

UC Outside Activity Tracking System (OATS) Implementation Plan

Project Information	
Project Request ID	NPR #10968
Project Manager	Jasmine Hill
Project Executive	Sherly Mosessian Ph.D., Chief Administrative Officer
Executive Sponsors	<p><u>University of California Berkeley (UCB):</u> Paul Alivisatos, Ph.D., Executive Vice Chancellor and Provost Benjamin Hermalin, Ph.D., Vice Provost</p> <p><u>University of California Davis (UCD):</u> Ken Burtis, Ph.D., Interim Provost and Executive Vice Chancellor Phil Kass, Ph.D., DVM, Associate Vice Provost</p> <p><u>University of California Irvine (UCI):</u> Enrique Lavernia, Ph.D., Provost and Executive Vice Chancellor Diane O'Dowd, Ph.D., Vice Provost Academic Personnel</p> <p><u>University of California Los Angeles (UCLA):</u> Scott Waugh, Ph.D., Executive Vice Chancellor and Provost Michael S. Levine, Ph.D., Interim Vice Chancellor, Academic Personnel</p> <p><u>University of California Santa Barbara (UCSB):</u> David Marshall, Ph.D., Executive Vice Chancellor Alison Butler, Ph.D., Associate Vice Chancellor</p> <p><u>University of California Santa Cruz (UCSC):</u> Marlene Tromp, Ph.D., Executive Vice Chancellor and Provost Herbert Lee, Ph.D., Vice Provost For Academic Affairs</p> <p><u>University of California San Francisco (UCSF):</u> Daniel Lowenstein, MD, Executive Vice Chancellor and Provost Brian Aldredge, PharmD, Vice Provost-Academic Affairs</p>
Stakeholder(s)	<p><u>University of California Berkeley (UCB):</u> 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><u>University of California Davis (UCD):</u> 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><u>University of California Irvine (UCI):</u> Joan Tenma Ph.D., Assistant Vice Chancellor Max Garrick Assistant Director, IT Marianne Beckett Director, Academic Employee Relations</p> <p><u>University of California Los Angeles (UCLA):</u> Ben Nathan, CIO DGSOM Erika Chau, Executive Director, Academic Personnel Office Stefanie Shaw, Director, Academic Affairs School of Medicine</p>



UC Outside Activity Tracking System (OATS) Implementation Plan

Project Information	
	<p><u>University of California Santa Barbara (UCSB):</u> Cindy Doherty Director Academic Personnel Andy Satomi Director Academic Affairs Information Technology June Betancourt Associate Director Academic Personnel</p> <p><u>University of California Santa Cruz (UCSC):</u> Grace McClintock Interim Associate Vice Chancellor Academic Personnel Susan Fellows Director, Academic Employee Relations</p> <p><u>University of California San Francisco (UCSF):</u> 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	
Problems	
<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>	
Opportunities	
<p>The Conflict of Commitment (COC) application developed and successfully deployed to the UCLA David Geffen School of Medicine (DG SOM) 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>	
Project Scope	
<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>	
Business Benefits:	
<ul style="list-style-type: none"> • Provide an electronic system to reduce the burden of administering, reviewing and certifying faculty members outside professional activities across the UC system • 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 • Help each campus develop a better understanding of the relationships faculty have with industry 	

UC Outside Activity Tracking System (OATS) Implementation Plan

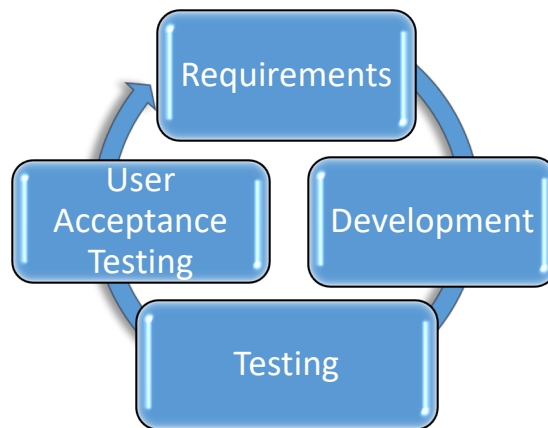
Project Implementation

Summary Year 1:

The year 1 build and development phase of the UC OATS Project will follow an agile software development life cycle (SDLC). This approach facilitates consistent review and adjustment practices that tightly attenuate projects to scope, schedule, and budget.

