

Kuali Ready Project Charter

Prepared for Kuali Ready Project Board

November 2009

Document Revision History

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1 **Overview**

2 ***Purpose of this Document***

3 This charter provides a description of the Kualu Ready Project, defining its scope, objectives and
4 overall approach. It serves as the agreement between the Kualu Foundation, the Project Board
5 and the project participants, stating what the project is committed to deliver and outlining the
6 deliverables, time constraints, roles and responsibilities, resources, and standards.

7 The Charter serves as the baseline reference document for the Kualu Ready Project, against
8 which all Change Requests will be assessed and measured. Taken together, the Project Charter
9 and Change Requests will define the scope of the project and the service that the Project will
10 deliver. A secondary purpose of this Charter is to document the overall organizational structure
11 that will be used to govern the Kualu Ready Project.

12 The Project Charter is the first point of reference for all personnel on the Kualu Ready Project. As
13 a team, we share the responsibility to ensure that we follow the practices outlined in the
14 Charter. We also have additional responsibility to make recommendations for improving the
15 way the Kualu Ready Project team functions. Feedback is encouraged and appreciated.

16

1 ***Project Charter Approval***

- 2 The signature of the Kualu Project Board Members below indicates that this document has been
3 reviewed in full and that the Members are in agreement with the items included.

Board Member	Signature	Date
Mark Bruhn <i>Associate Vice President for Assurance and Public Safety Indiana University</i>		
Robert D. Cook <i>Chief Information Officer University of Toronto</i>		
Grace Crickette <i>Chief Risk Officer The University of California</i>		
Ted Dodds <i>Vice Provost, Information Technology The University of British Columbia</i>		
David J. Kahle <i>Vice President for Information Technology & CIO Tufts University</i>		
Ronald H. Rash <i>Senior Director, Administrative Information Services The Pennsylvania State University</i>		
Matthew Coombs <i>Director of Systems Management, Information Technology San Joaquin Delta College</i>		
Ken Wozniak <i>Assistant Vice President, Administrative Information Services University of Southern California</i>		

4

1 **Project Objectives**

2 ***Mission***

3 The mission of this project is to deliver a sustainable Kuali service that supports business
4 continuity planning for higher education. One or more hosting institutions will deliver the
5 service, through the Kuali Foundation, to subscribing higher education institutions or board-
6 approved sponsored entities. As a Kuali project, the service will use the legal umbrella of the
7 Kuali Foundation, adhere to the Kuali licensing guidelines, and where practical, use the Kuali
8 middleware, infrastructure, tools, and processes.

9 ***Project Objectives***

- 10 1. Deliver a service to subscribing institutions according to the Service Level Agreement
11 (SLA) included in Attachment A.
- 12 2. Deliver the service as cost-effectively as possible given the requirements of the agreed
13 upon SLA and recover only those costs necessary for the delivery and development of
14 the Kuali Ready service.
- 15 3. Provide a governance structure (as part of the Kuali Foundation) that manages scope,
16 resources, and timelines. The governance structure will act as the steward of the service
17 and ensure that it is delivered effectively.
- 18 4. Provide a service accessible via the web with components that adhere to Kuali
19 Foundation architectural standards for interoperability.
- 20 5. Ensure that the service is sustainable over time. Consider and work to develop
21 enhancements that the Kuali Ready Project Board approves, and always incorporate
22 sustainability into the service's financial model.
- 23 6. Promote the adoption and deployment of the Kuali Ready service by a wide variety of
24 international educational institutions.
- 25 7. Provide a healthy ecosystem for commercial partners to participate in the delivery or
26 support of the Kuali Ready service.
- 27 8. To ensure that intellectual property and license compliance with Kuali Foundation open
28 source and community development practices are maintained throughout all Kuali
29 Ready service delivery and development.
- 30 9. To build a community of interest around excellent common solutions delivered as a
31 service.

1 ***Success Criteria***

- 2 1. Delivery of phases, work effort, internal and public releases, in scope and timeline, as
3 agreed upon by the Board.
- 4 2. Delivery of the Kuali Ready service by the hosting institutions according to the
5 expectations set forth in the Service Level Agreement specified in this document.
- 6 3. Adoption of the service by higher education institutions of varying types and sizes, with
7 steadily increasing rates of adoption as the project progresses.
- 8 4. A high percentage of subscribers successfully deploy the service at their institution and
9 realize its benefits.
- 10 5. The cost of providing the service is within the expectations of the Board and the
11 subscribing institutions.
- 12 6. A viable support community is in place: procedures are in place to submit and evaluate
13 service issues and enhancements, and functional owners of business continuity at each
14 subscribing institution are collaborating to support Kuali Ready.

