REQUEST FOR PRE-APPROVAL OF INDEPENDENT CONSULTING AGREEMENT (ICA) OR PROFESSIONAL SERVICES AGREEMENT (PSA) IN EXCESS OF $25,000

DATE: __________

TO: RORY HUME, PROVOST AND EXECUTIVE VICE PRESIDENT
VIA: KATIE LAPP, EXECUTIVE VICE PRESIDENT, BUSINESS OPERATIONS
FROM: DEPARTMENT HEAD NAME

DEPARTMENT HEAD NAME SIGNATURE

You must complete and submit this form, the request must be approved, and you must secure a requisition and Purchase Order number BEFORE the supplier begins work (see Page 2 Instructions),

<table>
<thead>
<tr>
<th>Department Name</th>
<th>Division Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparer Name</td>
<td>Phone #:</td>
</tr>
<tr>
<td>Email:</td>
<td>Status:</td>
</tr>
<tr>
<td>Type of Proposed Agreement</td>
<td>Existing PO #</td>
</tr>
<tr>
<td>□ ICA</td>
<td>□ PSA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Proposed Contractor Name:</th>
<th>Address:</th>
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Desired Start Date: _______________ Estimated Completion Date: _____________

Description/Scope of Work:
(attach additional pages if necessary)

Key Deliverables:

If Applicable, how does this work support the restructuring efforts and core values of UCOP as outlined in the UC 2025 Action Plan?
(www.universityofcalifornia.edu/future/)

BUDGET INFORMATION
I certify that funds are available in the following account for this agreement: FAU #

Department Administrator Name: ________________ Signature: ______________________

EVP BUSINESS OPERATIONS _________ Date: ______ Approved □ Not Approved □ Need More Information
Comments: ____________________________

PROVOST: ___________ Date: __________
□ Approved □ Not Approved □ Need More Information
Comments: ____________________________
INSTRUCTIONS FOR PSA/ICA PRE-APPROVAL FORM

This form must be used to request pre-approval to begin the process to engage services with an estimated TOTAL COST OF $25,000 or more. Depending on the project, such services may be secured through either a Professional Services Agreement (PSA) or an Independent Consulting Agreement (ICA). Pre-Approval should be secured before any suppliers are contacted, proposals are submitted, agreements are developed, agreements are signed, or work commences.

This form also must be used to request pre-approval for any amendment or extension of existing agreements if the amount of the amendment/extension brings the total cost of the project to or above $25,000. You must secure approval BEFORE requesting a agreement amendment through UCOP Purchasing.

Here are the steps for requesting pre-approval for a PSA or ICA or an amendment/extension of an existing agreement that brings the total cost to or over $25,000:

a. Preparer completes the form in its entirety, making sure to follow BUS 43 and BUS 34 guidelines

b. Departmental Administrator signs the form to certify that funds will be available in the stated FAU once the final documents are entered into the BruinBuy System.

c. Department Head signs the form attesting support for
   i. hiring a contractor/consultant (or the suggested contractor) to perform the work outlined.
   ii. amending or extending an existing contract as described.

d. When all Departmental signatures are affixed, the form is submitted electronically to:
   i. Susan.Hirano@ucop.edu for units under Academic and Health Affairs (Provost Hume) – Susan will submit the form to Provost Hume for final approval.
   ii. Rachael.Howard@ucop.edu for units under the Division of Business Operations (EVP Lapp) – Rachael will coordinate review with EVP Lapp and if approved, submit the form to Provost Hume’s office to obtain final approval.

e. If pre-approval is granted, the signed copy of the Pre-Approval Form will be returned via email to the requesting Department.

f. The Department Preparer then forwards a copy of the signed form to Diane Diotte, UCOP Principal Buyer and Supervisor, at ddiotte@finance.ucla.edu. For a new agreement, please also include all other details of the work you would like performed.

g. Diane Diotte (or her designee(s) will review the information submitted and:
   i. For a new agreement, will determine whether to issue a PSA or an ICA, and will contact the Preparer, or
   ii. For an amendment/extension, will contact the Preparer and indicate whether the agreement may be amended or extended based on Public Contract Code §§10115 10525.

h. For new agreements, the Department will then fill out the appropriate PSA or ICA paperwork (with the guidance of UCOP Purchasing) to be signed by the selected vendor and the Department.
   Please note: all ICA’s will continue to undergo final review and approval by Haggai Hisgilov, UCOP Executive Director of Strategic Sourcing, and final signoff by the Vice President, Finance. UCOP Purchasing will coordinate the flow of documents during this part of the process.

i. UCOP Purchasing will assist units in completing appropriate forms for approved amendments/extensions, and in obtaining vendor signatures.

j. Once all signatures are obtained, the requesting Department will enter the Requisition into the BruinBuy System and electronically send all supporting documents to UCOP Purchasing.

k. UCOP Purchasing will review the final documents and approve the action online.

l. At this point, it is permissible for the contractor/consultant to begin work.

For amendments or extensions, please skip to Step i.

For new agreements, a purchase order number for this scope of work will then be assigned. This PO number is to be used for submitting all invoices for payment.