

# Ohio University

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## ORACLE/PEOPLESOFT 9.0 SIS IMPLEMENTATION



OHIO  
UNIVERSITY

## PROJECT CHARTER VERSION 6.0

**Prepared By:** Steve Flaherty, Functional Co-Project Director, Ohio University  
Shelley Ruff, Technical Co-Project Director, Ohio University  
Ann Riley, Project Management Consultant, CIBER, Inc.  
Bruce Moore, Director, CIBER, Inc.

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*Abstract: This document describes the business case, objectives, scope, and potential risks for the Campus Solutions/SIS implementation project at Ohio University. It is the primary output of the Planning Definition phase for this project, and should be updated to reflect new information developed during the Project Planning phase.*

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## CHANGE HISTORY

VERSION	DATE	CHANGED BY	CHANGE
1	02-13-08	A. Riley, B. Moore	Original Draft
2	03-10-08	S. Ruff	Version 2
3	05-11-08	B. Moore	Accepted OHIO changes to date; merged redundant information in the Strategic Drivers, Business Objectives and Guiding Principles; removed CIBER-specific references and templates.
4	05-29-08	SIS Project Functional Leads	
5	06-2-08	S. Ruff	
6	06-11-08	B. Moore	Accepted OHIO changes to date. Added Risk Summary and Readiness Assessment Summary to Executive Summary. Added FTE estimates to Project Governance.
7	8-12-08	S. Ruff	Updated for committee and project team memberships.
8	8-14-08	S. Ruff	Revised to add the Student Financial Aid header/trailer issue.
9	11-10-08	S. Ruff	Revised to add SFA decision – remain as header.

## Document Acceptance

Name	Signature
Kathy Krendl, Executive Vice President and Provost	
J. Brice Bible, Chief Information Officer	
William Decatur, Sr. Vice President for Finance and Administration, CFO, and Treasurer	

# Executive Summary

## Introduction

The purpose of this document is to provide information to Ohio University (OHIO) stakeholders regarding the Student Information System (SIS) Oracle/PeopleSoft 9.0 implementation, which includes the following Campus Solutions components:

- Academic Structure
- Campus Community
- Recruiting and Admissions
- Student Records
- Financial Aid
- Student Financials
- Academic Advisement

This executive summary provides background information on the current system, describes why a replacement is needed, and defines the high-level need, objectives, and scope for the project.

The sections following the executive summary outline proposed project governance, project management strategies, and controls that OHIO can use during the implementation phase of the project.

## Vision

The SIS Project vision is to transform services to enhance performance of faculty and staff as they strive to improve the recruitment, academic success, and overall experience of undergraduate and graduate students.

The SIS Project goals and objectives will be aligned with the institution's Vision Ohio Academic Plan, and the project's success will be measured on how well it directly and indirectly supports the mission of OHIO.

## Project Overview

OHIO has used the Informs SIS products (previously owned by AMS – American Management Systems and currently owned by Informs, Inc.) for more than fifteen years, and it is the system of record for core student data including, but not limited to Admissions, Advising, Student Records, Student Accounts, and Housing. Other related systems include:

- SIGMA Student Aid Management System (SIGMA SAM) is used by the Office of Student Financial Aid and Scholarships and has been in place for more than ten years.
- Recruitment Plus has been in place for managing undergraduate Athens prospect records for more than four years.
- Degree Audit Reporting System (DARS) is used for tracking and managing academic requirements and has been in place for more than fifteen years.
- AdAstra is used for managing the schedule of classes and the assignment of classrooms.

These systems are used by students, faculty and staff at OHIO to support their academic and student administrative needs.

OHIO defined 2,500 student system related requirements during an analysis in 2006, which demonstrates that *the Student System is one of the most mission-critical systems for OHIO.*

The initial impetus for the replacement of the current student system started when Informs announced that support would be discontinued for its middleware (Enterprise Server aka CORE) product. In the Spring of 2006, the Ohio University Board of Trustees approved the initiation of a project to implement a replacement for the Informs Student Information System. Through a vendor selection process, followed by Board approval, Oracle/PeopleSoft Campus Solutions was selected as the Informs replacement and Adirondack was selected as the housing management software vendor. As part of the implementation, new system architecture, hardware platform designs, an integrated identity management solution, an enterprise portal, and a data warehouse and enterprise reporting solution will be implemented by OHIO.

The Five Year Academic Action Plan for OHIO emphasizes strengthening undergraduate education, and supporting student success and student retention. *A core component of the success of the implementation will be the delivery of access to integrated online student and faculty services.* In PeopleSoft, these services are based upon a model of “shared data” as opposed to a model in which individual departments “own” data. Student, faculty and staff areas will have access to a “360° student view” in PeopleSoft, and using system security (including identity management security and single sign on), users will have access only to information and resources specific to the role they have at OHIO.

In addition, the access delivered through identity management will improve OHIO’s ability to grant and control specific access to information based upon their role. This functionality applies to all areas of the university: Undergraduate, Graduate, Medicine, Outreach (distance, lifelong, continuing education, etc.). Please see the table in Appendix 2 for an example of initial roles and associated functionality/activities/data relative to the SIS that will be accessible through the web.

The new Student Information System (SIS) project seeks to provide a university-wide, innovative technology solution for managing student administration functions at OHIO. The principal goal of the SIS project is to focus on our constituents and their related services by providing:

- An intuitive technology environment for university staff to conduct day-to-day business with greater efficiency.
- A web-based, self-service environment for students, parents, prospective students, faculty, and staff.
- An information rich environment in which OHIO faculty and staff can report, extract data, and analyze information.
- Optimal use of the technology through appropriate training and support.
- A technology solution that integrates and advances the use and investment in OHIO’s existing systems.

## Strategic Business Drivers

**Changing higher education environment:** The business environment and fundamental needs of higher education have changed in the last fifteen years, and the ability for OHIO to adapt to these changes has decreased over time. Current OHIO processes are based on a high volume administrative business office support model, and higher education business processes have evolved over the last fifteen years. New higher education software applications better reflect the new business processes and the new data and information needs relevant to higher education currently and for the future. New software systems are designed to be more flexible and extendible, to better meet the demands of expanded clientele, including faculty, staff, and students. These systems are also designed to support a move from transaction focused services to “self-service” real-time access to data, and to provide better automation and workflow, which allows universities to be more nimble in meeting student/customer needs.

**Growth of Student Enrollment:** OHIO has a student enrollment growth objective (especially in the Outreach area) that demands a much more student-centric service delivery model. The Colleges and University Outreach all anticipate growing their enrollments, while at the same time, delivering additional programs and services to the community colleges and remote locations. This growth requires administrative systems that facilitate programs and make administrative and delivery tasks easier and more flexible. OHIO’s goal is to have a much more self-sufficient student and faculty population who can concentrate on educational achievement rather than administering a transactional system; while at the same time achieving better integration with systems that support the overall goals of the university. These services will all be delivered through web based self-service.

**Opportunities presented by new technology:** In the years since Informs SIS was implemented, both the functionality and technology of “off the shelf” software systems have dramatically improved. They offer:

1. Much simpler and more intuitive end-user navigation through web based applications, which allows users to become effective in a shorter time, and expands the potential user community beyond “expert back-office users” to faculty, students, and other infrequent users.
2. The ability to audit and store a great deal more integrated information.
3. Much easier end-user access to data through reporting and interfaces.
4. Easier technical support and maintenance of the system.
5. Much easier integration and interfacing with other internal systems (i.e., Adirondack, etc.) and external systems (Department of Education, etc.)
6. Support for Federal mandates (e.g., FERPA, SEVIS and the Patriot Act).

**User support for change:** During the project charter activities, interviews with more than 40 users of Informs SIS indicated there was significant support for change and for replacing the current system. Most felt that the current system no longer provides the services or integrated data needed to support OHIO’s requirements. Most interviewees felt it was time to move to a system that was easier to use, provides integration, accurate data, and one that is overall more flexible. This presents OHIO with a unique opportunity: Large system implementation projects involve significant cost, effort and change, and are almost always resisted by some portion of the user community. This confluence of user and community support should not be wasted.

**Dated technology:** The current version of Informs SIS is based on dated technology that is facing an “end of life.” This has several effects:

1. OHIO is limited both in the ease with which modifications to the system can be made, and in the amount of time and effort each requires.
2. The effort to integrate or interface this system with other applications and a portal are much greater than current technology allows.
3. Vendor support for the product and/or vendor updates/modifications will no longer be provided from Informs SIS.

Technology and the needs of higher education have changed considerably since Informs SIS was implemented at OHIO. Today’s students (and other users) expect 24 hour a day, 7 day a week access to information, and they expect to see near real-time data. An enterprise portal will offer real-time or “near” real-time, 24x7 access for students, and allows a much broader audience including back office administrative staff, faculty, and students to all have access to the information they need through intuitive web-based pages.

## Project Objectives

Potential project objectives were derived from facilitated interviews with OHIO stakeholders. The detailed objectives below were articulated through these interviews but also include fundamental “best practice” detail objectives that should be considered as background for the implementation.

**Objective 1:** *Provide a flexible and easy to use system that is based on higher education “best practices” and improved business process to enhance the self-service experience for students, faculty, staff, and other users, and that supports additional institutional initiatives (i.e., recruiting, medical school, distance and lifelong learning, etc.) and takes into account growing service demand.*

- As appropriate, revise business processes and adopt best practices to ensure consistency in handling data, while taking into account the differing unit needs.
- Implement flexible technology that can support evolving institutional priorities and end-user needs.
- Utilize workflow and automation tools that enhance productivity, and provide more effective communication with prospective students as well as current students, faculty, staff, alumni, and donors.
- Provide web based “self-service” to allow students, faculty, staff, and other constituencies to have direct access to their own “real time or near real time” information/data and update/perform activities (i.e., pay fees, change personal data, etc.) when needed.
- Utilize an enterprise portal to “push” more data creation to prospective and current students and maintain a history of personal data.
- Implement the core end-user functions so that they will accommodate infrequent users, and do not require extensive training to use them effectively.
- Implement easy reporting tools.
- Provide better integration service to traditional and nontraditional learning communities.
- Implement robust and configurable security adhering to relevant federal and state legislative requirements, as well as OHIO policy.

**Objective 2:** *Implement Oracle/PeopleSoft Campus Solutions as an integrated OHIO SIS system of record for student, faculty, and alumni that allows for the flexibility to meet specific campus and academic unit needs. Ensure that project and production processes, structure, and staffing consider centralized and decentralized needs and approaches and incorporate “home grown and/or shadow system data” wherever possible.*

- Provide a single, secure, unified portal accessible from anywhere to serve as a common, integrated and personalized starting point to all university services, communications, reporting, and collaboration.
- Allow OHIO to easily record credit, non-credit and other “learning activities” and choose

- how this information is reported.
- Allow OHIO to track both standard academic term-based and non-standard academic term-based programs and activities.
  - Provide a structure that will allow for the movement from a quarter based to a semester based academic structure.
  - Develop a process and structure that provides robust, ongoing, updated documentation, both during the project and after the cutover to production.
  - Develop a process and structure that provides robust, ongoing, updated training, both during the project and after the cutover to production. Ensure that training is provided at the right time for each audience (i.e., functional leads vs. departmental users vs. technology team).
  - Ensure that any significant changes to the “best practices/improved business processes” model are properly planned, budgeted, and staffed for success through implementation and into production. Ensure that any functions that require increased training or effort from departmental staff are appropriately identified and supported.
  - Where possible, incorporate “home grown/shadow” databases into the enterprise repositories so that there is a consistent data record for students, faculty, staff, and alumni.

**Objective 3:** *Improve the accuracy and quality of the student data OHIO maintains, and ensure that data quality continues to improve through a “data stewardship” model. At the same time, ensure that security is implemented that will provide access to data for the appropriate individuals and allow them to view and/or update data as appropriate for their roles.*

- Establish a Data Stewardship Committee to build a collaborative ownership data model. This model will be essential in the establishment of the security surrounding access and roles related to data.
- Work to understand and cleanse student data before and during conversion into any of the applications.
- Use delivered Oracle/PeopleSoft controls to assure data standardization and integrity.
- Where appropriate, allow the individuals who are closest to data to perform data entry and changes/updates, rather than centralized staff who are less familiar.
- Ensure that any functions that require increased training or effort from departmental staff are appropriately identified and supported.
- Implement role based security for students, faculty and staff.

**Objective 4:** *Involve stakeholders in the implementation to ensure it meets their needs and empower end-users with access to timely and accurate integrated data for analysis to support operational and strategic decision-making.*

- Stakeholder participation in the implementation will assist in making the new SIS meet their “real” needs.

- Take advantage of enterprise portal capabilities to provide users with integrated access to multiple data sources.
- Deliver a common tool set to end-users for data reporting, extraction, and analysis. Provide users with the knowledge, training, and tools to enable them to perform their own reporting (i.e., IPEDs and institutional research data etc.).
- Utilize tools and technologies that make it easier to exchange data with both appropriate internal systems (i.e., parking and housing) and outside entities (i.e., Department of Education, ETS-Educational Testing Services, etc.).

**Objective 5:** *Where possible, use VisionOHIO and the University System of OHIO to provide the foundation for student articulation and system implementation.*

- Utilize shared/centralized contracts between institutions where possible to reduce duplication of effort and cost.
- Enable ancillary entities (e.g., community colleges) to access processes and systems.

## Guiding Principles

When OHIO began their efforts toward replacing the current SIS, several guiding principles were identified that are essential to achieving a transformation in Student Services. Those principles were revisited and updated during the Project Charter interviews.

- We will use the opportunity presented by the SIS implementation to move from its current “transaction focused services” model to a “customer-centric services” model that accommodates a variety of students (e.g., traditional students, College of Medicine, lifelong learners, external programs, virtual campus, etc.) through their entire life cycle relationship with OHIO.
- For every student-related process, we will: identify the customers of the process, work with them to determine their needs, and strive to provide them with outstanding **CUSTOMER SERVICE**.
- Students, faculty, and staff should have easy, well supported electronic access to the data and information necessary to perform and manage university functions. We will foster strong student and faculty stakeholder participation to ensure that SIS meets their needs and will help in both student retention and recruiting.
- We will work as a ‘**SILO-FREE**’ **TEAM** to solve the problems of our students, faculty, staff, and institution.
- A common source of data will be used to support OHIO as an institution that makes **DATA BASED** decisions (both easy and difficult).
- We will implement “easy to use” management reporting processes and technologies.
- We will treat information as a strategic asset that is: **COMMONLY DEFINED**, electronically **CAPTURED ONCE** at its point of origin, and appropriately **SHARED** across the entire institution.
- We will strive to have **COMMON** processes for common functions and data across the entire institution (e.g., Athens Campus, Regional Campuses, Lifelong Learning, College of Medicine, etc.).

- We will address organizational and process challenges in both functional departments and IT. We will establish cross-functional teams to foster data stewardship for the new integrated system.
- We will minimize software customizations to the new SIS software by reengineering our processes to take advantage of the built-in “best practices.” We will implement a change control process to review and manage system customization/modification requests.
- We will focus business process change on meeting the needs of the OHIO process ‘customers’ and the strategic needs of OHIO, as expressed in VisionOHIO.
- We will maximize our use of new SIS **SELF-SERVICE** functionality.
- We understand and acknowledge ongoing creativity; therefore all new and/or related SIS information technology purchases will follow the university’s ITAC (Information Technology Advisory Council) governance process to ensure continuity.
- We will establish **DECISION DUE DATES** to keep our projects on time and on budget. If these due dates are not met, the delayed decision will immediately be escalated and made by executive management – the project will then move on.
- We will create **CUSTOMER PARTICIPATION OPPORTUNITIES** and **TWO-WAY COMMUNICATION** channels to ensure that our project choices meet **REAL** user needs.

## Critical Success Factors

The critical success factors of large implementation projects such as the one being undertaken by OHIO include operational factors as well as overall project management and governance. The following factors have been identified by OHIO as critical for success.

### Clear Goals

- Clearly articulated outcomes or goals that are understood by all stakeholders.
- Goals must be realistic and achievable but focus on automating the routine and humanizing the hard stuff.
- Realistic but firm go-live dates and establishment of “lead times” for functional areas to implement changes.
- Establishment of a final date for changes to the current system (except those required to meet government or regulatory mandates).
- Acknowledge that this is an ongoing project and includes both “pre” and “post” implementation resources.

### Executive Leadership and Commitment

- Strong, committed, visible and consistent leadership from the administration to lead through inevitable challenges to the vision.
- Strong project leadership team throughout the full project life cycle.
- Separation of regular work duties from assigned role on the project.
- 100% commitment to the project for team members.
- Appropriate allocation of resources for the project (human and capital); post implementation still has costs. Implementation will not result in a reduction in the budget. In fact, there will be base funding needs with the implementation, not just “one time funding.”

### **Communication and Change Leadership**

- Effective communication and change leadership efforts to guide the organization through the changes brought about by implementation.
- Formal process reengineering sessions to drive changes that are needed.

### **The Common Good**

- Gain and maintain active participation of all stakeholder groups.
- Business process owners' commitment to implement common systems and processes, including standardization where appropriate.
- Imbed the redesigned processes in the new SIS.
- Team members must be empowered to make decisions.
- Department buy-in and understanding of benefits that result from decentralization of some activities.
- Consensus will not always be required to achieve the final outcome.

### **Quality Assurance and Risk Management**

- Process in place to provide quality assurance and risk management reporting to the Executive Steering committee.

## **Preliminary Project Timeline**

At this stage of the project, the timeline is very high level and summarizes major phases. This timeline will be updated as the detailed project plan is developed and project details and timing are better understood.

