

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 in July 2017. 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)

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.

MPI Proposal Revisions

If a previously approved MPI proposal requires \$100,000 or more above the original budget over the life of the project/initiative, submit an MPI Revisions Form for approval, available on the [UCOP SPMO website](#).

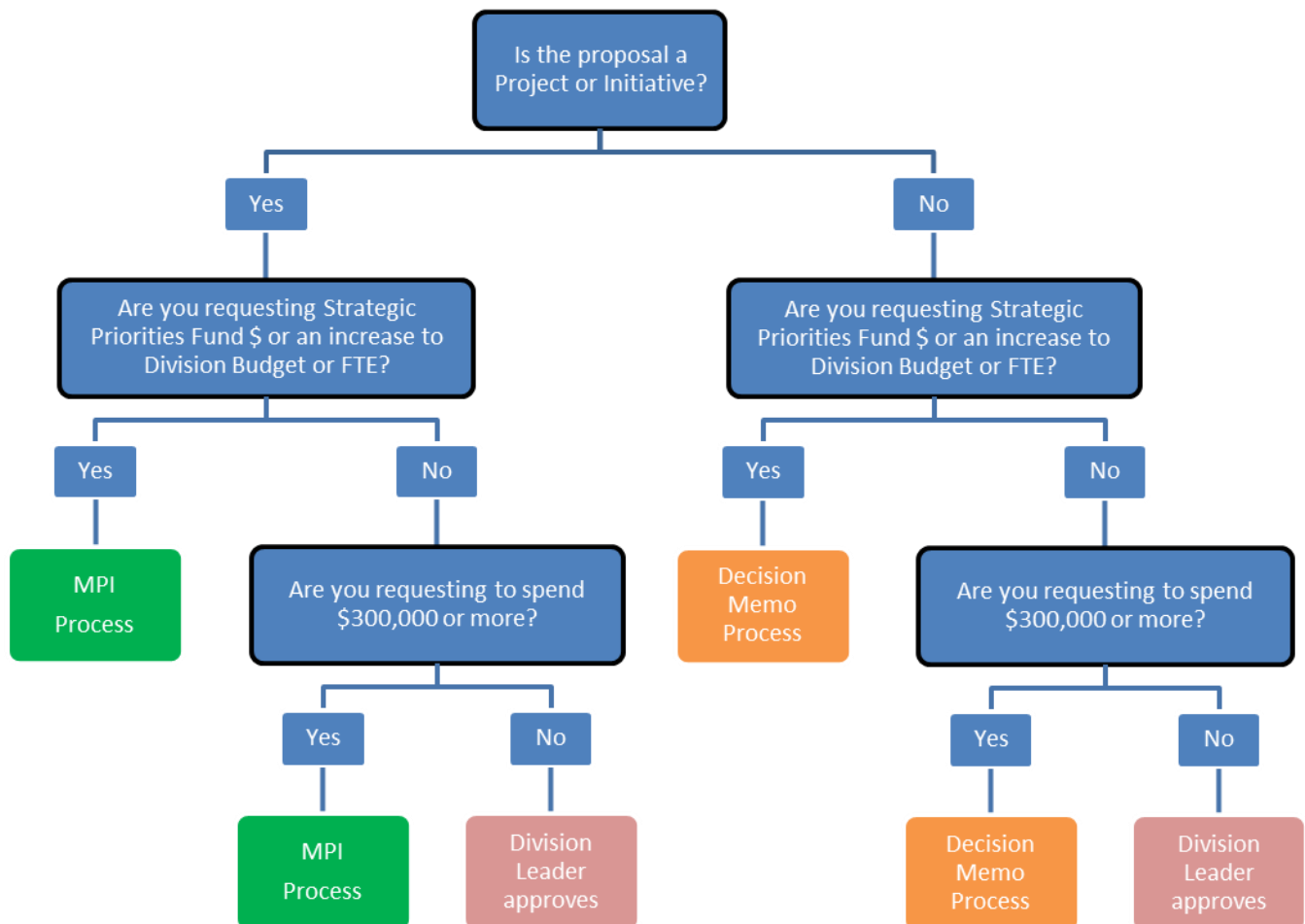
If you are unsure whether an MPI Revision Form is warranted, please contact Deanna.Geddie@ucop.edu or Mark.Schneider@ucop.edu with any questions.

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. [Find the Decision Memo form at the UC Sharepoint site \(linked\)](#).

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	



Scheduled Submission Deadlines

MPI Proposals are reviewed cyclically in accordance with the submission deadlines below by both a Submission Review Team and a Review Committee, and approved at the discretion of the President. Submissions received after one of these deadlines is held for review until the following deadline, with very limited exception. Please plan ahead to meet the appropriate deadline that aligns with your MPI's timeline.

