Program Charter

Elevate CU HCM/FIN Upgrade

Integrated Program Team

October 28th, 2014

Revision	Modified by	Date
V2	Scott Temares	9/14/14
V3	Scott Temares (changes from Lisa Affleck, Vickie Martin and Scott Munson	9/21/14
V4	Scott Temares (changes from Lisa Affleck, Vickie Martin and Scott Munson	9/24/14
V5	Scott Temares (changes from Program Team)	10/7/14
Final	Reviewed by Jill Pollock and Geoff Barsch	10/23/14

Contents

1. Introduction

The Elevate CU HCM/FIN upgrade program will result in upgraded PeopleSoft environments for Finance (FIN – v8.4 to v9.2) and Human Capital Management (HCM – v8.9 to 9.2) that are current and in full support by the vendor. This program will enable the university to keep up-to-date with future Oracle enhancements, fixes and new releases. The information to follow provides a definition of the program's primary project objectives, scope, risks, guiding principles, roles and responsibilities, governance process and assumptions.

2. Business Objectives

The following are the business objectives for this program.

- Provide HCM and FIN users across University of Colorado (CU) benefits from new online features, functions and enhancements to boost productivity, consolidate tasks and enhance delivered support.
- Deliver a foundation and catalyst for an automated testing framework (both functional and technical).
- Implement business process changes, where practical, for both HCM and FIN users.
- Reduce customizations and use delivered functionality wherever possible to reduce the support impact to technical and functional teams and improve future upgrade and vendor support/training capabilities.
- Ensure that technology systems are current, follow UIS information technology standards and that the foundation is laid for future software releases and enhancements.
- Leverage shared CU infrastructure.
- Provide enhanced integration with Integration Hub and across key Oracle applications.
- Implement new functionality, including:
    - On-boarding and recruiting solution (Oracle Taleo) to replace PeopleAdmin.
    - Replacement of CU MyLeave custom application with Oracle PeopleSoft Forms
    - New HCM software modules (eProfile, ePerformance).
    - New Finance software modules (Grants and Cash Management).
    - Mobile experiences (where feasible) for HCM and FIN users.
- Configure HCM and FIN systems strategically to accommodate future entities and directions.
- One-time archive and purge data for security, performance and cost benefits.
- Align processes and procedures for systems implementation, development, and maintenance across UIS PeopleSoft systems.
- Engage campus stakeholders at all levels to gain buy-in and enhance adoption of new systems.

2.1 Known Stakeholder Requirements

- Project delivered on time and within budget.
- Focused consideration of current and future customizations with the goal of reducing the need for customizations by initiating process and data structure change wherever possible.
- Reduced non-system approvals and manual processes by using system tools.
- Immediate and on-going engagement of key stakeholders to encourage ownership of decisions and process and data structure changes.

- Effective communications planning at every level across the campuses to assure there are "no surprises."
- Communications targeted to the appropriate audience that ensures full transparency and knowledge transfer and easily accessible by stakeholders at all times.
- Documentation and content detailed enough that new stakeholders are able to self-educate efficiently.
- Provision of timely training for campus users to maximize their learning and system use.
- Enhanced functionality in the areas of sponsored research, on-boarding and recruiting, performance management and cash management.
- Standardization across PeopleSoft platforms (integrations, patches, updates, environment naming standards, migration paths, and environment functional use) for HCM and FIN.
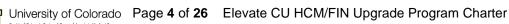
3. High-Level Program Timeline

Planning and Design Phase (January – February 2015)*
- **Fit/Gap (January – June 2014)**
  - Review and train program team and technical staff on 9.2 versions.
  - Deliverables include:
    - Inventory of all gaps and customization approvals
- **Design (July 2014 – February 2015)***
  - Deliverables include:
    - Functional Requirements ES & Finance- 11/21/14
    - Technical Specifications–   02/27/15
    - Strategy Documents-   11/21/14
    - Implementation plan-   Oct 2014
    - Engage Oracle Upgrade Lab
      - Provide copies of Production Database
      - Prepare for Upgrade
      - Complete First Test Move 1 for Finance-   11/17/14
      - Complete First Test Move 1 for Employee Services–   12/08/14
    - Establish and deploy UIS environments-   10/01/14
      - Upgrade First Test Move and beyond environments to latest PeopleTools release 8.54
      - Upgrade First Test Move and beyond environments to latest Oracle database version 12c
      - Review / Confirm environment strategy and deployment schedule

  *   *Milestone January 16 2015: assessment of the program timeline based on results of planning and design phase. Findings with be presented to the Leadership Team and Steering Committee*

- **Execution Phase (January 2015 – December 2015)****
  - Build and Unit Test -   (Oct – Apr 2015)
  - System Integration / User Acceptance Testing (Feb – Oct 2015)
  - Campus Testing   (Mar – Oct 2015)
  - HCM Parallel Payroll Testing   (Jul – Oct 2015)
  - Test Move 3 ES & Finance   (Sep 2015)

o	User Acceptance Testing -		(Sep – Oct 2015)		
o	System Performance / Load Testing		(Sep - Oct 2015)		
o	End-user / Campus training		(Mar – Oct 2015)		
o	HCM Go Live		(Nov 3, 2015)		
o	Finance Go Live		(Nov 10, 2015)		