The development effort will consist of 5 development cycles termed "iterations" leading to project completion in September, 2018. Throughout each iteration, the development teams will solicit comprehensive feedback from the UC OATS Work Group and other stakeholders. This cyclical approach ensures opportunity to refine and update features and functionality before product release, and provides sufficient testing and review time for stakeholders. A typical iteration process workflow consists of the following steps:

- Generate requirements: Define the build requirements for the iteration based upon the product specifications
- Development: Design and develop software based on the defined requirements
- Testing: Quality assurance testing and documentation
- Delivery: Deploy software updates to the application
- User Acceptance Testing: Work group review, acceptance, and feedback



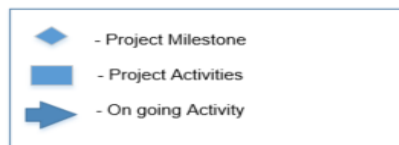
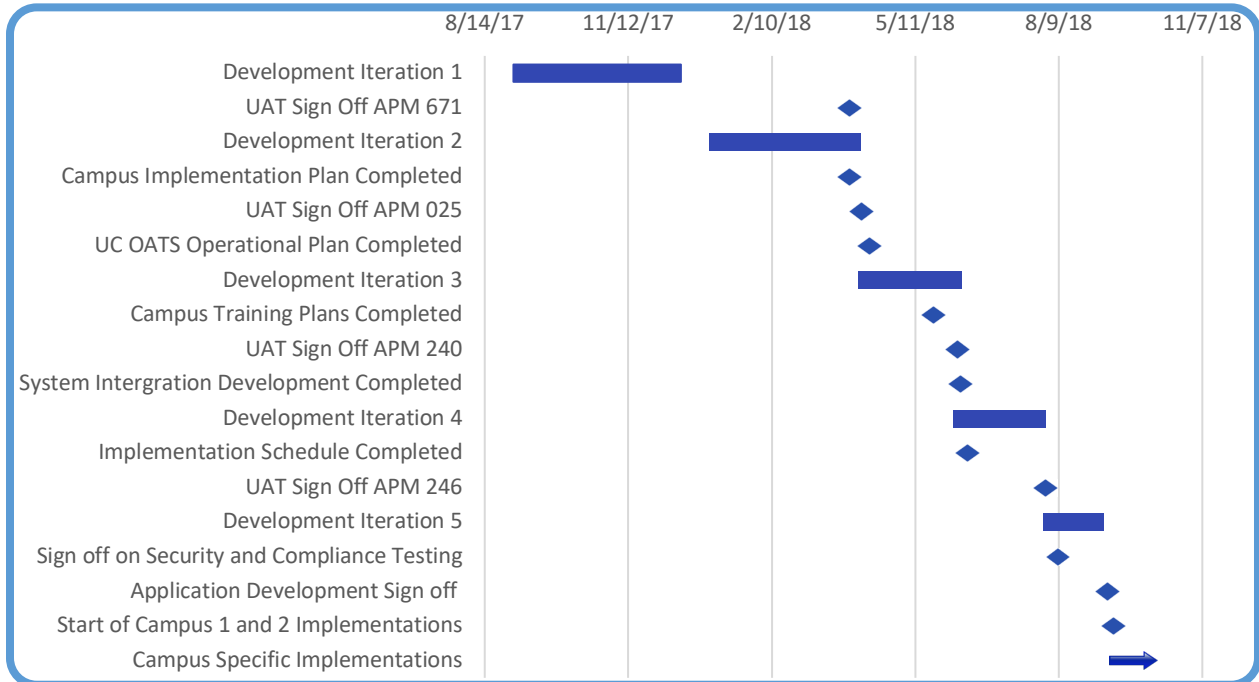
Throughout the build and development phase of the UC OATS Project, formal communications will be sent to key stakeholders and the Governance Board members to track project status. These updates include: weekly status reports, official UC wide project announcements, and updates to the informational UC OATS website. Please see the communication matrix on page 9 of this plan for further details.

Summary Year 2:

Year 2 of the UC OATS Project will consist of a streamlined system implementation plan that will include campus specific integrations, UC PATH integration (if available), technical-team testing, user acceptance testing, user training, and application go live planning. Detailed system implementation and launch plans and schedules will be provided to the Governance Board and UC OATS Working Group members during development of iteration 4 for review and approval.

UC Outside Activity Tracking System (OATS) Implementation Plan

Gantt Chart



Major Project Activities and Milestones

Summary:

The below chart lists the development iterations and major milestones for the UC OATS Project. This chart is comprised only of major project milestones. There may be smaller milestones which are not included in this chart but are included in the project schedule.

