



gateway initiative

An update to the UMG Administrative Forum; Academic Resource Council
August 21, 2003

Bruce Vieweg, Associate Vice President, Information Technology Services, Co-Chair,
Gateway Steering Committee, Gateway Project Coordinator

Attachments: Important Gateway Project Dates – Summer through Fall, 2003

Summary

Milestones met

- All Sun hardware received, installed and operational
- All Banner systems (Human Resources, Advancement, Financials, Student, and Financial Aid) are installed and functional
- All Oracle technical training completed for Administrative IT staff
- All Solaris technical training completed for ITS systems technical staff
- Draft project plan presented to the Gateway Steering Committee for review; final plan to be presented for sign-off on September 3
- Gateway hardware platform secured
- ALL BPAs (Business Process Analysis) completed
- Project Definition Document completed and signed off by Gateway Steering Committee
- BPA reports received for Student, Human Resources, and Financial Aid – reporting pending for Advancement (Alumni and Development)
- Data Standards Document drafted and being finalized

Significant progress has been made over the summer months and, overall, the project remains on-time and under budget. Detailed information will be published in Newslink and other forums regarding the launch of the Luminis portal that will occur in September.

A work group evaluating the possible adoption of new ad hoc reporting tools is nearly finished in its work and will be making a recommendation to the Gateway Steering Committee within the month.

A detailed report of Gateway funding status was prepared and presented to the Gateway Executive Sponsors. We continue to project the actual costs of Gateway being under the proposed budget.

System development activities for each of the Banner modules begin in earnest next month (September). Each functional team will spend a week in training, followed by 3 weeks in completing assignments until the consultant returns for the next set of activities. The rest of the project will follow a very similar pattern. Interspersed with these activities, data conversion, report migration, security considerations, detailed testing, end user training, will also be addressed in the appropriate time.

There have been significant requests for information from our Internal Audit Department that is pursuing audits of the migration from Plus to Banner. All together, nine specific areas will be audited over the next 2 ½ years of the project related to project management, integrity of data, conversion, requirements documentation, standards compliance, hardware and software security.

Presentations and/or updates related to Gateway have been made to:

- Faculty Senate
- Staff Advisory Council
- Student Government Association, Technology Concerns Committee
- Academic Resource Council (multiple occasions)
- President's Coordinating Council
- Board of Trustees
- UMG Business Managers
- Council of Academic Deans and Directors (CADD)
- School of Medicine Leadership

I. Tasks completed to date

- a. Negotiations with SCT completed and agreement signed on December 23, 2002
- b. Pre-implementation meeting with SCT project managers (Kathy Singer; Deb Kelsheimer; Christopher Littrell (via conference call) held on January 24, 2003
- c. Project accounts have been established and are being used to process payments
- d. Project Steering Committee established and is meeting every other week – Co-Chaired by Ellen Harshman, currently Senior Vice Provost, soon to be Dean, Cook School of Business, and Bruce Vieweg, Associate Vice President, ITS (members representing the entire SLU community, including faculty, staff, administrators, and students).

i. Members:

1. Asai Asaithambe, Ph.D., Chair, Computer Science, Parks College, Faculty Senate Representative
2. Michael Burks, Director, University Web Development, Luminis Project Manager
3. Hal Deuser, Director, Financial Aid, Chair, Financial Aid team
4. Steve Dina, Ph.D., Associate Dean, College of Arts & Sciences
5. John Goerke, Project Manager, Plus Conversion
6. Ned Harris, Ph.D., Associate Provost, Enrollment, Admissions, and Advising Services, Chair, Student Team
7. Robert Heaney, MD, Associate Dean, Graduate Medical Education, School of Medicine
8. Jeffrey Kapp, Director, Administrative IT Services, Project Manager, Banner Implementation
9. Bobbi Kysar, Director, HRIS, Compensation, Chair, Human Resources Team
10. Phil Lyons, Assistant Vice President, Student Development
11. Steve Miller, DBA, Associate Dean, Cook School of Business
12. Paul Jackson, Assistant Provost
13. Linda Noyes, Director, Disbursements, and Tax Compliance, Controller's Office, Business and Finance, Vice Chair, Human Resources Team
14. Lee McDurmott, Manager, Department of Surgery, Staff Advisory Council Representative

