Outside Activities Tracking System (OATS):
A multi-campus conflict of commitment system

In April 2017, the Executive Vice Chancellor and Provosts of seven campuses endorsed a multi-campus collaboration for a conflict of commitment system. The IT Partner for this collaboration is UCLA David Geffen School of Medicine (UCLA-DGSOM), and their Outside Activities Tracking System (OATS) will be leveraged to build a multi-campus system which facilitates conflict of commitment compliance and education for faculty covered under APM 025, 671, 240, 246.

GOVERNANCE

The OATS Governance Board (the Board) is the governance body for the multi-campus collaboration for a conflict of commitment application.

Board Purpose & Responsibilities
Because OATS was initially developed for the UCLA-DGSOM, the Board will provide a UC-oriented support structure as OATS expands to serve the seven initial adopter campuses. The Board will provide guidance and oversight in the following areas:

- Identifying, approving, and prioritizing project objectives and deliverables
- Ensuring scope, timelines, and changes in the project are aligned with stakeholder expectations
- Ensuring project risks are identified and mitigated
- Supporting an effective software deployment strategy, including communications, training, and end-user acceptance
- Communicating with campus stakeholders about issues, decisions, and progress

The Board ensures that decisions contribute to the successful deployment of OATS to the seven initial adopter campuses as outlined in the February 2017 proposal. As such, the Board has the authority and responsibility to make final decisions related to the scope, budget planning, and timeline for the OATS project.

The Board shall approve and oversee a comprehensive, integrated project plan. The Board will also monitor implementation progress and guide any remediation/mitigation efforts that may be required and as reported by the Work Group.

As OATS transitions from deployment to a maintenance state (approximately year 3), the Board will have decision-making authority regarding prioritizing enhancements, data collection/analysis, system performance, budget requests, and expansion and maintenance of the application, as appropriate.

The Board is responsible for providing periodic updates to key constituents including the Executive Vice Chancellor and Provosts, and the Vice Provosts for Academic Affairs.

Board Membership
The seven campuses who have committed funding to be initial adopters are: Berkeley, Davis, Irvine, Los Angeles, San Francisco, Santa Barbara, Santa Cruz. Each of these campuses may be represented initially with up to two Board Members but each campus will only have a single vote. Campuses should consider a wide variety of stakeholders, including Vice Provosts for Academic Personnel, Academic Personnel Directors, Associate Deans, Faculty, IT leadership, etc., when choosing their representative board members. The campus will determine the length of service on the Board.

The Chief Information Officer for UCLA-DGSOM will serve as a voting member of the board. Other members of the OATS leadership team will be non-voting staff to the Board.

The Vice Provost for Academic Personnel and Programs at UCOP and the Executive Director and Deputy for Academic Personnel and Programs at UCOP will serve as ex-officio (non-voting) members of the board.

The Board can invite other campus or UCOP participants as issues necessitate.

The campuses who are not initial adopters (Merced, Riverside, San Diego) will not have representation on the governance board unless/until they join the collaboration after the deployment phase. Although each campus is not represented, each Board Member participates with an understanding that the system should be developed to serve all campuses.

When the system moves from a deployment to a maintenance state (approximately year 3), the Board will be reduced to one member per participating campus.

Board Leadership

The Board will elect a Chair from its membership on an annual basis. The Chair may serve for no more than two consecutive years. The inaugural Chair should be a member from the UCLA campus.

Board Member Responsibility

Each Board member is responsible and accountable for decisions that lead to and result in the successful development and deployment of OATS. To fulfill this role effectively, campus representatives shall have the following characteristics and engage in the following activities:

- Board Members are expected to actively and constructively engage in the work of the Board, including attending Board meetings and participating in Board conference calls.
- Board members are not expected to be subject matter experts in all functional areas within program scope and shall consult with peers as appropriate to inform decision making as well as consider recommendations provided by the OATS Work Group.
- Board Members function as a project champion by providing high-level visible project advocacy to constituents through communications and change management activities.