*** Milestone - January 2015: will determine if changes to the Execution Phase dates are required.*

3.1 Program Timeline

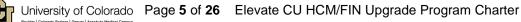| Year	2013 - 2014									2015											2016
Month	Aug - Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan
Governance Tasks	ES / Finance Upgrade Project Initiation			Oracle Assessment				Steering Committee / Leadership Team / Program Management															
Program Approach	ES / Finance Requirement Definition / Fit Gap			Design			Design / Build Overlap		Build				Test						Deploy				
ES Upgrade	Fit Gap and Conceptual / Functional Design						Test Move / Configuration / Test Script Creation		Unit / Regression Testing			Systems Integration Test (SIT 1 / SIT 2) Parallel Payroll Testing			UAT / Performance			Cutover	Go-Live HCM/FIN	Support			
Taleo	Software Selection / Contract Negotiations			Requirements / Configuration			Build / Test		UAT			Systems Integration Test (SIT 1 / SIT 2)			Performance			Cutover	Go-Live HCM/FIN	Support			
Finance Upgrade		Fit Gap and Conceptual / Functional Design					Test Move / Configuration / Test Script Creation		Unit / Regression Testing			Systems Integration Test (SIT 1 / SIT 2)			UAT / Performance			Cutover	Go-Live HCM/FIN	Support			
UIS	Design / Implement Environment Strategy / Technical Analysis of Existing Customizations					Technical Design / Build						Systems Integration Test (SIT 1 / SIT 2)			UAT / Performance			Cutover	Go-Live HCM/FIN	Support			
UIS						Interfaces / Report / Portal Analysis		Interface / Report / Portal Retrofit			Update CIW / Portal			Test CIW / Portal			Config / Test Connectivity (Test Move 3)	Cutover	Go-Live HCM/FIN	Support			
Major Milestones					Func Design Spec		Prog. Baseline		Tech Design Spec			Initial Build Compl.			SIT Compl.			TRN Compl.	Cutover	Go-Live HCM/FIN	Support			
CU / Oracle Test Moves				Test Move 1							Test Move 2				Test Move 3								
Technical Upgrade				Oracle Solution Center HCM/ Finance																			
Comm / Outreach / Training	Campus Advisory Boards / Campus Meetings															Campus Training (Delivery)							

4. Program / Project Scope

Program / Project scope defines the major system functions, modules and integrations that will be included in the funding, planning and implementation effort of the project. It is important to define both what will be included in scope and what will not be in scope so that this information is clearly presented to all project stakeholders. Any changes in scope after the design phase begins must be handled through scope change control and are very likely to affect the project schedule, resources and/or cost.

4.1 Finance

Finance scope includes:

- Leveraging the investments we currently own (General Ledger, Accounts Payable, Purchasing, Accounts Receivable, Billing, Asset Management, Projects, Grants, Contracts, Cash Management, Commitment Control). Where appropriate integrate with the following applications:
  - o CU Travel and Expense (Concur)
  - o CU Marketplace (SciQuest)
  - o Grant Proposal Submission (InfoEd)
  - o PeopleSoft HCM
  - o PeopleSoft Campus Solutions (ISIS)
  - o CU Enterprise Portal
  - o Central Information Warehouse (CIW)
  - o Banks (as required)
  - o State of Colorado (as required)

- o   Singularity / OnBase
- o   Central
- Leveraging PeopleSoft / PeopleTools Approval Workflow Engine (AWE) and Forms and Approval Builder.
- Converting Voluntary Employee Beneficiary Association (VEBA) into the FIN v9.2 system.
- Utilizing Information Resources Management (IRM) to update the Central Information Warehouse as needed, due to table structure changes. New subject areas may be added if they provide significant ability to move away from PS Query reporting.
- Creating new Cognos reports by the Office of University Controller.
- Retrofitting m-FIN reports to use new data structures, with the support of IRM.
- Updating the existing CIWGL table (within Central Information Warehouse) will include information from the: General Ledger, Payables, Purchasing, Receivables, Billing, Projects, Grants, Asset Management, and Commitment Control.
- Reviewing and making modifications to the existing CU Chart of Accounts.
- Converting financial data.
- Reimplementing / redesigning of all application security roles and permissions including automated assignment of the majority of the user roles.
- Developing test plans and executing functional testing.
- Developing and delivering of training and job-aids to Finance constituents.
- Transitioning of upgraded Finance system to OUC Functional Help Desk.

Does Not Include:
- Replacing Cognos software with the Oracle Business Intelligence Application Suite Enterprise Edition (OBIA/OBIEE) for enterprise reporting.
- Replacing CU Marketplace (SciQuest) or Travel and Expense (Concur).
- Performing Organizational Change Management at the individual campuses.
- Creating of Cognos reports by UIS's department of Information Resource Management (IRM). IRM will assist and advise only.
- Developing new interfaces/integrations that are not approved by either the Program Leadership team, CU Leadership Team or the CU Steering Committee.

External Dependencies:
- Campus partners (campus Controllers, finance offices, offices of grants and contracts, Procurement Service Center, campus IT organizations)
- Oracle team (Oracle Application Solution Center)
- SciQuest for CU Marketplace integration
- Concur Travel and Expense
- Colorado Operations Resource Engine
- UIS environments
- Employee Services (ES) / HCM implementation / production team
- eRA / InfoEd / research administration

Assumptions/Constraints:
- CU will not bring forward any previously-constructed customizations. Where feasible, business process change will be investigated before a customization is presented to the Program Leadership Team / Steering Committee for approval.
- All previously-built integrations will be reviewed. Where feasible, UIS will re-develop the integrations to ensure proper development standards and naming conventions have been utilized.

