OE PROJECT CHARTER TEMPLATE

PROJECT NAME:	Operating Principles
PREPARED BY:	Kia Afcari
DATE (MM/DD/YYYY):	04/20/2012

PROJECT CHARTER VERSION HISTORY		
VERSION	DATE (MM/DD/YYYY)	COMMENTS (DRAFT, SIGNED, REVISED – CURRENT STATUS)
1.0	04/16/2012	

DOCUMENT PURPOSE

The Project Charter documents the formal conversation between the Project Sponsor and the Project Manager/Team, including the definition of success for the project.

Once approved, the Project Charter communicates the current agreement between the Project Sponsor and the Project Team throughout the lifecycle of a project. The Charter provides a high-level overview of the project including the definition of project success, and project resource (people and funds) requirements.

Requests and additions to the project scope are considered "out-of-scope" for the current project. When a scope change is required, document a change request that includes an impact analysis of project cost, resources, schedule, and risk. The Project Sponsor then formally approves the scope change request.

The project manager will retain additional documents that provide detail on the management of the project, including a communications plan, an issues log, a risk log, a change management plan, a budget, and a work schedule.

REVIEW & APPROVAL

(The Project Sponsor signature indicates approval of the Project Charter, and authorizes the Project Manager/Team to use identified resources to proceed with the detailed planning and execution of the project; using this charter as guide.)

PROJECT SPONSOR(S) NAME	SIGNATURE	DATE
John Wilton		

CASE FOR CHANGE
(What is the Current Situation?)

Our vision for UC Berkeley is: *World class research, teaching, and service supported by world class systems, processes, and people.* But, while Cal has consistently delivered on the first half of that vision for over 140 years, our administrative operations have fallen short—despite the often heroic efforts of a hard-working and dedicated staff. If the University is to maintain its focus on access and excellence, the administrative functions needed to support that mission must perform at high levels.

In a recent staff survey*, 60% of respondents do not believe that UC Berkeley is an effective organization and 85% believe that significant change is necessary.   One focus group participant lamented, "Berkeley is the spiritual home of mindless bureaucracy."

While many OE projects are focused on improving systems, processes and efficiency, without a corresponding high performance culture to support these efforts, their success will be limited.   The Bain & Company Final Diagnostic report named the following

aspects of Cal's culture to address:

- Analysis over action
- Critical culture
- Weak performance management processes

The report went on to name the development of a "high performance culture" as a critical enabler to the success of Operational Excellence.

*Bain & Company Final Diagnostic Report.

PURPOSE
(What problem will be solved by the project? What value does this project add to the organization? How does this project align with the strategic priorities of the organization? What benefits are expected once the project is completed?)

The key **problems** that the Operating Principles project address are:
- Often inefficient and/or ineffective operational services that are meant to support the academic mission of the University
- A lack of useful principles across administrative functions that define high performance and are aimed at guiding behavior
- A lack of concise touch points that can be used measure unit and individual performance

This project aligns with the UC Berkeley's **strategic priorities** (Access & Excellence) by:
- Naming and promoting a culture that provides the operational support necessary to ensure access and excellence

The added **value and benefits** of the project include:
- The largest data set ever collected on what the campus community means by high performance culture
- Simple, memorable and useful "mantras" that can guide decision-making across the organization
- Units use principles to drive change/innovation from within (bottom up)
- Common expectations (more powerful than rules) that can be used to measure unit and individual performance
- Hiring teams use principles to gauge "cultural fit" of candidates
- Service is improved for end-users

RESULTS
(What does success look like? How do we know that the problem described above is resolved? This typically involves clarifying metrics for operations once the project is completed.)

#	SUCCESS MEASURE
1	**Campus Input:** 10,000 staff, faculty & student reps. provide input on OPs with at least 10% of each control unit represented.
2	**Institutional Agreement:** Approval of OPs by the OE Executive Committee and the VCAF by the end of 2012.
3	**Awareness:** At least 40% of staff surveyed are aware of the OPs and can name at least two of the OPs by June 2013.
4	**Embedding:** OPs are embedded into every part of central administration's HR cycle, in unit metrics and present in at least 30% of all staff training and development offerings delivered by COrWE by October 2013.
5	**Adoption:** At least 20% of control units (early adopters) report hosting a "culture retreat" and using the OPs to guide performance management and innovation by October 2013.
6	**Benchmarking:** Staff/faculty/student perceptions on how we are doing on living up to the OPs are assessed yearly.

SCOPE

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(The scope defines the boundaries in terms of where the project begins and ends. The scope describes what will be delivered - where, when, and how. It describes the services, functions, systems, solutions, or tangible products for which the sponsor will take delivery.)

