Planning Charter:
Planning for the Research Security Program

Prepared By: Mark Rickenbach, John Miller, Andrew Statz

Approved By (Date): 10/25/2023

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Version Control – This document supersedes all previous versions.

Version	Date	Author	Change Description
0	10/12/2023	Andrew Statz	Initial draft for review.
1.0	10/17/2023	Mark Rickenbach, John Miller	Final draft approved. Circulated for review and approval.
1.1	10/25/2023	Cynthia Czajkowski	Planning charter approved.

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1 Background, Scope & Structure

1.1 Background

[National Security Presidential Memorandum 33 (NSPM-33)](#) is a federal executive branch directive intended to safeguard the security and integrity of federally funded research. The White House Office of Science and Technology Policy (OSTP) released guidance to federal agencies for implementing NSPM-33 that addresses several key areas. This planning charter outlines the support provided by the Office of Strategic Consulting (OSC) to the Office of the Vice Chancellor for Research & Graduate Education (OVCRGE) to achieve institutional compliance with NSPM-33 and the CHIPS and Science Act, specifically relating to the Research Security Program.

1.2 Scope

The scope of this planning charter is the support of the greater project to establish the UW-Madison's [Research Security Program](#) and its work regarding:

- Cybersecurity.
- Export controls.
- Research security training.
- Foreign travel security.

Specifically, this planning charter addresses the Initiation and Planning phases of the entire project to establish the Research Security Program. Initiation is the formal recognition and authorization of a project. Planning is the creation of a workable plan to accomplish a project's outcomes. They are the foundation of the subsequent project management phases:

- Execution: Implementation of the plan.
- Monitoring: Tracking progress and correcting course, as needed.
- Closing: Formal acceptance of the deliverables of the project.
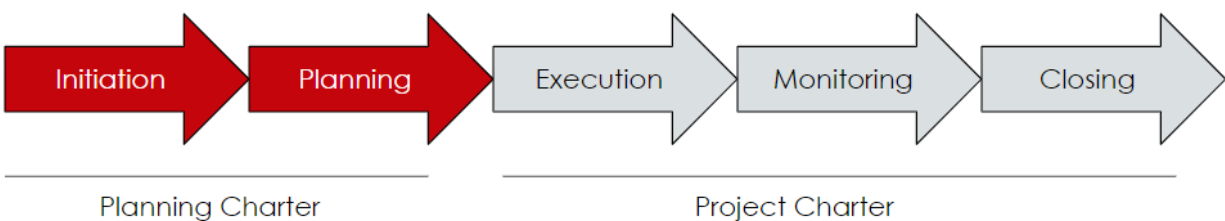
Out of Scope

This planning charter excludes the authorization necessary to engage in the subsequent Execution, Monitoring, and Closing phases of the greater project. The scope of these phases is the subject of a pending companion project charter. OSC support of these later phases is subject to evaluation and further negotiation.

There are many other elements to NSPM-33 that are not included in the scope of this planning charter or the greater project needs it supports.

1.3 Structure

Planning Team

Role	Name	Unit
Executive Sponsor	Cynthia Czajkowski	OVCRGE
Project Sponsor	Mark Rickenbach	OVCRGE Research Policy & Integrity
Project Lead	John Miller	OVCRGE Research Policy & Integrity
Project Manager	Andrew Statz	Office of Strategic Consulting

Research Security Team

Name	Job Title	Unit
Ben Griffiths	Senior Univ Legal Counsel	Office of Legal Affairs (OLA)
Brian Fox	AVC Research Policy & Integrity	OVCRGE Research Policy & Integrity
Heather Mc Fadden	Compliance Manager, RCR & SCRO	OVCRGE Research Policy & Integrity
Jeff Karcher	Risk Management Director	Risk Management
Jennifer Rodis	SPGC Compliance Manager	OVCRGE Research + Sponsored Programs
Lissa Koop	Senior Univ Legal Counsel	OLA
Mark Rickenbach	Interim AVC Research Policy & Integrity	OVCRGE Research Policy & Integrity

Mary Ashley McCollough	University Legal Counsel	OLA
Patti Havlicek	IT Director 1	DoIT Office of Cybersecurity
Ronald Machoian	Associate Dean	International Division Administration
Stephanie A Leroy	COI Compliance Manager	OVCRGE Research Policy & Integrity

Team Structure

The planning team will provide regular status reports to the sponsors. The planning team will escalate risks and issues to the sponsors and stakeholders, as appropriate.