### **2008 – Pre Implementation Planning**

#### **Jan-Jun**

- » Purchased student system software
- » Initial configuration hosted by Ohio State University
- » Conduct software fit/gap
- » Prepare and deliver project charter, readiness assessment, detailed implementation plan, and budget

#### **Jun - Sep**

- » Approval to proceed with implementation (approval of the spending plan)
- » Deliver RFP for implementation services
- » Arrange technical architecture for development

#### **Oct 2008 – Feb 2009**

- » Review and award implementation service RFP
- » Preliminary Project Team training
- » Dependent Projects (data cleanup, planning of DARS TA implementation, etc)

#### **Mar 2009**

- » Initiate implementation of new SIS

## Scope

Project scope is used to define what major system functions, modules, and interfaces 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.

The project scope includes the implementation of the PeopleSoft modules in Campus Solutions including:

- Campus Community,
- Recruiting and Admissions,
- Student Records,
- Student Financials,
- Financial Aid,
- Academic Advisement

The scope will also include implementing a recruitment solution, DARS TA, University Curriculum Council Process Automation, and moving forward with enterprise portal and business intelligence/data warehouse strategies.

The project scope includes interfaces with various product providers, which are identified in detail in the SIS Project Fit/Gap Analysis document.

The scope does not include a listing of functional or technical requirements, which were identified during an earlier phase, and elaborated on during the Fit/Gap phase. Rather, scope is used to ensure that the system includes major critical functionality and also to plan the implementation effort at a high level.

As the project progresses through the discovery phase the scope will be refined. Prior to implementation planning, the project scope must be clearly and completely defined. Any change in scope, after the configuration phase begins, must be handled through change control, and are very likely to affect the project schedule, resources and cost.

One of OHIO's most significant scope concerns is that this implementation should be an "out of the box" implementation project and may include significant business process improvement and/or changes to business processes. An "out of the box" implementation may also result in inefficiencies or lack of functionality currently present in the Informs SIS. This has implications beyond cost and duration of the project, since it impacts and is affected by OHIO culture, previous system implementation experiences, and current and planned change management processes. As concerns arise with the OHIO implementation team, these will be discussed with the Executive Steering Committee, and any decision must be made in a timely fashion, since decisions can have a profound effect on implementation approach, planning, and delivery.

### *In Scope*

At this time the items included in scope are derived from three sources:

1. Major functions that are present in Informs SIS and SIGMA SAM must be carried forward into the new system.
2. Major functions that are known to be present or required as core functionality in any of the Oracle/PeopleSoft modules.
3. Functionality that is incorporated in home grown/shadow systems or applications that interface to Informs SIS and SIGMA SAM, or have been purchased with the intent that they will interface to Oracle/PeopleSoft. One example is AIMS, which is a home grown system within the College of Arts and Sciences and is being considered for replacement as part of this project.

***Not in Scope***

This list includes functions or modules that are not in scope and have been derived from the following sources:

1. Major functions that are currently handled by other systems at OHIO or external entities, especially where those systems already provide acceptable service.
2. Major functions which are not present in Oracle/PeopleSoft.

This list is not exhaustive, and only includes functions that were identified in project discussions to date. The list should be updated as other functions are identified and excluded from scope. Specifically, this list should be updated during the implementation or when a scope change is rejected after passing through change control.

The following functions, modules or applications will not be included in the scope of this project but may be addressed in future release(s):

<b>Application Name</b>	<b>Function provided</b>
DARS	DARS NCAA Eligibility Tracking
SunGard BSR Advance	Donor Management System

**Technical and Organizational Readiness Assessment**

CIBER conducted a two week technical assessment which is detailed in a separate document. Detailed observations related to functional and organizational readiness are included in sections of the Project Charter as appropriate. This section summarizes CIBER’s assessment of OHIO’s technical and organizational readiness for the SIS project.

***Technical Readiness***

- OHIO does not currently have the required technical architecture in place to support a PeopleSoft implementation, however funds have been budgeted (and validated) to resolve this. OHIO could also consider a hosted solution for technical architecture. The hardware sizing process used as part of budget validation would be a useful starting point, however to get an accurate comparison of hosting options would require additional discovery to be done, since hosting goes beyond hardware to Service Level expectations. The process to

either select a hosting vendor, or price, select and install hardware should begin no later than August 2008.

- OHIO does not have experience with PeopleTools, or with integrating multiple components (Campus Solutions, CRM, Business Intelligence/Warehouse) of large PeopleSoft ERP projects. However the technical team is motivated to learn the new tools, and funding for technical training has been included in the budget. It is important that OHIO move forward with technical training for this team. Team training should be “just in time” to coincide with the beginning of the implementation in January 2009.
- The organizational structure in OIT includes most of the right technical roles already. Obviously, OIT is not adequately staffed to support both the legacy system and new system development effort throughout the implementation, but production staffing levels may require only minor augmentation (in system and database administration) to support PeopleSoft.
- OIT will need to revise their approach to new development (and migration of new development into production) to better align with PeopleSoft best practices. Using the approach outlined in the CIBER technical assessment will be beneficial across the organization.

### ***Organizational Readiness***

- Executive support for the project is present, made up of the appropriate individuals, and the Executive Project Sponsors have been appropriately visible in their support of the project at this early phase. As noted in the Risks section below, these executives need to begin to be more visible in championing the project to the university community.
- Funding has yet to be allocated, and the project does not have authority to spend. The budget has been developed, validated, and presented to the Board. The project has some unexpended funds available from this phase to bridge into the next phase, but spending authority should be granted as soon as possible.
- The core Project Team is working well together, understand their roles and responsibilities, and are taking unusual and commendable ownership of the project and its deliverables at this time. But this team structure is still informal. The team, including Project Director, Functional and Technical Leads needs to be finalized and formally announced to the Project Community as soon as possible so that they do not lose momentum. Regardless of the formal announcement, the team should be committed fulltime to the project beginning July 1, 2008.
- The combination of implementing Campus Solutions, a Business Intelligence/Data Warehouse solution, a Portal solution and a Recruiting solution; together with integration with DARS, a potential upgrade to DARS and the need to move from quarters to semesters will impose significant direct project staffing and backfill needs on the university. Project staffing needs have not been adequately defined and discussed at this time, and it is not clear whether the institution can easily support this full scope.
- Both functional and technical team members are looking forward to the project and to learning new technologies. There is not significant resistance to change in key positions in the team, and this is a very positive thing. Both institutionally, and at the core team level, OHIO must continue to actively manage organizational change, and the attitudes of stakeholders toward change.

- The regional campuses appear to be appropriately involved in the project to this point. Representatives were included in Charter interviews, Fit/Gap sessions and reviews of the deliverables. OHIO needs to continue to actively involve the regional campuses throughout the project.
- Faculty have been invited to attend various activities, but faculty involvement to this point has been limited. OHIO will need to find ways to better involve faculty as the project moves forward. Options include appointing a Faculty Special Interest Group who meet periodically to review project progress and deliverables; using faculty as SMEs where appropriate, or appointing a “faculty liaison” to the project.
- The implementation of PeopleSoft requires a move away from “silo” data and toward more flexible controls over who can see and update information. This has obvious advantages, but also introduces an element of organizational change that must be actively managed.

## Risk Summary

Risks are events that could have an impact on the project and require an action. Project risk affects any or all of the major aspects of the project: scope, schedule, resources, and quality. OHIO will implement a comprehensive risk management process as described later in the project controls section of this document. This process will be used to identify and manage risks throughout the project, and will be an on-going and dynamic process. A detailed list of preliminary project risks and potential mitigation strategies appears in the risk management section of this document.

The most significant project risks requiring executive attention at this phase of the project are summarized here:

1. Conversion from Quarter to Semester term: Although the project team assumes that a conversion from quarters to semesters will occur, OHIO has not yet made a formal decision on this issue. This is the most significant risk for the SIS Project, because it will affect the overall timeline, and may require OHIO to revisit staffing and scope. Consultants involved to this point strongly recommend that the cutover to PeopleSoft and the conversion to semesters be conducted as separate projects, at different times. Doing both projects at once significantly increases the risks for both.
2. Funding: Funding has not yet been approved or allocated for the project. In order to move forward with staffing, hardware purchases, software licensing and team training during the 6 months prior to the beginning of implementation, funding needs to be approved soon, and approval to spend should be effective upon acceptance of this document.
3. Executive Support: OHIO has named Executive Project Sponsors as outlined in the Project Organization section below, and this is very positive. These executives, and in particular Kathy Krendl as the project sponsor, need to begin to be more visible in championing the project to the university community. This reinforces their support for the project, and continues to demonstrate that the project is real, ongoing and has priority within the university community.
4. Student Financial Aid (SFA) conversion from summer header to summer trailer. For the purpose of aligning the SFA calendar with the academic year calendar, the project team

has recommended that the SFA summer term be converted from a header to a trailer. This recommendation is currently being evaluated within the SFA office, and a formal proposal will be submitted soon. The decision must be finalized before the configuration of Financial Aid begins. **The decision was made in October 2008 for the SFA office to remain as a header.**

5. Staffing: The project team is working well together and has good momentum, but there are many key tasks to be accomplished prior to the beginning of implementation in January 2009. In order to maintain momentum and successfully navigate the work of the next 6 months, the core project team (including an OHIO Project Manager) must be formally named and dedicated fulltime to the project.
6. Technical Infrastructure: In order to begin the implementation process in January 2009, OHIO must either finalize a hosting arrangement, or purchase hardware and implement the required technical architecture to support the project. Either process is likely to require some months of effort, and must begin no later than August 2008.

## Dependencies

Dependencies are other projects or efforts that are intended to happen, but that are not part of the scope of this project. They must be considered in the context of the Oracle/PeopleSoft implementation project because they may offer strategic opportunities, and because their success or failure may significantly impact this project. They may also compete for resources.

The project management team for the Implementation project, and each of the projects noted below must maintain regular communication. Because of this, the governance structure for each major project should include a liaison from the other projects considered to be significant dependencies.

Significant changes in resource needs, deliverables or timing for any of these projects may need to be handled through risk management for this project.

### Significant External Dependencies

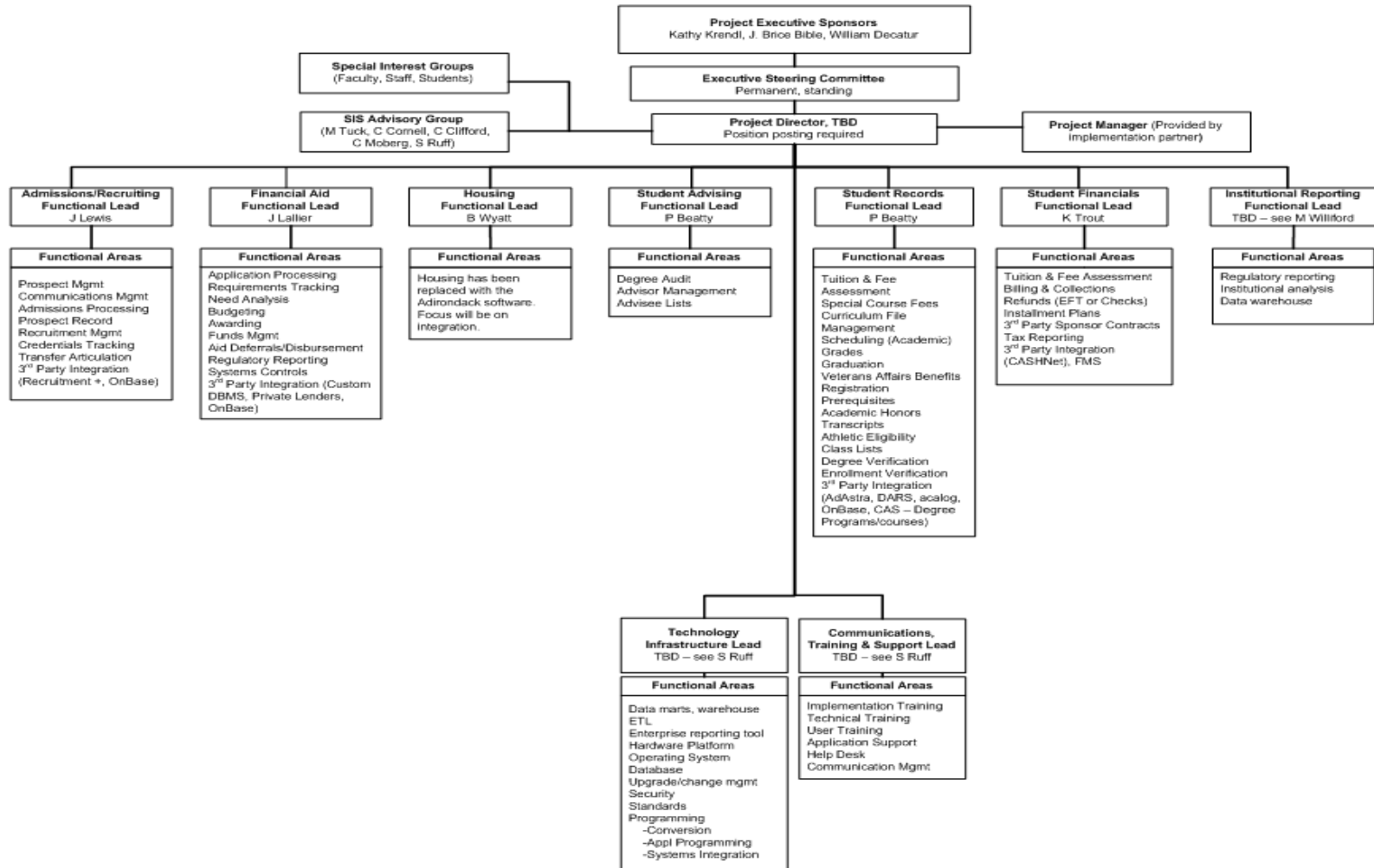
1. Enterprise portal that will establish the university web presence and support SIS functionality, as well as other content needs
2. Oracle/PeopleSoft training for functional and technical team members
3. Identity management project (including Early Oak ID)
4. Data Warehousing and Business Intelligence
5. Reporting solution for real-time data access
6. Constituent Relationship Management (CRM) solution

# Project Governance

## Proposed Project Organization

Version: Effective August 2008

**Organization Chart**  
Student Information System Implementation Team



### *Executive Project Sponsors*

The Executive Sponsors for the project are OHIO executives who have responsibility for all areas of the university:

<b>Name</b>	<b>Title and Area</b>
Kathy Krendl	Executive Vice President and Provost
J. Brice Bible	Chief Information Officer
William Decatur	Sr. Vice President for Finance and Administration, CFO, and Treasurer

### *Executive Steering Committee*

The Executive Steering Committee is chaired by the Chief Information Officer, J. Brice Bible, and is comprised of executives from across the University:

<b>Name</b>	<b>Title and Area</b>
Debra Benton	University Registrar
J. Brice Bible	Chief Information Officer
Rathindra Bose	Vice President of Research and Creative Activity and Dean of the Graduate College
Craig Cornell	Vice Provost for Enrollment Management
William Decatur	Sr. Vice President for Finance and Administration, CFO, Treasurer
David Descutner	Dean and Associate Provost for Undergraduate Education, Interim Executive Vice Provost
Sherry Downs	Bursar
Stephen Flaherty	Sr. Associate Vice president for Outreach and Regional Higher Education
T. David Garcia	Director, Undergraduate Admissions
Marsha Ham	Executive Director, Lifelong and Distance Learning
David Ingram	Chair, Educational Policy and Student Affairs Committee
Kathy A. Krendl	Executive Vice President and Provost
Howard Lipman	Vice President for University Advancement
Ryan Lombardi	Dean of Students
Shawn Ostermann	Chair, Electrical Engineering and Computer Science
Sergio Lopez-Permouth	Faculty Senate Chair
Brian Phillips	College of Osteopathic Medicine, Chief Information Officer

Shelley Ruff	Director, Application and Information Solutions
Christine Sheets	Assistant Vice President for Auxiliary Services
Kent Smith	Vice President for Student Affairs
Martin Tuck	Assoc. Provost for Academic Affairs
Sondra Williams	Director, Student Financial Aid and Scholarships
Michael Williford	Associate Provost, Institutional Research

***SIS Advisory Group***

The SIS Advisory Group is a subcommittee of the Executive Steering Committee and works to resolve issues in a timely manner and presents recommendations to the Executive Steering Committee. The Project Director chairs this committee and they meet regularly, most likely on a weekly basis.

<b>Name</b>	<b>Title and Area</b>
<b>TBD</b>	Project Director
Craig Cornell	Vice Provost for Enrollment Management
Martin Tuck	Assoc. Provost for Academic Affairs
Christopher Clifford	Sr. Associate Vice President for Finance
Christopher Moberg	Professor & Chair, College of Business
Shelley Ruff	Director, Application and Information Solutions

***Project Management***

The project management team will include OHIO staff tasked with following project management best practices, and with project communication and administrative tasks including documentation and training coordination.

