

**UC OATS Project Charter**

Project Information	
<b>Project Request ID</b>	NPR #10968
<b>Project Manager</b>	Jasmine Hill
<b>Project Executive</b>	Sherly Mosessian Ph.D., Chief Administrative Officer
<b>Executive Sponsors</b>	<p><b><u>University of California Berkeley (UCB):</u></b> Paul Alivisatos, Ph.D., Executive Vice Chancellor and Provost Benjamin Hermalin, Ph.D., Vice Provost</p> <p><b><u>University of California Davis (UCD):</u></b> Ken Burtis, Ph.D., Interim Provost and Executive Vice Chancellor Phil Kass, Ph.D., DVM, Associate Vice Provost</p> <p><b><u>University of California Irvine (UCI):</u></b> Enrique Lavernia, Ph.D., Provost and Executive Vice Chancellor Diane O'Dowd, Ph.D., Vice Provost Academic Personnel</p> <p><b><u>University of California Los Angeles (UCLA):</u></b> Scott Waugh, Ph.D., Executive Vice Chancellor and Provost Michael S. Levine, Ph.D., Interim Vice Chancellor, Academic Personnel</p> <p><b><u>University of California Santa Barbara (UCSB):</u></b> David Marshall, Ph.D., Executive Vice Chancellor Alison Butler, Ph.D., Associate Vice Chancellor</p> <p><b><u>University of California Santa Cruz (UCSC):</u></b> Marlene Tromp, Ph.D., Executive Vice Chancellor and Provost Herbert Lee, Ph.D., Vice Provost For Academic Affairs</p> <p><b><u>University of California San Francisco (UCSF):</u></b> Daniel Lowenstein, MD, Executive Vice Chancellor and Provost Brian Alldredge, PharmD, Vice Provost-Academic Affairs</p>
<b>Stakeholder(s)</b>	<p><b><u>University of California Berkeley (UCB):</u></b> Fiona Doyle, Ph. D., Vice Provost for Graduate Studies and Dean of the Graduate Division   Heather Archer Ph.D., Assistant Vice Provost Faculty   Stacey Shulman Director, Academic Personnel</p> <p><b><u>University of California Davis (UCD):</u></b> Binnie Singh, Ph.D., Assistant Vice Provost Academic Affairs   Brent Siefert, Ph.D., Assistant Dean, Academic Personnel – School of Medicine   Kim Poole Manager, Academic Affairs</p> <p><b><u>University of California Irvine (UCI):</u></b> Joan Tenma, Assistant Vice Chancellor, Academic Personnel   Max Garrick Assistant Director, IT   Marianne Beckett Director, Academic Employee Relations</p> <p><b><u>University of California Los Angeles (UCLA):</u></b> Ben Nathan, CIO DGSOM   Erika Chau, Executive Director, Academic Personnel Office   Robert Dennis, Ph.D., Director Software &amp; Database Development   Stefanie Shaw Director, Academic Affairs School of Medicine</p>