IT Partner Responsibility

The IT Partner campus will hold the principle role of managing the deployment and operations of the application and will have input on all decision-making.

Meetings

The Board will meet monthly by conference call and quarterly in person through the deployment phase. These meetings may be canceled by the Chair if there is a lack of agenda items.

Meetings will be calendared annually. Ad hoc meetings may be called by the Chair typically with no less than 48-hours' notice.

Quorum

Sixty percent (60%) of the OATS board constitutes a quorum.

Voting

In general, the OATS Board will strive for consensus as it engages in decision making and issue resolution. However, when it is not possible to attain 100% consensus on a topic, votes will be taken by

the Chair as required. Each campus will have a single vote, and a 50% majority vote of those present will constitute a final decision.

Appeals

Decisions of the Board are final, subject to motions to reconsider as noted below. Given the negative impact on timelines and cost, the Board will make every attempt to avoid reconsidering and appealing/modifying decisions.

In cases where a Board member feels an appeal is warranted, the following process shall be followed:

Requests will be directed in writing to the Board via the Chair and must contain the following:

- A statement why the appeal is compelling.
- A statement relating to the budgetary and cost/benefit impact of the appeal.
- A statement concerning why workarounds /other alternatives are not possible and why reconsidering the decision is the only available option.

Appeals that appropriately contain the statements/information noted above will be referred to the Board for discussion and voting. Appeals must be reviewed and resolved within two weeks of presentation to the Board.

Charter Revisions

Revisions to the OATS Governance Board Charter require a 70% majority vote.

OATS Work Group

During the development (2017-18) and deployment (2018-19) phases of the OATS initiative, it will be important to have a working group of subject matter experts (SMEs) from a broad range of functional areas who can provide timely, specific, and technical input to the IT Partner. This group of SMEs will be convened as the OATS Work Group (the "Work Group").

The Work Group will have two co-Chairs: one co-Chair will be appointed by the CIO of UCLA-DGSOM to represent OATS leadership. The other co-Chair will be elected from the work group membership and will be a representative from a campus other than UCLA.

Each participating campus will be represented by one member on the Work Group. Campuses should consider subject matter experts from a wide variety of functional areas such as Academic Affairs, Dean's Office, IT, Compliance Offices, etc. when choosing their representative SME. In addition to the campus representatives, the co-Chairs will supplement the Work Group membership by appointing additional SMEs as needed to ensure that all functional areas are appropriately represented.

The Work Group members will not be members of the governance board unless also appointed by their campus to serve in that representative role. The co-Chairs of the Work Group will be expected to attend and participate in the Governance Board meetings as non-voting members (unless they are also appointed by their campus to serve as their voting representative). Work Group members that are not part of the Governance Board may also be invited to attend Governance Board meetings, as needed.

The Work Group, via the co-Chairs and in collaboration with the OATS project team, will provide succinct, timely, and comprehensive updates to the Board relating to OATS development and deployment.

The Work Group, via the co-Chairs, will ensure that topics, challenges, and issues that may compromise the project plan are escalated to the Board for consideration, action, and resolution. In doing so, it is expected that the Work Group will frame alternatives and produce recommendations for the Board's consideration.

The Work Group will meet at least monthly, by phone or in person, as determined by the co-Chairs. Members are expected to actively engage and participate in the Work Group deliberations, which will also include review of documents and system testing outside the work group meetings.

The Work Group will be convened until OATS transitions to a maintenance state (approximately year 3). At that time, the Board will determine whether the Work Group should be discharged from their duties.

OATS Project Team

The OATS project team is responsible for the development and deployment of the OATS software to the participating campuses. The team is made up of at least:

- One dedicated project manager
- A software development lead
- A business-owner/business analyst
- Additional software developers (to be applied based on project phase and status)
- Other resources as needed.

The project team comprises UCLA-DGSOM resources and will work closely with the Work Group to ensure the quality and timeliness of project deliverables.