TBD	Project Director
Implementation Partner	Project Manager – vendor provided
Implementation Partner	Project Change Management – vendor provided
Term hire – internal resource preferred	Administrative Support
TBD	Communications Specialist
TBD	Training Specialist – a new or revised OHIO position for training, communication, and documentation

***Project Implementation Team***

<b><i>Project Management</i></b>	
	OHIO Project Director
	Implementation Partner Project Manager

<b><i>Campus Community</i></b> <i>(will be committee-based, led by one of the SIS Functional Leads)</i>	
	Implementation Partner Lead
	OHIO Recruiting and Admissions Functional Lead
	OHIO Student Records Functional Lead
	OHIO Human Resources Functional Lead
	OHIO Financial Aid Functional Lead
	OHIO Student Financials Functional Lead
	OHIO Financials Functional Lead
<b><i>Academic Structure</i></b> (configured by Student Records Functional Lead)	
	Implementation Partner Lead
	OHIO Recruiting and Admissions Functional Lead
	OHIO Student Records Functional Lead
	OHIO Human Resources Functional Lead
	OHIO Financial Aid Functional Lead
	OHIO Student Financials Functional Lead
<b><i>Recruiting and Admissions</i></b>	
	Implementation Partner Lead
	OHIO Recruiting and Admissions Functional Lead
	OHIO (Undergraduate) SME
	OHIO (Graduate) SME
	OHIO (Lifelong & Distance Learning) SME
	OHIO (College of Osteopathic Medicine) SME
	OHIO (Regional Campuses) SME
<b><i>Student Financials</i></b>	
	Implementation Partner Lead
	OHIO Student Financials Functional Lead
	OHIO (Bursar) SME
	OHIO (Lifelong & Distance Learning) SME
<b><i>Financial Aid</i></b>	
	Implementation Partner Lead
	OHIO Financial Aid Functional Lead
	OHIO (SFA) SME
	OHIO (College of Osteopathic Medicine) SME
<b><i>Student Records</i></b>	
	Implementation Partner Lead
	OHIO Student Records Functional Lead
	OHIO (Undergraduate) SME
	OHIO (Graduate) SME

	OHIO (Lifelong & Distance Learning) SME
	OHIO (College of Osteopathic Medicine) SME
	OHIO (Regional Campuses) SME
	OHIO Blackboard SME
<b><i>Student Advising</i></b>	
	Implementation Partner Lead
	OHIO Student Records Functional Lead
	OHIO (Undergraduate) SME
	OHIO (Graduate) SME
	OHIO (Lifelong & Distance Learning) SME
	OHIO (College of Osteopathic Medicine) SME
	OHIO (Regional Campuses) SME
	OHIO Blackboard SME
<b><i>Portal</i></b>	
	Implementation Partner Lead
	OHIO Portal Functional Lead
	OHIO Portal Administrator
	OHIO All Functional Leads
	OHIO Education Content Developer
	OHIO Alumni Content Developer
	OHIO.net Designer
<b><i>Technical</i></b>	
	Implementation Partner Technical Lead
	OHIO Technical Lead
	OHIO Infrastructure Lead
	OHIO Database Administrator
	OHIO Network Analyst
	OHIO Web Administrator
	OHIO Security Administrator

***Task Teams***

Task Teams will be created and organized throughout the duration of the implementation project. Each team will be assigned responsibilities and action items by the Implementation Team. For example, a Task Team may be organized to test and prototype the functionality of the student registration in the new SIS. The team(s) will report their outcomes and findings to the Implementation Team. Please note that these teams are dynamic. That is, they may be created and dissolved as required to perform specific tasks during the implementation.

## Role Descriptions

Following are descriptions of project roles. Some of these roles may be shared and the responsibilities assumed by more than one individual. In other cases, a person may assume more than one role. An important factor in the quality and effectiveness of the project is to ensure that all of the responsibilities are assigned to the appropriate individual(s).

### *OHIO Team*

Project Sponsor	Responsibilities
<p>Senior executive and principal stakeholders who are committed to the project and has the authority to resolve project management issues, assign resources, and approve project expenditures, plans, and organization.</p>	<ul style="list-style-type: none"> <li>▪ Provides project vision and direction.</li> <li>▪ Defines organizational and reporting relationships.</li> <li>▪ Prioritizes the major elements of the implementation.</li> <li>▪ Approves and allocates the necessary resources for the implementation.</li> <li>▪ Determines the ability of the organization to support planned changes in terms of financial and other resources, i.e., backfill positions, hardware, training, etc.</li> <li>▪ Responsible for assessing the institutional impact of issues and determines the ability of the organization to supplement or reinforce business unit strengths.</li> <li>▪ Provides tie-breaking vote in the event that a management group is unable to reach closure on its own or when business decisions have implications beyond functional jurisdiction.</li> <li>▪ Approves and accepts all project related contracts and deliverables.</li> <li>▪ Aids in the resolution of issues.</li> </ul>
Executive Steering Committee	Responsibilities
<p>Senior Executives from OHIO and the Implementation Partner project team who are stakeholders in the project and are committed to its success. The Executive Steering Committee collectively decides major project objectives, schedules, and priorities and is responsible for the overall success of the project effort and for ensuring that the project effort meets the business requirements of OHIO for function, cost, schedule, and quality. This committee also makes decisions on project issues brought forth by OHIO Project</p>	<ul style="list-style-type: none"> <li>▪ Monitors the alignment of the overall project delivery to university needs.</li> <li>▪ All decisions requiring a “Major Change” in direction will be made by the Executive Steering Committee. These include (but may not be limited to) decisions affecting:                             <ul style="list-style-type: none"> <li>▪ Cost</li> <li>▪ Scope</li> <li>▪ Quality of the product</li> <li>▪ Schedule</li> <li>▪ Business Case</li> </ul> </li> </ul>

<p>Directors and works with the Project Sponsors to resolve them. Typically, issues are presented to the Executive Steering Committee when the issue impacts the project budget, timeline, or company policies. Issues impacting more than one department or organizational unit may also be presented to the Steering Committee for resolution.</p>	<ul style="list-style-type: none"> <li>▪ Project Goals</li> <li>▪ Resolves high-priority issues.</li> <li>▪ Secures OHIO resources to conduct the project.</li> <li>▪ Ensures cross functional cooperation throughout the project.</li> <li>▪ Monitors high-level project status.</li> <li>▪ Communicates with other groups to champion ongoing project support and sponsorship.</li> </ul>
<p><b>Project Director</b></p>	<p><b>Responsibilities</b></p>
<p>OHIO Project Director is responsible for project coordination and communication while staying within the parameters of the budget and timetable. The Project Director is responsible for managing activities on the project. The Project Director’s major focus is to manage the project activities that focus on the internal policies, internal resource issues, and issues resolution and management within OHIO’s environment. The director has a unique understanding of the culture and management style at OHIO which makes him/her uniquely qualified to facilitate the resolution of project issues. This individual is the primary point of contact for the Implementation Partner Project Manager and is responsible for resolving internal issues within the agreed upon timeframes and protocol.</p>	<ul style="list-style-type: none"> <li>▪ Monitors project progress and the quality of deliverables on an ongoing basis.</li> <li>▪ Identifies and manages project risks.</li> <li>▪ Monitors project scope and expectations.</li> <li>▪ Provides project direction, organization, resource alignment, and allocation.</li> <li>▪ Coordinates project work plan and activities.</li> <li>▪ Reviews and approves deliverables prior to submission to Project Sponsors.</li> <li>▪ Ensures consistency of activities and deliverables across teams.</li> <li>▪ Assures that deliverables meet the business and/or technical requirements.</li> <li>▪ Ensures all deliverables are documented, reviewed, and completed.</li> <li>▪ Communicates status and issues to Executive Steering Committee.</li> <li>▪ Ensures timely and adequate communication throughout the project team.</li> <li>▪ Creates and manages external communication strategy.             <ul style="list-style-type: none"> <li>▪ Manages project priorities.</li> <li>▪ Monitors project schedule and milestones.</li> <li>▪ Identifies resource needs.</li> <li>▪ Leads the Implementation and Task Teams. This includes coordinating and/or facilitating team meetings and communication between all teams and the OHIO community.</li> </ul> </li> <li>▪ Responsible for achieving team milestones.</li> </ul>

Functional/Technical Specialists/Subject Matter Experts (SMEs)	Responsibilities
<p>Perform as a project team member and as a subject matter expert.</p> <p>OHIO's (SMEs) or Functional Users are fully knowledgeable of the business requirements in their respective areas of functionality. These SMEs will work in tandem with Implementation Partner's Functional Leads to define requirements, complete the Fit/Gap Analysis, configure the system, conduct end user acceptance testing, and help prepare end user training manuals.</p>	<ul style="list-style-type: none"> <li>▪ Understands end user needs.</li> <li>▪ Understands business processes and procedures.</li> <li>▪ Understands management expectations.</li> <li>▪ Communicates business needs and gaps to team leads.</li> <li>▪ Looks for business process improvement opportunities.</li> <li>▪ Ensures work is being completed according to the agreed upon deadlines.</li> <li>▪ Assists with configuration.</li> <li>▪ Assists with testing.</li> <li>▪ Assists with data conversion/interfaces.</li> <li>▪ Assists with security definition.</li> <li>▪ Assists with training.</li> <li>▪ Assists with report definition.</li> <li>▪ Assists with building and reviewing prototypes.</li> </ul>
Technical Developer	Responsibilities
<p>Provides technical expertise in both OHIO's systems and application areas.</p>	<ul style="list-style-type: none"> <li>▪ Provides technical guidance to the project team.</li> <li>▪ Assists in resolving gaps whenever possible by recommending work-arounds, process improvements, or modifications.</li> <li>▪ Provides options for issue resolution and identifies business process improvement opportunities.</li> <li>▪ Assists with testing the Oracle/PeopleSoft system, during User and System Acceptance testing, to ensure the implemented system meets requirements.</li> <li>▪ Designs and develops conversion programs and assists users with data mapping.</li> <li>▪ Designs, develops, and tests interface programs.</li> <li>▪ Develops and modifies Oracle/PeopleSoft reports/interfaces.</li> <li>▪ Designs and develops modifications to the system, based on requirements and assignments.</li> </ul>
Database Administrator	Responsibilities
<p>Ensures data base integrity and that data is available for retrieval.</p>	<ul style="list-style-type: none"> <li>▪ Sets up databases (e.g. Training, Test, Development, Production) as needed by the</li> </ul>

	<p>project team.</p> <ul style="list-style-type: none"> <li>▪ Develops and implements database backup and recovery procedures.</li> <li>▪ Monitors and tunes the performance of databases, as needed.</li> <li>▪ Reports status, progress, and issues to team lead in a timely manner.</li> <li>▪ Coordinates conversion activities.</li> <li>▪ Performs database capacity analysis.</li> <li>▪ Manages environment and change management procedures.</li> </ul>
<b>Systems Administrator</b>	<b>Responsibilities</b>
<p>Responsible for the on-going maintenance and successful utilization of the system during the useful life of the production system. Systems administration must be functional during the implementation of the system in order to take control of the system immediately upon implementation. Within the OHIO environment, these responsibilities may be assigned to a variety of individuals.</p>	<ul style="list-style-type: none"> <li>▪ Provides system help and education to the system users.</li> <li>▪ Maintains security access to the Oracle/PeopleSoft system.</li> <li>▪ Tests all enhancements, patches, and fixes to the Oracle/PeopleSoft system.</li> <li>▪ Acts as liaison to management with regard to the Oracle/PeopleSoft system.</li> <li>▪ Coordinates the software and hardware needs that support the system.</li> <li>▪ Ensures that the system is current (as far as is practical and functionally necessary) with patches and fixes to the Oracle/PeopleSoft system.</li> <li>▪ Plans for the future evolution of the system to meet changing/expanding business requirements in functionality.</li> <li>▪ Creates adequate system documentation.</li> <li>▪ Maintains vendor contract awareness and compliance.</li> </ul>
<b>Network Analyst</b>	<b>Responsibilities</b>
<p>Maintains a solid understanding of network design, hardware and software and performance tuning. Understands the protocol, wiring, and layering of software and connectivity from OHIO workstations and database, web, and application servers.</p>	<ul style="list-style-type: none"> <li>▪ Assists team with system connectivity issues.</li> <li>▪ Defines hardware and software requirements to improve performance monitoring and performance.</li> </ul>
<b>Training Coordinator</b>	<b>Responsibilities</b>
<p>Oversees the end-user training effort, including facilities, materials, trainers, scheduling and collecting user feedback.</p>	<ul style="list-style-type: none"> <li>▪ Coordinates the scheduling and setup of training facilities.</li> <li>▪ Maintains a library of Oracle/PeopleSoft training materials collected from the Oracle University classes.</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Develops, customizes, and maintains end user training materials (using the Oracle/PeopleSoft UPK tools).</li> <li>▪ Executes the Training Plan for the project.</li> <li>▪ Maintains attendance records and evaluation forms from training sessions.</li> </ul>
<b>Administrative Support</b>	<b>Responsibilities</b>
Provides assistance with the preparation of all project documents, meetings, and communications.	<ul style="list-style-type: none"> <li>▪ Organizes and distributes status reports.</li> <li>▪ Supports the construction of project deliverables.</li> <li>▪ Schedules project meetings.</li> <li>▪ Collects the status of project tasks.</li> <li>▪ Documents project team meetings.</li> </ul>

***Implementation Partner Team***

<b>Account Manager</b>	<b>Responsibilities</b>
Provides leadership and quality assurance for the project. Functions as the primary Implementation Partner contact for OHIO implementation issues. Works with the Implementation Partner Project Manager to ensure that the project deliverables are completed and accepted in accordance with contract provisions and the Project Charter document. Provides Oracle/PeopleSoft knowledge and expertise to the client and to the project team.	<ul style="list-style-type: none"> <li>▪ Responsible for the Project Charter process.</li> <li>▪ Evaluates the integrity of the project scope.</li> <li>▪ Assists project management team with strategic direction and definition of project strategies.</li> <li>▪ Works with project management team to ensure project management controls are established and used throughout the project.</li> <li>▪ Performs periodic quality assessments or works closely with Quality Assurance resource.</li> <li>▪ Provides assistance with issue resolution.</li> <li>▪ Makes decisions pertaining to Implementation Partner personnel.</li> <li>▪ Manages the staffing and scheduling of Implementation Partner personnel.</li> <li>▪ Resolves contract issues.</li> <li>▪ Provides client budget status reporting on a regular basis.</li> <li>▪ Actively participates on the Executive Steering Committee.</li> </ul>
<b>Project Manager</b>	<b>Responsibilities</b>
Responsible for following the Implementation Partner Methodology and for completing the project deliverables.	<ul style="list-style-type: none"> <li>▪ Participates in the Project Charter process and the Fit/Gap process.</li> <li>▪ Develops the project plan.</li> <li>▪ Establishes the following project controls that ensure the quality of project</li> </ul>

	<p>deliverables and minimize disruption to the project schedule:</p> <ul style="list-style-type: none"> <li>▪ Change control</li> <li>▪ Quality assurance</li> <li>▪ Risk management</li> <li>▪ Issue management</li> </ul>
<b>Functional Consultant</b>	<b>Responsibilities</b>
<p>Provides functional expertise in both Oracle/PeopleSoft and industry specific areas.</p>	<ul style="list-style-type: none"> <li>▪ Maintains daily contact with OHIO personnel.</li> <li>▪ Conducts Fit/Gap sessions.</li> <li>▪ Assists in resolving gaps, whenever possible, by recommending work-arounds, process improvements, or modifications.</li> <li>▪ Assists with setting up system tables.</li> <li>▪ Assists with testing the system during System Acceptance to ensure the implemented system meets requirements.</li> <li>▪ Assists with data identification for conversion activities.</li> <li>▪ Reports project status, progress and issues to the team lead in a timely manner.</li> <li>▪ Transfers knowledge to client staff.</li> <li>▪ Provides functional guidance to the client staff.</li> <li>▪ Provides options for issue resolution and identifies business process improvement opportunities.</li> <li>▪ Facilitates business process analysis.</li> </ul>
<b>Technical Consultant</b>	<b>Responsibilities</b>
<p>Provides technical expertise in both Oracle and application areas.</p>	<ul style="list-style-type: none"> <li>▪ Maintains daily contact with OHIO personnel.</li> <li>▪ Transfers knowledge to project team.</li> <li>▪ Provides technical guidance to the project team.</li> <li>▪ Assists in resolving gaps whenever possible by recommending work-arounds, process improvements, or modifications.</li> <li>▪ Provides options for issue resolution and identifies business process improvement opportunities.</li> <li>▪ Assists with testing the Oracle/PeopleSoft system, during User and System Acceptance testing, to ensure the implemented system meets requirements.</li> <li>▪ Assists client with data mapping.</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Designs and tests interface programs.</li> <li>▪ Develops and modifies Oracle/PeopleSoft reports/interfaces assigned.</li> <li>▪ Designs and develops modifications to the system, based on client requirements and assignments.</li> </ul>
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## Project FTE Estimates

The table below provides estimates of full time equivalent (FTE) requirements for the implementation project only.

Estimates for technical staffing to support PeopleSoft in a production mode are included in the Technical Assessment document.

Estimates for functional staffing to support PeopleSoft in a production mode are very dependent on the institution’s culture and current staffing model. But the transition to functional staffing for PeopleSoft production typically falls into two broad approaches:

1. Some institutions will assign functional teams only temporarily to the project, and team members will resume their normal business role at the conclusion of the project. This is typical for smaller institutions who cannot sustain increased staffing; institutions with aggressive (i.e., shorter) implementation timelines; or institutions with limited project scope. In this case, project team members are partially or temporarily backfilled during the project using temporary or interim appointments.
2. Some institutions will move into a project-oriented mode whereby the core project team will move permanently into a PeopleSoft or system role. In this role, they continue to support, enhance and upgrade the PeopleSoft application, as well as add new system functionality either through enhancement or the implementation of new modules or applications. This is typical for larger institutions that want to maximize their technology investment or that are going through significant and long-term system change; institutions that need to perform significant business process redesign; institutions with larger overall scope; or institutions with longer or multi-phase timelines. In this case, the project team members’ former positions are filled by new hires.

Note that this table includes FTE estimates for the duration of a given module’s implementation scope. Depending on the approach OHIO chooses (phased, shorter timeline; or longer, simultaneous Go-Live), total headcount could vary widely at any given calendar date.

