team for securing President's review.</li> <li>8. Tracks and monitors review and approval process from end to end.</li> </ol>
<b>Submission Review Team</b>	<ol style="list-style-type: none"> <li>1. Reviews submissions for sufficient justification, budget impact, IT coordination, and operations compliance.</li> <li>2. Engages HR and Purchasing when needed to review submissions.</li> <li>3. Provides recommendations and current budget reports to Review Committee.</li> </ol>
<b>Review Committee</b>	<ol style="list-style-type: none"> <li>1. Evaluates submissions alongside Submission Review Team recommendations, budget reports, and UCOP budget priorities.</li> <li>2. Provides written recommendations to the President.</li> </ol>
<b>Executive Budget Committee</b>	<ol style="list-style-type: none"> <li>1. Reviews any MPI Proposals which exceed \$1mm+ in ongoing UCOP operational impact and makes recommendations to the President</li> </ol>
<b>President Napolitano</b>	<ol style="list-style-type: none"> <li>1. Consults with Review Committee on recommendations.</li> <li>2. Makes final determinations and signs MPI Forms.</li> </ol>

## Post-Review Process

<b>Presidential Correspondence Team</b>	<ol style="list-style-type: none"> <li>1. Emails PDFs of signed MPI Forms to SPMO, OP Operations, and Records department.</li> </ol>
<b>Strategy &amp; Program Management Office</b>	<ol style="list-style-type: none"> <li>1. Logs decisions into online tracking tool and saves PDFs of signed MPI Forms.</li> <li>2. Forwards PDFs to COS for further distribution to Project Leads.</li> <li>3. Notifies OP Operations of approved project spend.</li> <li>4. Determines future PEO reporting requirements.</li> </ol>
<b>COS / Project Lead</b>	<ol style="list-style-type: none"> <li>1. Forwards PDFs of signed MPI Forms to Project Leads.</li> <li>2. Coordinates with OP Operations to set up FAUs for approved funds and initiate approved contracts.</li> <li>3. Manages and reports spend against approved project funds.</li> </ol>
<b>OP Operations</b>	<ol style="list-style-type: none"> <li>1. Sets up FAUs to track and report spend on approved proposals.</li> <li>2. Monitors spend against approved project budgets.</li> <li>3. Ensures contracts do not exceed approved project funds.</li> </ol>

## Scope

**1. Q: What is considered a project/initiative and what is considered operational as defined by the MPI process?**

A: MPI Proposals are generally for one-time budget decisions on projects, contracts and activities with beginning and end dates. Service and operational requests are different from project requests in that they are recurring activities with no end dates. Service and operational requests include hiring consultants and contractors to work on items that would otherwise be performed by UC employees.

**2. Q: What if I am uncertain if my proposal is considered a project/initiative?**

A: If you are uncertain if your proposal should go through the MPI Proposal process, contact your Division Chief of Staff for guidance in advance of completing any forms.

**3. Q: What if my proposal is sourced from restricted or other department funds?**

A: The MPI Proposal process applies to all project and initiative proposals requesting funding over \$300,000, no matter the funding source.

**4. Q: If a project/initiative's costs total to \$300,000 or more, but no individual segment/contractor costs over \$300,000, do we need to go through the MPI process?**

A: Yes, if at any point the total costs of the project exceed \$300,000, follow the MPI Proposal process (as the project exceeds \$300,000).

- If there are multiple individual contractor agreements on a project and each costs less than \$300,000, but together cost over \$300,000, follow the MPI Proposal process.
- If an add-on contractor causes the total costs for the project to exceed \$300,000, follow the MPI Proposal process.

If the contractor is not part of a project (i.e. it is operational), follow the Decision Memo / Division Leader process as appropriate.

## Alignment to Budget

**5. Q: What if I included the cost of my project in my department's annual budget request?**

A: A project which has been approved in the annual budget process also requires approval through the MPI Proposal process, if it meets the criteria of a MPI.

**6. Q: If a project has already been approved as part of the budget approval process, what needs to be done and what additional approvals are required?**

A: All project proposals over \$300,000 from any fund source – even if approved as part of the budget approval process – should follow the MPI Proposal process. The annual budget process approves the budget while the MPI Proposal process approves the spend on a defined project.

