

SUPPLEMENTAL FUNDING REQUEST (SFR) PROPOSAL PROCESS

This document outlines **scope, processes**, key submission dates and **FAQs** for the **UCOP Supplemental Funding Request (SFR) Proposal process**. The process is managed by the UCOP Budget, Financial Planning and Analysis (BFPA) and coordinated with UCOP Operations and the President's Executive Office. See the [BFPA website](#) for the latest versions of all SFR Proposal process documents.

Scope of SFR Proposal Process

Proposals that should follow the SFR Proposal process include funding and FTE decisions:

- 1) From the Strategic Priorities Fund, for any dollar amount
- 2) To increase existing Division's budget or FTE count, including
 - a. by any dollar amount or FTE
 - b. on any and all funding sources.
 - c. One-time or ongoing operational increase

Examples of projects and initiatives include:

- One-time bridge funding for ongoing commitments
- 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
- One-time expenditures associated with wide-scale upgrades or physical moves (not construction or capital projects)
- Urgent or emergent matters that may arise in a given year (e.g. campus safety, COVID-19)

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

SFR Proposal Revisions

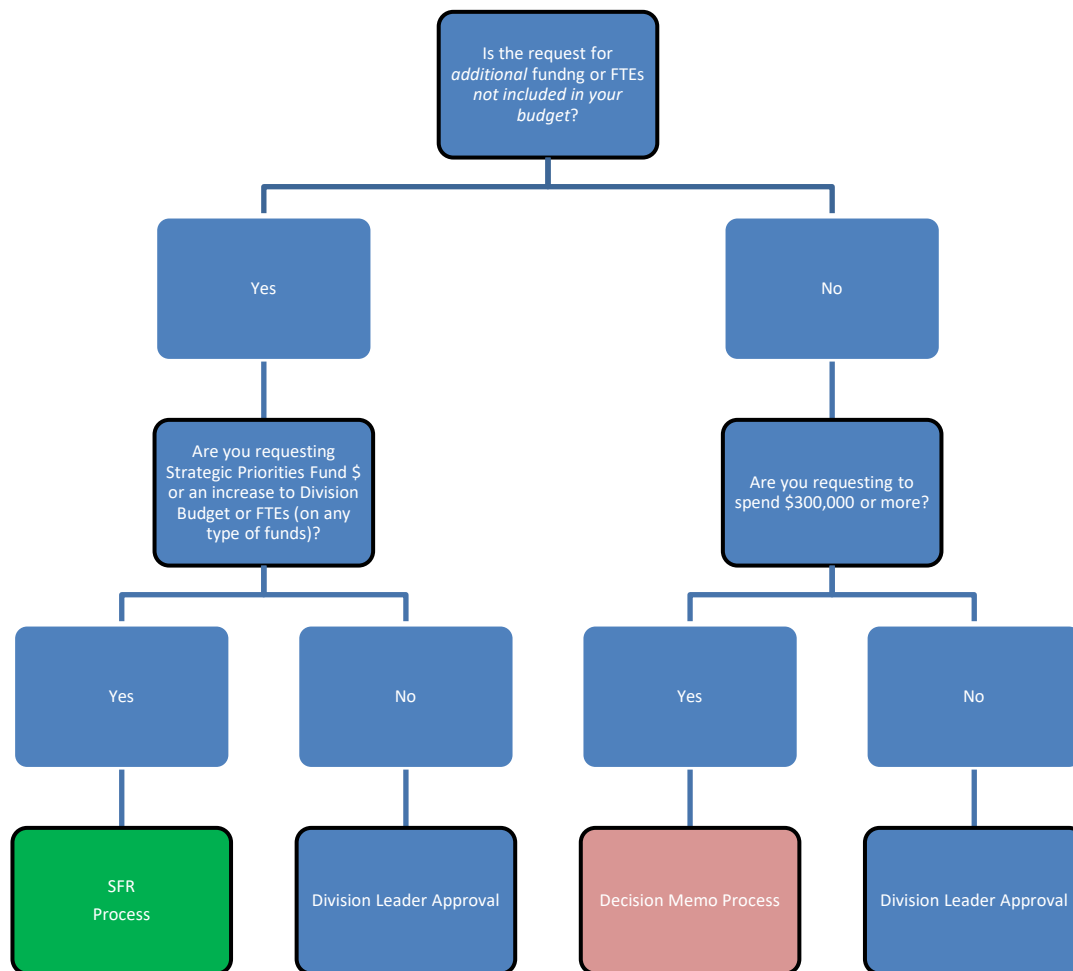
If a previously approved SFR proposal requires \$100,000 or more above the original budget over the life of the project/initiative, submit an SFR Revision Form for approval, available on the [BFPA website](#).