Key elements of our scope include:
- Reviewing existing research on large-scale culture change in organizations
- Developing and refining an initial draft of OPs through focus groups and input from campus constituencies
- Building a steering committee and project team
- Vetting potential OPs with staff/faculty groups and OE teams (CAO, AFLG, COD, GA, ASUC, ABOG, COSO, BSA, unions, Student Affairs Cabinet, CC2, CSAC, etc.)
- Hosting a proof of concept Ideation/Open Space event utilizing Computer Service Corporation and Imaginatik Software
- Creating a case for change video
- Creating a Cal CultureJam website with viral video inviters campaign
- Carrying out a broad-based marketing campaign encouraging a diversity of voices from thousands on campus to attend the Ideation/Open Space event
- Hosting the full-scale Ideation/Open Space event: **Cal CultureJam**
- Processing the data/findings from the Ideation
- Presenting findings and a revised set of OPs to senior leaders for approval
- A description of each Berkeley Operating Principle" in action".
- A 5 year roadmap for cultural change: including activities, roles, systems, etc.
- Embedding OPs into the entire HR cycle
- Embedding OPs into training & development offered by COrWE
- Training "culture facilitators" and hosting "culture retreats" throughout campus to encourage use of the OPs
- Creating a website where OPs are highlighted and videos/stories of their use are spread virally
- Institutionalizing a system to gather perceptions about how campus is doing on living up to the OPs yearly

PROJECT CONSTRAINTS & ASSUMPTIONS
(List the known and anticipated constraints, and the initial assumptions for the project.)

#	NAME
	Assumptions
1	Culture is more powerful than rules in changing behavior because social control amongst peers is more powerful than formal control.
2	This effort is about administrative and operational culture, not academic culture.
3	It is possible to institute a singular administrative culture across units despite the highly decentralized nature of the University and the presence of existing value statements in many units.
4	The culture will be sufficiently strong, strategically relevant and focused on innovation to affect behavior.
5	Crowdsourcing Operating Principles to thousands on campus will produce better results and more buy-in.
6	Managers and leadership on campus will actively promote and act in accordance with the OPs lest the OPs be used against them.
7	Pro-bono consulting and tools will be offered by CSC and Imaginatik to host the Ideation. Funds for the marketing and hosting of the event will be provided by the OE Executive Committee.
	Constraints
1	The decentralized and non-hierarchical nature of campus will mean that very little of what is proposed will be mandatory.
2	Units may not make time for their employees to attend the Ideation or host "culture retreats" to embed the OPs into their practice.
3	Since HR and training functions are decentralized, it will be difficult to embed the OPs into hiring, onboarding, training,

	and performance management systems across campus.

PROJECT MILESTONES & DELIVERABLES
(List the major milestones and deliverables of the project.)

MILESTONE	DELIVERABLES	DATE
Steering Committee and Project Team Formed	Standing meeting schedule, Charter, Assessment Plan, Communication Plan, Resource Request	May 2012
Test-run Ideation	Lessons learned for Ideation	June 2012
OPs website with viral video campaign inviting campus to Ideation	Website launched	June 2012
Input gathered from LDP team, OE teams, CAOs, AFLG, CODs and other staff groups	LDP Final Report, Focus group findings, OPs 2.0, OPs 3.0	July 2012
Ideation	Ideation findings	September 2012
OPs approved by OE Executive Committee/Chancellor	Finalized OPs	October 2012
Plan for embedding OPs	Roadmap for Cultural Change	November 2012
OPs embedded in HR cycle	Trainings for HR managers, materials for HR managers, Process map for embedding	December 2012
OPs embedded in COrWE offerings	Training of trainers, curriculum for OPs	February 2013
Engaging "Culture Facilitators"	Training of trainers, curriculum for "culture retreats", culture retreats held	February 2013—October 2013
Stories of change	Viral video campaign: "How we use the OPs", stories published on website	March 2013

IMPACT STATEMENT
(List the impact this project may have on existing systems and populations.)

POTENTIAL IMPACT	WHAT AND WHO IS IMPACTED	RATING (1-5) 1:Low |3: Med | 5: High
HR: (recruiting, hiring, onboarding, performance evaluation, training)	HR Managers, Metrics team, COrWE and supervisors across campus are embedding OPs in their work	4
Messaging of the OPs is frequent and consistent over the course of 5 years by campus leaders	Chancellor, VCs, Deans, AVCs, etc.	3
Supervisors allow time for staff to attend IDEATION	Supervisors across campus	2

FINANCE DESCRIPTION
(Provide a high level narrative overview on the estimated investment requirements, the savings targets, and the ongoing funding model.)