**7. Q: What if my proposal is to increase my permanent budget and create a new FTE?**

A: If the proposal is related to a project or initiative, follow the MPI process to request bridge funding for the current year. The MPI Process does not provide increases to permanent budgets or FTEs. You should work within your Division to change your permanent budget through the annual budget process.

## Prior Approvals

**8. Q: What if actual expenditures of my project are forecasted to exceed funds previously approved through the MPI Proposal process?**

A: Notify your Division Chief of Staff and submit an [MPI Revision Form](#) by the next quarterly deadline.

**9. Q: What if funds were approved through the MPI Proposal process but the project did not start for over 12 months, and we are only now ready to hire contractors to do the work?**

A: Notify your Division Chief of Staff and submit an [MPI Revision Form](#) by the next quarterly deadline.

**10. Q: What if funds were approved through the MPI Proposal process but we decided to use a different vendor?**

A: If there no changes in the funding amount, funding source, or funding year, there is no need to submit a revision.

**11. Q: What if we have additions to our previously approved blanket PO?**

A: Treat the additions as a new project and follow the same guidance as laid out in the “Scope of MPI Proposal Process” section of this document.

### Other Processes

**12. Q: What is the divisional approval process that we are expected to go through? Is it tied to the MPI process or is it separate? What do you expect to see as approval from the Division?**

A: All MPI proposal submissions must be submitted by the Division Chief of Staff to the SPMO. Submissions from someone other than the COS will be returned and will not be processed, delaying the review process. The COS ensures the proposal has been routed, reviewed and approved as deemed appropriate within your division. Please work with the COS to determine your division’s internal review guidelines.

**13. Q: Do I need additional approval on my MPI Proposal for a new technology database project?**

A: Yes, technology-related projects should be reviewed with ITS, and noted within the MPI Proposal Form. Confirm with your Division Chief of Staff.

**14. Q: Do I send my MPI Proposal to OP Operations before I send it to the COS for Division Leader review and submission to the SPMO?**

A: No, this is not a requirement for the MPI process. Check with your Division Chief of Staff to confirm your division’s process.

**15. Q: When do I submit the AC&C form if I also need to go through the MPI Proposal process?**

A: When applicable, please submit an AC&C form to Local Procurement only after receiving an approved MPI with the President’s signature.

### Status / Turnaround

**16. Q: How do I know the current status of my submitted proposal?**

A: Check with your Division Chief of Staff who has access to a Smartsheet report with current status. Anticipate a 30-day turnaround for review and decision on all MPI submissions, including proposals received out of cycle. Proposals with \$1mm+ of ongoing UCOP operational impact are subject to additional Executive Budget Committee review and may take an additional 30-days for full review (60 days total).

**17. Q: When can we expect to hear whether a project is approved?**

A: In general, anticipate a 30-day turnaround for review and decision on all MPI submissions, including proposals received out of cycle. Proposals with \$1mm+ of ongoing UCOP operational impact are subject to additional Executive Budget Committee review and may take an additional 30-days for full review (60 days total).

The SPMO usually completes its review within 5 business days. The Submission Review Team usually completes its review within the next 5 business days. The Review Committee completes its review at the next available meeting of the Executive Presidential Advisory Group (EPAG) meeting. If there are no issues or open questions, recommendations are forwarded to the President in the following days. In total, this is a minimum review cycle of 3 weeks and depends on interactions with Divisions, availability of reviewers, and UC priorities. EBC Review (for relevant proposals only) occurs after EPAG review and before Presidential review and may take up to 30 additional days. Once the MPI Proposal goes to the President, timing for her review is also dependent on her availability and priorities. Please complete the proposal form with great detail and plan ahead to minimize timing constraints for new project and contract start dates.

### Expedited / Out-of-Cycle Requests

**18. Q: Some project opportunities are critical and time sensitive, such that they may be missed under the current MPI timeline. Is there a way to qualify for expedited review? If so, what would be the criteria for expedited review and how soon would the expedited decision be made (from time of submission)?**

A: Due to the detailed level of reviews and number of reviewers involved in the process, expedited processing is challenging. Ideally, all submissions should go through the quarterly review process. Please plan ahead to minimize timing constraints. If there is a critical date by which an approval is required, please note on the form and describe the associated risks.

For all other questions, please contact your Division Chief of Staff.