



# Effort Reporting and Salary Certification Initiative

## Project Charter for Phase 1: Define/Discovery

### *Project Mission*

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Evaluate Harvard's internal business processes relating to the annual faculty effort certification and the monthly staff salary certification for sponsored projects and recommend technology solutions that will reduce administrative burden, streamline processes, reduce risk and ensure compliance with OMB circular A-21 and institutional regulations. This phase of the overall Effort Reporting and Salary Certification Initiative should lay a solid groundwork for the successful implementation of the chosen system.

### *Project Objectives*

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1. Explore the University's business processes for both annual faculty effort certification and monthly staff salary certification including the processes employed at HMS, HSPH, FAS, SEAS, HKS, GSE and the affiliated schools.
2. Understand important pain points and risks associated with these business processes.
3. Identify "best practices" and technology solutions among similarly structured peer institutions.
4. Analyze the documented business processes and results from interviews with a goal of identifying:
  - a. Best practices that should be shared across the schools to improve the efficiency and effectiveness of salary certification activities;
  - b. Structural and policy differences among the Schools/Units that might add significant complexity to a cost-effective implementation of enterprise-wide effort reporting system.
5. Assemble institution-wide project team to make determination regarding technology solution(s) to address the University's effort reporting processes.

### *Project Scope/Deliverables:*

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1. Convene a Steering Committee comprised of a representative group from across the University
2. Convene an Executive Committee comprised of senior leadership
3. Provide monthly updates to the project sponsors with periodic updates as necessary to other interested groups (Sponsored Systems Strategy, SALC, SPOC, etc.).
4. Develop a request for information (RFI) based on Harvard's requirements for a University-wide effort reporting system
5. Document business requirements for technology solution
6. Deliver summary report assessing potential technology solutions – both off-the-shelf and custom applications – matched against the documented business processes, risks, and desired process improvements to project leadership
7. Deliver final vendor/ technology selection, implementation scope, cost, and timeline to Project Review Committee (PRC) and IT Capital Review Board (ITCRB)

### *Project Exclusions/Out-Of-Scope Items:*

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1. Certification of committed effort

### *Project Roadmap*

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1. Document high-level business requirements
2. Identify initial vendor list and issue RFI to selected vendors including internal build option
3. Evaluate vendor RFI responses, product demonstrations and reference calls
4. Document detailed business requirements
5. Develop short list of final vendors
6. Conduct deeper dive evaluation of final vendors



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7. Develop recommended solution, get approval from project leadership
8. Present implementation solution to PRC and ITCRB for Spring CY2012 cycle

### Assumptions

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1. All schools and associated representatives targeted for business process documentation interviews and input are willing and available to participate.
2. The project charter, assigned resources, and associated tasks will be presented to the Executive Sponsors in October 2011.
3. Policy issues will need to be addressed in time to inform the technology solution. The technology solution requirements need to accommodate reasonably flexible and diverse implementations and processes across schools.
4. It is the responsibility of the Project Sponsors and the Executive Committee to ensure that the faculty community is kept abreast of this initiative.
5. Another project charter will be developed as we move into Phase 2: Design/Develop/Deploy.
6. If consensus cannot be made at the Steering Committee level then issues will be brought to the Executive Committee.

### Risks

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#### Project risks

1. The schools or central administration are not able to participate in the interview process, or have limited availability to participate such that the timeframe is extended, increasing the duration of the engagement.
2. New guidance on effort reporting is issued from the federal government impacting business requirements.
3. Other sponsored systems initiatives/issues emerge requiring committed resources.
4. Policy issues that remain unresolved may delay finalization of requirements.

### Project Governance Structure

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#### Project Governance Structure

Role	Responsibility
<b>Project Sponsors</b>	Champion the project by providing the following: <ul style="list-style-type: none"><li>• The Project Sponsors for Effort Reporting are:<ul style="list-style-type: none"><li>○ Mark Barnes</li><li>○ Cathy Breen</li></ul></li></ul>
<b>Executive Committee</b>	Provide senior project leadership: <ul style="list-style-type: none"><li>• Champion the project in the business and IT communities</li><li>• Provide assistance to Steering Committee on driving policy decisions</li><li>• Resolution of critical decisions above the jurisdiction of the Steering Committee (Ex., University-wide Policy Setting)</li><li>• Provide assistance to project team in securing resource commitments</li><li>• Authorization of key project deliverables such as: Project Charter, Project Plan and technology/vendor selection.</li><li>• Facilitation of access to critical resources such as: Budget, Project Team, Subject Matter Experts (SME), and Cross-Functional Resources</li></ul>