15 **Scope and Timeline**

16 ***Project Scope***

17 The overall scope of the project is to deliver the Kuali Ready service at the level specified in the
18 Service Level Agreement. The general description of the service being provided is below:

19 **Kualि Ready Service**

20 The Kuali Ready service is an easy-to-use continuity planning tool – a web-based questionnaire
21 that leads the user through a structured interview, providing the necessary help and
22 information, to produce a departmental continuity plan including a series of action items
23 designed to make the department more ready for a disruptive event.

24 Through a detailed administrative interface, the service is highly customizable for every
25 participating institution, to accommodate for differences in organization, terminology,
26 procedures, or policy. Furthermore, Kuali Ready can integrate with local authentication
27 providers using federated identity management, eliminating the burden of local account
28 management. Non-federated authentication/account management will also be provided.

29 ***Timeline***

30 The Kuali Ready service will be available for Founders to conduct internal review and testing no
31 later than January 2010 with public release targeted for subscribers later in the first quarter of
32 2010. As the service development effort enters QA, the hosting institutions will work with the
33 Kuali Ready Board to engage early adopters in testing and deployment activities.

1 **Governance and Roles**

2 The governance structure will be comprised of the following groups and roles:

3 ***Project Board***

4 Each founding partner shall have one seat on the Project Board. The board provides overall
5 guidance to the project, ensures that the elements of the Project Charter are met, and assists
6 when issues arise that cannot be addressed by other groups. This project is part of the Kual
7 Foundation, and as such, the Project Board resolves Kual Ready Project disputes for the Kual
8 Foundation Board. A Chair and Vice-Chair shall be elected by the Board for a one-year term. The
9 Chair, or Vice-Chair in the Chair’s absence, shall convene meetings, manage agendas, hold votes
10 as needed, and ensure communication transparency. The Project Board is also responsible for
11 allocating the funds in the Development Bank to future enhancements of the Kual Ready
12 service. Board participation is limited to one member per institution; however, one alternate
13 board member per founding institution may also be named to substitute for the named board
14 member when necessary.

15 ***Hosting Institutions***

16 The hosting institutions are responsible per Hosting Agreement (Appendix C) for fulfilling the
17 requirements of the Service Level Agreement and delivering the Kual Ready service to
18 subscribers through the Kual Foundation. As the service providers, communication among the
19 hosting institutions and with the Project Board is vital. Performance of the hosting institutions
20 will be evaluated annually by the Project Board.

21 ***Service Delivery Council***

22 The service delivery council reports to the Project Board and is comprised of the technical
23 personnel from each hosting institution who are responsible for service delivery. A Chair and
24 Vice-Chair shall be elected by the Project Board for a one-year term. The purpose of the service
25 delivery council is to construct and maintain a service delivery architecture that meets the
26 requirements of the Service Level Agreement and to regularly report to the Project Board on
27 the service delivery metrics specified therein. The service delivery council will contain as many
28 members as required to effectively coordinate service delivery.

29 ***Architectural Review Workgroup***

30 Each founding institution will appoint a representative to an annual architecture review to
31 confirm the architectural roadmap for the delivered service.

32 ***Functional Council***

33 The functional council will be comprised of one functional representative for business
34 continuity planning from each founding institution, and is responsible for collecting, assessing,
35 and prioritizing feature development. A Chair and Vice-Chair shall be elected by the Project
36 Board for a one-year term. At an appropriate time, the functional council shall create a
37 functional community group as described in Appendix D.

1 ***Local Point of Contact***

2 Each subscribing institution is responsible for the implementation of the Quali Ready service at
3 their institution, and must assign a local point of contact for the service. Each subscribing
4 institution is responsible for configuration, rollout, communication, and promotion of Quali
5 Ready according to the continuity planning needs of their organization. In addition, the local
6 point of contact provides Tier 1 (basic triage) support for local end-users of the service and
7 forwards technical or functional issues, as necessary, to service support.

