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Oakton Community College

Banner Student/Luminis Basic Implementation

Project Definition

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Executive Summary

In May 2004, Oakton Community College selected the SunGard SCT Banner and Luminis software packages as the basis for its new student information system. SunGard SCT is a leading provider of software and services for higher education, and it was selected because of the broad range of application capabilities and professional services it offered to meet the needs of Oakton Community College. The Banner and Luminis software will provide an integrated, web-enabled environment that will provide service to students, faculty, and staff; support Oakton's strategic plans; and provide a stable foundation for the college's educational mission.

The Banner software will replace Oakton's current in-house, legacy system called OakSTAR. OakSTAR's operating environment and architecture are inconsistent with current technological standards and practices, and it is no longer considered either a stable or long term solution. In order to protect and support the college's institutional strategic plan, a new system was required.

As our partner in the implementation project, SunGard SCT will be providing technical staff who are experienced with the Banner software and who have participated in the implementation of Banner at other schools. SunGard SCT will also provide a proven step-by-step method for implementing the software which has been developed and tested based on their experiences at other schools, and we will be following this for the Oakton Community College implementation. This method is called the SunGard SCT Common Service Methodology (CSM), and in the document that follows, you will see many references to CSM.

The first document developed with SunGard SCT's Common Service Methodology (CSM) is this document: the Project Definition document (PDD). As one of the first steps in the project, the PDD is significant because it defines the overall project objectives, scope, deliverables, ground rules, and respective responsibilities for Oakton Community College and SunGard SCT. Because it "sets the scene" for the remainder of the project, it is one of the most important documents which will be developed during the project.

The Banner implementation project is a large, complicated, and complex project. The system will affect all the ways in which we service students, beginning with initial contact as a prospect and continuing through the student's academic career to graduation and beyond. If you have any questions or comments, please do not hesitate to contact either of Oakton's Co-Project Managers: Bruce Oates (boates@oakton.edu) or Paul Grassman (grassman@oakton.edu).

1. Introduction

1.1. Mission

Oakton Community College is dedicated to excellence in teaching and learning. The College's strategic goals for 2003-08 include a commitment to use technology to provide exemplary support for instruction, for administrative purposes, and for the appropriate needs of Oakton students and employees.

To meet this commitment, Oakton needs a contemporary, stable and supported technology platform for its core administrative system. The college has therefore selected SunGard SCT Banner Student and Luminis software to address this goal. Through the implementation of these products Oakton will achieve improvements in service to the college community, and capitalize on the aggressive pace of change in hardware and software technologies.

1.2. Objectives

In order to accomplish the project goals, the following objectives will be accomplished:

1. By February 2006, the Banner Student Information System will be implemented and will accurately provide basic system services and interfaces with associated support services.
 - Students will be able to register for classes.
 - Semester grades will be processed.
 - Transcripts will be issued.
 - Students will be admitted to the college.
 - Student record information can be maintained.
 - Federal and State reporting can be completed.
 - Student billing and payment processing can be completed.
 - Student web self-service capabilities currently operational will also be functional in the new system.
 - System interfaces will work accurately with:
 - DARS
 - PowerFaid
 - Ad Astra
 - Math and English placement

Based upon successful completion of Objective 1, further project objectives also include:

1. By February 2006, increase number of self-service activities that students, faculty and staff can perform by providing methods of accomplishing administrative tasks on-line. Currently a minimal number of tasks can be performed in an on-line self-service manner. Key areas for self-service activity include:

- On-line registration and payment for students
 - On-line application and inquiry, for prospects
 - On-line registration permitting for faculty, department chairs, coordinators, and division deans.
 - On-line access of financial account status for students.
 - Access to semester grade reports for students on-line.
 - On-line grade submission capability by faculty .
 - On-line access to class rosters for faculty.
2. By February 2006, increase accuracy and availability of information. Key areas of increased information availability include:
- Registration and enrollment summaries.
 - Unmet course registration demand.
 - Student majors by programs.
 - Ad hoc data requests and analysis.
3. By February 2006, provide faster, more efficient methods of sharing information and provide for a faster response to student, faculty and staff needs.
- Utilize self-service capabilities outlined in objective 1 to allow students, faculty and staff quick access to appropriate information.
 - Utilize Luminis as a mechanism to share timely, pertinent information with students, faculty, and staff
 - Allow self-service access to reports as appropriate.
4. By February 2006, improve communication with and among faculty, staff and students.
- Allow faculty to access and print class rosters on-line.
 - Allow students to access and print their own class schedules on-line.
 - Utilize Luminis as a mechanism to share timely, pertinent information with students, faculty and staff.
5. By February 2006, provide electronic and web based processes to accomplish administrative tasks.
- Reduce the number of Change of Program (Add/Drop) forms by allowing more scheduling changes to be processed utilizing web registration.
 - Make semester final grade reports available to students on-line.
 - Reduce the need for printed class rosters by allowing faculty to access their class rosters on-line.
6. By February 2006, increase collection, storage, usability, and retrieval of institutional information for analysis.

7. By February 2006, prepare specific guidelines for identifying a standardized data set that can be accessed by authorized personnel who wish to prepare an ad hoc report.
8. By February 2006, provide improved reporting capabilities. This objective will require a review of existing Banner reports and the design and programming of any required new reports. It will also require the implementation of appropriate ad-hoc reporting tools and the training of key staff in the use of these tools.
9. By February 2006, improve appropriate electronic communications.