- Existing CU PS Lite application will no longer be supported.
- University resources / consultants dedicated to the program will be available when required.
- University data retention policies will be reviewed and implemented. Where policies do not exist, university resources (i.e., audit, security, data owners and UIS) will be consulted for direction.
- The Electronic Personnel Reporting System (ePERS) system will continue to be used for effort reporting.
- Data syncs and integration with HCM, Campus Solutions, Portal and CIW will be clearly defined during the design phase.
- All CU campuses will utilize PeopleSoft Grants Administration for Financial Post Award processing.
- Future development work and impact on timeline will be assessed at the conclusion of the Finance functional design phase currently scheduled for November 21, 2014.

4.2 Human Capital Management (HCM)

HCM scope includes:
- Leveraging the investments currently owned by the university (HR, Payroll, Base Benefits, Benefits Administration, and Self-Service). Where appropriate integrate with the following applications:
    - Oracle Taleo
    - SkillSoft
    - CITI Training
    - eRA System
    - Truven Health data warehouse
    - WindStar (international tax)
    - PeopleSoft Finance
    - PeopleSoft Campus Solutions
    - Central Information Warehouse (CIW)
    - CU Enterprise Portal
    - Oracle's Master Data Management (MDM)
    - Duo Security
    - OnBase / Singularity
    - Third-party providers (includes benefits, retirement, taxes, etc.) Some campus/department feeds – Slurp, directories, etc.
- Acquiring and implement Oracle's Taleo cloud software for CU recruiting and on-boarding.
- Updating CIW as needed by IRM, due to table structure changes. New subject areas will be added if they provide significant value.
- Implementing row-level security in Cognos by IRM to allow ES to encourage the use of Cognos for reporting.
- Developing new Cognos reports within CIW by both IRM and ES.
- Replacing the CU "MyLeave" application with Oracle PeopleSoft software ("Forms").
- Reviewing and making modifications to the existing CU Chart of Accounts (i.e., Business Units, Project/Program, etc.).
- Reimplementing / redesigning of application security roles and permissions including automated assignment of the majority of the user roles.
- Reviewing of automated testing framework to improve functional testing.
- Converting of PeopleSoft HCM and PeopleAdmin data.
- Developing test plans and executing functional testing.
- Developing and delivering of training and job-aids.
- Transitioning of upgraded system to ES functional help desk.

- Performing parallel payroll testing against PeopleSoft HCM v8.9 and HCM v9.2.

Does Not Include:
- Replacing Cognos software with the Oracle Business Intelligence Application Suite Enterprise Edition (OBIA/OBIEE) for enterprise reporting.
- Implementing any additional software other than Oracle Taleo, PeopleSoft ePerformance and SmartERP. SmartERP for building PeopleSoft Forms.
- Performing organizational change management at the campuses.
- Creating reports by IRM. IRM will assist and advise. Report creation is owned by ES.
- Developing new interfaces/integrations that are not approved by either the Program Leadership team, CU Leadership Team or the CU Steering Committee.

External Dependencies:
- Campus partners (Campus HR directors, business partners, campus IT organizations)
- Oracle team (Oracle Application Solution Center)
- Oracle Consulting – Taleo implementation
- External vendors (i.e., SkillSoft, Truven, benefits providers, etc.)
- University / UIS environments
- University OUC implementation / production team
- University ISIS implementation / production team
- SmartERP (forms development)

Assumptions/Constraints:
- CU will not bring forward any previously-constructed customizations. Where feasible, business process change will be investigated before a customization is presented to the Program Leadership Team / Steering Committee for approval.
- Existing CU financial data will be brought forward into new PeopleSoft tables. The Technical Design Specifications will depict where this will occur.
- Implementing Oracle ePerformance module will go into production no sooner than Jan 2016.
- Review of previously-built integrations. Where feasible, integrations will be redeveloped with proper development standards and naming conventions.
- Staffing of required program resources will be made available with reasonable advanced notice.
- University data retention policies will be reviewed and implemented. Where policies do not exist, university resources (i.e., audit, security, data owners and UIS) will be consulted for direction.
- The Electronic Personnel Reporting System (ePERS) system will continue to reside within the FIN system.
- Data syncs and integration with Finance, Campus Solutions, Portal and CIW will be clearly defined during design phase.
- Future UIS development work and impact on timeline will be assessed at the conclusion of the HCM functional design phase currently scheduled for November 21, 2014.

4.3 Technical Foundation

Includes:
- Upgrading from Oracle PeopleSoft Finance v8.4 to v9.2.
- Upgrading from Oracle PeopleSoft HCM v8.9 to 9.2.
- Upgrading to PeopleTools 8.54.
- Upgrading to Oracle Database version 12c.