8 **Change Management / Development**

9 ***Change Management***

10 The Quali Ready Project Board controls scope and service delivery with the Project Charter and
11 the Change Request procedure. The Project Charter specifies the original agreement between
12 the Project Board and the Hosting Institutions in the Hosting Agreement (Appendix C). Change
13 can be defined as anything that affects the Service Level Agreement or requires modification of
14 the Quali Ready code base. The Change Request Procedure is outlined below:

15 **Change Request Procedure**

- 16 1. A team member identifies a need for a change. "Team member" includes any member
17 of the Project Board, Service Delivery Council, or Functional Council.
- 18 2. The member fills out the Change Request form, first describing the proposed change
19 and then enumerating the reasons for it. The change is submitted to the Chair of the
20 Functional Council and is logged in the Change Request log.
- 21 3. The Chair of the Functional Council reviews the change request and assigns the change
22 to the Functional Council or the Service Delivery council for an impact analysis. The
23 impact assessment must consider how the change will affect the service delivery both
24 positively and negatively and how the change will affect the one-time and ongoing
25 financial costs of providing the service.
- 26 4. Following the assessment, the Project Board will review the impact analysis and make a
27 decision on how to proceed. The Change Request will be designated as "approved",
28 "closed", "deferred", or "rejected". The decision rationale will be documented in the
29 Change Request log.
- 30 5. If the change is approved, the work required to make the change will be incorporated
31 into the project plan and the service registry.

1 ***Development***

2 **License Management**

3 A key part of the vision for Kualu Ready is the concept of community source development. The
4 community source model will allow universities and colleges to leverage their system
5 development resources, to share the results of their work with other institutions, and to take
6 advantage of work done by others. The community source model increases return on
7 investment, and provides a formal, tested, framework to support the traditions of sharing and
8 cooperation, which are an important part of the higher education world.

9 The Kualu Foundation uses various licenses to distribute software and documentation, to accept
10 regular contributions from individuals and organizations, and to accept larger grants of existing
11 software products. These licenses, and the Kualu Foundation Intellectual Property (IP)
12 management practice, help to achieve the goal of providing reliable and long-lived software
13 products through collaborative open source software development. In all cases, contributors
14 retain full rights to use their original contributions for any other purpose outside of Kualu while
15 providing the Foundation the right to distribute and build upon their work within Kualu.

16 Kualu Ready, as part of the Kualu Foundation, will use the Educational Community License V2.0.
17 The Educational Community License (ECL V2.0) consists of a set of copyright licensing terms
18 that may be found at <http://opensource.org/licenses/category>. The ECL was certified by the
19 Open Source Initiative in June of 2007.

20 The Kualu Foundation believes that open-open licensing is fundamental to achieving the goals of
21 the Kualu Community. The ECL is open-open because it permits unrestricted, use, modification,
22 and distribution without a copyleft provision to require downstream modification to carry the
23 same terms. The ECL is fundamental to achieving the goals of the Kualu Foundation and
24 supportive of collaborative development across both nonprofit and commercial organizations.

25 **Contributions to Code Base**

26 Contributions to the Kualu Ready code base are welcome from all institutions. The Project Board
27 designee will review all requests to integrate local code base modifications according to the
28 Change Request Procedure. Local code base modifications will be merged into the official
29 Project code base according to the licensing management provisions specified above.

30 **Project-Sponsored Development**

31 The Project Board is authorized to spend development funds from the Project budget to
32 enhance the Kualu Ready product. Furthermore, individual Board members may choose to
33 contribute additional funds to parallel development efforts for features or functionality.
34 Project-sponsored development will be conducted by an organization appointed by the Board,
35 and changes to the code base will occur according to the licensing management provisions
36 specified above.

1 **Project Funding**

2 ***Funding Model***

3 **Service Funding**

4 In the interest of promoting new participation in the Kuali Foundation and encouraging current
5 Kuali member schools to participate fully, Kuali Foundation members will receive a discount per
6 the rate structure for the Kuali Ready service (Appendix E).

7 Furthermore, subscribers who are members of the Kuali Foundation may sponsor secondary
8 subscribers to participate at a reduced rate per the rate structure for the Kuali Ready service
9 (Appendix E). These secondary subscribers have their own service instance but are not eligible
10 for participation in the Project Board, Service Delivery or Functional Councils.

11 **Board Funding**

12 The initial investment for founding partners shall be assessed at USD\$10k/year year for two
13 years in order to participate on the Project Board plus the additional annual assessment for
14 service operation at the Kuali member rate established above. After two years, a founding
15 partner who chooses to remain on the Project Board will continue to be assessed at the annual
16 rate.

17 **Limited Financial Liability of Founders**

18 Regardless of the service costs, the financial liability for founding partners shall be limited to no
19 more than USD\$20k per annum.

20

1 **Appendix A – Service Level Agreement**

2 ***Service Description***

3 The Kuali Ready service is an easy-to-use continuity planning tool – a web-based questionnaire
4 that leads the user through a structured interview, providing the necessary help and
5 information, to produce a departmental continuity plan including a series of action items
6 designed to make the department more ready for a disruptive event.

