



OE RESOURCE REQUEST APPLICATION

University of California, Berkeley

I. SPONSORSHIP

A. Initiative

Initiative	Student Services		
Initiative Manager	Anne De Luca		
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B. Sponsorship

Sponsor Name	Harry Le Grande		
Sponsor Signature		Date	
Sponsor Name	Cathy Koshland		
Sponsor Signature		Date	
OE Program Office Signature		Date	

C. Give the title of the resource

<p>Student Services Initiative (SSI) Technology Program Management Team An Executive Director and analysis support team for the detailed planning phase (Phase Zero) and subsequent management of delivery phases of the five (5) OE technology-related Student Services Initiatives (OE SSIs).</p>

II. PROBLEM STATEMENT/CASE FOR CHANGE

A. Identify and describe what needs the proposed solution is seeking to address.

Historically, IT project funding requests have been made in a piece-meal way on an annual basis by their respective campus units. As a result, there has been little visibility into multi-year expenditures and the ability to assess the total cost of ownership (TCO) for any given initiative. By funding in this manner, it has been difficult to plan for and execute projects spanning multiple years. This approach has resulted in the development of an ever-growing set of “one-off solutions” that frustrate students, and through which students must navigate and “stitch together” the basic functions involved in planning for and enrolling in courses (Appendix A). The fragmented experiences of having to move between different systems to complete basic tasks, is prevalent across academic planning, financial aid and billing, and most aspects of students’ campus life needs. The end result is that UC Berkeley’s current student systems do not adequately address the complexities of twenty-first century student life and our research tells us that we are failing in many ways to meet our students’ expectations.

The Student Services Initiative Technology Program will enable the campus to make significant progress architecturally and functionally toward a more seamless and full-service online experience for students, increasing service quality and functionality while lowering the cost of serving students. The Program will also better position UC Berkeley, on a technical platform level, to address latent and evolving business needs, ex: the inclusion of

auxiliary business units' and professional schools' student service needs, support for international students, plus scaling to support a satellite campus, and online learning.

To ensure expected outcomes are attained from the roadmap investments, an Executive Director position is being created to provide oversight and day-to-day coordination of the various projects from planning through to successful execution.

B. Describe the solution that is being proposed to meet the identified need(s).

This proposal is for funding for staffing of the detailed planning phase (phase zero), the first four (4) months of a multi-year effort. (This four (4) month funding will provide leadership and additional staff to augment existing efforts already under by staff from ETS, SAIT and IST.) During this work-planning phase the following roles are required.

Technology Program Management Team:

- **Executive Director:** Contract position, 3 year intensive horizon in managing the program of change. Program rather than project focused. Responsible for development of the full scope of detailed proposals for the sub components. The Executive Director will report to the Associate Vice Chancellor of Admissions and Enrollment, and will receive direction from the Operational Excellence Program Office, the governing body for the larger initiative.
- **Sr. Business Analyst:** Dedicated functional analyst with expertise in Student environments from Prospect through admissions, advising, enrollment, and matriculation.
- **Sr. Business Analyst:** Dedicated technical analyst with expertise in data management, metadata, web services, and student systems design.
- **Project Manager:** Dedicated project manager assigned to develop individual project plans for each of the sub projects that are identified. Ultimately there will be more than 1FTE of PM time needed for these many projects.
- **Communications/Change Management:** The scope and complexity of the reengineering of the student environment needs considerable community engagement and inbound and outbound communications, particularly with the student community. This likely involves social networking expertise, in addition to content development and event management.
- **Student Liaison:** The Importance of student participation cannot be underestimated here. Hiring a recently graduated student full time for 2 years to serve, as dedicated student liaison will help in the design and planning activities.
- **External Services/Consulting.** Engagement of Burton (now acquired by Gartner) to assist in providing most recent competitive landscape overview regarding a number the core aspects of the program including Advising, Enrollment, and Data Warehousing.

Solution Approach:

Student Services Initiatives (SSI) Technology Program Planning: The Executive Director will lead and direct the analysis, synthesis, and detailed planning phase (Phase Zero) for a set of five (5) technology-related projects (collectively "CalCentral") that address significant and long-range student service delivery needs, and identify cross project dependencies and dependencies with other campus technology initiatives. Develop a comprehensive plan that knits together the five (5) CalCentral projects in a workable and optimized way, and using a phased approach with built-in milestones and funding gates.

Solutions Analysis: Working closely with SMEs and users of these systems, look holistically at the needs being addressed across these initiatives, and map them to appropriate and best-of-breed solutions that can be readily and cost-effectively integrated into CalCentral, the "student portal." These solutions may include a combination of

custom development needs, vendor products, and community source options.