- Converting HCM and FIN databases and codebase to Unicode with length semantics type of "char" to match UIS standards.
- Converting and managing attachments within the application within the Oracle database versus file system.
- Implementing Secure Enterprise Search (SES) in advance of the HCM/FIN go-live on a software version that will support PeopleTools 8.54.
- Developing data archiving and purging strategy for future HCM and FIN environments, consistent with university policies and federal requirements.
- Planning, designing, building and maintaining HCM/Finance environment strategy (includes upgrade and production).
- Reviewing design of all integrations and implementing UIS integration strategy and standards.
- Assisting the functional teams in developing a new security model (roles and permissions).
- Renaming of technical objects to follow UIS development naming standards. UIS development naming standards will include development and compliance testing as it relates to Web content accessibility.
- Assisting the UIS Identity Management (IdM) team to identify future access management changes required based on the new security model being developed.
- Planning and executing performance testing (including load testing) for v9.2 environments.
- Planning and executing high-availability testing for v9.2 environments.
- Defining a reporting strategy specific to HCM and Finance to leverage existing tools and resources and improve data warehouse reporting, where applicable.
- Moving scheduled batch processing jobs from scheduling via command line scripting to PS Agent using the Automic batch system.
- Integrating the upgraded HCM and FIN applications into the Enterprise Portal using the Unified Navigation Functionality.
- Implementing UIS's Ping Single Sign-On (SSO) architecture. Implementing Ping and Oracle Virtual Directory (OVD) for direct access needs, where applicable.
- Integrating with UIS Central Integration Broker (IB) Gateway.
- Utilizing and deploying Web Services, where applicable.
- Updating Service Accounts to adhere to UIS standards
- Working with Oracle Application Solution Center to implement PeopleTools Testing Framework (PTF) for automated unit testing.
- Developing a release management plan for post go-live to ensure UIS can manage PeopleSoft enhancements, fixes and upgrades from a technical standpoint.
- Conducting a security readiness assessment / web penetration test of the upgraded HCM / Finance applications.
- Training UIS developers on PeopleTools 8.54, including responsive design (HTML5, CSS3).
- Establishing support and project staff server, database, and security access in accordance with UIS standards. This includes use of individual versus shared accounts, where possible

Does Not Include:

- Implementing or extending a document management solution(s). Existing integrations will remain in place (i.e., ES – OnBase, PSC – ImageNow).
- Implementing and supporting of PeopleSoft Time and Labor, HCM Analytics, or Fusions.
- Implementing CU Data Continuity or Disaster Recovery for HCM and Finance.
- Training campus users.

- Constructing a functional help desk. ES and Finance have existing functional help desks and will be accountable for providing help desk services for their constituents.
- Conducting functional, user acceptance, and/or parallel payroll testing.
- Implementing Taleo and and CU's custom time tracking system named MyLeave. Taleo will be implemented by Oracle Consulting. The MyLeave custom application will be developed using PeopleSoft forms. SmartERP has been chosen as a system integrator to assist ES in the development of the custom CU time tracking system.

External System or Vendor Dependencies:

- Oracle Application Solution Center
- Oracle Consulting
- Oracle Support Services
- Ping Identity
- Phire. Will be implemented and upgraded to support PeopleTools 8.54 prior to HCM/FIN environments being upgraded to PeopleTools 8.54
- Microsoft SharePoint
- Campus help desks and IT partners
- Enterprise Portal. Will be upgraded in advance of HCM/FIN go-live to PeopleTools 8.54
- UIS Central Integration Broker Gateway. Will be upgraded in advance of HCM/FIN go-live to PeopleTools 8.54
- Automic. Will be patched or upgraded to support PeopleTools 8.54

Assumptions/Constraints:

- Phire, the application migration management tool will be utilized by the program.
- Tax table maintenance will be provided by Oracle through go-live. If support is not provided, CU assumes that maintenance can be performed by CU (manually) or a third-party vendor.
- A PeopleTools upgrade and images (i.e., patches) schedule for HCM and FIN will be established post-project (after November 2015).
- An environment strategy will constructed, deployed, and verified with ES and Finance. The environment strategy will include environments required for the upgrade, production, and post production.
- Additional hardware will be procured to support the development environments needed for the upgrade and post go-live.
- The program will use UIS development, naming, and technical standards.
- Where applicable, existing CU policies and procedures will drive decision making.
- Initial UIS staffing estimates were based on the information known at that time (October 2013). Upon completion of the functional design specifications (November 2014), staffing requirements will be reviewed for possible rebalancing.
- UIS will perform a concept/prioritization review and design review to ensure adherence to technical roadmap.
- Change control process will be established for both the project and post go-live to ensure the products continue to focus use on delivered functionality.
- Conversion of all PeopleSoft data into v9.2 is in scope and data retention will be reviewed before the upgrade scripts are executed.
- Web penetration is required as part of security sign-off.

- An assessment of the Program timeline based on results of planning and design phase will be performed in January 2015. Findings with be presented to the Leadership Team and Steering Committee to determine if dates itemized in the execution phase need to be modified.
- Per UIS project management processes, a fully-integrated program plan will show high-level handoffs from functional to technical and back to functional during the program to aid UIS planning months in advance.
- A double-upgrade approach for Finance (v8.4 to 9.2) and HCM (v8.9 to v9.2) is required.
- Databases for both applications will need to be upgraded in production from Oracle v11.2 to 12c.
- The HCM and Finance databases and codebase will be converted to Unicode with length semantic type of 'char'.
- PeopleSoft Upgrade Manager and associated components will be utilized for patching these 9.2 applications.