Where OHIO Technical FTE are listed per module, they will be primarily responsible for configuration and data conversion activities. Other implementation development is listed as “pooled resources” under “Technical Development.”

Role/ Area	OHIO Func FTE	OHIO Tech FTE	Consulting FTE	Notes
Project Management	2	0	1	Project Management includes coordination of the team, scheduling and administration of all project activities and facilities and significant project communication duties.
Admissions	2.5 + SME	1	1	Assumes fulltime representation from Undergraduate Admissions, plus representation from College of Osteopathic Medicine, Graduate Studies, Lifelong & Distance Learning and Regional Campuses. The OHIO effort includes implementation of DARS TA.
Campus Community	0.5 + team and SME from each module	0.5	1	The OHIO Campus Community Lead coordinates the activities of all other teams specific to this area. The Admissions consultant can cover this area, or if both areas will begin implementation at the same time, a separate CC consultant may be engaged for a comparatively short period (2-3 months).
Financial Aid	1.5 + SME	1	1	Ensure representation from Athens, Regional Campuses and College of Osteopathic Medicine.
Student Financials	1.5 + SME	0.5	1	Ensure participation from the entire University plus Lifelong & Distance Learning
Student Records	3.5	1.25	1	Ensure participation from the University, Lifelong & Distance Learning, and Faculty. Note that OHIO will need significant temporary staffing (perhaps 10 FTE) for conversion and preparation for deployment.
Academic Advisement	1	0.25	0	Includes upgrading DARS and integrating it with PeopleSoft.

				Since OHIO will be using DARS for this area, there is no consulting support.
Portal	1 + SME	2	1	Effort here may vary significantly depending on the portal strategy OHIO adopts.
End User Training	1 + SME from each module	0.25	(included)	Assumes that consultants will conduct “Train the Trainer” sessions only, and that OHIO will be primarily responsible for end user training. Technical responsibility is for UPK maintenance and for maintaining training instances.
Reporting	Functional analysts and SMEs from the team	4	TBA	Reporting efforts includes operational reporting, and assumes that OHIO will move forward with a data warehousing strategy. Consulting estimates are significantly affected by OHIO’s decisions around strategy.
Technical Development	Functional analysts and SMEs from the team	3	3	OHIO effort here is primarily for interface development. Consulting effort is primarily for customization. These could be blended as appropriate.
Database Administration	0	1	0	Effort will vary widely over the course of the project.
Helpdesk	SME for each module will act as second line support.	0.5	0	Helpdesk effort will be low initially and peak during deployment for any given module.
PeopleSoft Administration	0	1	0	Effort will vary widely over the course of the project.
System Administration and Network	0	1	0	Effort will vary widely over the course of the project.
Security	0	1	0	Includes application security, and work to integration with Portal and ID Management project.

## Project Operating Agreement

The project principles and governance model stated above provide a framework in which project activities can be more clearly defined, understood, and assigned to the appropriate groups and individuals. Beginning with this section of the charter, the document will provide more detailed suggestions for daily operating, management, and control tactics leading to smooth project execution.

The project operating agreement suggests a detailed approach to daily project team operations, specifically addressing decision making, confidentiality, team operations, and team accountability.

### *Team Operations*

- The project team will celebrate project milestones.
- A single tool will be used for project reporting.
- Full team meetings will be regularly scheduled to:
  - Check in and check status,
  - Report out from task teams to the full team,
  - Foster collaborative working,
  - Provide the Big Picture.
- Full team meetings for decision-making may be scheduled on an ad-hoc basis, however:
  - The agenda should be published at least 24 hours in advance,
  - Whoever raised the issue takes responsibility for the agenda.

### *Meeting Attendance*

The team will strive for full participation to ensure full team consensus.

- Ideally, this means that everyone is in the room.
- Those who can't attend in person should try to join the meeting by video conference or teleconference, and facilities will be provided to support this. Alternatively, those who can't attend in person can brief another team member to act on their behalf.
- Anyone who can't attend a meeting should be prepared to accept the decisions reached during the meeting.

### *Core Hours*

- The project director will define project Core Hours, during which team members should expect to be available, if needed.
- General meetings will be held during core hours.

### *Weekends*

- There will be no regular work on weekends.

- Team members will only be asked to work weekends if it is essential.

### ***Communications***

- Other than meetings, e-mail will be the preferred tool for formal communications.
- Team members agree to check email and electronic calendars daily when working.
- Sub-team and team meetings:
  - Team meeting agendas will be emailed.
  - Notification of emergency meetings will be through email.
  - Cancellations will be through email.
- Weekly progress reports will be maintained centrally.
- The work plan will be kept in a location accessible to the entire team.
- Information is available to anyone who wants it.
- Issue logs will be kept by each team, and available to anyone interested.

### ***Balancing Work and Personal Time***

#### All Team members should:

- Feel free to work more or less than others as long as goals and objectives are met.
- Be allowed to manage their work load and personal time.
- Take each other's obligations into account.
- Absolutely honor each commitment made.
- Understand that fun at work is acceptable and desirable.
- Understand that work should not be your whole life; family life is important; your time is important.
- Let each other know about commitments when they might affect project work.
- Honor people's time - start and end meetings on time.
- Balance their own time.
- Feel free to say, 'I need private time.'
- Make core hours available to each other.

### ***Team Conflict***

#### Team members should:

- Be open and explicit about issues that are happening.
- Deal directly and honestly with others.
- Deal with small things to avoid major conflicts.
- Clearly identify the conflict.
- Explore solutions, provide and accept feedback gracefully.
- Agree to sort it out or to table it with a way to deal with it.
- Forgive and move ahead.
- Escalate to Project Management if needed (or to the Executive Steering Committee if the conflict is with Project Management).
- Notify Project Management of any conflict outside the team.

### ***Project Plan Accountability***

- The Project plan will be updated regularly.
- Team members will report actual hours worked each week to project management, using the task numbers from the Project plan.
- Team members should not commit to something they cannot deliver as specified.
- Anyone may bring up questions about the work plan and deliverables without fear of blame and attack.
- The entire team is accountable for mutual success.
- If someone is not delivering because of a performance issue, deal with it first in teams, and escalate to Project Management if that isn't working.

### ***Confidentiality Agreement***

This project is dedicated to open, broad and transparent communication of decisions and issues. However, a project team also requires a “safe” environment in which to discuss issues and conduct business. The following guidelines will foster better team dynamics:

- There should be no personal attribution of issues outside the team.
- It is acceptable to talk about collaboration and the overall process.
- Interpersonal differences between individuals are confidential to those involved.
- Team dynamics are confidential.

## Decision Making Process

The decision making process outlined below will use the overall project and campus governance structures shown below. Diagrams in this section are simplified to clarify the flow of decisions.

### *Key Assumptions for Decision Making*

1. When delivered functionality conflicts with existing business processes or needs, OHIO will consider modifications to the new student system only when:
  - a. They are required for compliance reasons or to support core functionality (for example, to support state-mandated processes, or policy approved by the Board of Trustees for the entire University), or
  - b. It can be proven through a cost-benefit analysis that the work cannot or should not be accomplished by adjusting our business practices and that any modification significantly enhances the delivery of services to system stakeholders.
2. The decision making process will involve as few layers as is reasonably possible, in order to be efficient. Decisions will be made at the lowest level possible. An inefficient decision-making process puts the project at major risk for delay.
3. The decision making process will involve people with the experience, ability, and responsibility to make decisions at the appropriate level for any given issue.
4. The decision making process will be clearly articulated and transparent to the Project Community.
5. The Project Team (including both campus and central representation) will make a sincere effort to collect all issues, suggested customizations, or changes and evaluate each one completely and fairly.
6. Any issue or functionality that can be deferred to a later phase without affecting any of the requirements noted above will be considered for deferral.
7. We will seek common solutions for issues, business processes, policies and customizations wherever appropriate, and we will prefer to solve problem as “universally” as we can.
8. Configuration of the system to meet the needs of OHIO is not considered a modification to the system. The system provides configuration capability out-of-the-box. Changes to the underlying software are considered a modification and customization. Adding software extensions to the system is not considered a modification, per-se. But, it is cost in resources and will be considered carefully, using cost/benefit analysis.

### ***Prioritizing Decisions***

Priority will be established, in order, according to the following categories when making decisions and funding their resolution. This applies to decisions affecting customization, issue resolution, policy and business process change.

#### **1) Mandatory and Regulatory Requirements**

- Any requirement from a Federal or State law.
- Accreditation requirements.
- Commission for Higher Education requirements.
- Other legally binding requirements such as compliance with court orders, collective bargaining, contractual agreements, etc.

#### **2) Business Requirements**

- Policies as set by the Board of Trustees.
- State reporting and other policy or process requirements.
- National reporting requirements such as IPEDS.
- Requirements to continue to meet AAU standing.

#### **3) Mission Critical Functions**

- Required to keep competitive edge.
- Required to meet stated goals of the University strategic plan (e.g. enrollment goals, cost savings requirements, etc.).
- Essential for the University (or a campus unit) to continue to provide services, such as registration, financial aid dispersal, fee collection, etc.

#### **4) Project Scope (Schedule, Cost, Quality, Timeline)**

- Issues that will negatively impact the project scope if unresolved.

#### **5) Other issues affecting all campuses**

- Issues that will negatively impact all campuses if unresolved.
- New functions or changes that will benefit all campuses if instituted.

#### **6) Issues that do not affect all campuses**

- Issues that will negatively impact one or two campuses if unresolved.
- New functions or changes that will benefit one or two campuses if instituted.

## *Decision Making Process Flow*

The diagram on the next page shows how issues are resolved and/or escalated.

### *Key terms:*

- **Common:** Configuration or processes that will work for all campuses.
- **Cross-module:** Processes where data flows from one functional area of the system to another, for example financial transactions moving from Financial Aid to Student Financials.
- **Cross-campus:** Processes where data flows from one campus to another, for example intra-campus transfers, or a student taking courses at two campuses concurrently.

The Decision Making Process Flow and Campus Structure illustrates only how decisions will flow up through the process.

1. All decisions must be documented by whichever group has made them, and communicated as appropriate to lower-level groups who will be affected.
2. All decisions made above the Project Director must be communicated back to the Project Director.
3. All Strategic decisions (affecting project scope, cost, resources, quality and schedule) will be communicated by the Project Management Team to the entire Project Community.

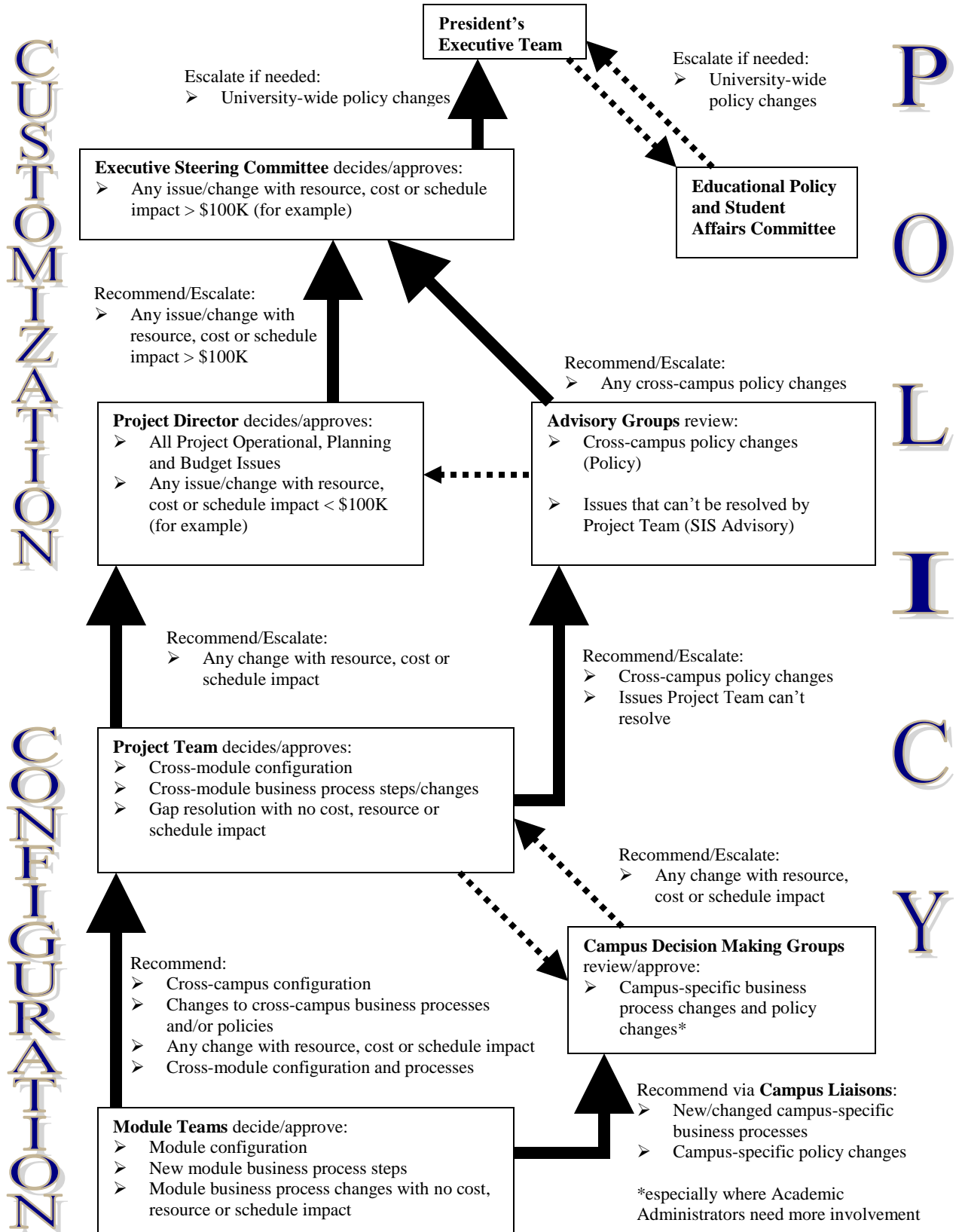
The vast majority of issues will be identified within the Module Teams as they configure and test the system. In keeping with the notion that decisions will be made as close to the point where they are identified as possible, the section below discusses module teams first and works up to the Executive Steering Committee.

### **More Definitions:**

- **Module Team:** A group of experts working full time on the project representing a major core function such as financial aid, student financials, recruiting and admissions, or records and registration, including academic administration. There will be four, core module teams for the areas noted. There will also be a team for reporting and data warehouse and the portal.
- **Project Team:** The members of the Module Teams plus technical experts from central IT and other experts working on the project in a significant way.

The campuses will need to create a project structure similar to the existing university-wide structure. Many decisions about changes to business practices will be campus-based. Therefore an effective decision-making structure must in place at the campus level. The project will use existing university standing committees to address policy issues. This includes Faculty Senate, Educational Policy and Student Affairs Committee, University Curriculum Council, Enrollment Management Advisory Committee, etc.

**DECISION MAKING PROCESS FLOW**



### *Decisions for Module Teams*

The following decisions will be made by project module teams, which include functional leads, process analysts, consultants, and Subject Matter Experts for a given area such as Financial Aid, Academic Administrators, etc. The Module Teams will consult with **Core Expert Groups** as needed for additional information:

- Module-specific configuration.
- New module business process steps.
- Module business process changes with no cost or schedule impact.

*For example, the basic Admissions configuration common to all campuses is something that would be decided by the Admissions Module Team, in consultation with SMEs and other Core Experts.*

The following issues will be initiated by the project module teams, and escalated via **Campus Liaisons to Decision-making groups on the individual campuses:**

- Campus-specific configuration.
- New/changed campus-specific business processes.
- Campus-specific policy changes.

*The campus Course Repetition policy and process is an example of a decision that would be escalated to a campus after analysis by the Student Records Module Team.*

The following issues will be initiated by the project module teams, and escalated to the full **Project Team:**

- Configuration decisions that cross campuses
- New or changed business processes and/or policies that cross campuses
- Any changes (issues, customizations) with resource, cost or schedule impact

*The decision of how to handle online scholarship applications is a good example of something that would be analyzed by the Financial Aid module team, and then escalated to the Project Team.*

### *Decisions for Campus Decision-Making Groups*

Each campus is encouraged to set up its own internal decision-making structure to review and approve decisions related to:

- Campus-specific configuration choices
- Campus-specific policy and process changes
- Campus-specific requests for customization

Any issues or decisions that will have an impact on the project should be referred back to the project by the **Campus Liaisons**. These include:

- Any issues that affect scope, cost, schedule, or resources
- Any issues that will have cross-campus impacts

*As noted above, decisions about Course Repetition policy and process would be made by the campus after initial analysis by the Student Records Module Team. If the campus determined that a customization was necessary to handle Course Repetition, this would be communicated via the Campus Liaisons to the Project Team.*

### ***Decisions for the Project Team***

The following decisions will be reviewed and approved by the complete project team:

- Configuration that crosses modules or that varies from campus to campus.
- Business processes that cross modules or that cross campuses.
- Any changes (issues, customizations) with extra-modular or cross-campus impact, but no impact to resource, cost, or schedule.

*The configuration of the interface between Financial Aid and Bursar/Student Financials is an example of a decision that must be made by the complete project team, because it affects all modules.*

The following issues will be reviewed by the project team, and escalated through the decision-making process:

- Any issues that cannot be resolved by the Project Team.
- Any changes (issues, customizations) with resource, cost, or schedule impact.
- Any policy changes.