Activity	Description	Dates
Development Iteration 1	<ul style="list-style-type: none"> Deploy reference release on demo site: Refactor application code to support multi-campus. Setup and launch of UC OATS information website Business requirements gathering Refactor Notifications Application demo 	9/1/2017 - 12/22/2017

UC Outside Activity Tracking System (OATS) Implementation Plan

Major Project Activities and Milestones		
Development Iteration 2	<ul style="list-style-type: none"> Implementation of generalized APM 671 enhancements: approval, routing and forms Implementation of APM 025: approval, routing and forms Define and document UC OATS operational support process Define and document campus specific implementation plan and resource requirements Application Demo 	1/2/2018 - 4/2/2018
Development Iteration 3	<ul style="list-style-type: none"> Implementation of APM 240: review and approval routing Define and document the campus specific training plan and develop external training materials System integration development Security and compliance testing Application demo 	4/5/2018 - 6/1/2018
Development Iteration 4	<ul style="list-style-type: none"> Implementation of APM 246: approval and routing Security and compliance testing API development Application demo 	6/4/2018 - 7/27/2018
Development Iteration 5	<ul style="list-style-type: none"> Security and compliance testing Final bug fixes Application demo 	7/30/2018 - 9/14/2018
Campus specific Implementations	<ul style="list-style-type: none"> Shibboleth integration UC Path integration Campus integration testing User acceptance testing User Training Go Live 	9/5/2018-9/1/2019
Milestones:	Description	Date:
UAT Sign Off APM 671	User acceptance testing sign off on incorporation of APM 671 into UC OATS application	03/23/2018
Campus Specific Implementation Plans Completed	Activity to define and document the campus specific implementation plan and resource requirements	3/23/2018
UAT Sign Off APM 025	User acceptance testing sign off on incorporation of APM 025 into UC OATS application	3/31/2018
UC OATS Operational Support Plan Completed	Activity to define and document the operational support process for UC OATS	4/5/2018

UC Outside Activity Tracking System (OATS) Implementation Plan

Major Project Activities and Milestones		
Campus Specific Training Plans Completed	Activity to define and document the campus specific training plan and develop external training material	5/15/2018
UAT Sign Off APM 240	User acceptance testing sign off on incorporation of APM 241 into UC OATS application	5/30/2018
System Integration Development Completed	Development and testing effort to integrate with UC Path, Shibolet and any campus specific data sources	6/1/2018
Campus Implementation Schedule Completed	Campus specific implementation schedule provided to governance board for review and approval.	6/15/2018
UAT Sign Off APM 246	User acceptance testing sign off on incorporation of APM 246 into UC OATS application	7/24/2018
Sign Off on Security and Compliance Testing	Activity to complete compliance and security testing for web applications	8/1/2018
Application Development Signoff	Development and testing effort to complete final enhancements before campus implementations begin	9/1/2018
Start of Campus 1 and 2 implementations	Campus specific implementation effort to begin.	9/5/2018

Roles and Responsibilities				
Summary:				
To ensure collaboration and successful implementation of the UC OATS project, it is crucial for all stakeholders to understand their roles and responsibilities and those of other project members. The RACI chart below details the roles and responsibilities for all the activities or group of activities related to the project.				
The RACI Matrix is filled in based upon the following criteria:				
<ul style="list-style-type: none"> • R = Responsible: The person who performs the work • A = Accountable: The person ultimately accountable for the work or decision • C = Consulted: Anyone who must be consulted with prior to a decision being made • I = Informed: Anyone who must be informed when a decision is made or work is completed 				
RACI				
Task and Deliverables	Responsible	Accountable	Consulted	Informed
Program Management <ul style="list-style-type: none"> • Project planning • Status reports • Schedule 	Project Manager	Executive Sponsor DGIT Internal Work Group	Governance Board	Work Group
Define Requirements	Work Group Project Manager	Work Group Co Chairs	Governance Board	DGIT Internal Work Group

UC Outside Activity Tracking System (OATS) Implementation Plan

Roles and Responsibilities				
Development and QA Testing	DGIT Technical Lead CTRL Resources	Project Manager	DGIT Internal Work Group	Governance Board and Work Group
User Acceptance Testing	Work Group	Project Manager and Work Group Co-Chairs		
Training <ul style="list-style-type: none"> Documentation Train the trainers 	DGIT Technical Lead and CTRL Resources	Project Manager and DGIT Internal Work Group	Governance Board	Work Group
Communications	Project Manager Communication Manager and Governance Board Chair	DGIT Internal Work Group and Governance Board	Governance Board	Work Group
Risk Management	Project Manager DGIT Technical Lead and CTRL Resources	DGIT Internal Work Group and Governance Board	Governance Board	Work Group
Change Management	Project Manager	Governance Board	DGIT Internal Work Group	Work Group CTRL Resources
Budget Management	Executive Sponsor	Governance Board	Governance Board	DGIT Internal Work Group Work Group and Project Manager
Operational Support Planning	Project Manager and DGIT Internal Work Group	DGIT Internal Work Group	Governance Board	Work Group
Campus Implementation <ul style="list-style-type: none"> System Integration End user training Go live and roll out 	Project Manager Technical Lead and dedicated Campus Resources	DGIT Internal Work Group and Governance Board	Governance Board	Work Group

Change Management Plan

Summary:

The UC OATS project will use a formal change control process to reduce impact to project schedule, scope, time and budget. Any project team member, stakeholder, Governance Board member or working group member may submit a change request for the UC OATS project to the project manager for evaluation and possible approval.