5. Risks

Risk exposure on the Elevate CU HCM/FIN Upgrade project will be reviewed throughout the life of the project. At these reviews, new risks will be identified and assessed, existing risks will be reviewed, progress on agreed-upon actions will be assessed and new actions will be identified and assigned owners where required. Below are some initial identified risks.

KNOWN PROGRAM RISK	PROBABILITY	IMPACT	POSSIBLE MITIGATION
Technical complexity of required double upgrade for both systems may cause the delivery of needed environments to be delayed and require more technical resources than anticipated.	Medium	• Impact on project schedule if environments are not delivered when needed.	• Engage the Oracle Upgrade Lab to manage the upgrade work.
Changes to scope and assumptions can impact go-live of November 2015.	Medium	• Impact on project resources, time, schedule and budget. • Go-live date of Nov 2015 becomes at risk. • Increase in project funding. • Increase in recurring funding	• Adjust scope or budget to meet target go-live. • Continue to assess resources and customization requests. • Limit or modify resources changes. • Get approval from Executive Sponsors to draw from contingency funding. • Increase funding. • Change go-live date.
Due to go-live being determined prior to completion of functional design and timeline creation there is a risk to the November 2015 date.	Medium	• Impact on project resources, time, schedule and budget	• Adjust scope or budget to meet target go-live. • Continue to assess resources and customization requests.
Vendors' availability for providing necessary resources and deliverables.	Medium	• Impact on project resources, time, schedule and budget	• Provide ample lead time for project planning. • Escalate when needed.

KNOWN PROGRAM RISK	PROBABILITY	IMPACT	POSSIBLE MITIGATION
Internal and campus resources availability can impact decision-making and project timelines.	Medium	• Signoff on business deliverables and decisions can be delayed	• Provide ample lead time for project planning. • Escalate, when needed.
Lack of change management plan to gather champions and address communication and on-premise application needs at all levels within affected campus departments.	Medium	• End-user customers and their managers are not bought into the upgrade and are displeased with systems	• Develop a change management plan and staff with the necessary change management resources that builds champions and buy-in throughout all levels of the affected departments. • Build change management and campus involvement into communications plan. • Actively seek IT champions on the respective campuses and encourage them to work with their functional counterparts on changes required from the anticipated data structure changes in the HCM/Finance and CIW applications.
The communication plan is limited by phases and does not provide a view of the whole project. This limits the ability to plan for long-range communication initiatives and potentially undermines the effectiveness of communications overall.	Medium	• Marketing and initiatives to gain long-term buy-in and support are not developed	• Build out high-level milestones in the project plans through the end of the project. • Leadership Team and Steering Committee document their expectations at each stage of the project. • Campus and internal customer involvement initiatives at the three functional levels fully documented through the end of the project.
Customer dissatisfaction.	Medium	• A customer may not state they are unhappy with a deliverable until after the fact, causing rework, impacting schedule, quality and/or cost	• Process on decision-making clearly articulated. • Key stakeholder signoff.

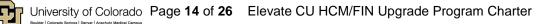| KNOWN PROGRAM RISK	PROBABILITY	IMPACT	POSSIBLE MITIGATION
External vendors with which we integrate continue to evolve and could make changes to their systems or required file formats during the upgrade project (Example: InfoEd upgrade).	Medium	• Business processes dependent on these systems could fail	• Existing systems transitions should be built into the upgrade project plans to reflect and ensure those transitions. • Proper communication with and among the vendors so both parties are aware of upcoming changes. • Following integration strategy in the future to minimize impact of changes.
Resistance to change.	Medium	• The project reverts to old practices, not leveraging technology and processes that have changed in the last 5-10 years • Negative impact on the ability to easily keep the systems current post go-live	• Strong processes in place to review non-delivered requests. • Steering committee and leadership team commitment to staying vanilla, where possible. • Recurring communication to users on the enhanced utility of the changes to them.
Moving to delivered functionality could decrease business efficiencies.	Medium	• Although the systems are easier to maintain and update, business offices may be burdened with more steps/work. • Dissatisfied workforce using the HCM/FIN solution	• Strong processes in place to review non-delivered requests. • Steering Committee and Leadership Team commitment to staying as delivered, where possible, but understands potential requests to maintain workforce efficiency. • Oracle engaged to assure efficiency lost by workforce is relayed to Oracle Development for potential change in future enhancements • Provide communication constantly and timely and in an engaging communication with key stakeholders from the campuses and System.

KNOWN PROGRAM RISK	PROBABILITY	IMPACT	POSSIBLE MITIGATION
Estimate of development effort required and resources needed is still maturing as the functional teams complete their Functional Design.	High	• Previous estimates given may not be accurate. More resources may be required. • Scope of Program may need to be reduced to fix into expected timeline. • Timeline of Program may need to be extended.	• Deliver functional specifications in required timelines. • Functionality not deemed critical for Nov 2015 delayed to Phase II. • Additional resources assigned to the Program. • Program timeline extended.
New technology being deployed may not work well together.	Low	• May require extra testing and the development of extensive work-arounds • May result in lost functionality • May result in loss of customer satisfaction	• Use of best software products in higher education industry for intended purpose. • Testing strategies and test cycles that mitigate the risk. • Software company support.
Program Staff Resources are being deployed from different organizations within CU.	Medium	• Resources may have conflicting duties (i.e. Program vs Production Support). • No backfill exists, program assignments may be delayed or perform to a lesser quality than expected.	• Dedication 100% during the project's timeline. • Contingency plan where supplemental assistance can be provided in a short timeframe. • Coordination of key university events (year-end fiscal close, open enrollment) on the program timeline.