*A customization to handle state mandated processes is an example of a recommendation that would be put together by the full Project Team and escalated to the Project Director for a decision.*

### ***Decisions for the Project Director***

The following decisions will be reviewed and approved by the Project Director in consultation with Associate Project Directors and Consultant Project Managers:

- Operational, Budgetary and Planning issues, including:
  - a. Any changes (issues, customizations) with resource, cost or schedule impact less than \$100,000 (this number provided as an example – the real cut-off must be decided).
  - b. Other budget issues.
  - c. Information to share with Executive Steering Committee and other constituencies.
  - d. Information to be shared from Executive Steering Committee meetings.
  - e. Recruitment matters.
  - f. Performance Appraisal issues.
  - g. External Communication Strategy.

*The decision of how to allocate all technical resources during the project is an example of a decision the Project Director will make.*

The following decisions will be reviewed and approved by the Project Director in consultation with the appropriate **Advisory Group**:

- Any cross-module issues that cannot be resolved by the Project Team.
- Any changes (issues, customizations) with extra-modular or cross-campus impact.

- New business processes that cross campuses.

*The review and approval of the customization recommendation made by the Project Team is an example of a decision that the Project Director would make in consultation with the Advisory Group.*

The following issues will be reviewed by the Project Director, and escalated to the Executive Steering Committee:

- Any changes (issues, customizations) with resource, cost or schedule impact greater than \$100,000 (this number provided as an example – the real cut-off must be decided).
- Any cross-campus policy changes.

*A recommendation for how to handle the common Course Transcript in a multi-institution (multi-campus) Oracle environment is an example of one that the Project Director and Advisory would jointly escalate to the Executive Steering Committee.*

### ***Executive Steering Committee***

All decisions where the cost is estimated to be greater than \$100,000 (for example) and those requiring a “Major Change” in direction will be made by the Executive Steering Committee. These include (but may not be limited to) those affecting:

Cost	Scope
Quality of the product	Schedule
Business Case	Project Goals

The Executive Steering Committee will refer cross-campus policy issues as necessary to the **Educational Policy and Student Affairs Committee**. Any issues with significant University-wide policy implications will be referred to the **President’s Executive Team**.

*A recommendation for how to consistently handle inter-campus transfer equivalencies between campuses is an example of a decision that the Executive Committee would refer to Faculty Council.*

### ***Types of Decisions***

#### Strategic Decisions

- Affect, or are affected by, project vision, direction or objectives.
- Affect, or are affected by, project culture.
- May have an impact on the institution.
- Must be escalated through issue, policy, scope and/or change management.
- Affect, or are affected by, external engagement and alliances.

#### Tactical Decisions

- Determine how to resource appropriately to accomplish a work task.
- Determine how a strategy will be fulfilled.

#### Operational Decisions

- Determine the detailed steps to accomplish tasks or new processes.
- Affect team operations (rather than project deliverables specifically).
- Affect content.

### *Approach to Decision Making*

#### Majority Rule

In a minority/majority voting decision, the majority will be defined as containing over two-thirds of the total vote.

Every decision will be treated equally and documented consistently, whether the decision is a recommendation to other members of the team, or one affecting one individual's work output.

#### Being Decisive

An implementation project of the scope and complexity of this project must follow a tightly managed schedule in order to succeed. Because of this, once a decision is made, it can't be revisited without potentially affecting the project schedule. Therefore, the project will generally follow the rule "**Once a decision is made, it is made.**" Where subsequent events make it clear that the wrong decision was reached, the issue will be escalated through the Issue Management process as appropriate.

As noted in the Project Governance Structure above, decisions that have a major impact on quality, cost, scope or resources will be made by the Executive Steering Committee.

#### Consensus

Ideally, the team will achieve not only agreement, but consensus (or 100% agreement) on all decisions.

#### Documenting Decisions

All project decisions should be appropriately and consistently documented, according to their type and scope. For example, basic system configuration decisions should all be documented during the implementation project's configuration phase, and all subsequent changes in configuration should update the same documents. This can be done in a variety of formats (Word, Excel, within the system's help or meta-data tool if appropriate), but it should be done consistently. The tool and format used to document these decisions must support easy search and retrieval for both the appropriate team members and end users, and should remain available after the system is in production. It is frequently important for end-users to be able to understand why a configuration choice was made, even years later, as the configuration adapts to changing institutional needs.

Tactical decisions should be documented in the project workbook. This contains the detailed project plan and management materials for the project, and should be accessible to the entire project team.

Strategic decisions should also be documented in the project workbook, and many of them should be briefly summarized in public forums such as the project website.

The documentation for each decision should include at least the following:

- Background discussion, if appropriate.
- Options considered, and their costs, benefits, and risks. This may not apply for some configuration choices, but all strategic decisions should include complete documentation of these points.
- Which choice was made.
- Who (individual or team) made the decision and when.
- If appropriate, how the decision was communicated, and when.

### Communicating Decisions

Operational decisions should be communicated within a project team, and to those directly affected by the decision. Operational decisions that will “live with the system” over its lifetime must be documented in a way that allows them to be accessible even after the system is in production. In this case, the communication might occur through custom help text.

Tactical decisions must be communicated across all project teams, and as appropriate, to external projects or operational units that may be affected by the decision. Tactical decisions that may impact scope, cost, quality or schedule must be escalated through the appropriate process.

Strategic decisions must be communicated both vertically through the entire project governance structure, and horizontally across all project teams. Almost all strategic decisions should be communicated to the project stakeholders, and some should be communicated to external constituencies such as the legislature.

### *Achieving Team Decisions*

- Get the information needed to address issues.
- Come prepared to explain, ask questions, discuss and understand. Don't abdicate responsibility for team decisions to others.
- Exercise collaboration rather than cooperation – don't just “go along with” a decision.
- When decision is reached, members “own” the decision.
- “Complete” agreement is a commitment to how a decision was made; understanding it and committing to the result.

When disagreements occur, team members should:

- Seek to understand.
- Look at the facts.
- Listen and be flexible.
- Present and seek alternatives.
- Call on external sources for information or help.
- Not personalize the discussion, but focus on results.
- NOT stop until issues are resolved.

# Project Management Strategies

## Project Planning

Effective project management methodologies typically include three phases: Planning, Execution, and Closure. Each phase is a distinct stage of the project life cycle and represents subsets of project management procedures and milestones. The Planning phase sets the stage for project delivery and includes activities that confirm the project's scope, establish project control processes, and baseline the project's schedule and budget. The Execution phase ensures that the project progresses according to plan. Communication through status reporting, project reviews, quality assurance, and control processes provide visibility into every aspect of the project. The Closure phase includes activities to conclude the project and ensure that the engagement is completed to your satisfaction. This structure provides improved oversight and control of a project from start to finish.

Included as part of the project management methodology are:

- Risk Management
- Issue Management
- Project Change Control
- Quality Assurance
- Variance Reporting
- Acceptance Management
- Formal Project Closure

A project the size and complexity of OHIO's implementation project will be managed through the Strategies and Controls initially outlined in the Project Charter, and through a project Work Breakdown Structure (WBS). These will be documented in the Project Plan.

The Project Plan depends heavily on the Project Charter, a governing framework defining the approach and established boundaries for the project. The Project Charter provides written documentation of the high-level project objectives, strategies and controls, as well as high-level project scope. It is also the first opportunity for the entire institution to define, understand, and agree to the project. Using this document, the project (WBS) is created as part of the Project Plan to articulate the detailed tasks necessary to address the completion of each deliverable.

The project WBS clearly defines the phases, resource requirements, detailed tasks, deliverables, the target start and end dates for each phase, and the overall project. The project plan tasks are specified at a level of detail necessary to reflect task accountability by resource. The plan also organizes the effort to achieve the ultimate deployment following the defined implementation strategy.

The project plan is a dynamic document and as the implementation progresses, it must be updated to reflect the impact of business decisions and redesign, scope changes, and risk mitigation activities. Additional detail will be added as Project Teams develop more detailed plans. The Project Manager and Team Leads will update the project plan on a weekly basis to

reflect work accomplished and the current project status. Tasks behind schedule will then be addressed by the Project Team and, if necessary, the Executive Steering Committee.

## Conversion Process Overview

A conversion strategy should be flexible to allow for each client's unique needs. Elements that vary from customer to customer include:

- The architecture of the legacy system (flat file, relational, VSAM, etc.);
- The technical skills and availability of customer technical staff who will be extracting legacy data;
- Data extraction and transformation tools already licensed by the customer; and/or
- Existing data extraction, transformation, and load processes (such as those for a data warehouse) which can be utilized to make conversion more efficient.

As part of the Project Charter and planning process, the Implementation Partner will work with OHIO to define an appropriate conversion strategy for this project. Questions to consider include:

1. Which legacy systems should be included as conversion sources?
2. In what order should legacy sources be converted, and in which phase? In other words, some sources of less critical data may not be converted until after the main system is in production, depending on OHIO's timeline and needs.
3. How will duplicate records be identified and resolved?
4. What alternative data retention methods are available or should be considered (e.g., imaging system, alternate relational database, data warehouse)?
5. What tools will be used to load data into PeopleSoft, once it is extracted and properly formatted for load?

For each source system identified, the following questions must be answered:

1. What tools are required/available to extract and transform the data from this source?
2. Are there any known data issues that will affect the ability to convert data accurately?
3. Does the data in this source require other data or configuration values to be present in PeopleSoft before it can be accurately accommodated?
4. How much transactional history will be converted? Will any transactions be summarized during conversion and if so, how?
5. What level of data validation is necessary? What methods and resources are available to perform validation?
6. Will the legacy data source be archived after conversion, and if so, how?
7. How long after conversion will the legacy data source be made available after production cutover?

Data Mapping/Data Conversion is the process of transferring existing data from OHIO's current system into the new PeopleSoft system.

Data mapping starts during the Fit/Gap process, but takes place separately from the Fit/Gap sessions. OHIO technical personnel will be responsible for writing the extract programs to produce files from the legacy system. The Implementation Partner's primary responsibility will

be to develop the conversion scripts and provide guidance, direction, and support for the import process into the PeopleSoft system.

Data mapping steps:

1. Data mapping
2. Write conversion programs
3. Execute conversion projects
4. Data Validation (done by functional subject matter experts).

### *Conversion Steps*

An effective approach to Data Mapping/Data Conversion should include the following steps:

- Identification of the various resources for data to be converted (i.e., what records/files, automated or manual, are kept by the client's current systems).
- Mapping of the existing data to be converted into PeopleSoft "vanilla" data tables.
- Determination and use of the various method(s) for converting the data, whether manual and/or automated. If an automated approach is used, it is important to also identify the most effective tools to accomplish the task (e.g., Component Interface, the PeopleSoft Import Utility, SQR's, other batch programs, etc.), the effort required to perform the task, and the optimal skill set of the individual(s) assigned.
- Extraction of the data from various resources.
- Translation of the extracted data into PeopleSoft formats.
- Compare persons and organizations and identify potential duplicates.
- Review duplicates and determine best source of information.
- Loading of the translated data into PeopleSoft delivered data tables.
- Verification and reconciliation by project team members of the loaded data in PeopleSoft against the data from the client's current systems.

For the conversion component of the project, the Implementation Partner will guide the project team in understanding basic conversion requirements including data sources, types of data to be converted, the most efficient and cost-effective manner of performing the task, the effort required to perform it, and the resources necessary. Sessions will be conducted with key staff to gather requirements related to existing input sources. Sources can also be from Access databases and Excel spreadsheets. It is important that existing file/record layouts from the various data sources are available, and that the appropriate staffs are present to make timely decisions on conversion issues that may arise. To complete this process, support will be needed from the client for completing file extracts, and data validation and correction.

While the development of conversion processes should be complete early in the project, data conversion is an iterative process that will continue through to the final phase of the project. Initially, less complex data is converted then more complex data. This continuous conversion process ensures that all essential tables and data have been properly loaded and an accurate conversion has been accomplished to support a successful implementation.

## Interfaces

The Project Charter does not define a specific strategy for Interface design, because it's typically too early in the engagement to lock in these items. However, these items were discussed and documented at a high level:

- During Project Charter interviews we developed a preliminary inventory of interfaces and auxiliary systems. The Charter should specify which of these are in scope for the project and which are not. This is a critical step in setting the overall project scope.
- During Fit/Gap for each module, we reviewed the delivered data elements, business processes and interfaces and compared them in detail with the needs of OHIO. At the conclusion of Fit/Gap, CIBER worked with OHIO to develop a Fit/Gap Requirements document and confirmed Project Scope. This document describes all requirements (including interfaces) that are met by the existing system, and any that must be met through construction of new interfaces or the use of auxiliary systems. For each interface, OHIO's Implementation Partner will recommend a development toolset based on OHIO's knowledge and experience, the tools OHIO has licensed, and the documented requirements.
- The Implementation Partner will work with OHIO to estimate effort for any interfaces to be developed, and to determine responsibility for development. Depending on the project's needs and contractual arrangement, interfaces may be developed by the Implementation Partner; developed jointly by the Implementation Partner and OHIO; or developed by OHIO staff with guidance from the Implementation Partner. This activity sets the more detailed project scope.
- Interface development and testing typically follows the same strategies as other development efforts within an Implementation Partner's methodology. See the Testing Strategy for more information.

## Reporting

Each PeopleSoft module comes with a number of "canned" reports which can be delivered with a variety of tools including PeopleSoft Query, Crystal Reports, Structured Query Reporter (SQR) or BI Publisher. OHIO can elect to use these, modify them, or create their own.

The process for determining a reporting strategy is similar to that for interface, but typically involves somewhat more effort, since OHIO has well over a thousand reports in use across the system.

- Prior to the Fit/Gap process, OHIO should develop an inventory of existing reports, including centrally-produced production reports; "canned" reports which are maintained centrally but executed by users; and ad-hoc reporting developed by users.
- After developing the list, OHIO should eliminate those no longer used and identify opportunities where multiple reports can be consolidated. This will greatly facilitate the Fit/Gap process and reduce unneeded implementation effort.
- The remaining reports should be categorized by criticality, frequency, distribution, etc.
- During the Fit/Gap, delivered reports will be compared with needed reports, and gaps will be noted.

- As part of this discovery effort, CIBER worked with OHIO to determine the best reporting infrastructure (data warehouse, Business Intelligence approach, reporting toolset, support staff, etc.) and approach based on OHIO's knowledge and experience, the tools OHIO has licensed, and the documented requirements.
- The Implementation Partner will work with OHIO to estimate effort for any reports to be developed, and to determine responsibility for development. Depending on the project's needs and contractual arrangement, reports may be developed by the Implementation Partner; developed jointly by the Implementation Partner and OHIO; or developed by OHIO staff with guidance from the Implementation Partner. This activity sets the more detailed project scope.
- Report development and testing follows the same strategies as other development efforts within the Implementation Partner methodology. See the Testing Strategy for more information.

## Security

This section provides an overview of typical security directly associated with a PeopleSoft implementation. OHIO also engaged in a broader, high level security review as part of the Discovery process for the SIS Project. The results are detailed in a separate document from CIBER.

In addition to broader security needs, OHIO has to be concerned with regulatory requirements/guidelines and security implications with the roll out of a Web product; the latter being more critical as self-service is implemented. This aspect of security deals primarily with system access. OHIO also needs to be concerned with data access. By clearly defining the information each department needs, and by invoking audit trails on key records that are delivered without audits, OHIO can strike a balance between security and "the need to know".

Additionally, OHIO will want to restrict who can actually customize the applications with PeopleTools. PeopleSoft provides several PeopleTools and other security features to ensure that sensitive applications and data are properly restricted. In addition, the security tools for the network provide security for the PeopleSoft system.

A detailed security plan will be developed early in the project. System security will be defined throughout the course of the project. The specifics for providing security access and data usage within the system will be determined as the project progresses. Prior to acceptance testing, OHIO should execute a security test to verify that the setup properly restricts access while allowing for individuals to complete their work.

### *Security Layers*

Due to the nature of PeopleSoft technology, there are several layers of security involved when accessing a PeopleSoft application. They are network security, file server security, RDBMS (database) security, and PeopleSoft online security. When all layers of security are implemented, users have to pass security authorization at each level. As OHIO plans and enables system security, appropriate personnel (security administrator, etc.) need to understand the individual

roles these different security layers play in securing the system, and how they work together to protect sensitive PeopleSoft application data.

In addition to those security elements discussed below, OHIO may be using one or more third-party authentication/authorization or provisioning applications. These must be taken into account in the Security plan, and may replace elements noted below.

### ***File Server/Network Security***

In a networked environment, users share hardware and software resources. Every network has its own security system for controlling user access to its shared resources. This system includes the following security measures:

- Assigned IDs and passwords for user identification and verification.
- Authorized log-on times if OHIO determines that they wish to restrict log-on times.
- File access rights, such as execute, read-only, read/write, no access, and so on.

OHIO can use server file access rights to restrict a user's access to Windows client-based PeopleSoft applications. To do this, do not grant read, read/write, or execute access to the application. This prevents the user from running the restricted Windows application.

For example, to run SQR reports locally, users need read or execute access to the network directories containing the PeopleSoft-delivered SQRs and the SQR program itself. By not granting access rights to these directories and files, OHIO can prevent users from running SQRW to generate reports. PeopleSoft file server directories as typically set up to be read-only.

### ***Database Security***

Each relational database management system (RDBMS) has its own security system, which works in conjunction with PeopleSoft online security. OHIO will generally rely on RDBMS security to:

- Control who can logon directly to a database and what they can do once they logon.
- Control which tables or views operators can access and the commands they can use to manipulate data.
- Control who can perform server system administration activities.

### ***PeopleSoft Online Security***

The PeopleSoft system is comprised of many components—menus, components processes, object definitions, application data – and OHIO can control access for many of them.