If you are unsure whether an SFR Revision Form is warranted, please contact Craig.Kitaoka@ucop.edu or your budget coordinator with any questions.

The table and decision tree below provide visual guides on when to follow the SFR 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
Any \$ Amount	Division Leader Approval	SFR 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 Approval	SFR Required
\$300,000 & over	Decision Memo Required	



Scheduled Submission Deadlines

SFR Proposals are reviewed cyclically, generally coinciding with UCOP fiscal quarters, in accordance with the submission deadlines below by both a Submission Review Team and a Review Committee Team 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 to meet the appropriate deadline that aligns with your SFR's timeline.

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

Deadlines for submission are the 1st Business Day of the following Months:

July	October	January	March
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Roles and Key Responsibilities

Project Lead	Completes the SFR Proposal Form from the BFPA website , supplies accompanying documentation, and addresses follow-up questions during the review process. Manages financial stewardship reporting and forecasting for the approved SFR. Serves as BFPA's primary point of contact regarding the approved SFR project.
Division Chief of Staff (COS)	Serves as Division point of contact for SFR questions and submissions and ensures Division Leader approval.
Budget, Financial Planning Analysis Department	Manages overall process and serves as central point of contact. <u>Team:</u> Craig Kitaoka
Submission Review Team	Reviews submissions for sufficient documentation and budget impact and provides input to Review Committee. <u>Team:</u> Cathy O'Sullivan, Thera Kalmijn, Dave Baltaxe, Éva Goode, Julian Ryu, and Molly Greek
Review Committee Team	Reviews submissions and UCOP budget priorities and provides recommendations to the President. <u>Team:</u> Nathan Brostrom, Rachael Nava, Katherine Newman, David Rubin, Cathy O'Sullivan, Meredith Turner, Thera Kalmijn, Jenny Kao, and Dave Baltaxe.
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 SFR forms to BFPA and OP Operations. <u>Team:</u> President's Executive Office
Executive Budget Committee	Reviews any SFR Proposals which exceed \$1M+ in ongoing UCOP operational impact and may make recommendations to the President.

Submission Process

Project Lead	<ol style="list-style-type: none"> 1. Downloads current SFR Proposal Form from the BFPA website, completes form with detailed descriptions and budget, and attaches accompanying documentation. 2. Emails SFR 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 SFR form and attachments with Division Leader and appropriate division staff. 2. Submits SFR form (in Word not PDF) and attachments (in PDF) to SFR-Submissions@ucop.edu on or before the submission deadline.

Review Process

Budget, Financial Planning and Analysis Department	<ol style="list-style-type: none"> 1. Receives SFR submissions by email from COS and logs SFRs 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 SFR to reviewers at Submission Review Team and Review Committee Team meetings. 4. Documents open questions during formal reviews, coordinates responses with Division COS, and replies to Submission Review Team and/or Review Committee Team. 5. Updates SFR 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 Team.
Review Committee Team	<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 SFR Proposals which exceed \$1M+ in ongoing UCOP operational impact and makes recommendations to the President
UC President	<ol style="list-style-type: none"> 1. Consults with Review Committee Team on recommendations. 2. Makes final determinations and signs SFR Forms.

Post-Review Process

Presidential Correspondence Team	<ol style="list-style-type: none"> 1. Emails PDFs of signed SFR Forms to SPMO, OP Operations, and Records department.
Budget, Financial Planning and Analysis Department	<ol style="list-style-type: none"> 1. Logs decisions into online tracking tool and saves PDFs of signed SFR Forms. 2. Forwards PDFs to COS for further distribution to Project Leads. 3. Establishes new financial units as needed for financial reporting 4. Distributes a monthly financial status report comparing Budget, Forecast & Actual for SPF
COS / Project Lead	<ol style="list-style-type: none"> 1. Forwards PDFs of signed SFR Forms to Project Leads. 2. Coordinates with OP Operations to set up COAs for approved funds and initiate approved contracts. 3. Manages and reports spend against approved project funds. 4. Manages completion of financial stewardship reporting to BFPA, and responds to other requests for information, as needed.