7 Through a detailed administrative interface, the service is highly customizable for every
8 participating institution, to accommodate for differences in organization, terminology,
9 procedures, or policy. Furthermore, Kuali Ready can integrate with local authentication
10 providers using federated identity management, eliminating the burden of local account
11 management. Non-federated authentication/account management will also be provided.

12 ***Specific Service Requirements***

- 13
 - To meet Canadian legal requirements, the service will not store data belonging to
14 Canadian institutions on systems located within the United States.

15 ***Guaranteed Service Availability***

16 The Kuali Ready Project guarantees service availability at a minimum of 99.5% per year for the
17 following service availability hours:

- 18
 - 24 hours a day, 7 days a week*

19 **except for scheduled maintenance performed on various Sundays between 6am and 12pm PT*
20 *which may cause service disruptions.*

21 ***Maintenance***

22 Non-critical infrastructure patches are scheduled on a quarterly basis during non-business
23 hours. The service support team will notify functional owners at subscribing institutions one
24 week in advance of scheduled maintenance.

25 Critical patches are applied as needed and may affect service availability. The service support
26 team will coordinate the application of these patches with functional owners at subscribing
27 institutions as soon as possible.

28 ***Issue Management***

29 All issues with the Kuali Ready Service will be managed through a formal issue management
30 process and will be recorded in the Issues Log. The Issues Log is also used for documenting
31 future enhancement opportunities. The Kuali Ready Project will use JIRA to track issues.

32 To keep service support costs low, only local points of contact or service delivery personnel will
33 be able to submit issues into the tracking system. Local points of contact will provide triage for

1 end-users of the service (Tier 1). Once they have established that the issue needs higher-level
2 attention, they will enter it into the issue management system. The service support staff will
3 regularly review outstanding issues and resolve as necessary. For more complex issues, the
4 service support staff may work with the Functional Council to prioritize issue resolution. Issues
5 that cannot be resolved without additional resources will be forwarded to the Project Board for
6 consideration.

7 **Response Time**

8 For critical issues that impact service availability, subscribers will be contacted within 90
9 minutes of notification during the following support availability hours:

- 10 • 24 hours a day, 7 days a week

11 For non-critical issues, subscribers will be contacted within one business day of issue
12 submission.

13

1 **Appendix B – Project Budget and Assumptions**

2 See spreadsheet

3

- 1 **Appendix C - Hosting Agreement**
- 2 **TBD**

1 **Appendix D – Definition of Functional Community Group**

2 ***Functional Community Group***

3 The functional community is comprised of local functional owners for business continuity
4 planning at each subscribing institution. The primary responsibility of the functional community
5 is to provide a collaborative support structure for the local personnel responsible for the
6 deployment and use of the Quali Ready service. This community collaborates to produce
7 documentation, share strategies, and confirm issues for escalation to either the Project Board
8 (enhancements) or the service support personnel (bugs).

9 A Coordinator of the Functional Community Group shall be appointed by the Project Board for a
10 two-year term. The Coordinator shall be from an institution represented on the Project Board.
11 He/she shall serve no more than two terms unless this term limit is waived by the Project
12 Board. The Coordinator shall

- 13 • Establish and maintain an ongoing web-based communication forum to support Group
14 collaboration
- 15 • Convene regular phone/web meetings of the Group
- 16 • Support a culture of collaboration among the Group
- 17 • Ensure that appropriate and effective communication is maintained between the
18 Project Board and the Group
- 19 • Serve as the conduit for referring issues from the Functional Community Group either to
20 the Project Board or to service support personnel.

21
22 The Coordinator shall appoint a Deputy Coordinator who shall also be from an institution
23 represented on the Project Board. The term of the Deputy Coordinator shall coincide with the
24 term of the Coordinator. The Deputy Coordinator shall serve no more than two terms unless
25 this term limit is waived by the Project Board.

26 To ensure effective communication and coordination, both the Coordinator and the Deputy
27 Coordinator shall attend meetings of the Project Board but shall not vote.

28

1 **Appendix E – Kualu Ready Rate Structure**

2 The current funding model dictates that to recover the cost of providing the service as defined
3 in this charter, the full rate is USD\$11,121.20/year.

4 **Rate Table**

	Kualu Member	Non-Kualu Member
Full Subscriber	25% off Full Rate (Kualu Rate)	Full Rate
Sponsored Subscriber	50% off Kualu Rate	50% off Full Rate