15. Greg Muck, Freshman, Student Government Association Representative
 16. Mark Schmotzer, Controller, Chair, Finance Team
 17. Paul Schnabel, Associate Vice President, Development, Chair, Alumni/Development Team
 18. Bob Webster, Ph.D., Associate Provost
 19. Julie Weissman, Ph.D., Assistant Provost, Office of Institutional Study
 20. Elizabeth Winchester, Director, University Audit Services
 21. Austin Winkleman, Information Security Officer
 22. Robert Woodruff, Associate Vice President, Marketing and Communications
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- e. A smaller, Executive Committee of the Steering Committee has been formed (Steering committee chairs; Team leaders; Project Managers) and meets every other week
 - f. Space in Des Peres Hall has been identified for both the Project Office and a special training area for functional and technical training
 - g. Jeffrey Kapp has joined SLU as the new Director of Administrative Systems. Jeff has extensive Banner experience, and has done 1 full implementation (Milliken University) and most recently was working as a Team Lead on the Financial System implementation underway at the University of Illinois.
 - h. Business Process Analysis workshops have been completed for Student, Financial Aid, and Human Resources – the report from the Financial Aid BPA has been received and is currently being reviewed by Financial Aid Team Members; the Student report is expected by the end of the month;
 - i. Engagement with SLU Internal Audit to help assure positive outcomes and appropriate oversight
 - i. Internal audit has identified 9 areas of audit:
 1. Project management controls
 2. Requirements documentation compliance to standards
 3. Banner application integrity and audit controls
 4. Requirement testing completeness and accuracy
 5. Data migration testing
 6. Application “Go-Live” signoff
 7. Operating system information security hardening
 8. Oracle database security control gap analysis
 9. Information security sign-off before go-live

- j. Project Functional and Technical Team Leads appointed:
 - i. Student – Ned Harris, Associate Provost, Enrollment and Academic Services
 - ii. Human Resources – Bobbi Kysar, Chair, Director of HRIS and Compensation; Linda Noyes, Director, Disbursements, and Tax Compliance, Controller’s Office, Business and Finance, Vice Chair
 - iii. Financials – Mark Schmotzer, Associate Vice President and Controller
 - iv. Alumni and Development – Paul Schnabel, Associate Vice President, Alumni and Development
 - v. Financial Aid – Sandy Pritt, Acting Director of Financial Aid
 - vi. Luminis – Michael Burks, Director of Web Development
 - vii. Banner Implementation – Jeff Kapp, Director, Administrative IT Services
 - viii. PLUS Data Conversion – John Goerke
 - ix. Overall Gateway project coordination – Bruce Vieweg, Associate Vice President, ITS

- k. Project Communication plan begun
 - i. Project Logo and message developed
 - ii. Initial message to SLU community announcing the LEAP agreement between SCT and SLU was included in Father Biondi’s January monthly message
 - iii. Newslink Q&A in February
 - iv. Grand Connections - Major communication appeared in May – that included a detailed timeline, Gateway Glossary, list of benefits, and a Q&A.
 - v. Presentations have been made to the Board of Trustees Audit, IT, and Finance Committees
 - vi. Presentation to the full Board of Trustees given at May meeting
 - vii. Presentation made to the Academic Resource Council
 - viii. Presentations given to the Staff Advisory Council and Faculty Senate – additional updates to the Faculty Senate are being scheduled
 - ix. Update provided to the UMG Business Managers – will provide an update on a quarterly basis
 - x. Update provided to the School of Medicine Leadership
 - xi. Planned on-going and regular updates to the SLU community
 - xii. Web site nearly ready to make public
 - xiii. Draft of communication plan reviewed by Gateway Steering Committee