Financial Stewardship Reporting for Approved SFR Proposals

Financial stewardship reports are required for all approved SFR proposals in accordance with the below table. Division Chiefs of Staff retain overall responsibility for financial stewardship reporting – and must arrange with the Project Lead and teams to complete and submit reports per guidance provided by UCOP Budget, Financial Planning and Analysis Department.

Financial stewardship reporting enhances the accuracy of Strategic Priorities Fund projections of uncommitted balances, and related impacts to proposed initiatives seeking funding. Further, financial stewardship reporting is intended to increase accountability of University funds for approved projects. UCOP BFPA reserves discretion over SPF allocations based on each projects' responsiveness, status, and progress.

Applicability Criteria		Example Report Questions	Report Frequency
Annual SPF Budget	Other Criteria		
< \$500,000	a. Other risk or priority factor(s) determined by President, Executive Budget Committee, and/or Review Committee Team	<ul style="list-style-type: none"> i. Validation of current project finances (e.g., budget, actual spend to date, forecast) ii. Changes to the annual SPF budget request iii. Changes to the timeline for completing the approved scope iv. Other changes and/or emerging risks that may impact timeline for completing the approved scope 	Due by January 31 st and July 31 st
≥ \$500,000	<ul style="list-style-type: none"> a. Presidential Initiative project b. Other risk or priority factor(s) determined by President, Executive Budget Committee, and/or Review Committee Team (e.g., significant ongoing operational expenditures) 	<ul style="list-style-type: none"> • Reporting inclusive of all components for projects <\$500,000 v. Estimated percent completion of approved scope vi. Changes to the approved scope 	

Scope

- 1. Q: Do I need to submit a SFR if I am only requesting an increase in FTE, but will be self-funding it within the approved budget amount?**

A: Yes, a SFR is required for approval for any additional FTE request or for additional funding request.

- 2. Q: Do I need to complete an SFR proposal if my project will be resourced through designated, restricted or other department funds?**

A: Yes, a SFR proposal process applies to all projects that will increase funding or FTEs over the approved budgeted amount no matter of funding sources

- 3. Q: If the project/initiative is greater than the \$300,000 threshold, but in the approved budget amount do I need to submit a SFR?**

A: No, projects/initiatives greater than \$300,000 in the approved budget will follow Decision Memo guidelines.

- 4. Q: Do I need to submit a SFR if I am requesting funds for a capital project?**

A: No, capital projects are not approved in the SFR process and SPF funds should not be used for any project expenses.

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 SFR proposal?**

A: No. All project proposals over \$300,000 from any fund source – even if approved as part of the budget approval process – should follow the Decision Memo 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 SFR 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 SFR.

- 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.

Prior Approvals

- 8. Q: What if I need to increase the project budget from the costs approved in the original SFR proposal?**

A: If the answer to any of the below is "YES" submit a [SFR Revisions Form](#):

- Requires \$100,000 or more/less from the original budget approved over the lifetime of the project/initiative, notify your Division Chief of Staff by the next applicable deadline.
- Requesting to change funding from Divisional funding to SPF or vice versa
- Timing shifts between the fiscal years that is \$100,000 more/less, even if total lifetime project expenses remain unchanged.

- 9. Q: What if approved project funds need shifted to another fiscal year?**

A: Notify your Division Chief of Staff and the Budget, Financial Planning and Analysis Department whether you will need to carryforward funds through established budget reporting processes.

- 10. 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.

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 SFR Proposal Process” section of this document.

12. 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, Financial Planning and Analysis through established budget reporting processes.

Other Processes

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

A: All SFR proposal submissions must be submitted by the Division Chief of Staff to the BFPA. 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.

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

A: Yes. As a rule, you should identify and engage with any key stakeholders internal to UCOP prior to submitting your SFR 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 SFR process, so they will be able to provide feedback at that time.

Status / Turnaround

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

A: Anticipate a 30-day turnaround for review and decision on all SFR 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 SFR proposal. See Page 4 of this document for an outline of the process.

Expedited / Out-of-Cycle Requests

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

Plan to submit your SFR proposals by one of the scheduled deadlines, so you can avoid this type of scenario. Out-of-cycle, time-sensitive SFR 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.