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	<p><b><u>University of California Santa Barbara (UCSB):</u></b> Cindy Doherty Director Academic Personnel   Andy Satomi Director Academic Affairs Information Technology   June Betancourt Associate Director Academic Personnel</p> <p><b><u>University of California Santa Cruz (UCSC):</u></b> Grace McClintock Interim Associate Vice Chancellor Academic Personnel   Susan Fellows Director, Academic Employee Relations</p> <p><b><u>University of California San Francisco (UCSF):</u></b> Cynthia Leathers Assistant Vice Provost, Academic Affairs   Ned Hamilton Academic IT Applications Coordinator   Renee Lee Compliance Coordinator School of Medicine   Neal Cohen, M.D.,M.P.H.,M.S., Vice Dean, School of Medicine</p>
Project Business Case	
<b>Problems</b>	
<p>Across the University of California (UC) System, there are more than 21,200 full-time faculty members required to adhere to guidelines delineated by UC policies related to outside professional activities. Any outside professional activity that interferes with a faculty member’s primary professional obligation to the University represents a conflict of commitment. These conflict of commitment policies are a set of complex rules that require each University to identify which policies apply to various faculty members, the type of reporting and approval needed for each outside activity category, various approval workflows and added limits imposed by departmental bylaws. Altogether, these complexities have led to confusion and potentially suboptimal UC policy compliance.</p>	
<b>Opportunities</b>	
<p>The Conflict of Commitment (COC) application developed and successfully deployed to the UCLA David Geffen School of Medicine (DGSOM) represents a compelling opportunity for a coordinated centrally supported conflict of commitment solution that will improve efficiency, decrease total cost while reducing the burden placed on faculty and staff managing outside professional activities across the UC System.</p>	
<b>Project Goal</b>	
<p>Create, launch, and operationalize a multi-campus conflict of commitment system – referred to in this document as the UC Outside Activity Tracking Systems (OATS) that facilitates the collection, review, approval and reporting of faculty outside professional activities. <i>Conflict of Commitment and Outside Professional Activities: A Multi-Campus Solution v.2/15/17.</i> (2017, February 15). Appendix A.</p>	
<b>Business Benefits:</b>	
<ul style="list-style-type: none"> <li>• Provide an electronic system to reduce the burden of administering, reviewing and certifying faculty members outside professional activities across the UC system</li> <li>• Provide a portal for faculty to view the policies governing outside professional activities and accessing the status of their reported activities and approvals in real time</li> <li>• Help each campus develop a better understanding of the relationships faculty have with industry</li> </ul>	

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Project Governance		
Project Governance	OATS Governance Board	<p>The UC Outside Activity Tracking System (OATS) Governance Board (the Board) is the governance body for the implementation of the multi-campus COC application. The Board will provide a UC oriented support structure as OATS expands to serve the seven adopter campuses. 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.</p> <p>Key Roles and Responsibilities:</p> <ul style="list-style-type: none"> <li>Identifying, approving, and prioritizing project objectives, requirements and deliverables</li> <li>Ensuring scope, timelines, and changes in the project are aligned with stakeholder expectations</li> <li>Supporting an effective software deployment strategy, including communications, training, and end-user acceptance</li> <li>Communicating with campus stakeholders about issues, decisions, and progress</li> </ul> <p><i>OATS Governance Charter v.6/9/17. (2017, June 9). Appendix A.</i></p>
	OATS Work Group	<p>During the build and implementation phases of the OATS project, a working group of subject matter experts (SMEs) from a broad range of functional areas appointed by participating campuses will be convened as the OATS Work Group. The Work Group has primary responsibility to provide timely, specific, and technical inputs to the IT Partner.</p> <p>Key Roles and Responsibilities:</p> <ul style="list-style-type: none"> <li>Provide technical and functional requirements</li> <li>Provide campus specific guidance and expertise</li> <li>Ensure challenges and issues that may compromise the project plan are escalated to the Board</li> <li>Provide campus specific resources</li> </ul>
	IT Partner	<p>The IT Partner, UCLA DGSOM Digital Technology (DGIT) will have the principle role of development and deployment of the OATS software to the cloud on behalf of participating campuses.</p> <p>Key Roles and Responsibilities:</p> <ul style="list-style-type: none"> <li>Oversee all aspects of project including: <ul style="list-style-type: none"> <li>Creation of project schedule and implementation plan</li> <li>Ensuring scope, timeline and changes are reviewed and approved by the Governance Board</li> <li>Ensuring project risks are identified and mitigated</li> <li>Communicating with project stakeholders about issues, risks, implementation plan and project progress</li> </ul> </li> <li>Build and deployment of application</li> <li>Operational management of application</li> <li>Develop application training material</li> </ul>

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**Project Summary**

The initial COC System is a web-based application developed and successfully deployed to the UCLA DGSOM to support APM 671, the UC wide policy on conflict of commitment and outside activities for health sciences compensation plan participants. By incorporating support for outside professional activity policies APM 025, APM 246, APM 240 (defined below) into the COC System, OATS will deliver a single comprehensive platform that will serve individual campus needs for electronically tracking, reviewing, approving and reporting compliance in accordance with University of California Office of the President (UCOP) conflict of commitment policies.