6. Program Principles of Operation

The following Principles of Operation adopted September 19th, 2014 by the Steering Committee govern how the program team approaches each phase of the project and the work that is included in each phase.

1. Oracle/PeopleSoft software has made many advances in functionality since it was last upgraded and many of the customizations that were previously required are no longer necessary. To better understand customization needs, a detailed fit/gap analysis will be undertaken to understand the functionality of the software currently being used as compared to the HCM/FIN 9.2 versions. The outcome of this effort will be to gain a detailed understanding of what modifications to v9.2 will be required.

   Appropriate and adequate campus staff will be involved at a detailed level throughout this entire effort. If consensus cannot be reached that a PeopleSoft solution within a module will work to accomplish the business of the university, the team member(s) desiring to use a hosted solution, customization or integration must prepare and submit to the next higher governance group a

business case for a hosted solution or customization, using the approved template. The following is the submission and review process.

    a. The business case will include at least the following elements—desired solution, reason(s) campus or System business process(es) cannot change to fit the delivered solution, technical implications, security or risk analysis and total expected costs, both one-time and ongoing.

    b. Hosted solutions may be approved by the Steering Committee if these augment HCM/FIN or replace a PeopleSoft process that is generally considered not to be an industry best practice.

    c. All hosted solutions must have been tested and certified for use by the Office of Information Security.

    d. Business case review and approval/disapproval occurs at the Program Leadership level. If issues cannot be resolved at this level, they will be escalated to the Leadership Team level and / or the Steering Committee. The Steering Committee is the final approving body.

2. Reporting services for preset HCM/FIN and the CIW will be defined concurrent with the design phase of the project to assure full reporting capability within the aforementioned applications at go-live.

3. Project plans and milestones will be transparent.

    a. All plans and related work will be posted to the SharePoint site.

    b. Identified risks will be catalogued on the SharePoint site for regular review by the Steering Committee.

    c. Team members will alert all teams and organizations (including UIS, ES, OUC and PSC) to issues as soon as known.

4. Teams and committees will collaborate where work crosses their assigned functional boundaries to assure clear, accepted definitions and integrated approaches and to reduce the risk of costly or auditable error.

5. Teams and the Steering Committee will use generally-accepted meeting management techniques.

    a. Agendas with meeting objectives will be prepared and posted with supporting materials at least 24-hours before a meeting.

    b. Team or committee participants will read the materials before the meetings and be prepared to work on the meetings' desired outcomes.

    c. In project meetings, the chairs will support thorough discussion by all participants as equals.

    d. The Steering Committee and team members will prepare for and attend scheduled meetings.

    e. Substitutes are not permitted unless pre-approved; the absent team/committee member is responsible for catching up and completing any assignments.

    f. Minutes of the meetings' decisions and outcomes will be posted one business day following each meeting.

6. Executive Sponsors will meet with the Program Director no less than once every two weeks.

7. Executive Sponsors are the final authority for how Program resources are to be allocated.

7. Roles and Responsibilities

Title	Role	Name	Resource Manager (where appropriate)
Steering Committee	• Provides project oversight and budget reviews • Acts as final decision body for change and other project requests • Acts as communication body to President's team and campus CFOs • Sets the project's principles of operations and monitors to ensure the project adheres to those principles • Ensures buy-in throughout the organization • Approves final project plan coming out of design phase • Works with Program Manager to monitor progress • Provides the formal Go / No go decision • Conducts budget review and accountability • Protects the project from undue outside influence or changes • Resolves conflicts that extend beyond the Program Manager's control • May direct that a quality assurance review be performed • Clarifies scope questions • Manages the overall Oracle relationship in terms of pricing/contracts, escalations/issue resolution, etc. (led by Scott Munson)	See Governance Model (p. 29)	
Leadership Team	• Verifies scope of project • Ensures project execution to meet/exceed goals and success criteria • Makes decisions on change requests • Escalates to Steering Committee, where appropriate • Acts as communication body to Steering Committee • Represents and champions business process change, where needed • Acts as Risk and Issue escalation body for project teams • Reviews project status	See Governance Model (p. 29)	

Title	Role	Name	Resource Manager (where appropriate)
	• Reviews overall timeline		
Program Director	• Reports directly to Executive Sponsors • Responsible for overall articulation and ongoing management of project objectives, plans, processes and deliverables • Tracks progress of multiple project plans and consolidates key milestones and activities into an integrated plan, assuring points of integration are documented and acknowledged • Facilitates Project Manager (PM), Program, Leadership and Steering Committee meetings • Establishes and communicates objectives and priorities to Steering Committee, Leadership team and other constituents • Raises conflicts /issues within the project to senior management for resolution • Guides and supports individual project manager's efforts • Manages the Program Leadership meeting agenda • Manages the overall program budget • Assists in the acquisition of program resources • Provides strategic content and quality assurance, as needed • Performs program closing at the end of each phase	See Governance Model (p. 29)	• Jill Pollock • Geoff Barsch
Program Office Directors (HCM, FIN, UIS)	• Provides leadership to the program • Notifies project directors / managers of other projects / work, issues and risks that may impact project • Participates in initial planning until work packages or activities are assigned • Provides subject matter expertise • Approves final schedule during schedule development • Recommends changes to the project, including corrective actions • Manages activities that occur within their functional areas • Assists with problems related to team member performance	See Governance Model (p. 29)	• Lisa Landis (ES) • Robert Kuehler (FIN) • Bob Weir (UIS)