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).

Deadlines for Fiscal Year 20-21 submissions:

September 11

December 2

March 2

Roles and Key Responsibilities

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

Submission Process

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

Review Process

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

Post-Review Process

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

Scope

1. Q: What is the difference between a project/initiative that would go through the MPI process and 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 recurring activities with no end dates and may include hiring consultants and contractors to work on standard business functions 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: Do I need to complete an MPI proposal if my project will be resourced through 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: Does the \$300,000 threshold apply to total project/initiative costs or only if a project expense exceeds \$300,000.

A: The \$300,000 threshold applies to the total costs of the project/initiative. If total costs of the project exceed \$300,000, follow the MPI Proposal process.

- 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: If I have included the cost of my project in my department's annual budget request or funding has already been approved through that process, do I need to submit an MPI proposal?

A: Approval through the MPI process is required for any project that meets the criteria of an MPI. The annual budget process approves the budget while the MPI Proposal process approves the spend on a defined project. 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.

6. Q: How should I reflect costs already approved and incurred that relate to my project or initiative?

A: The table of expenses should only include those that have not already been incurred. For initial MPI proposals, cite project costs already incurred in the “Explain Expenses” section and offer a brief explanation on why these were incurred prior to the submission/approval of the MPI.

7. Q: How should I reflect estimates of future cost savings that could result from this project?

A: Explain future cost savings estimates in the designated fields in the “Ongoing Operational Expenditures and Savings Over Five Fiscal Years” table. The net total costs provided in the table should account for any estimated future savings.

8. Q: Should I submit an MPI proposal to increase my permanent budget and/or create a new FTE?

A: Permanent budget increases or new FTEs are approved through the annual budget process. If expenses that typically would be approved through the annual budget process are needed as part of an imminent project, you can request temporary bridge funding to fill this gap through the MPI process. You should include information on

permanent budget increases or new FTEs you expect will be needed as a result of your project or initiative in your proposal form for context and planning.

Prior Approvals

9. Q: What if I need to increase the project budget from the costs approved in the original MPI proposal?

A: If the project/initiative:

- Requires \$100,000 or more above the original budget approved over the lifetime of the project/initiative, notify your Division Chief of Staff and submit an [MPI Revisions Form](#) by the next applicable deadline.
- Requires less than \$100,000 above the original budget requested (over the life of the project/initiative), promptly notify UCOP Budget & Finance of this update. Multiple budget increase requests for the same project/initiative that together total \$100,000 or more above the MPI's original budget will also require an [MPI Revisions Form](#).

10. Q: What if approved project funds need shifted to another fiscal year?

A: Notify your Division Chief of Staff and promptly communicate whether you will need to carryforward funds through established budget reporting processes.

11. Q: Do we need to submit a revision if we decide to use a different vendor?

A: No. Revisions are only necessary if you need to request additional funding of \$100,000 or more. Partner with local procurement to make this change.

12. 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.

13. Q: What if actual expenditures are forecasted lower than the approved budget?

A: If SPF funds, notify your Division Chief of Staff and promptly communicate this information to UCOP Budget & Finance through established budget reporting processes.

Other Processes

14. Q: As a project lead, how do I obtain approval to submit an MPI proposal?

A: All MPI proposal submissions must be submitted by the Division Chief of Staff to the SPMO. 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. Only submissions from the COS will be accepted for processing.

15. Q: Do I need to consider feedback from key stakeholders internal to UCOP before submitting my MPI proposal?

A: Yes. As a rule, you should identify and engage with any key stakeholders internal to UCOP prior to submitting your MPI proposal. For example: ITS for new technology solutions; UC Legal for legal matters; procurement if soliciting external products or services. Consult with your Division COS as needed.

- OP Operations leadership will have the opportunity to review your proposal as part of the MPI process, so they will be able to provide feedback at that time.

16. 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

17. Q: When will we know if a project has been approved?

A: Anticipate a 30-day turnaround for review and decision on all MPI submissions, including proposal received out of cycle. Proposals with over \$1M of ongoing UCOP operational impact may take up to 60 days to allow for Executive Budget Committee review. Your Division Chief of Staff has access to a Smartsheet report with the status of your MPI proposal. See Page 4 of this document for an outline of the process.

Expedited / Out-of-Cycle Requests

18. Q: How can I get a time-sensitive MPI proposal reviewed out-of-cycle and how quickly will I receive a decision?

A: If at all possible, plan to submit your MPI proposals by one of the scheduled deadlines, so you can avoid this type of scenario. Out-of-cycle, time-sensitive MPI proposals still require all of the same levels of review as regular on-cycle proposals, so expediting these is a challenge. In your proposal, be sure to note any critical date by which a decision is required and describe associated risks to not having a decision by that date.

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