Solutions Delivery: Oversee and provide ongoing program management and business analysis support to the project teams. Manage the budget, expense and savings generation tracking, campus communications, change management, and ongoing reporting of progress against the plan.

Risk Management and Governance: Work closely with the campus IT leaders (CIO and Student ACIO) on the criteria for evaluating solutions, ex: vendor analysis, security considerations, technology architecture and strategy considerations, and total cost of ownership (TCO) analysis.

Stewardship of UC Berkeley's Investment: Plan for and deliver the best possible set of solutions that will address the SSI service delivery needs of students in a cost effective manner, with considerations for longer-range needs, total cost of ownership, and creation of workflow efficiencies .

The five (5) proposals are:

- Building an on line Academic Commons
- Construction of a communication and information hub
- Creating an advising toolkit
- Designing state of the art academic planning and registration tools
- Enhancing current financial planning and bill paying tools

- C. Describe the alternate approaches you evaluated in the process of developing this proposal and why those alternatives were not selected.

Historically and as initially proposed, these initiatives would be staffed and managed by separate teams and who would have infrequent interactions, i.e. the alternative would be to run the five OE initiatives as separate projects.

Given the scope and complexity of the five SSI technology-related proposals, we believe it is in the Campus' best interest to hire for and setup a program management team than will own and take responsibility for

- overseeing the "student services" big picture
- eliminating duplicative efforts and overlapping solutions
- finding ways to optimize resources
- looking strategically at solutions decisions from a holistic and longer-view perspective
- making solution decisions that are in the best interests of the stakeholders

III. IMPACT AND STRATEGIC ALIGNMENT

- A. Describe how the proposed solution aligns with the OE goals:
- Reduce administrative costs and enable the campus to direct more resources to teaching and research
 - Advance an effective and efficient operating environment
 - Instill a culture of continuous improvement that leads to high quality performance and outcomes

The SSI sponsors have identified a number of core values and objectives

- **Operational excellence:** lowering the cost of serving students while increasing service quality and functionality by providing students with more self-service and self-directed service options
- **Fiscal responsibility and stewardship of campus resources:** investing in core infrastructure that can be adapted to meet changing campus needs with strong oversight and project controls
- **Service quality:** supporting the complex transactional academic, administrative, and campus life needs of students through well-designed self-service and self-directed online systems.
- **Access, Service & Engagement:** creating the student experience and fostering student success.

B. Identify any other anticipated benefits in implementing the proposed solution.

The SSI Technology Program Management team will centralize and facilitate the analysis and delivery of five student services initiatives in a well orchestrated and cost effective manner. Benefits of this approach include

- A portfolio view to mitigate risks and to improve decision making
- A dedicated resource that can manage communications and keeping stakeholders apprised
- Better utilization of technical and business analyst resources
- A more coordinated approach to change management

C. Identify the risks of not implementing the solution.

The primary risk of not implementing the proposed integrated planning phase is the delivery of five disjointed solutions that may include overlapping functionality and may or may not integrate will into CalCentral.

Additionally, without this approach, the following could be expected:

- Lack of coordination
- The duplication of resources and efforts
- Sub-optimal decision making on solutions
- Lack of processes and staff in place to conduct coordinated oversight, from budget analysis to project progress mapping.

D. Describe the constituency that is intended to benefit from the proposed solution (e.g. students, faculty, staff, 1-many units)

Five project teams working in harmony with oversight by the Technology Program Management Team, will benefit the following:

- **Campus:** improved stewardship and allocation of campus resources
- **Staff:** efficient workflows designed in concert with enabling software applications will allow staff to focus time on high-value interactions with students
- **Students:** student service needs are met over time, improved communications on the scope and status of SSIs, and a point of contact for addressing their functional requirements

E. Describe the extent to which this proposed solution is a collaborative effort either within campus or with external partners.

A strong collaboration has developed over the past two years between the Student Affairs, Teaching and Learning, and IST divisions. A significant outcome of this collaboration is the development of a comprehensive “Student Services Roadmap” and a new vision for how UC Berkeley can significantly improve the delivery of online student services in a more seamless and cost-effective manner, and that can optimize the divisions’ technical resources across a complex set of system needs.

F. If applicable. Describe how the proposed solution may enable additional projects to be considered.

The SSI solutions will provide an umbrella under which other student and IT Bank Initiatives can be integrated, ex: IT Bank requests

- **Enrollment:** Core development and implementation, including enrollment, learning plan, transcript, advising dashboard and degree progress
- **Admissions:** eTranscript and transfer credit automation, streamlining and improving the admissions workflows and migration off the mainframe
- **Curriculum Management:** automating faculty course approval process for the Academic Senate and replacing paper processes and mainframe application. Pre-implementation analysis for Kuali Student program management.