**Objectives**

- Provide ability to collect and review faculty adherence to the following UCOP conflict of commitment policies:
  - APM 025 conflict of commitment and outside activities for faculty members
  - APM 246 100% full-time conflict of commitment and outside activities for faculty administrators
  - APM 671 conflict of commitment and outside activities for health sciences compensation plan
  - APM 240 conflict of commitment and outside activities for Deans
- Provide ability to collect, review and report on:
  - effort
  - earnings
  - annual certifications
  - disclosures
  - states of compliance by faculty members, departments, schools and campuses
- Provide pre-approval forms for relevant outside activities that can be routed to users with specific roles for review and approval
- Provide ability to archive and maintain a historical record of prior years' disclosures
- Enable schools/departments to plan for and report on faculty outside professional activities
- Assist faculty with monitoring their time and income thresholds as defined by policy
- Integrate with UCPath, the new UC wide HR and payroll accounting system, to provide faculty data including title codes, base salary and department codes
- Integrate with campus specific shibboleth instances for single sign on and identity management
- Provide a read-only Application Program Interface (API) to allow each campus to build an interface from OATS to campus specific systems
- Define multi-campus implementation schedule, training, communications, and operational plan

**Out of Project Scope**

- Due to the technical complexities in developing a single system to support conflict of commitment polices and conflict of interest policies, the project sponsors have determined support for conflict of interest policies is out of scope


**Assumptions**

- Participating UC campuses will assume responsibility for additional cost and resources necessary to provide coordination and local support during requirements and implementation phases of the project. These costs are not included in the proposed budget and participating campuses should address these commitments within their campus specific budgets. Resource requirements include:
  - Members from each participating campus serving on Governance Board and Work Group as well as academic personnel Subject Matter Experts (SMEs) to participate in ongoing feedback during build and deployment phase of the project


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<ul style="list-style-type: none"> <li>Local user support staff for answering questions from users, and developing campus-specific change management</li> <li>Local technical effort for single sign-on integration</li> <li>Local technical support if a campus wants to build a bridge from OATS to a local (campus-specific) system in order to share data between applications (The scope of this project is limited to delivering an API feature only)</li> <li>Late adopter campus implementations will be reviewed by the Governance Board and will not occur prior to year 3</li> <li>IT Partner will train the trainers as part of campus specific implementations</li> </ul>
<b>High Impact Risks</b> <ul style="list-style-type: none"> <li>UC Path integration may not be available for all campuses and as a result campus specific integrations to onboard faculty data may require increased effort and delayed implementation timelines</li> <li>Campus specific resources have not been identified and as a result implementation timelines could be impacted due to resource availability</li> <li>Specific requirements may cause increased effort and/or cost and as a result could impact implementation timelines</li> </ul>
<b>Success Criteria</b> <ul style="list-style-type: none"> <li>Production implementation of OATS at seven UC campuses by project month 24             <ul style="list-style-type: none"> <li>Campuses: UCB, UCD, UCI, UCLA, UCSB, UCSC, UCSF</li> </ul> </li> <li>By end of year 2, early adopter campuses annual certifications will be fully electronically tracked by OATS             <ul style="list-style-type: none"> <li>Campuses: UCB, UCD, UCI, UCLA, UCSB, UCSC, UCSF</li> </ul> </li> </ul>

Document Sign-off			
Signee	Print Name	Signature	Date Signed
OATS Governance Board Chair			
Project Executive: DGIT Chief Administrative Officer			

Appendix A: References			
<i>The following table summarizes the documents referenced in this document.</i>			
Item Number	Document Name and Version	Description	Attachment
1.0	Conflict of Commitment and Outside Professional Activities: A Multi-Campus Solution v.2/15/17	The business plan for a web-based system for faculty reporting and tracking of outside professional activities with education on UC's conflict of commitment policies	 COC_Business Case-2-15-17.pdf

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Appendix A: References			
2.0	OATS Governance Charter v.6/9/17	Governance Board roles and responsibilities	 OATS_Governance_Final_6-9-17 - clean.