Change Request Process

Change Request Process	Role	Activity:
Step 1:	Team Member or Stakeholder	Project team member identifies a need and submits a change request form to the project manager. <i>UC OATS Change Request Form. Appendix A.</i>



UC Outside Activity Tracking System (OATS) Implementation Plan

Change Management Plan		
Step 2:	Project Manager	Project manager logs change in change request register.
Step 3:	Project Manager and Project Team	The project team will conduct an evaluation of the impact of the change to cost, scope, schedule, and risk.
Step 4:	Project Manager	The project manager will submit the change request analysis to the project executive and Governance Board for review.
Step 5:	Governance Board	The Governance board will review the proposed change and decide whether or not the change will be approved based upon the information submitted.
Step 6:	Project Manager	If a change is approved by the Governance Board, the project manager will update and re-baseline project documentation as necessary as well as ensure any changes are communicated to the project team and stakeholders.

Risk Management Plan		
Summary:		
<p>The approach for managing risks for the UC OATS project includes a methodical process by which the project team identifies, scores, and ranks the various risks. Every effort will be made to proactively identify risks ahead of time to implement a mitigation strategy from the project's onset. The most likely to occur and highest impacting risks will be added to the project schedule to ensure that the necessary steps to implement the mitigation response occurs at the appropriate time during the schedule. The project manager will provide status updates on the high impacting risk in the weekly project team meetings, the weekly status report, the governance board meetings and OAT work group meetings.</p>		
Risk Management Process	Role	Activity
Step 1:	Team Member or Stakeholder	Project team member identifies a risk.
Step 2:	Project Manager	Project manager logs identified risk in the risk register.
Step 3:	Project Manager and Project Team	Project team will conduct an evaluation of the risk to score, rank and document a mitigation strategy for highest impacting and most likely to occur risk.
Step 4:	Project Manager	Project manager will present high impacting risk and mitigation strategy to project executive and Governance Board for review.

Project Communication Matrix
Summary:
The communications plan below sets the communications framework for the UC OATS Project. It will serve as a guide for communications throughout the life of the project and will be updated as



UC Outside Activity Tracking System (OATS) Implementation Plan

Project Communication Matrix					
<p>communication requirements change. The project manager will take the lead role in ensuring effective communications on this project. The communications requirements are documented in the communications matrix below. The communications matrix will be used as the guide for what information to communicate, who is to do the communicating, when to communicate it, and to whom to communicate.</p>					
Communication	Description	Presented to	Information Provider	Frequency of communication	Method of communication
Weekly Status Report	Email summary of project status	Project Executive, Project Team, Governance Board and OATS Working Group	Project Manager	Weekly	Email
Internal Weekly Project Team Meetings	Meeting to review in progress task, risk and status	CTRL Resources Technical Lead	Project Manager	Twice Weekly: Mon and Thurs	In person and Teleconference
DGIT Internal Working Group Meeting	Meeting to review in progress task, risk and status	Technical Lead, Service Delivery Director Project Executive	Project Manager	Weekly	In person
OATS Governance Board Meetings	Meeting to identify, approve, and prioritize project objectives and deliverables	OATS Governance Board Members	Governance Board Chair	Sept 2017 Jan 2018 May 2018	In person and Teleconference
UC OATS Working Group Meetings	Meeting of SME's to provide campus specific guidance and requirements	OATS Working Group Members Project Manager Technical Lead	Working Group Co-chair	Monthly	In person and Teleconference
UC OATS Announcements	Email announcements of UC OATS project activities	Participating UC Campuses OATS Working Group Members	Project Manager and Communications Manager	As needed	Email and UC OATS Informational Website





UC Outside Activity Tracking System (OATS) Implementation Plan

Project Communication Matrix					
		Governance Board Members			
UC OATS Informational Website	Announcement of UC OATS project activities	UC Campuses OATS Working Group Governance Board Members	Project Manager and Communications Manager	As needed	Website release

Document Sign-off		
Signee	Print Name	Date Signed
Project Executive		
Governance Board Chair		

By signing the above, the signees approve this project to move to the planning phase.

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
2.0	UC OATS Change Request Form	Request Change Form to send to project manager for evaluation	 UC OATS Change Request Form.docx