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<b>Steering Committee (HERSCI)</b>	<p>Support on-going project activities by directing:</p> <ul style="list-style-type: none"> <li>• Selection of tub local contacts and SME representatives that can provide needed project inputs</li> <li>• Prioritization for these resources on project related activities to ensure desired deadlines are met</li> <li>• Solicitation and approval of stakeholder requirements to support desired project outputs</li> <li>• Resolution of critical decisions above the jurisdiction of the Project Manager and/or team</li> <li>• Adjudication of problems and conflicts and tiebreaking of Project Team decisions as needed</li> <li>• Monitoring and controlling of overall Project activities to ensure progress</li> <li>• The Steering Committee members for Effort Reporting are: <ul style="list-style-type: none"> <li>○ Seedang Simonin, SEAS</li> <li>○ Sarah Axelrod, HMS</li> <li>○ Cheryl Hutt, RMAS</li> <li>○ Barbara Cevallos, HMS</li> <li>○ Sheila Doyle, FAS</li> <li>○ Amy Gustavsson, FAD/OSP</li> <li>○ Nuala McGowan, FAS</li> <li>○ Judy McSweeney, FAD-OSP</li> <li>○ Kristie Froman-HSPH</li> <li>○ Jay Wells, FAD/FSS</li> <li>○ Simone Alpen, FAD/FSS</li> </ul> </li> </ul>
<b>Project Team</b>	<p>Manage day-to-day aspects of the project by:</p> <ul style="list-style-type: none"> <li>• Directing all aspects of the project delivery process including: identification and sequencing of work, stakeholder communications, schedule management, cost management, etc.</li> <li>• Lead Steering Committee sessions and project team meetings</li> <li>• Escalate issues to Steering Committee and Project Sponsors as needed</li> <li>• Provide subject matter expertise in COTS vendor evaluation techniques and best practices</li> <li>• Manage relationships with potential vendors through the RFP and vendor vetting process</li> <li>• Document business processes</li> <li>• Manage vendor relations</li> <li>• The project team is: <ul style="list-style-type: none"> <li>○ Project Director is Jay Wells (FAD/FSS)</li> <li>○ Functional Lead is Simone Alpen (FAD/FSS)</li> <li>○ IT Lead is Sara Sclaroff (HUIT)</li> <li>○ Project Manager is Andy Barbeau (FSS)</li> <li>○ Project Business Analyst is Mary Kisinger (FAD/FSS)</li> </ul> </li> </ul>



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Role	Responsibility
<b>Tub Local Contacts</b>	<p>Tub representative with responsibility for the completion of the Tub requirements and business process documentation. This responsibility includes:</p> <ul style="list-style-type: none"><li>• Coordinating local interviews across the school</li><li>• Ensuring the right local contacts are available to meet within established timeframes</li><li>• Reviewing summary of findings for tub to ensure that interview comments/feedback are correctly captured</li><li>• Tub contacts may be members of the Steering Committee or may have a formal or informal reporting relationship with SC members</li></ul>
<b>Subject Matter Experts (SMEs)</b>	<p>Departmental staff with responsibility for providing input to requirements and business process documentation. This responsibility includes:</p> <ul style="list-style-type: none"><li>○ Meeting with project team members</li><li>○ Providing documentation as requested</li><li>○ Reviewing project documentation for accuracy and completeness</li><li>○ Attending vendor demos and giving feedback</li></ul>



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### *Communications Plan:*

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The following plan describes how the Project team intends to keep all involved and impacted constituents informed of the projects overall progress and any issues or problems.

ID#	Type of Communication	Frequency	Format	Sender	Recipients
1	Project Status Report	Weekly	Wiki post	PM	Project Team, HERSCI, Executive Committee
2	Project Budget Update	Monthly	Wiki post and post to ITCP website	PM	HERSCI, ITCPB
4	Project Schedule / Plan	Ongoing	Wiki post	PM	Project Team, HERSCI
5	Meeting Minutes	Ongoing	Wiki post	BA, PM	All
6	Executive Dashboard	Ongoing	Wiki page	PM	All
7	Project Issues list	Ongoing	Wiki page	PM	All
8	HERSCI Issues list	Bi-weekly	Wiki page	PM	HERSCI
9	One-page project description	One time	Document	PM	HERSCI, Executive Committee

### *Document Change Control:*

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The following list tracks the changes made to this document.

Editor	Changes Made	Date of Changes
Andy Barbeau	Created new version with: edited governance, added communications plan, added exclusions / out-of-scope, added project stakeholders, added change control.	9/19/11
Jay Wells	Edits in prep for Exec Cmtee	10/26/11
Jay Wells	Approved by Exec Cmtee	10/28/11