### ***Sign-on and Time-out Security***

When users log into PeopleSoft, they enter an ID and a password. If the ID and password are valid, the user is connected to the database and the user profile is retrieved. If the user is not signing on during a valid sign-on time as defined in the security profile, sign on will be unsuccessful. OHIO can specify both a sign-on time allowed and time-out interval (how long the machine can remain idle before it automatically logs off) using Security Administration.

## *Users, Roles and Permission Lists*

PeopleSoft uses three levels of security to control the access of individual users and groups of users:

- Each individual user will have a ***user profile***, which identifies this unique person and his/her contact information and password, and allows the username to be associated with an EMPLID in the database.
- ***Roles*** are created to reflect job functions. One staff member may have one or many different roles. All users must have a Primary Role, which provides their essential access. Users may also have supplemental roles that broaden or amplify their basic access. For example, one Assistant Director of Admissions may also need to be a Recruiter (with access to Self-Service “Outreach”), while another may not.
- ***Permission lists*** are created to specify which roles have access to a group of PeopleSoft menus, pages, and functions.

### *Process Security*

Using Process Scheduler, OHIO can assign Process Definitions to various Process Groups, then grant or restrict user access to those groups using Security Administration. If a process definition is not assigned to a user’s authorized process groups, the user is not allowed to run that process.

### *Object Security*

Object Security governs access to the individual database object definitions—record definitions, field definitions, page definitions, and so forth. Using Object Security, OHIO can grant developers full access to the PeopleTools they need, while protecting particular object definitions from being modified.

### *Application Data Security*

PeopleSoft also provides a number of ways to control the application data that a user is allowed to access in the system. In many cases data can be secured at the table level (queries only), the row level, and field level.

### *Query Security*

For each Query user, OHIO can specify the records they are allowed to access when building and running queries. OHIO can do this by creating Query Access Groups—with the Tree Manager—then assigning operators to those groups—using Query Security.

Query security is only enforced when using Query; it doesn’t control run-time page access to table data.

### *Row Security*

OHIO can design special types of SQL views—security views—to control access to individual rows of data stored within the application database tables. PeopleSoft Campus Solutions applications are delivered with built-in, row-level security functions tailored to specific applications.

For example, in PeopleSoft Campus Solutions, security tables are provided that enable you to restrict operator access based on academic responsibility. This allows division administrative assistants or Deans from the Business School to create courses and classes for accounting and precludes them from creating courses and classes for history.

### *Field Security*

Some fields in PeopleSoft, such as National ID (a.k.a. Social Security Number) or credit card numbers, are delivered with field-level encryption and masking options. Using PeopleCode, OHIO can restrict access to other fields or columns within the application tables. However, this is considered a modification to the delivered product.

## Testing

Testing must be an on-going activity throughout all phases of a project and should be an integral component of quality assurance efforts. A complete testing strategy and plan must be developed once the project reaches the implementation planning phase. The Project Plan should be updated by the Project Manager to include the Test Plan, once it is finalized.

Testing starts at the unit level, as team members test portions of the functionality encompassed within a single module, interface, report, or modification. Data modeling is used to test delivered functionality. Customizations, interfaces and reports are first tested by their developer before they are submitted for testing by functional users. Functional users will conduct a unit test of the customization, report, or interface and formally accept it before it is moved to production.

As the implementation of the project progresses, so does the nature of testing. After each module has been thoroughly unit tested, integration testing begins. As integration testing proceeds, more end-user participation is needed. There should be one person (a central point of contact or testing coordinator) responsible for tracking the status of test scripts and the documented results of each test. Any test scripts which identify errors should be tracked and given to the appropriate person to resolve. After the error has been resolved, it should be re-tested by the same individual who originally uncovered the error.

The next step in the testing cycle is to carry out system testing, to validate that the entire system performs as expected. Given normal institution concerns over an “all or nothing” cutover, OHIO may choose to perform a **modified parallel test**. In this scenario test scripts are created using two to four weeks of live data from a previous month. The output from the scripts (including process, interface, and reporting outputs) is compared to the output from the legacy system. Unexpected discrepancies will be analyzed, resolved, and re-tested. This cycle is repeated until the team (and the user community) is confident that the new system is ready for production.

Each module Project Team should develop detailed test plans and acceptance criteria. These plans will be integrated and coordinated for the testing of inter-module processes. The plan should also identify one or more Testing Coordinators.

### ***Test Scenarios***

A test scenario documents the scope of a testing effort. It identifies the portion of the system being tested, which major functions or areas are to be tested, the approach to be used, the resources assigned, and the expected outcome of the testing. One or more test cases will be defined to accomplish the defined test scenario.

### ***Test Cases***

A test case describes the data and the process steps required to test a portion of the system for correctness, in support of a test scenario. A test case defines the specific functions to be tested, any base data that must be present prior to testing, data that will be input during the test, the process steps to be performed to accomplish the test, and the expected outcome from the test in the form of expected data results and deliverables. Test cases should be established for both functional and technical testing.

Test cases are also referred to as test scripts. As these test scripts are completed they serve as a good foundation for documentation and training.

Test cases should be designed to be reusable - individual test cases should be used as a component of later business process and integration testing, and should use the same general format as training and documentation materials.

### ***Functional Testing***

Functional tests allow the institution to validate the utility and accuracy of end-user processes. To accomplish functional tests, users run through a process from beginning to end. For example, the user looks up data, enters new data, executes system processes (interfaces or batch updates), generates output (reports or queries), and verifies the results of the test.

### ***Technical Testing***

A technical expert defines a technical test to ensure that the system operates correctly from a technical and performance standpoint. This involves the technical specialist verifying that the system operates correctly, that interfaces are correctly developed, that data loads correctly, that control tables are loaded, and that any system fixes are applied and operate correctly. Technical testing should also include load testing to ensure that system performance (including network, server, and client architecture) meets expectations.

### ***Unit Testing***

This is a test with a narrow scope, relating to the test of a single module, a conversion process, an interface, a report or query, or any other single component of the system. This test can be both a technical test and/or a functional test, with the task owner taking responsibility for configuration and base documentation.

### ***Integration Testing***

An integration test verifies the correctness of several system components working together. The OHIO implementation will include integration testing and acceptance as follows:

1. At the time the delivered system is installed and configured with basic institutional data,

2. After any customizations and custom interfaces or processes are developed,
3. As part of test conversions prior to deployment, to ensure that the system works properly with all customizations and legacy data in place.

This test includes both technical and functional testing, validating the ability of the system components to “talk” to each other and pass data correctly. Each iteration of integration testing fosters user ownership and knowledge transfer.

Planning for intermediate sign-off points also ensures that errors are caught and corrected at the right time. For example, performing an integration test immediately after basic installation and configuration identifies errors in configuration or system bugs. Correcting these early allows later integration testing to focus on errors in customization or data conversion.

### *System Testing*

The system test validates that all aspects of the system are functional. This will require both functional and technical testing, and should also include a system stress or load test. The stress test will assess the ability of the system to handle expected production-size volumes.

### *Security Testing*

Security testing validates that each type of user profile provides access to the correct areas of the application, and that data inquiry and update controls behave as expected. Security testing should include validating a user’s access to the online application and any relevant batch or reporting processes the user should be able to execute. The security test must also validate that technical and project team members have appropriate access to development environments, but that both data and processes in the eventual production environment are properly secured. As such, the security test should be specifically defined within the context of the database environment.

### *Date Testing*

Date testing is designed to test the system’s response to date-sensitive transactions. For example, a student is dropped from a class both before and after the drop deadline to ensure that the system behaves as expected. Date testing is performed by directly manipulating the system date forward and backward during testing.

### *Acceptance Testing*

The main function of Acceptance Testing is to validate that a given module or function meets end-user expectations, and that no further development or correction is required. User acceptance tasks should be included as milestones in the Project WBS, and serve several important functions:

1. Acceptance validates that the work in a given area is 100% complete, and will not be revisited,
2. Acceptance gives end users a chance to interact with, approve, and begin to “own” a function or area and,
3. Any re-work discovered after acceptance constitutes a scope change, and must be handled through the issue and change control processes.

Acceptance testing should be performed at the completion of each major (i.e.: requiring many days effort to complete) functional module, customization, interface, or report. The acceptance test is not necessary for low-effort tasks, but in any situation where re-work would cause significant project schedule, resource or budget disruption, or where dependent processes would be significantly impacted, the acceptance test is a necessary quality assurance step.

The final acceptance test is the testing of the full system after it has been placed into a “non-live” production environment. This test can include performing the same tests used during the system test, and may include a mini parallel test with data loaded into both the new and legacy system so that results can be cross-checked and validated. Upon user satisfaction with the final acceptance testing, the new system goes into production.

## Training

In order to provide the greatest benefit to users, gain the greatest return on investment in a new system, and to be able to operate it effectively without consulting support, it is critical to provide thorough and effective training. Project Team members must become experts in the operation of the software, and end users must become self-sufficient in its use. Executives should have enough knowledge of the system to understand its capabilities and its requirements for operations and on-going maintenance.

Training for Project Team members should not be restricted to the formal sessions outlined below, but will also naturally occur as a result of active participation in the implementation effort. Training and documentation both evolve over the course of the project, and will continue to do so once OHIO is in production. Timely and active involvement in both formal and informal experiences will position OHIO not only for a successful and cost-effective implementation, but will allow for effective post-production support without the continuing cost of consulting support.

OHIO’s training strategy will be further defined during implementation planning, and should include the following components.

### *Project Team Training*

CIBER provided Product Overview and some hands-on lab experience to OHIO team members directly involved with the implementation project prior to Fit/Gap to ensure their knowledgeable participation in Fit/Gap sessions. Both functional and technical team members should attend the standard Oracle University (or other certified training vendor’s) application and technical training applicable to their specific application prior to the beginning of implementation.

### *Knowledge Transfer*

OHIO project team members will participate fully in the project, from the Fit/Gap sessions through configuration, system testing, and deployment. Knowledge transfer happens naturally when project team members work with their functional and technical consulting counterparts on a daily and weekly basis. It is this “informal” training as much or more than any formal training that enables team members to become expert in the configuration and use of the application.

### ***End User Training***

For small groups, training may take place one-on-one within an office environment. For larger groups, OHIO will need to establish a training environment that will accommodate 10 to 12 users. In addition, OHIO will create the training material utilizing Oracle's UPK which not only documents OHIO's business processes but how those are deployed using the systems. This training will be available for end users to review and use to assist them after the formal training sessions.

During Project Charter interviews, several attendees commented that this project could not adopt a "one size fits all" approach to training, and identified some specific types of possible end-user training:

- Basic application navigation.
- Training tailored to a specific job or business process: "Tell me what I need to know to do my job."
- Focused training that explains how to perform a single function, for infrequent users who just need to know how to perform one task.
- Detailed training that includes an explanation of configuration choices for some back-office or expert users who need to understand the process, its inputs and outputs, and the reason for the process.
- Training in how to run reports, as well as how to create reports.
- Training to explain new features or functions that users may not be aware of.

### ***Mixed Delivery***

Most vendors offer a mix of training delivery options including classes at remote locations, onsite training, computer-based, and self-paced training. These are designed to maximize training while minimizing staff absence and controlling costs.

### ***Dedicated Training and Documentation Staff***

As noted elsewhere, system test scripts and business process documentation can serve as a good foundation for end-user Training Guides, however dedicated staff are required to create and adapt these materials. It is important for OHIO to designate Training and Documentation Coordinators to manage these processes, and to ensure that these functions are supported throughout the implementation and into production.

### ***Support for Training in Production***

It is unfortunately quite common for system training to be provided only in the context of an implementation. Once a system is in production, most institutions abandon training as too expensive. However, the need for ongoing training was consistently and repeatedly identified in the Project Charter interviews.

Project funding and planning should include a post production training plan, and the resources to achieve ongoing training once the system is in production.

## Documentation

Documentation is critical to support end-users, to manage change to the system throughout its lifetime, and to ensure consistent and appropriate use of the system. Current and accurate documentation facilitates training, and reduces the cost of system corrections and modifications. The documentation effort will be an integral part of the project, and must be conducted throughout the course of the project, not just at the end.

The development of documentation for the system is the responsibility of project team members, with the help of a Documentation Coordinator. This is the only way to ensure that the documentation will meet OHIO's needs. The Implementation Partner can also provide guidance and support, and can provide samples and templates of end-user documentation and customization specifications.

In order to be effective, delivered Oracle/PeopleSoft documentation must be supplemented with documentation of all customizations and custom institutional processes or terms. All documentation for customizations should be kept in the Project Workbook, and summaries should be incorporated into end-user manuals or online help. Customization documentation will include bridges and interfaces to and from the system, all reports, queries, and logic designed and built to extend the delivered system, all procedures needed to operate the system, and terminology used in conjunction with the system.

Documentation falls into the following categories:

### *User Documentation*

User documentation consists of detailed descriptions of how to utilize the completed system. This includes business processes, desk procedures to be used in concert with the on-line system, and run procedures for any batch runs. It should also include definitions where OHIO terminology is different than that used within the delivered system documentation. User documentation should be process based, offering "how to" guidance as staff perform their daily activities.

OHIO may elect to define two or more levels of user documentation, one for typical users and another for "power users" who have additional system responsibilities such as table maintenance, troubleshooting, etc. This would consist of the basic user's manual plus documentation of the additional functionality.

User documentation is not static. To be of value, it must be updated as system functionality changes or new procedures are implemented. Documentation planning should include the designation of staff responsible for on-going documentation maintenance throughout the life of the system. It is OHIO's intention to use Oracle's UPK to house user documentation.

### *Setup and System Documentation*

Setup documentation describes the various table setups in the system. This documentation will contain the rationale for table setup choices, as well as listings of table contents. Table definition begins in the Fit/Gap process and continues through all subsequent phases. Setup documentation

is often initially developed by the Implementation Partner or consulting resources, but must be maintained by OHIO staff through the project, and into the operational life of the system.

System documentation consists of several parts. File layouts for all bridges and interfaces to and from the system will be documented. Any customizations or added logic will be documented. All designed reports and queries that extend the system will be documented with layouts and logic specifications. Database designs and data rules outside of the system database will be documented. In short, all extensions of the system that make up the resulting solution should be documented.

## Deployment

The project plan will include a Deployment Plan. Deployment of the new system will take place throughout the life of the project, and extend into the production life of the system. Access to the system will need to be provided in a systematic way, supported with training.

Project Team members will be the first group requiring access to the application. Any software needs to be installed and appropriate security granted prior to system modeling with OHIO setup values.

As the project progresses, more business users will need system access as they assist with populating control tables, building test cases, and testing. Procedures must be developed to request, approve, and maintain user access. The various levels of security are described in the Security section of this document but for deployment, security must be implemented prior to deployment.

***All security configuration and management must be the responsibility of OHIO staff, not consultants,*** although the Implementation Partner will provide knowledge transfer on these areas during the project. This ensures that OHIO staff become expert in managing security early on, and also ensures that the layers of security that fall outside the immediate scope of the project (database access, network firewall, and the like) are integrated into the project appropriately. At the outset of the project, OHIO should identify staff with the skills to configure and manage the general areas of security noted below.

Prior to acceptance testing, OHIO should execute a security test to verify that the setup properly restricts access while allowing for individuals to complete their work.

## Organizational Change Management

Any project of this scope will introduce change into an organization, and OHIO may use this opportunity to review existing processes, and adopt best practices where they provide benefit and can be implemented with reasonable effort. These kinds of changes can impact both individuals and departments, and may affect departmental interactions, working habits and even institutional culture. Institutional change must be carefully managed to ensure that the outcome of any change is positive.

A strong Organizational Change Management program will include an integrated communications plan, training and documentation plan, and an organizational development plan, which will be tied into the overall project so that activities take place at appropriate times.

OHIO should plan for, and develop a support structure for the following general phases of an Organizational Change Management process:

- **Planning the Change Program:** Developing a dynamic change plan with milestones and feedback loops tied to the phases of the system implementation.
- **Generating Sponsorship:** Ensuring that the leadership team is on-board and committed, and that they understand and act on their roles as required for the successful outcome of the project. As OHIO moves forward, the Executive Steering Committee and Project Sponsors will need to fill this role.
- **Managing Organizational Impacts:** Determining the extent to which current processes and institutional characteristics are aligned with the requirements of the planned business processes. Understanding the new work processes that will be implemented, and defining the job and workplace skills required to support the new organization. Assessing the current level of skill within the affected user population and comparing current to desired skills.
- **Preparing End Users:** Providing stakeholders with a clear understanding of specific changes, how the changes affect them, and how the changes fit into the bigger picture is imperative to create end user acceptance and advocacy. Work with team members to establish individual plans where needed to train them for new roles and changing technology.
- **Providing Production Support Post Go-Live:** Because OHIO will implement several major student system modules and reporting tools in overlapping phases, in addition to finance and human resources, there will be a need to provide production support for some modules while others are still being implemented. The demand will be particularly heavy when implementation activities have to be coordinated with the normal calendar of the student lifecycle. The organizational and staffing impacts of these competing needs have to be considered and managed.

## Project Communication

Project Team communication serves a vital link to the OHIO community, helping to share important decisions and milestones. Each stakeholder needs to receive communications in various formats and at various times throughout the implementation. For all parties involved (executives, end-users, and students), individuals are much more responsive to change when they have a sense of involvement, and some advance notice of possible changes.

Communication serves several key goals: education, obtaining buy-in, and providing information to those individuals impacted by changes to policies and practices. The implementation project

is a vast and complicated process that impacts an organization and the participants in a variety of ways throughout its duration and at its conclusion. That is why it is essential to carefully plan the communication that will occur over the course of the project.

