FY 2011–12 Information Technology Funding Request Process

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Overview

The FY 2011–12 IT Funding Request process marks the fifth year for this activity-based budgeting approach, which is an integrated part of the annual campus budget process. In the IT Funding Request process, requests are evaluated and prioritized by the Campus Technology Council (CTC, http://technology.berkeley.edu/planning/ctc/) and the Chief Information Officer (CIO). The CTC's annual review of IT funding requests allows for discussion, with broad campus input represented by the Associate CIOs, about which investments can have the greatest impact on the campus as a whole. Over time, this process will provide a comprehensive view of campus IT needs and facilitate strategic IT investment and portfolio tracking.

It is strongly advised that project sponsors discuss proposals with their respective Associate CIOs before finalizing their requests. As Associate CIOs learn about ideas for IT funding requests, they will be sharing this information with other Associate CIOs to identify possible opportunities for collaboration. To find your Associate CIO, see the Associate CIO Look Up web page (http://technology.berkeley.edu/lookup).

Following the CTC review, the CIO will discuss his funding priorities with the Chancellor, Vice Chancellor—Administration, and Associate Vice Chancellor—Budget and Resource Planning, based upon the recommendations made by the CTC. The Chancellor will determine the IT Bank and IT Loan Pool amounts for FY 2011–12 and will approve final allocations.

When to submit an IT Funding Request

Investment in innovation is critical to maintaining the campus’s preeminence. For 2011-2012 we anticipate focusing IT Bank funds on proposals that directly support the Chancellor's goals of improving organizational performance and reducing costs. Technology needs that are direct dependencies to OE-related priorities will be considered. Current multiyear IT Bank funded activities will not automatically receive continued funding and will be evaluated based on clear alignment with the Chancellor's OE goals. Sponsors of ongoing IT Bank-funded activities must clearly demonstrate alignment with the Chancellor’s Operational Excellence (OE, http://oe.berkeley.edu) goals and must submit renewal requests through their control unit process, with the control unit submitting IT funding requests to itfr@berkeley.edu by the campus deadline.

Requests must meet or exceed the budget and impact thresholds described below. All IT
funding requests will be evaluated and prioritized by the CTC.

- **Budget:**
  - More than 30 percent of the proposal’s expenses will be used for IT-related expenses, including hardware, software, and staffing.

  **AND**

  - **Either**
    - IT-related expenditures exceed $50,000 in initial costs.

  **OR**

    - IT-related expenditures exceed $300,000 over three years.

- **Impact:**
  - More than 50 percent of a single division/school/college/control unit is affected.

  **OR**

    - More than one division/school/college/control unit is affected.

### Evaluation of IT Funding Requests

The criteria used by the CTC to evaluate IT funding requests may be found in Appendix A. As noted above, for FY 2011-12 there is a focus on projects that support the Chancellor’s OE goals of improving organizational performance and reducing costs.

### Forms for completing the IT Funding Request submission

**Note.** All forms are available at [https://technology.berkeley.edu/planning/it-budget/fy-2011-12/](https://technology.berkeley.edu/planning/it-budget/fy-2011-12/).

- **IT Funding Request application.** To facilitate the evaluation, the templates (a Word document and an Excel workbook) are organized to align with the CTC evaluation criteria. Fill in the required information on the templates, referring to the instructions and definitions that are included with the templates. Refer to the Evaluation Criteria (Appendix A) for the elements that CTC members will be considering when reviewing each request.

- **Control Unit IT Funding Request summary.** This spreadsheet summarizes the Control Unit’s IT funding requests. Control Units should fill this out and submit it, along with their respective IT Funding Requests, to itfr@berkeley.edu.

- **Sample IT Funding Request.** For an example of an IT funding request, see [https://technology.berkeley.edu/planning/it-budget/fy-2011-12/](https://technology.berkeley.edu/planning/it-budget/fy-2011-12/).
How to submit IT Funding Requests

Please submit IT funding requests through your Control Unit according to your Control Unit’s process and deadlines. Control Units should electronically submit the IT Funding Request Summary along with specific IT funding requests to itfr@berkeley.edu by April 25, 2011.

Help is available to assist in filling out the IT funding request forms. To take advantage of this service, please contact itfr@berkeley.edu as early in the process as possible.

IT Funding Request calendar

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 22</td>
<td>Chancellor's call for FY 2011-12 budget planning</td>
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<tr>
<td>March 22 – April 25</td>
<td>Control Unit processes and deadlines</td>
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<tr>
<td>April 25</td>
<td>Campus budget and IT Funding Request submissions due</td>
</tr>
<tr>
<td>May (tentative)</td>
<td>CTC reviews IT proposals</td>
</tr>
<tr>
<td>June¹</td>
<td>IT funding recommendations finalized</td>
</tr>
<tr>
<td>July/August¹</td>
<td>IT Bank allocation letters issued</td>
</tr>
</tbody>
</table>

For more assistance

Questions? Contact itfr@berkeley.edu.

¹ Subject to change depending on the development of the California State budget situation.
Appendix A

Campus Technology Council evaluation criteria

IT funding requests will be evaluated for their strategic investment value and alignment with the Chancellor’s OE goals. Requests that support the Chancellor’s goals of improving organizational performance and reducing costs for the campus will be viewed more favorably. IT funding request submitters should pay particular attention to explaining how the request will impact the future of the campus and why it is a wise investment; how it moves forward the Chancellor’s OE goals; and how it leverages unit funds or may result in savings (time or money) for the campus.

1. Statement of need and proposed solution

   Is there evidence of a clear and precise understanding of the need(s) to be addressed and the solution being proposed?

2. Impact and strategic alignment

   a. How well does the identified solution align with the Chancellor’s OE goals?
   b. How significant are the anticipated benefits of implementing the solution or the risks of not implementing it?
   c. How broad are the intended benefits (e.g., number of people, systems, departments)?
   d. To what extent is this project a collaborative effort?
   e. To what extent does this project enable additional out-of-scope projects with additional benefits?

3. Work plan and solution design

   a. Is the scope and work plan complete?
   b. Is the scope and work plan realistic?
   c. What is the impact/probability of risks?
   d. Is there a risk management plan?
   e. Is there a strong probability of success given the plan?

4. Funding model and budget

   a. Is the funding model realistic and complete?
   b. Is more than one unit partnering and contributing funds?
   c. Is partial funding a realistic option?
   d. Is a sustainable funding model demonstrated?
   e. Are the costs of ongoing operations (e.g., staff, software upgrades, hardware refresh) adequately identified and included?
   f. Is the budget realistic and complete?
   g. Do the projected expenditures in the budget support and tie to the project plan?

5. Assessment plan

   a. Do the assessment methods tie directly, with specificity and detail, to project goals through measurable project outcomes?
   b. Will the metrics do a satisfactory job of assessing the success of the initiative?