- l. Project Organizational Planning (POP) meeting held on February 20 and 21, 2003.
- m. Project Training Plan development begun with Barbara Coleman, ITS Manager of Training and Communications
- n. Project training activities, as related to Luminis, have begun.
- o. A complete schedule of project related activities has been set for the next three years
- p. Contracted Oracle DBA services available on site (Ron Lopez).
- q. Special technical training completed
 - i. Luminis (portal) team attended training in Salt Lake City in February
 - ii. Sun Solaris training for systems personnel began in February and continues.
 - iii. Relational database concepts, SQL, and other Oracle technical training of the administrative IT group staff has been completed.
- r. Luminis
 - i. Luminis staff have visited campus and met with various stakeholder groups to better understand potential uses;
 - ii. Luminis has been fully installed and is functional
 - iii. Luminis content workshops have been held by user community – faculty, student, and staff; additional content-focused discussions are planned;
 - iv. Luminis train-the-trainer sessions were completed in August
 - v. Additional Luminis training is scheduled for August and September
- s. Sun Hardware
 - i. All of the Sun hardware has been installed and is functioning; initiatives to fully secure it (harden) are underway
 - ii. Sun Microsystems has made a \$200,500 in kind donation to the SLU Campaign the value of which has been booked
 - iii. There are more than 15 servers attached to a storage area network containing 5 Tb of available storage to support the Gateway initiative (reasonable system redundancy is in place)
 - iv. Network devices (new switches and firewalls) have been ordered
- t. Banner, Oracle, and Luminis software have been installed and are operational

- u. The project's wireless training room is set up and operational in Des Peres Hall (Currently being used for technical training) including 16 individual laptop computers;
- v. Roles and responsibilities of project leadership have been defined and have been signed off by the Steering Committee members.
- w. The Gateway Steering Committee continues meeting on a weekly basis
- x. A dedicated clerical staff member for the Gateway project has been hired (Tracy Watkins)
- y. Project Definition Document (PDD) was completed and signed off by Steering Committee members in June
- z. SCT provided a draft education plan in June; it is currently being reviewed
- aa. A two-day workshop focusing on the development of data standards and the General Person Table, were completed on June 18th and 19th (Executive Committee members participated)
- bb. Data Standards Document has been drafted and is currently being reviewed by Functional Teams and other interested parties
- cc. Data conversion consultation visit took place on June 16th and 17th and first draft of the conversion plan has been received, reviewed, and edited.
- dd. Functional teams for the Student and Financial Aid systems made a site visit to Truman State University - to discuss their approach and lessons learned from a recent Banner implementation
- ee. Banner recruitment consultation with SCT student consultant and Graduate and Professional admissions staff, completed on June 16th.
- ff. Alumni and Development Business Process Analysis workshop completed during the week of August 11th.
- gg. The audit plan report has been completed and submitted to various stakeholders for review and comment (as mentioned above)

II. Next steps

- a. Detailed project suspense dates, deliverables, and timelines will be finalized and submitted for acceptance by the members of the Gateway Steering Committee
- b. Develop project metrics for reporting to oversight groups - Board of Trustees, Audit, Finance, and Technology Committees
- c. Specific go-live criteria for each system are being developed
- d. A 'test installation' of Luminis is being completed
- e. Complete the project plan for the implementation of Recruitment Plus (for Undergraduate admissions) is under development
- f. Version 6 of Banner will be installed (Week of August 25)
- g. Complete the project Web Site and open to the University community

- h. Arrange all meeting logistics for the coming three years to eliminate conflicts in schedule
- i. Need to complete an audit of all available reports from all current systems and users
- j. Need to complete four project documents: Organizational Readiness; Configuration (Change) Management, Communication Plan, Training Plan
- k. Begin System Education activities (see attached Important dates) for each Banner application area
- l. Reporting tools study and analysis is nearly completed – recommendation will be made to the Gateway Steering Committee by the first of September, 2003.
- m. Complete and sign-off on Data Standards document
- n. Installation of high speed internet access in selected rooms of the Water Tower Inn must be completed (based upon negotiations with SCT) – equipment has been ordered

III. Gateway implementation timeline

Largely, the schedule for implementation of the individual Banner systems is driven by the academic calendar, by business or governmental requirements (e.g., end of calendar or fiscal years) and by experience.

The following timeline is subject to final review by the Gateway Steering Committee.