**Key Elements of the Communication Plan:**

- Project Events and/or Milestones
- Communication Audience
- Mode(s) of Communication
- Key Messages
- Frequency of Communication
- Communication Owner
- Planned Communication Date

**An effective Communication Plan:**

- Provides an organized and planned approach to the delivery of key communications during the course of the project.
- Clearly assigns responsibility, outlines the schedule of communication to key audiences, and identifies the most effective mode(s) of communication.
- Supports the change management effort by providing change information incrementally over a period of time.
- Provides communications to the right audiences at the right time.

<b>Process</b>	<b>Process Steps</b>
Define Key Events, Audiences, and Communication Vehicles	<ol style="list-style-type: none"> <li>1. The Implementation Team defines the key audiences.</li> <li>2. The Team identifies viable and effective modes of communication.</li> <li>3. The Team reviews the Key Events that should be included in the Communication Plan.</li> </ol>
By Target Audience Define Key Events and Communication Message	<ol style="list-style-type: none"> <li>1. The Team reviews, by target audience, each Key Event and devises the message as well as mode(s) of communication.</li> <li>2. The Team documents each Key Event and the recommended message.</li> </ol>
Communication Plan Manager Assigned	The team selects a member who becomes responsible for the development of the detailed communication plan and the communication as defined in the Communication Plan.
Communication Plan Created and Distributed to the Team	<ol style="list-style-type: none"> <li>1. The Communication Manager completes the detailed Communication Plan.</li> <li>2. As events occur, the Communication Manager is responsible for executing the communication to target audiences or assigning the task to another team member.</li> </ol>

The Implementation Partner will assist OHIO in the development of a complete Communication Plan. This plan should serve as the foundation of the Communication section of the Project Plan.

# Project Management Controls

## Decision-Making and Issue Escalation Process

The Operating Agreement section above contains detailed suggestions for making and documenting decisions during the project. However, in the context of escalation, the following additional guidelines are recommended:

- The Project Team Leads should be empowered to make decisions on how to utilize the delivered applications to meet OHIO's business needs.
- The Project Management team will address issues that affect the Project Plan, resource requirements, deliverables, or internal project schedule.
- The Executive Steering Committee will address OHIO policy issues, and changes of scope, cost, calendar, or quality.

Decision delays, especially on critical issues, can adversely impact the project timeline and budget. As the project progresses, project team members will become more involved with analysis and testing of system processes and how these processes will support OHIO's business needs. During these activities, issues may arise that could impede the progress of the project. If an issue cannot be resolved by the team leads within one business day, it will be brought to the attention of the OHIO Project Manager.

If the issue cannot be resolved within a second working day, the OHIO Project Manager will introduce the issue to the Executive Steering Committee for deliberation, and a final resolution will be made.

## Issues Management

Issues are events requiring a decision to avoid negative impact on the project. These events exclude changes in system functionality, system problems, or scope changes. Most issues result when a project's needs require a change in OHIO's culture, business practice or procedures. Effective risk management should anticipate many such events but it is not possible to avoid all issues. Issues will arise throughout the project and must be addressed expeditiously. Some issues require research or additional information; others can be dispatched immediately. All project issues must be assigned and tracked until resolved.

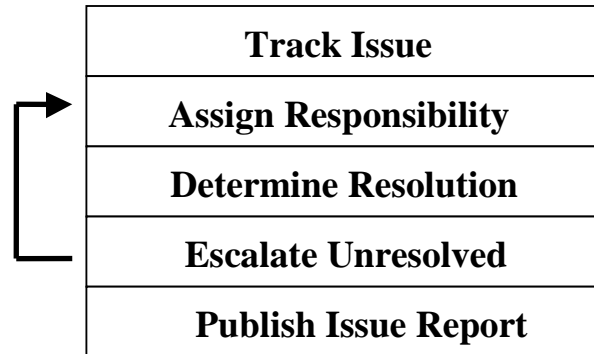
### Success Factors:

It is important to quickly identify and define potential issues to ensure project activities are not delayed. Project Team members should work together with Project Liaisons and "owners" of the affected business area to achieve a well thought-out solution. Careful consideration should be given to the following:

- Communicate the issue-handling process to entire Project Team.
- Create a central issue repository with access for all Project Team members.

- Conduct team discussions to properly identify and document the issue.
- Report the issue status to all affected.
- Assign a specific resource to lead the resolution process.
- Prioritize issues according to urgency and impact on the project.
- Follow a defined escalation process for high-level issues.

The Issue Management process contains the following five steps:



Each team will maintain a local copy of their own issues log, which will also be communicated to project management. The Project Manager will maintain a summary Issues Log. This iterative process, which is the responsibility of the entire team, is further described below:

### 1. Track project issue

At a minimum, the following information is required for the reported issue:

- Name of the person reporting the issue.
- Date the issue was identified.
- Nature of the issue.
- Issue identifying number.
- Consequences and timeframe of consequences if issue is not resolved.

### 2. Assign responsibility for each issue

The Project Manager will identify and publish an owner for each issue (i.e., someone given the responsibility to ensure the issue is closed in an appropriate manner). The Project Manager will set target dates for closure and interim status reporting and add the following to the Issues Log:

- Name of the issue owner.
- Target Date for issue closure.
- Interim Date(s) for reporting status.

### 3. Determine Issue Resolution

The Project Manager will document the recommended resolution to the issue and any alternatives to be considered and add the following to the issue report:

- Resolution required solving the issue.
- Impact of implementing resolution.

### 4. Escalate Unresolved Issues

The Project Manager will raise awareness of unresolved issues to the correct stakeholders as soon as possible to minimize negative project impacts.

- Suggest resolution strategies and identify where lead or executive support is needed.
- Follow through on the direction given by the stakeholders.

The Project Manager will approve the resolution actions recommended. If the recommended action impacts the scope, schedule, cost, or quality of the project, the change control process will be triggered.

The Project Manager will add the following to the Issues Log:

- Final disposition of issue.
- Individual responsible for resolution.
- Executive approval, if required.
- Close out date.

### **5. Publish Issues Log**

The Project Manager will maintain a log of all issues. The issues log will be visible to all team members. They will ensure accuracy of the log and the status of each issue. At a minimum, the issues log will have the following information:

- Issue identifying number.
- Date issue identified.
- Brief description.
- Who was assigned the research?
- Final disposition.
- Close out date.

The Implementation Partner Project Manager will ensure that a complete history of all issues is retained. The OHIO Project Manager will notify key stakeholders in writing within five business days about new issues that may cause a significant change in project scope, schedule, cost, or quality.

A sample Issues Tracking Log is included in Appendix 3.

### ***Technical Issues Tracking***

A centralized Technical Issues Log will be established for tracking system errors/issues and their resolution. This log can then serve as a technical troubleshooting document for OHIO resources. This log must include cases submitted to Oracle, as well as their resolution. OHIO's helpdesk software may be used in place of a Technical Issues Log, so long as project-related issues can be separately categorized and easily accessed by project team members. An advantage to this approach is that issues become the foundation of the system knowledgebase.

## **Policy Management**

As noted above, some issues that arise during the project will require a change in the institution's procedures or policies. Issues that affect business procedures for a single business unit or function may be handled through normal Issues Management, however those issues that affect procedures for more than one unit, or that affect official OHIO policy require additional review.

As part of the Project Governance structure, the Executive Steering Committee should be involved any time OHIO policy is significantly affected.

The escalation process for policy issues should follow the same first three steps noted in Issue Management above, but diverges at step four (Escalate Unresolved Issues):

**1. Escalate Policy Recommendation to Project Liaisons**

The OHIO Project Directors will escalate policy analysis and recommendations first to Project Liaisons for review and comment by each campus. Any changes or notes received from Project Liaisons will be returned to the issue owner to be incorporated into the recommendation.

**2. Escalate Policy Recommendation to Executive Steering Committee**

The OHIO Project Directors will next escalate policy analysis and recommendations to the Executive Steering Committee, who will review the proposed new policy in the context of existing OHIO policy and the broader state and federal context.

Once a policy is reviewed and approved by the Executive Steering Committee, it may follow one of three paths:

**3. Optional: Public Review of Policy Recommendation**

Policy changes that have broad impact or that may result in a change in staffing or cost to the institution may require a public comment period. In this case the "public" would typically be OHIO faculty, staff, and students, but in some rare cases it may include the greater OHIO community.

**4. Publish Policy Recommendation/Escalate to Change Management**

Once a policy has been properly reviewed and approved, it should be published as appropriate to its level and type. All policy issues must be tracked in the Issues Management Log, and in the Project Workbook. Changes to OHIO policies should also be published with other similar policies as appropriate.

Finally, if the policy involves changes in OHIO culture or procedures, it should be escalated through Change Management.

## Change Control

The change management process addresses the needs and effects of change on OHIO organizational structures and business processes. Change management is concerned with how the project affects the institution, and should live beyond the implementation of any new system.

The change control process encompasses any alterations to the tasks, resources, schedule, quality, or costs of deliverables for the project itself. Change control is internal to the project, occurs primarily during implementation, and is used to control and maintain scope, schedule, and budget.

The Fit/Gap process is the primary discovery tool for determining changes to the baseline system. OHIO intends to pursue a balanced strategy when gaps are identified, as articulated here:

- Customize when necessary for regulatory or compliance reasons, or when cost-benefit analysis of customization vs. process change makes it obvious we have to do the customization.
- When considering options for addressing change, each approach will be researched and documented, and the short- and long-term costs for each will be estimated. Options will be escalated through formal issue, change and risk management as appropriate, and the final decision will be publicly documented.

Once customizations and modifications have been identified and approved as a result of the Fit/Gap process, any additional changes to the baseline system will be regulated by the change control processes.

Some changes are imposed on the project as a result of external events beyond the control of the team. Examples of these external events include turnover of team members, illness of a key project human resource or imposition of new requirements by an external regulatory body. Each of these changes must be evaluated for its impact on the project, and agreement reached on the approach to address the change.

Change control will include effective tracking, monitoring, and control over changes by:

- Establishing a central point of control and a decision-making process.
- Minimizing any changes, even those that are easy to make (which can cause a project to go out of control when too many are proposed). This step includes identification and analysis of alternatives.
- Requiring a business case to be documented and approved through the appropriate approval process. This process should be used for both changes identified in the Fit/Gap process and any subsequent changes.

Change control **also** includes changes to the tasks agreed to in the Project Charter and the Project Plan approved at the conclusion of the implementation planning phase. New requirements that surface over the course of the project (resulting in increased estimates of effort) are also subject to the change control process.

Examples of events or circumstances that may invoke the change control process include:

- Someone requesting a system modification.
- Resolution of an issue requiring a change.

- Identification of an action to address a risk.
- Software release upgrades.
- Changes in OHIO's policies, procedures, or business climate.
- Team lead turnover.
- Decision to change the content or format (and therefore the quality) of training or documentation.
- Inability to support Project Team commitments.

#### Key Elements of the change control process:

- Establishment of project baseline, usually the Project Charter and Project Plan, variation from which triggers the change control process.
- Documentation and analysis of proposed changes, including alternatives and costs.
- Formal approval process.
- Structured tracking of proposed changes.

Notification of intended changes must be communicated in writing from Functional Leads to the Implementation Partner Project Manager, and should include justification and analysis of the impact on the project. This analysis must include an estimate of the system objects affected, any impacts to the target module and to other system modules, and an estimate of the time required to complete the change.

## Deliverable Acceptance

Deliverable Acceptance is an essential part of the functional users taking ownership of the new application. Deliverable Acceptance can be associated with individual tasks, project milestones, or Implementation Partner payment points. It may also have legal and contractual ramifications. Acceptance of individual tasks is more a function of individual ownership and accountability, while acceptance of a milestone frequently has contractual implications. Re-visiting tasks after a milestone signoff is likely to cause a change of scope.

Deliverable Acceptance will require sign-off by the appropriate team lead and functional director, as well as the OHIO Project Directors.

The Acceptance Management process ensures that deliverables or services provided by the Implementation Partner during the project are presented to OHIO for acceptance. Formal acceptance by OHIO indicates that the deliverable or service has been completed in accordance with the Statement of Work (SOW).

In order for Services or Work Product deliverables to be accepted by OHIO, the Implementation Partner will provide a written notice to OHIO utilizing the Deliverable/Services Acceptance Form which will confirm:

- The specified Services or Work Products are complete and conform to the SOW,
- The Services or Work Products have resulted in systems which operate reliably in OHIO's environment, and,

- The systems have no material gaps, irregularities, errors, or omissions.

### *Acceptance Management Process --- Overview*

- The Implementation Partner Project Manager will provide a completed Deliverable/Service Acceptance Form to the OHIO Project Directors when:
  1. Documented requirements have been met,
  2. Testing is complete and defects addressed, and
  3. Quality reviews have been passed.
- OHIO will formally accept the deliverable or service as complete and in conformance with the SOW by signing the acceptance section of the Deliverable/Service Acceptance Form or reject the deliverable or service and provide written notification of the reason for rejection.
- The Implementation Partner Project Manager will coordinate efforts to redress deliverables or services rejected by OHIO so that they can be accepted.

## Quality Assurance

There are several methods to monitor and assure project quality. One of the most important is for the appropriate OHIO staff to be fully engaged in all phases of the implementation project. This ensures that OHIO's business needs are communicated to the project team, and are therefore more likely to be met. It also ensures that once the application is in production and consultants have departed, OHIO is fully prepared to utilize and support the application.

The Project Charter outlines controls and strategies, including testing requirements, signoff of deliverable acceptance, and development standards. These are further elaborated in the Project Plan. Adherence to and successful execution of the established procedures for Change Control, Risk Management, Issues Management, Status Reporting, and Communication help to assure quality output.

The testing approach described above is another key component in Quality Assurance. Any project that involves software should include "code review" in the Quality Assurance plan. This step identifies errors in programming code (in customizations, interfaces or reports) before it gets to the system testing stage. Carefully and consistently following the progression from reviewed and approved functional specification, to reviewed and approved technical specification, to developer unit-testing, to user unit-testing ensures that a program is accurate prior to integration with the application.

Finally, some Implementation Partners will provide a non-project resource to provide a review on a periodic basis, usually after meeting major milestones. The objective of these reviews is to ensure that the project is complying with established processes and methodologies. Alternatively, OHIO could use an external consulting firm or other resource for this purpose.

## Risk Management

The risk management process is a structure for identifying, assessing, addressing, monitoring, and communicating the status of potential risks. It is important to note that a project can include both positive and negative risks, and both types require identification and planning. Negative risks are easier to identify. For example, if a critical member of the team becomes ill and can't complete his/her tasks, this delays other tasks, and may cause a ripple effect through the entire project.

It is as important to consider and manage positive risks as well. For example, the team may complete work on a major task several days before the scheduled completion date. If the following (dependent) tasks on the schedule can't also be moved up, then a window of slack time develops. This can be capitalized on for other work, if it is recognized in a timely manner. If this slack time is not handled properly, then some members of the team may be idle until the next task can start.

Once a risk is identified, risk mitigation strategies will be developed and invoked to eliminate or reduce the potential risk whenever possible. On a monthly basis, project management will formally review these risks and the documentation will be updated to reflect new risks and any changes to probability, impact or strategies, actions, assignments, and deadlines. When the impact of a risk could become an obstacle to the project success, or when previously identified risk mitigation actions remain incomplete, the risk will be escalated to the Executive Steering Committee.

The Risk Management Log is used to track the key risks associated with the project, estimate the likelihood they will occur, and estimate possible loss due to each risk. The probability column should be based on previous experience or best guess estimates. After identification, risks with the highest probability are given the highest priority. See Appendix 4 for a sample Risk Management Log.

In any given week, Project Management should be focused on the top five or ten risks, as prioritized above. "Active", high-priority risks should be escalated to the Executive Steering Committee as needed for resolution.

The table below outlines initial risks identified during project definition meetings on each of the campuses, and with various central and administrative offices. This is an initial list that can serve as the foundation for the complete risk management log, to be created during Implementation Planning.