The planning team will regularly and formally engage the Research Security Team to acquire subject matter expertise, keep members current with progress and issues, and complete certain tasks, as needed.

2 Goals & Objectives

Goal/Objective	Criteria for Success
Goal: Develop critical paths to implementation	
Objective: Ensure and convey clear authorization for the greater project and resource utilization.	Project charter addressing the needs of the greater project is complete and formally accepted.
Objective: Understand the bodies of work for the entire project.	Work breakdown structure (WBS) is complete. Task list is created and in use.
Objective: Understand when the project work will happen.	Project schedule is complete, including key milestones.
Objective: Identify the sequence of stakeholder engagements.	Project schedule and communications plan is complete. Critical path for stakeholder engagements is defined.
Objective: Identify the sequence of project work.	Project schedule is complete and includes the critical path(s) of project work.

Goal: Assess the status of work underway and identify the gaps toward implementation	
Objective: Understand the degree to which each body of project work is complete.	Percent done is baselined and monitored.
Objective: Understand the nature and estimate volume of the work yet to be done.	WBS expanded to include estimates of time and effort.
Objective: Identify, anticipate, and address obstacles to project completion.	Risk and issue log is complete and monitored.
Goal: Assign teams to complete the work and allocate resources as appropriate	
Objective: Identify which individuals/roles and groups are key to completion of the project.	Stakeholder register plan is complete.
Objective: Know which individuals/roles or groups have responsibilities for project work	WBS is expanded to identify parties responsible for contributing to project completion.
Objective: Resource allocations defined and approved.	Draft resource plan is complete.
Goal: Start to norm the "future state"	
Objective: Build awareness among senior leadership.	Stakeholder register and communications plan are complete. Initial briefings of senior leadership have occurred.
Objective: Build awareness of the resource needs to create and maintain the program	Foundational understanding among university leadership is established, including the likely need for additional resources.

3 Deliverables & Work Breakdown Structure

3.1 Deliverables

This project will result in the following Planning deliverables. Each deliverable addresses specific needs of the project to achieve compliance with NSPM-33, specifically the establishment of the Research Security Program.

1. **Project Charter** to guide the Execution, Monitoring, and Closing work that follows the Planning phase.

And for use during the entire project lifecycle from Initiation through Closing:

2. **Stakeholder Register**, including relevant committees, governance groups, and other university bodies.

3. **Risk and Issue Log** to track and record any obstacles that may hinder completion of the project.

4. Implementation **Work Breakdown Structure (WBS)**, including gaps to be addressed.

5. **Project Schedule**, including a visualization and the sequence of stakeholder group engagements and milestones.

6. **Communications Plan** to help guide stakeholder engagement and external messaging.

7. **Resource Plan** to guide allocation of stakeholder/project team members' time and effort and to assign responsibilities for completing project work.