Funds will be needed for:
- Marketing, video production and event costs for the Ideation
- A project website
- Staff and travel costs for CSC consultant (Imaginatik software provided for free)

- Consultant costs for Open Space Technology Consultant
- A total of 2.0 FTE staff release time (50% FTE for 4 staff) for project team: IDEATION event planning, marketing/outreach, etc.

No ongoing funds will be needed for project. Savings targets will be hard to pinpoint as savings will likely be characterized as soft savings (reduced costs in hiring/retaining staff, increased effectiveness and efficiency of current staff, etc.).

RISKS
(Identify the high-level project risks and the strategies to mitigate them.)

RISK	MITIGATION STRATEGY
Low participation or non-solution based responses at the IDEATION.	Work closely with CSC consultant, taking advantage of his expertise. - Ensure a broad network of champions and inviters has spread the word about the Ideation - Craft a united video invitation from Chancellor, VCAF, Chair of Academic Senate and ASUC President - Carry out grass-roots marketing - Assess proof-of-concept Ideation and incorporate learning into campus-wide Ideation
Insufficient support of Chancellor and other campus leaders.	Obtain commitment of Chancellor and cabinet before proceeding with the campus-wide Forum and remaining work steps. - Presentation to Cabinet - Inclusion of SLPM participants in POC Ideation and follow-on focus groups. - Focus appropriate modules of the SLPM on the importance of organizational culture
Insufficient staff resources to mainstream the Berkeley Operating Principles throughout the culture.	Obtain senior leadership commitment to resource requests. - Dedicated professional staff member responsible for Berkeley OPs implementation plan, and associated funding. - Redirection of critical staff resources - Cultivate continued buy in from HR, COrWE, and supervisors in units - Train cadre of 25 "culture facilitators" who will carry out culture retreats with units

COMMUNICATION
(Highlight the communication requirements between the Sponsor, the Key Stakeholders and the Project Team, including the frequency of check-ins, project reviews, and status reports (in person and written).)

- Monthly Steering Committee meetings
- Monthly meetings between sponsor and project manager
- Weekly meeting with project manager and project team

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APPENDIX A - PROJECT ROLES & RESPONSIBILITIES

Name the members of the project team.

PROJECT SPONSOR: Provides overall direction, guidance, and funding for the project. **RESPONSIBILITIES** include setting the vision and strategic direction, approving the project charter and plan; securing resources for the project; confirming the project's goals and objectives; keeping abreast of major project activities; making decisions on escalated issues; and assisting in the resolution of roadblocks.	
NAME	John Wilton
NAME	(Ann Jeffrey)

FUNCTIONAL OWNER: Manages the impact of the project in their functional area. **RESPONSIBILITIES** include ensuring agreed-upon project tasks and deliverables are completed, incorporating the views of their customers, providing functional expertise in a particular area, articulating requirements, and working to ensure that business needs are met.	
NAME	John Wilton

PROJECT MANAGER: Leads the team in planning and implementing the project from initiation to closure. **RESPONSIBILITIES** include scope and change management, keeping the project plan current (deliverables, schedule, and resources), issue and risk management, maintaining project documents, reporting project status, and facilitating conflict resolutions within the project and between cross-functional teams..	
NAME	Kia Afcari

The **PROJECT STEERING COMMITTEE** includes key stakeholders and subject matter experts. **RESPONSIBILITIES** include providing guidance on key issues.	
NAME	Rich Lyons
NAME	Jeannine Raymond
NAME	Liz Elliot
NAME	Phyllis Hoffman
NAME	Barbara Broque
NAME	Jeff Urdahl
NAME	Jennifer Chizuk
NAME	Sid Reel
NAME	Moira Perez
NAME	James Dudek
NAME	Christina Maslach

A **SUBJECT MATTER EXPERT (SME)** provides expertise on project elements including business process and current or new

technical solutions.

RESPONSIBILITIES include maintaining up-to-date experience and knowledge on the subject matter, validating recommendations, and providing advice on what is critical to the performance of a project task.

NAME	Jennifer Chatman

Describe the roles and responsibilities of the project participants.

PROJECT TEAM MEMBERS

RESPONSIBILITIES include
- understanding the work to be completed, completing the research, data gathering, analysis, and documentation,
- informing the project manager and team members of issues, scope changes, risks, and quality concerns, and
- proactively communicate status and manage expectations.

NAME	Melanie Hurley, OEPO	ROLE	marketing and communications
NAME	_____, ITS	ROLE	IT Support/Hardware
NAME	_____, Public Affairs	ROLE	event logistics
NAME	Mindy McDaniels, OEPO	ROLE	Project Management
NAME	____	ROLE	web design
NAME		ROLE	
NAME		ROLE	

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APPENDIX B – OPs Input Map

OPs Input Map