- G. What is the impact of the proposed solution on the existing systems and processes? Does it eliminate the need for existing systems and processes?

The proposal is to perform a detailed planning phase and then ultimately to oversee the delivery of other RRAs. While the initial effort does not directly eliminate existing systems per se, it does improve the potential of removing low value systems and creating streamlined business operations.

- H. What is the impact on the proposed solution on the workload?

This proposal is to perform an integrated detailed planning phase for the five SSI technology-related proposals. As a result a portion of the individual workloads to perform planning embedded in each of the five proposals will instead be covered by the work undertaken as part of the proposed effort.

Profile/Impact in hours	Current Workload	1-time workload requirement	Ongoing workload requirement
Student			
Staff			
Faculty			

IV. WORK PLAN AND PROPOSED SOLUTION DESIGN

A. Provide a statement of:

- Deliverables — results the solution must deliver to achieve the stated objectives.
- Constraints — factors that may limit the options for providing the solution (*e.g., an inflexible deadline*).

Deliverables, Phase Zero:

- Detailed plan for Phase 1
- Draft plans and timelines for subsequent phases
- Risk analysis across the entire approach as well as highlighting particular areas for mitigation
- Revised costs (including resourcing plan) and savings estimates (during development and ongoing)
- Plan for shared funding for the later design, development, implementation, and ongoing costs
- Assessment Plan metrics and process for measuring performance, progress and projected savings
- Communications plan
- Controls & milestones

Constraints

- Dependent technology initiatives, ex: student calendars, identity management and web/data services

B. Provide a work plan for the proposed solution with high-level steps to complete the solution, including timeline. (Try to limit your plan to no more than seven steps.)

	MILESTONE	TIMELINE
1.	Detailed project planning (work commences with existing staff)	November, 2011 – April, 2012
2.	Executive Director Onboard	January, 2012
3.	Other positions Onboard <ul style="list-style-type: none"> • Senior Business Analyst (2) • Project Manager (1) • Communications / Change Manager • External Consulting – competitive landscape • Student Liaison 	February, 2012
4.	Phase 1 Funding Proposal, including: <ul style="list-style-type: none"> • detailed projects plans • technology / solution / product approach recommendation • resource plans • cost and cost sharing plans • savings estimates (during development and ongoing) • assessment plan metrics, • risk identification and risk mitigation plan, • governance plans • controls and milestones 	April, 2012 (to be adjusted based on start date of the Executive Director and team)

C. What are the data requirements for the proposed solution?

For this Phase 0, campus experts in the following areas would be required:

- Subject Matter Experts
- IST current system knowledge
- Campus executives/ SSI sponsors with vision of the end-state goals, desired solutions and service delivery outcomes.

D. What are the technical requirements for the proposed solution?

- **Project planning tools**
- **Workspace**
- **Access to SMEs**

E. What are the greatest risks for the proposed solution and the plan to reduce or eliminate the risks?

	RISK	MITIGATION PLAN
1.	Resource availability and finding the right candidate	The timeline will be adjusted based upon the start date of the Executive Director and team.
2.	Timing for phase zero is short and new staff will require spin-up time	Current staff are meeting (starting in November '11) to begin the analysis and therefore reduce the efforts new staff members will have to undertake (see proposed timeline)
3.	Motivated to move forward quickly, yet a desire for plan-fullness	Some initiative parts may have time critical elements that the Program Management team must assess and balance with the need for thorough analysis.
4.	Pre-disposition for certain solutions	Use a comprehensive assessment approach to qualify solutions based on different criteria to improve the selection process where there are competing vendor options. Enlist the support of external experts.
5.	A changing, and volatile, landscape of vendor and community-source solutions may increase the time necessary to vet and synthesize an appropriate set of solutions across a multi-year delivery timeline	A number of new vendor products, ex: myEdu.com and Starfish provide the promise of rich functionality solutions at a reduced cost to the university, however they are relatively new and must be assessed from a vendor risk and viability perspective against more traditional solutions. We anticipate the student services market place to be quite volatile in the coming few years making decision making more challenging.
6.	Quality deliverables cannot be generated within expected time and budget	The resulting analysis by current staff (see risk #2 above) will provide foundational analysis to the ED and team, including the mapping of functional requirements to vendor and community source solutions. The incoming ED should also have the opportunity to assess the deliverables scope for phase 0 and to make recommendations to stakeholders on ways to prioritize output to meet the timelines or to extend the duration to achieve greater clarity and desired deliverables quality.

F. How does the proposed work plan allow for evaluation and course correction to ensure the outcomes meet the campus needs?