Area	Start date	Go-live date
Luminis	ASAP	September 2003 (Phase 1)
Financial Services (including Web for Finance)	April 2003	July 2004
Imaging	November 2004	January 2005
Human Resources	April 2003	November 2004
Student		
Recruitment and admissions	April 2003	September 2004
Bursar (A/R), Student Records, Registration		March 2005
Financial Aid	April 2003	February 2004
Advancement (Alumni and Development) – including Web for Alumni	April 2003	August 2004
Recruitment Plus	March 2003	September 2003

Area	Start date	Go-live date
WebCT Connection	March 2005	June 2005
Datamart and Datawarehouse	July 2005	September 2005
ePrint	TBD	
New Reporting Software	TBD	
Electronic Workflow	TBD	

IV. Early identified risks and related mitigation strategies

a. Managing overall risk to the project

- i. Assertive and significant overall project management oversight and organization will significantly reduce risk of failure and untoward surprises
- ii. Early engagement with Internal Audit Services to assist in the early identification of possible risk
- iii. Inviting Elizabeth Winchester to be a member of the Project Steering Committee
- iv. Identification of a proactive and on-going project management audit

b. Assurance of consistency of project leadership – avoid over reliance upon one single individual for project success

i. Mitigation Strategies

1. Purchase maximum project management from SCT Corporation
2. Appoint Co-leaders of the Project Steering Committee
3. Development of comprehensive communication plan
4. Development of a comprehensive project management plan
5. Significant cross involvement on all functional teams

c. Inadequate Budget

i. Mitigation strategy

1. Used only carefully conservative estimates of costs
2. Include 5% contingency to provide some flexibility if necessary
3. On-going analysis and regular (monthly) reporting of current budget status

4. Involvement with the Controller's office regarding management of all funds
 5. Project fund accounts and expenditures kept separate from all ITS operational accounts
- d. Inadequate functional staffing to continue business as usual as well as meeting the needs of the implementation
- i. Mitigation strategy
 1. Include \$200,000 in budget for possible back-fill and/or overtime of functional personnel, if necessary
 2. Get early commitment from functional leadership for maximum participation of staff
- e. Lack of specific technical skills among SLU programming staff
- i. Mitigation strategies
 1. Purchase remote Oracle DBA services
 2. Contract for a SLU on-site Oracle DBA for 12 to 18 months
 3. Introductory training in relational databases and in standard SQL
 4. Early training of ITS programming staff in Oracle
- f. Scope Creep – Uncontrolled expectations of community members to 'modify' the core Banner systems to meet current business practices or greatly alter the overall project – by adding new 'unplanned' functionality or software
- i. Mitigation strategies
 1. Significant investment in Business Process Analysis to review current business practices
 2. No modifications to the core Banner system are anticipated
 3. If additional functionality is necessary, will consider 'bolt on' expansion
 4. Additional funds to purchase special project management services are available, if necessary, for unique situations (e.g., School of Medicine)

- g. Unrealistic expectations for continued modifications to our current PLUS systems
 - i. Mitigation Strategies
 - 1. Careful and on-going management of all requests
 - 2. Only requests that have compelling impact will be accomplished (e.g., SEVIS – INS reporting; HIPAA – Health information privacy and security)
 - 3. An analysis of impact on the project plan will be done with every request for modifications to PLUS and must be approved by the Project Steering Committee.
 - h. Resistance emanating from the community to change current business practices and procedures and to change to new software
 - i. Mitigation strategies
 - 1. Invest in significant, broad and on-going communication
 - 2. Have overt and broad upper management support
 - 3. Provide many opportunities for training and engagement with the software
 - i. Extensive training of Administrative IT staff (9 weeks from May 5th through August 1, 2003)
 - i. Provide some break in scheduled courses to permit time away from SLU
 - ii. Carefully manage all requests for changes to Plus
 - iii. Celebrate success
 - iv. For all staff members, this training will lead to new opportunities
 - j. New and unfamiliar hardware platforms for technical staff
 - i. Mitigation strategies
 - 1. Invest in early training of ITS systems staff
 - 2. Develop close working relationship with vendor (Sun Microsystems)
 - 3. Purchase platinum level of maintenance hardware services (24 X 7 maintenance coverage) with 2-hour response time