Title	Role	Name	Resource Manager (where appropriate)
	• Reviews/configures applications to eliminate customizations • Determines required integrations • Conducts fit /gaps and "deep dives" • Completes functional design documents • Leads the creation of test scripts • Determines and acquires data necessary to perform data reconciliation of data conversions • Leads unit, system, conversion, parallel and user acceptance testing • Ensures appropriate resources are assigned to construct and deliver training to HCM / Finance user community • Ensures adequate skillsets assigned to project that are in line with overall budget expectations • Determines go-live dates • Manages their functional area's speedtypes / budget • Ensures respective help desks (ES, Finance and UIS) are ready upon go-live		
Project Manager(s) (ES, Finance and UIS)	• Develops and tracks project plans, including timeline creation, level of effort estimates and dependencies • Provides project-level process development • Develops risk register and initiating mitigation, where applicable • Develops communication plan • Develops stakeholder register • Facilitates communication throughout the project • Measures and manages project performance (issues and risk tracking, change requests, status of deliverables and milestones) • Consolidates documentation (fit/gap) • Tracks budget tracking per project phase • Reports on project status • Conducts resource tracking per project phase • Influences the project team and the atmosphere in which the team works	See Governance Model (p. 29)	• Lisa Affleck (ES) • Vickie Martin (FIN) • Ridawn Cummings (UIS)

Title	Role	Name	Resource Manager (where appropriate)
	by promoting good communication and resolving team issues • Identifies and analyzes constraints and assumptions • Identifies dependencies among activities • Owns the project timeline for their functional area and understands how to handle situations when schedules become unrealistic • Determines and delivers required levels of quality • Defines the project change management plan • Uses metrics to see variance and trends in project work • Keeps the teams focused on risk management throughout the project and developing possible responses to risks • Performs project closing at the end of each phase • Determines the resources needed and works within department to ensure their availability • Ensures all roles for the project are clearly articulated • Reviews team deliverables		
UIS Technical Lead	• Manages UIS development managers for the Program • Reports to UIS Project Manager • Owns responsibility for the environment strategy • Reviews and offers input into other UIS strategy documents – Integrations, Reporting, Access, Customization Process • Reviews and offers input into all recommended technical changes during the project • Provides advice on automated testing tools and approaches, but not responsible to define processes, implement, and/of rollout, specifically, for functional testing • Provides advice on integration methods and approaches • Advises the Leadership and Steering	Jill Ibeck	Julie Sharpe

Title	Role	Name	Resource Manager (where appropriate)
	Committee, as needed • Acts as technical contact for the Oracle Upgrade Lab • Works closely with UIS Cross Application and ECS managers to align project needs and skills with the project plan • Engages UIS Project Manager to deliver updates, risks and support the project management process • Acts as advisor to potential functional process changes/customizations • Engages other campus technical teams, sharing information and lessons learned, potentially improving the project's technical solutions • Acts as UIS liaison in partnership with UIS PM between HCM and FIN functional teams		
HR Module Teams ▪ Payroll ▪ Benefits /Ben Admin ▪ Profiles ▪ Taleo ▪ Self Service ▪ HR-GL ▪ Time Collection	• Organizes and conducts design sessions with campus key subject matter experts • Configures demo and upgrade environments as necessary for presenting prototypes levels of quality and supporting development and testing • Understands delivered functionality and impact analysis on desired customizations • Reviews the data and new functionalities in HCM 9.2 to determine what should be used in the upgraded system • Reviews current business processes against delivered functionality • Provides feedback on 9.2 product functions to Project team • Conducts fit/gap analyses of all business functions and design mitigation strategies • Completes detailed functional design specifications for all identified interfaces, configurations, customizations, conversions, and reports • Recommends potential change requests • Documents test conditions and creates test scripts for system and user	HCM / Employee Services specialists See Stakeholder Register*	

Title	Role	Name	Resource Manager (where appropriate)
	acceptance testing • Works closely with the application development team to support technical design specification requirements and unit testing • Leads system test and user acceptance testing • Develops test plans and performs testing, including parallel payroll testing • Develops training materials • Assists with cutover procedures		
HRMS Advisory Group (HR and campus users)	• Coordinates and recommends changes to the systems and processes that impact users of the systems	See the Stakeholder Register*	
FIN Advisory Board (FIN and campus users)	• Coordinates and recommends changes to the systems and processes that impact users of the systems	See the Stakeholder Register*	
HCM and FIN Focus Group	• Acts as campus-led group to determine what impact the change will have on the campus, if the system meets their needs, how their current needs can be better met, etc.	See the Stakeholder Register*	
Finance Module Teams ▪ General Ledger & Commitment Control ▪ Payables & Purchasing ▪ Grants & Contracts ▪ Project Costing ▪ Billing & Receivables ▪ Assets ▪ Cash Management	• Organizes and conducts design sessions with campus key subject matter experts • Configures demo and upgrade environments as necessary for presenting prototypes levels of quality and supporting development and testing • Understands delivered functionality and impact analysis on desired customizations • Reviews the data and new functionalities in Finance 9.2 to determine what should be used in the upgraded system • Reviews current business processes against delivered functionality • Provides feedback on 9.2 product functions to Project team • Conducts fit/gap analyses of all business functions and design mitigation strategies • Completes detailed functional design specifications for all identified interfaces, configurations, customizations, conversions, and reports	Finance / OUC specialists See the Stakeholder Register*	