3.2 Work Breakdown Structure (WBS)

```
1       Project Management
        1.1     Initiation
                1.2.1   Project charter
                1.2.2   Stakeholder register
                1.2.3   Risk + issue log
        1.2     Planning
                1.2.1   WBS
                1.2.2   Project schedule
                1.2.3   Communications plan
                1.2.4   Resource plan
```

4 Resources and Baselines

4.1 Resources

Responsible (Anticipated Resources)	Accountable (Decision Makers)
• Andrew Statz, Senior Project Manager (OSC) • John Miller, Interim Director for Research Security (OVCRGE)	• Mark Rickenbach, Project Sponsor (OVCRGE)
Consulted	Informed
• Subject matter experts (SMEs) on Research Security Team • Additional SMEs in OVCRGE and units across the university (tbd)	• Vice Chancellor for Research & Graduate Education (VCRGE) • Research Security Team • Associate VCRGEs • Associate Deans for Research • Chancellor's Executive Council • Vice Chancellor for Finance & Administration • Office of Legal Affairs

Definitions

- Role designations above reflect those in the [RACI matrix](#).

- Resources are parties responsible for the work to complete the project. Additional stakeholders may be identified as Responsible, as appropriate.

- Stakeholders are all other parties in the RACI matrix with an interest in project outcomes.

4.2 Baselines

Following the approval of this planning charter, the following baselines are established.

- **Scope Baseline.** The scope covered by this planning effort is outlined above in Planning Scope and Deliverables.

- **Schedule Baseline.** The planning efforts authorized by this charter are planned to end by 1/31/2024. This timeline is separate from the remaining project phases needed to establish the Research Security Program, which are expected to run through October 2024.

- **Resource Baseline.** It is anticipated that one OSC Senior Project Manager will work on this planning support on a half-time basis (50%) through no later than 1/31/2024.

- **Cost Baseline.** No formal budget will be established for this planning effort; costs will not be actively monitored as part of status reporting. There are no anticipated additional costs.

5 Constraints, Assumptions & Risks

5.1 Constraints

- **Schedule has low flexibility.** Planning work must be completed by 1/31/2024. Extensions past 2/15/2024 are subject to negotiation between OVCRGE and OSC.

- **Scope has low flexibility.** Work is defined as addressing the Planning needs of the greater project as outlined under the Deliverables section of this document. Involvement of OSC in the Execution and other phases of the greater project are subject to negotiation between OVCRGE and OSC.

- **Cost has medium flexibility.** Rates for the interdepartmental charges from OSC are fixed, but the number of hours is flexible and may be reduced based on actual need. Increases beyond 10% of the above estimate are subject to negotiation between OVCRGE and OSC.

- **Resources has medium flexibility.** Discovery of additional work during project execution may reveal the need for additional resources to be applied to the project.

5.2 Assumptions

- Federal guidelines will be delivered during November 2023.

- Federal guidelines will be sufficiently clear to enable accurate Planning documentation.

- SMEs will be sufficiently available and informed to contribute to robust Planning documentation.

- Sequencing of stakeholder group engagement can be known and accommodated in what is viewed as in the proper order.

5.3 High-Level Risks

- SMEs may have limited availability or knowledge of the topic. This may hinder or delay the grounding or engagement necessary to develop robust plans and/or delay completion of Planning deliverables, especially the WBS.

- Federal guidelines may be delayed. This may impact the amount of time available to execute the project, result in delayed completion of Planning documentation, and/or require extensions of OSC's support.

- Federal guidelines may be unclear. This may delay forming the understanding needed to identify the project's needs and/or result in an incomplete WBS.

6 Closing Criteria

The Planning phase covered by this charter and OSC support of that phase are considered closed when the following workstream criteria are met.

Workstream	Description
1.1 Initiation	Project charter, stakeholder register, and risk and issue log are complete and handed off to OVCRGE.
1.2 Planning	WBS, project schedule, communications plan, and resource plan are complete.

7 Authorization

By acceptance of this project charter, I/we verify the document has been reviewed and authorize the project start.

Cynthia Czajkowski   10/25/2023

Cynthia Czajkowski, Interim Vice Chancellor, OVCRGE   Date

Mark Rickenbach   25 October 2023

Mark Rickenbach, Interim Associate Vice Chancellor, OVCRGE   Date
Research Policy & Integrity

Andrew Statz   10/25/2023

Andrew Statz, Senior Project Manager, Office of Strategic Consulting   Date