- Frequent Executive check-ins and progress reports.
- Buy-in from key stakeholders, specifically the Executive Committee (funding for subsequent phases), Program Office, VC of Student Affairs, Vice Provost of TLAPF. In addition, student input will be sought through a number of avenues including the OE DeCal, COSE (Cal Online Student Experience) Taskforce, and the Student Technology Council.
- Project work plans, and project approach artifacts (e.g., resourcing plans, risk plans, and assessment plans), will be reviewed by other campus project management experts to leverage expertise and know how.

V. CHANGE MANAGEMENT

A. What is the change management plan to successfully implement the outcomes of the proposed solution?

The Technology Program Management Team will facilitate change management during Phase Zero through ongoing outreach efforts and a focus on service design, ex: by conducting workshops to map service delivery needs to students and staff expectations. More intensive change management activities will be required and conducted by the Program team during subsequent development and delivery phases.

The team will also be responsible for getting buy-in from stakeholders and system users and for keeping them informed of the plan and progress against the plan.

In addition to the change plans specific to each of the 5 CalCentral applications (which will include readiness assessments, skills and competency identification, training and communication), during Phase 0 the Communications / Change Management Lead will begin to help prepare campus for the coming of CalCentral through initiation of the following:

- Stakeholder updating and engagement
- Baseline metrics assessment
- Design of new workflows and articulation of result changes in jobs and role
- Training plans on technical, business process, and soft skills for staff
- Campus preparation for change

During Phase 0, Change Management and Communication Plans workplans will be developed.

B. What incentives and/or disincentives are proposed to influence behavioral changes necessary for the successful outcome of the proposed solution?

Incentives

- Students see their needs are being met
- Staff will see that they have improved and effective tools with which to perform their jobs
- Executive Committee receive a sound and well analyzed plan

C. Who has been identified as the change leaders and implementers to carry out the changes necessary for the successful outcome of the proposed solution?

The following campus executives have voiced support for the creation of this proposal:

- Harry Le Grande, Vice Chancellor, Student Services
- Cathy Koshland, Vice Provost for Teaching, Learning, Academic Planning and Facilities
- Shel Waggener, Associate Vice Chancellor, CIO
- Andrew Szeri, Operational Excellence Program Office Faculty Head, and Dean, Graduate Division

In addition to the executives listed above, the Technology Program Planning Team will work closely with the following campus resources, SMEs and stakeholder representatives:

- Anne De Luca, Student Services Initiative Manager and AVC for Admissions and Enrollment
- Leads for the five OE initiatives
- Teaching & Learning's ETS group working on Sakai OAE/Academic Commons
- SAIT Portfolio Management Office
- IST development teams
- Student groups, ex: ASUC & GA, COSE, and STC
- Advisors Network
- Deans and Academic Senate

To promote success of this program and to communicate the support this program has from the OE Executive Committee and Administration, the Executive Committee members will make a public statement of support for the student services proposals.

VI. FUNDING MODEL AND BUDGET

- A. Could the proposed solution move forward with partial funding? If yes, describe the revised scope, including the associated savings impact.

The SSI sponsors are seeking funding for phase zero, the first four months of the program under the leadership of the Executive Director, i.e. \$459,000

- B. What is the plan for sustainable funding to support ongoing operations of the proposed solution?

n/a

- C. Please download and fill out the OE Resource Request Budget Template located at [location] and follow the instructions on the first worksheet in the workbook to complete the budget and line descriptions. Include both completed sheets with the Resource Request.

VI. ASSESSMENT PLAN

Please use the table below to detail your metrics.

METRIC CATEGORY	SPECIFIC MEASURE	MEASURE BASIS	DATA COLLECTION METHOD	DATA COLLECTION FREQUENCY	FUNCTIONAL OWNER OF DATA COLLECTION	LARGER GOAL TO WHICH METRIC RELATES
FINANCIAL PERFORMANCE						
1 The Phase 0 project is delivered in keeping with expense budget	Budget vs Actual	Phase 0 project costs	Monthly download from Bairs	Monthly	Executive Director	
OPERATIONAL PERFORMANCE						
1 Complete and well vetted plans and artifacts. Plan is actionable, realistic, and measurable, and signed off by key stakeholders	Final work products accepted by Sponsor and OE PO as complete	Review feedback	Artifact Review	Once at end of Phase 0	Executive Director	
2 Phase 1 projects proposal	Final work product accepted by OE EC	Review feedback	Proposal Review	Once at end of Phase 0	Executive Director	
PRODUCT / SERVICE QUALITY						
1						
EMPLOYEE SATISFACTION						
2						
CUSTOMER SATISFACTION						
1						
2						
PUBLIC RESPONSIBILITY						
1						
2						
SUPPLIER PERFORMANCE						
1						
2						