<b>RISK</b>	<b>POSSIBLE MITIGATION</b>
<p><u>Move from quarter-based to semester-based schedule.</u> Although the timing for this has not been finalized, the project needs to take this possibility into account.</p>	<ol style="list-style-type: none"> <li>1. Develop estimates for the effort required to "convert" PeopleSoft from quarter based to semester based scheduling.</li> <li>2. Monitor the discussion around this decision closely.</li> </ol>

<p><u>Funding</u> Funding has not yet been approved or allocated for the project.</p>	<ol style="list-style-type: none"> <li>1. The budget has been validated and presented to the board.</li> <li>2. Monitor for board approval.</li> <li>3. Use unexpended funds from the first phase of the project to bridge the gap.</li> </ol>
<p><u>Implementation Experiences</u> Previous implementation efforts may have resulted in mixed perceptions of success within the OHIO user community.</p>	<ol style="list-style-type: none"> <li>4. Plan and execute a comprehensive communication plan. Include regular updates to stakeholders through various channels.</li> <li>5. Ensure that this project’s principles and plan include the lessons learned from earlier projects at OHIO.</li> <li>6. Involve Student, Faculty, and Staff Liaisons to ensure they have opportunities to participate, and provide feedback throughout the project.</li> <li>7. Hold a project-wide kickoff meeting that includes all project members, Executive Steering Committee, and Executive Sponsor.</li> <li>8. Provide early overview, demo, and training opportunities for team members and other stakeholders to become familiar with the process.</li> <li>9. Ensure that the project team includes experienced Implementation Partner consulting support.</li> </ol>
<p><u>Project Scope Changes</u> The initial defined scope may not appear to address all of the OHIO requirements.</p>	<ol style="list-style-type: none"> <li>1. Begin communicating the reasons why an “out of the box” best practices approach may resolve concerns.</li> <li>2. Ensure that the project scope is realistic both in terms of achieving project objectives, and in the context of OHIO’s other priorities.</li> <li>3. If required functionality is not currently in scope, determine if a scope change is warranted and the cost and schedule effects of such a change.</li> </ol>
<p><u>Executive Support</u> Continued executive support is critical to demonstrate that this project is ongoing and should have priority within the institution.</p>	<ol style="list-style-type: none"> <li>1. Begin to execute a communication plan that includes regular communication from the Project Sponsor to the project community.</li> </ol>

<p><u>Staffing:</u> OHIO staff will not be able to dedicate sufficient time to the project, which will cause delay.</p> <p>Staff turnover during the project will result in the loss of functional and technical expertise.</p> <p>It is not clear how the transition from implementation to a production environment will affect staffing, both of project and backfilled positions.</p>	<ol style="list-style-type: none"> <li>1. Create a separate project staff. Where necessary, develop a backfill strategy and budget for institutional positions so that team members can concentrate on the project.</li> <li>2. Where appropriate, cross-train project team members in more than one module or function.</li> <li>3. Establish a training plan for both functional roles and PS functional expertise</li> <li>4. Develop a Staffing Plan for the transition to a production environment that takes into account the changes in both project and backfilled positions.</li> <li>5. “Go live” is not the end of the implementation---changes in staffing and skills will need to be addressed for the future state.</li> </ol>
<p>Student Financial Aid (SFA) conversion from summer header to summer trailer. For the purpose of aligning the SFA calendar with the academic year calendar, the project team has recommended that the SFA summer term be converted from a header to a trailer.</p>	<ol style="list-style-type: none"> <li>1. Evaluate and make a decision prior to beginning Financial Aid configuration in PeopleSoft.</li> </ol>
<p><u>Current and “To Be” Process Documentation</u> Documentation of current business processes need to be addressed so they reflect the future business processes that will be implemented with PeopleSoft.</p>	<ol style="list-style-type: none"> <li>1. Individuals who understand business operations in a given unit or functional area as well as PeopleSoft must be available to the project (as Subject Matter Experts) in order to update the OHIO processes and help in understanding how those will be incorporated in the system.</li> <li>2. The project team must include staff with the responsibility of documenting revised processes throughout the implementation.</li> <li>3. The project plan must allow additional time to walk through, understand, and validate current processes so they can be incorporated in the revised process documentation.</li> </ol>

<p><u>Communication</u> Users are not aware of all the capabilities or functions that are within the new system.</p>	<ol style="list-style-type: none"> <li>1. Ensure that the training and documentation includes materials both for critical job functions, and to explain new features and functions.</li> <li>2. Devote one portion of the project website to an overview of features and functions.</li> <li>3. Consider presenting demos at scheduled “brown bag” sessions.</li> </ol>
<p><u>Responding to External Mandates</u> Legislative mandates, regulatory and compliance issues will arise during the course of a multi-year project.</p>	<ol style="list-style-type: none"> <li>1. The project plan must include an effort to research and anticipate the effect of any mandates on the implementation timeline (e.g., FERPA, SEVIS, etc.)</li> </ol>
<p><u>System Cutover</u> The transition from one system to the next should be seamless to students, faculty, staff and other users of the legacy application.</p>	<ol style="list-style-type: none"> <li>1. The project plan must include thorough testing and quality assurance activities. These must be executed during implementation.</li> <li>2. This project should work closely with the faculty/staff and student portal projects to ensure tight integration.</li> <li>3. The training plan must accommodate both casual, first-time, and “expert” users, and training needs to be properly timed with deployment.</li> </ol>
<p><u>Infrastructure</u> The technology that users need to access the system must be in place prior to their first access to the system.</p>	<ol style="list-style-type: none"> <li>1. The project plan must include tasks that include technical architecture review and planning for elements from server and related systems through network architecture, security, and provisioning, to end-user equipment both on campus and for remote users.</li> <li>2. Users should be notified well in advance of the minimum desktop configuration required to run the new application, so that requests for equipment can be integrated into normal budget request cycles.</li> <li>3. Project team members must receive the correct equipment prior to the beginning of the implementation phase.</li> <li>4. The project training and deployment plans must be synchronized with any equipment rollout.</li> </ol>

<p><u>Helpdesk and User Support</u> Good helpdesk and user support is required for a successful implementation.</p>	<ol style="list-style-type: none"> <li>1. The helpdesk staff must be well trained, properly staffed, and confident.</li> <li>2. The deployment plan must include helpdesk roll-out prior to any end-user access.</li> <li>3. Helpdesk knowledgebase and tracking software must be in place to monitor issues and resolutions.</li> <li>4. The project plan should include a discussion of both centralized and decentralized (i.e.: departmental liaisons) support.</li> </ol>
<p><u>Outreach's 500 New Students</u> Need to Support a new set of 500 students and a curriculum by Fall 2008.</p>	<ol style="list-style-type: none"> <li>1. Understand the requirements of the new set of students.</li> <li>2. Determine if they can be supported with a pilot implementation of PeopleSoft or if they require integration in the current SIS.</li> <li>3. Determine schedule and staffing impacts to either PeopleSoft or current system to support the new program.</li> </ol>
<p><u>Security</u> Establish security based on roles that will ensure data security.</p>	<ol style="list-style-type: none"> <li>1. Establish a Data Stewardship committee to focus on sharing of data.</li> <li>2. Establish roles and define the access each of the roles will have.</li> <li>3. Implement Identity Management to facilitate a single sign-on that supports role based security.</li> </ol>

# Appendices

## Appendix 1: Project Charter Interviewees

The Project Charter activities began with workshops that included executives and staff who are involved with supporting the current systems. The OHIO Project Manager compiled a list of potential interviewees in the following categories:

- Recruiting and Admissions
- Student Records/Registrar
- Student Finance/Bursar
- Financial Aid
- Alumni and Donor
- Institutional Research
- Financials
- Human Resources
- Student Affairs
- Graduate Admissions
- Outreach
- Medical College
- Information Technology
- Regional Campuses

All of these individuals attended a functional team meeting with CIBER and the OHIO Project Manager. During these meetings, participants were asked to contribute potential project objectives, critical success factors, risks and high level functional needs.

Function	Role	Name	Email Address	Phone
SIS Executive Steering Committee				
	Office of the Bursar	Kim Trout	<a href="mailto:troutk@ohio.edu">troutk@ohio.edu</a>	740.593-9589
	Office of the Bursar	Carole Gilkey	<a href="mailto:gilkey@ohio.edu">gilkey@ohio.edu</a>	740-593-4217
	Office of the Bursar	Sherry Downs	<a href="mailto:downs@ohio.edu">downs@ohio.edu</a>	740-593-4129
	Office of the Bursar	Tia Barrett	<a href="mailto:barrett@ohio.edu">barrett@ohio.edu</a>	740-593-4133
Asst. Dean Council	Scripps College of Communication	Eddith Dashiell	<a href="mailto:dashiell@ohio.edu">dashiell@ohio.edu</a>	740-593-4168
	College of Fine Arts	Norma Humphreys	<a href="mailto:Humphrey@ohio.edu">Humphrey@ohio.edu</a>	740-593-1813
	Health and Human Services	Lee Cibrowski	<a href="mailto:cibrowsk@ohio.edu">cibrowsk@ohio.edu</a>	740-593-9336
	Arts and Sciences	Caryn Asleson	<a href="mailto:asleson@ohio.edu">asleson@ohio.edu</a>	740-593-2841
	University College	Dale Tampke	<a href="mailto:tampke@ohio.edu">tampke@ohio.edu</a>	740-593-2475
	University College	Laura Chapman	<a href="mailto:chapmanl@ohio.edu">chapmanl@ohio.edu</a>	740-593-1935
	College of Education	Maureen Coon	<a href="mailto:coonm@ohio.edu">coonm@ohio.edu</a>	740-593-1302
	EVP-Provost Office	Anita Leach	<a href="mailto:leacha@ohio.edu">leacha@ohio.edu</a>	740-593-9877
	Provost Office	Marty Tuck	<a href="mailto:tuck@ohio.edu">tuck@ohio.edu</a>	740-593-2577
	Russ College	Ken Sampson	<a href="mailto:Sampson@ohio.edu">Sampson@ohio.edu</a>	740-593-1503

	College of Business	Mike Bila	<a href="mailto:bila@ohio.edu">bila@ohio.edu</a>	740-593-1344
	Regional Campuses	Bill Willan	<a href="mailto:willanw@ohio.edu">willanw@ohio.edu</a>	740-593-1554
	Office of the University Registrar	Debra M. Benton	<a href="mailto:bentond@ohio.edu">bentond@ohio.edu</a>	740-593-4260
	Office of the University Registrar	Bob DeLong	<a href="mailto:delong@ohio.edu">delong@ohio.edu</a>	740-593-9898
	Office of the University Registrar	Bob Bulow	<a href="mailto:bulow@ohio.edu">bulow@ohio.edu</a>	740-593-2469
	Office of the University Registrar	Shari Nogrady	<a href="mailto:nogrady@ohio.edu">nogrady@ohio.edu</a>	740-593-4189
	Office of the University Registrar	Brenda Wilkes	<a href="mailto:wilkesb@ohio.edu">wilkesb@ohio.edu</a>	740-593-4195
	Office of the University Registrar	Mike Wickham	<a href="mailto:wickham@ohio.edu">wickham@ohio.edu</a>	740-593-4183
	Office of the University Registrar	Bill Mullins	<a href="mailto:mullinsw@ohio.edu">mullinsw@ohio.edu</a>	740-593-4193
	Office of Student Financial Aid and Scholarships	Jill Lallier	<a href="mailto:lallier@ohio.edu">lallier@ohio.edu</a>	740-593-4164
	Office of Student Financial Aid and Scholarships	Soni Williams	<a href="mailto:willias1@ohio.edu">willias1@ohio.edu</a>	740-593-9126
	Office of Student Financial Aid and Scholarships	Melissa Van Meter	<a href="mailto:vanmeter@ohio.edu">vanmeter@ohio.edu</a>	740-593-4260
	Office of Student Financial Aid and Scholarships	Valerie Miller	<a href="mailto:millerv@ohio.edu">millerv@ohio.edu</a>	740-593-9853
	Student Affairs	Patty McSteen	<a href="mailto:mcsteemp@ohio.edu">mcsteemp@ohio.edu</a>	740-597-2916
	Dining Services	Gwyn Scott	<a href="mailto:scottg@ohio.edu">scottg@ohio.edu</a>	740-593-4155
	Housing	Jeanne Hacker	<a href="mailto:hackerjn@ohio.edu">hackerjn@ohio.edu</a>	740-593-4085
	Housing and Dining	Penny Trace	<a href="mailto:trace@ohio.edu">trace@ohio.edu</a>	740-593-9425
	Aux. Services	Brian Thompson	<a href="mailto:thompsb4@ohio.edu">thompsb4@ohio.edu</a>	740-593-4151
	Aux. Services	Christine Sheets	<a href="mailto:sheetsch@ohio.edu">sheetsch@ohio.edu</a>	740-593-4094
	College of Medicine	Brian Phillips	<a href="mailto:Phillips@ohio.edu">Phillips@ohio.edu</a>	740-593-2170
	Dean – University College	David Descutner	<a href="mailto:descutne@ohio.edu">descutne@ohio.edu</a>	740-593-1935
	Director, Institutional Research	Mike Williford	<a href="mailto:willifor@ohio.edu">willifor@ohio.edu</a>	740-593-1059
	CIO	Brice Bible	<a href="mailto:bibleb@ohio.edu">bibleb@ohio.edu</a>	740-566-8246
	Executive Director Lifelong and Distance Learning	Marsha Ham	<a href="mailto:ham@ohio.edu">ham@ohio.edu</a>	740-593-2889
	OUBW/LLL and DL	Muriel Ballou	<a href="mailto:ballou@ohio.edu">ballou@ohio.edu</a>	740-593-1775
	Outreach	Steve Flaherty		
	Lifelong and Distance Learning	Lisa Dael	<a href="mailto:dael@ohio.edu">dael@ohio.edu</a>	740-593-9925
	Lifelong and Distance Learning	Karen Pidcock	<a href="mailto:pidcockk@ohio.edu">pidcockk@ohio.edu</a>	740-593-2897
	Lifelong and Distance Learning	Ken Armstrong	<a href="mailto:armstron@ohio.edu">armstron@ohio.edu</a>	740-593-1427
	Graduate Studies	Katie Tadlock	<a href="mailto:tadlockk@ohio.edu">tadlockk@ohio.edu</a>	740-593-2860

Undergraduate Recruiting and Admissions	Undergraduate Recruiting and Admissions	Jean Lewis	<a href="mailto:lewis@ohio.edu">lewis@ohio.edu</a>	740-593-4104
	Undergraduate Recruiting and Admissions	David Axsom	<a href="mailto:axsom@ohio.edu">axsom@ohio.edu</a>	740-593-4115
	Undergraduate Recruiting and Admissions	Joyce Pae	<a href="mailto:pae@ohio.edu">pae@ohio.edu</a>	740-593-9951
	Undergraduate Recruiting and Admissions	David Garcia	<a href="mailto:garcia@ohio.edu">garcia@ohio.edu</a>	740-593-4120
	Undergraduate Recruiting and Admissions	Candace Boeninger	<a href="mailto:boeningc@ohio.edu">boeningc@ohio.edu</a>	740-593-4113
	Undergraduate Recruiting and Admissions	Kevin Witham	<a href="mailto:witham@ohio.edu">witham@ohio.edu</a>	740-593-4116
	Undergraduate Recruiting and Admissions	Melanie Hayden	<a href="mailto:haydenm@ohio.edu">haydenm@ohio.edu</a>	740-593-4117

# Appendix 2: Web access matrix

Role →	Prospect	Applicant	Student	Graduate	Alumni	Faculty	Recruiting & Admissions	Registrar	Financial Aid	Bursar	Academic Advising	Student Affairs	Auxiliaries	Residential Life	Student Health	Parents
<b>Activity/Data ↓</b>																
<b>Recruiting &amp; Admissions</b>																
• Request Information	✓															
• Apply for Admissions		✓					✓									
• Application Status		✓					✓				✓	✓	✓	✓		
• Accept/Decline		✓					✓		✓		✓	✓	✓	✓		
<b>Records</b>																
• Apply for Graduation			✓					✓	✓	✓	✓					
• Degree Audit								✓								
• View schedule of classes			✓					✓	✓	✓	✓			✓		
• Create registration wish list			✓													
• Register, add, drop, waitlist, edit and swap classes			✓					✓								
• Learning management systems			✓			✓		✓			✓					
• Evaluate transfer credit																
• Transfer credit report							✓	✓			✓					
• Unofficial transcripts			✓					✓			✓					
• Request official transcripts			✓	✓				✓	✓	✓	✓					
• Enrollment verification																
• Degree progress report			✓					✓			✓					
• Class schedules			✓					✓			✓	✓				
• Class assignments			✓					✓			✓	✓				
• Faculty assignments						✓		✓			✓	✓				
• Exam schedules			✓					✓			✓	✓				
• Grades			✓			✓		✓			✓	✓				
• Academic Holds			✓			✓		✓			✓	✓				
<b>Student Financials</b>																
• Account inquiry			✓	✓				✓	✓	✓						
• Account activity			✓	✓					✓	✓						
• Charges due			✓						✓	✓						
• Payments applied			✓						✓	✓						
• Pending financial aid			✓						✓	✓						
• Make a payment (e.g. enrollment, housing, meal plans, parking fines, transcripts, etc.)			✓	✓												✓
• Financial holds			✓					✓	✓	✓						
• Course fees			✓						✓	✓						
• Lab fees			✓						✓	✓						
• Housing & meal fees			✓						✓	✓						
• Other fees			✓	✓					✓	✓		✓				
<b>Financial Aid</b>																
• Apply for aid			✓													
• Award			✓						✓							
• Exit interviews			✓						✓							
<b>Personal Information</b>																
• Addresses (local, permanent, etc.)			✓	✓	✓		✓		✓	✓		✓		✓	✓	✓
• Names			✓	✓	✓		✓		✓	✓		✓		✓	✓	✓
• Phone Numbers			✓	✓	✓		✓		✓	✓		✓		✓	✓	✓
• Email Addresses			✓	✓	✓		✓		✓	✓		✓		✓	✓	✓
• Emergency Contacts (phone & addresses)			✓				✓					✓		✓	✓	✓
• Demographic Information			✓	✓	✓		✓		✓	✓		✓		✓	✓	✓
• Personal Identification Number		✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
• Immunizations			✓				✓					✓		✓	✓	✓
• FERPA/Directory Restrictions			✓						✓							
• SEVIS (Intl Students)			✓				✓		✓							
• Highschool(s) & college(s) attended			✓													
• Password			✓	✓	✓											
• User Preferences			✓	✓	✓											
• Languages			✓													
• Licenses and Certificates			✓	✓	✓											
• Memberships			✓	✓	✓		✓									
• Employer(s)			✓	✓	✓		✓		✓					✓	✓	✓
• Work Experience			✓	✓	✓		✓					✓				
• Extracurricular Activities			✓	✓	✓		✓									
• Honors & Awards			✓	✓	✓		✓									
• Research			✓	✓	✓		✓									
• Publications			✓	✓	✓		✓									
• Judicial Outcomes/Holds			✓				✓		✓	✓	✓	✓				
• Academic Holds			✓				✓		✓	✓	✓	✓				
<b>Student Directory</b>																
			✓				✓									
<b>Alumni Directory</b>																
			✓	✓			✓									

\* Roles are for all types of learning modes (e.g., traditional on campus, distance learners, lifelong learners, professions course takers, etc.)