Title	Role	Name	Resource Manager (where appropriate)
	• Recommends potential change requests • Documents test conditions and create test scripts for system and user acceptance testing • Works closely with the application development team to support technical design specification requirements and unit testing • Leads system test and user acceptance testing • Develops test plans and performs testing, including parallel payroll testing • Develops training materials • Assists with cutover procedures • Provides leadership in the on-going activities of the functional area help desk		
Communications Team (part-time)	• Supports overall project communications • Takes lead in functional area and global initiative communications • Meets with PMs and Project Director regularly to identify communications needed within each functional area • Collaborates on all global and campus involvement communications and marketing initiatives • Champions communications best practices within department and across project teams, including communications planning and implementation • Coordinates, writes and repurposes content for appropriate audience and venue • Collaborates with each other for impactful communications and marketing initiatives • Develops project communications tools, including communications process, plan and stakeholder register	Employee Services Office of the Controller UIS See the Stakeholder Register*	
UIS Application Development	• Provides technical support to functional teams as needed through all phases of the project • Participates in training and collaborates with functional teams to support business process or technical solutions	HCM and Finance Application Development Team See the Stakeholder Registry*	

Title	Role	Name	Resource Manager (where appropriate)
	to meet business needs • Completes high-level design review, providing technical impact and effort required • Completes detailed technical specification upon receipt of functional design documents and refining effort estimates, as needed • Completes development and unit testing, as needed, while adhering to UIS processes for development (e.g., CPR, DRT) • Tracks and reports progress, as needed, to UIS project manager and advises when information should be added or edited within the timeline • Collaborates with groups within UIS to represent business needs and complete application development • Provides risk information in planning phase and throughout execution (build) of project • Creates and provides tasks representing technical requirements for the project timeline with hours of effort and dependencies • Inputs and updates issues, as needed, into chosen tracking system • Develops thorough documentation • Creates and executes the project Integration strategy to align to UIS standards • Creates and executes the Reporting strategy to align with UIS standards • Creates and executes the access management strategy to align to UIS and campus standards • Attends project team meetings, as requested • Complies with quality and communications plan	Cross-Applications Team • Integrations • IRM • IDM • IAM/Application Security • Portal • DM • Production Services	
UIS ECS Group (part-time)	• Executes the project environment strategy to align with UIS standards • Completes high-level design review for infrastructure, PS Administrator and DBA tasks, providing technical impact and effort required • Completes environment builds and patching, as needed, while adhering to UIS processes	• Tony Brooks • David Lowry (and infrastructure staff) • Avery Nelson • Eric Bolinger (PS Admin) • Karthik Chigururu (DBA)	• Scott Munson

Title	Role	Name	Resource Manager (where appropriate)
	• Provides tasks and effort required to support an accurate timeline • Tracks and reports progress, as needed, to UIS project manager and advises when information needs to be added or edited within the timeline • Provides risk information in planning phase and throughout execution (build) of project • Inputs and updates issues, as needed, into chosen tracking system • Develops thorough documentation		
Testing Lead	• Conducts the multiple test cycles and phases requested at the Program level, including (but are not limited to) unit testing, systems testing, conversion testing, regression testing, and parallel payroll testing and cutover testing	Finance Fran Chapman ES Janelle Fossett	Vickie Martin (FIN) Lisa Affleck (HCM)
Training Lead	• Administers / manages the processes associated with training the Elevate constituents.	Finance Lisa Vallad ES Janet Lowe Margaret Haith	Robert Kuehler Lisa Landis
Development Managers (HCM and FIN)	• Assigns and manages specific deliverables to UIS developers within the HCM/FIN PeopleSoft team • Engages UIS Project Manager to deliver updates, risks and support the project management process • Defines tasks, effort and dependencies as assigned by the UIS Project Manager • Monitors HCM/FIN development quality and deliverables during the project • Acts as Subject Matter expert in PeopleTools • Acts as advisor for potential functional process changes/customizations	UIS Srikanth Gurram (HCM) Keith Carpenter (FIN)	Julie Sharpe
Change Management Lead	• Applies a structured methodology and leads change management activities • Assesses the change impact • Completes change management assessments • Creates change management strategy • Identifies and manages anticipated resistance • Consults and coaches project teams • Creates actionable deliverables for the	To be determined	

Title	Role	Name	Resource Manager (where appropriate)
	five change management levers: communications plan, sponsor roadmap, coaching plan, training plan and resistance management plan. • Supports communication efforts • Supports training efforts • Supports and engages senior leaders • Supports organizational design and definition of roles and responsibilities • Integrates change management activities into project plan • Evaluates and ensures user readiness • Manages stakeholders • Tracks and reports issues		

*The Stakeholder Registry can be found at the following wed address:

https://sharepoint.cu.edu/sites/CUSYS/services/FINHRUpgrade/Shared%20Documents/Core%20Team%20Collaboration/Program/hcm_fin_stakeholder_register.xlsx

8. Project Governance