1.3. Benefits

There will be many benefits realized in the new system. The benefits include:

1. The student system will operate on a stable and supported computer platform.
2. Sungard SCT will be able to provide a wide range of support including system and application development and support to Oakton Community College.
3. System documentation and training materials will exist which will support the application and the users.
4. The Banner system will provide a series of on-line and web-based services for both student and administrative services that will include:
 - Web-based student registration for credit and Alliance classes.
 - Web-based tuition and fee payment collection.
 - Web-based semester grade submission.
 - Web-based semester grade reporting.
 - On-line registration permit entry.
 - On-line registration and enrollment reporting.
 - Web-based admissions applications.
 - Luminis portal services for information distribution and user personalization.

1.4. History and/or Background

In 1997, Oakton Community College embarked on an ambitious mission to develop a student information system which was Year 2000 compliant and supported the needs and requirements of the college. This system was designed and programmed in the SmallTalk computer language on a Gemstone database with a Classic Blend graphical user interface.

Oakstar was implemented in June 1999 with limited success. Despite initial problems, basic student services were operational. Over time, the system was stabilized and

response time issues were addressed and improved. Oakstar provided specialized capabilities supporting various operations of the college.

In the Fall 2002 semester, a work group was formed to review and recommend options for future student system developments. This decision was driven by the fact that the Oakstar computer language and database were no longer being supported by the manufacturer.

Several options were reviewed, including the movement of Oakstar to a new operating platform. The working group ultimately recommended the SunGard SCT Banner student system.

2. Project Scope

The primary portion of the Oakton Community College project is the implementation of the Banner Student application. This project involves the implementation of the following Banner Student capabilities:

- Admissions
- Course Catalog including prerequisites
- Registration
- Academic Records
- Class Schedule
- Billing and Cashiering
- Self service for student, advisor and faculty
- EDI.Smart

Oakton Community College will also implement the Luminis Portal application. Luminis will serve as a single sign on application for login and identity for faculty, staff, and students.

Additionally, the Banner Student system must interface with other applications that are used by Oakton Community College. These interfaces include:

- WebCT
- DARS
- PowerFairs
- Facilities Scheduling – Ad Astra
- Voyager – Illinois State Library System
- Financial System – Acrux
- ICCB – Reporting
- NJCAA
- Math and English placement system

The technical staff will also complete a data migration of both Student and Academic History information in order to populate the Banner Oracle tables for Organizational Research purposes.

The system design and subsequent implementation of Banner must also include appropriate security and disaster recovery provisions.

2.1. Exclusions

As important as pointing out what will be accomplished during the project is the detail of the features of the applications which will not be implemented. These excluded Banner features include:

- CAPP, the Banner degree audit system.
- Banner residential housing system.
- Banner financial aid. (Oakton Community College holds an option to purchase the Banner financial aid application within 18 months of the contract.)
- Banner Alumni Relations system.
- Banner Finance system.
- Banner Human Resources system.

2.2. Planned Process Improvements

Process improvements and changes will be identified as the project progresses and the Educational Policies and Procedures Task Forces groups complete their work.

3. Project Milestones

The major milestones for the project are as follows:

Milestone	Date
Implementation Project Started	September 2004
Project Kickoff	September 2004
Project Definition Approved	November 1, 2004
Project Schedule Complete	November 1, 2004
Banner Student Start	November 2004
Bannner Student End	February 2006
Data Migration for Academic History	
Data Migration for Student	
Mock Term System processing test	November 2005
Luminis Platform Project Start	February 2005
Luminis Platform Project End/Go Live	April/May 2005
Implementation Project Ended/ Go Live	March 2006

4. Project Budget

More information on the Banner Project budget is contained in the system purchase contract.

5. Assumptions/Dependencies

The following assumptions and dependencies will be used in planning the project.

5.1. Assumptions

Priority:

- The SunGard SCT Banner and Luminis implementation will take priority over other job responsibilities for the Project Team and Core Process Team members, and all attempts will be made to adhere strictly to the established schedule.
- SunGard SCT will complete and deliver Banner Student and Luminis Portal planned releases to Oakton Community College as currently scheduled.
- The Banner Student and Luminis products will satisfy the functional needs of the college.

Legacy Systems:

- Current legacy systems such as Oakstar will remain in place and be supported for the entire length of the project. Routine maintenance and troubleshooting will continue. However, development efforts (e.g., new ad hoc reports) for Oakstar will be minimized.
- Clean up of Oakstar data will be completed before conversion of data into Banner Student. Appropriate resources will be allocated and prioritized.

Governance:

- This project definition document will be signed by the project participants and sponsors and supported by the institution as the project governance document.
- Issue resolution will occur in a timely manner in order to achieve project timeline within project budget.
- Decision-making will be delegated to the working groups whenever possible.
- The highest level of Oakton Community College administration will be committed to the project.

Access:

- Access and training to Banner and Luminis will be provided for all departments and programs in a manner appropriate to job responsibilities and project implementation timeline.
- The SunGard SCT Banner and Luminis implementation process will be performed in an open and participatory manner.

Training:

- Appropriate and timely skill set development and training facilities will be provided and sustained. Training will be organized and scheduled in a classroom setting.
- Training will be provided in the currently installed release of the Banner Student software.
- Banner Student training will occur in two ways:
 - 1) Onsite Configuration Training (which will give the project team familiarity to the Banner Student application)

- 2) End User Training (which will provide the ability to relate the Oakton Banner Student configuration to Oakton Community College business processes for all users of the system)

Modifications:

- SunGard SCT Banner and Luminis applications will be implemented as per the contract and Scope of Services.
- Oakton Community College will use the implementation process as an opportunity to examine current practices and processes and make them more effective whenever possible.
- Issues that are currently unknown could require a change in the scope of the project.

Resources:

- The current number of employees will not be reduced as a direct result of Banner implementation, although the way individual jobs are performed may change.
- Existing employment contractual obligations will be adhered to.
- Necessary resources (e.g., facilities, people, supplies) will be identified and provided to ensure project success.
- Oakton Community College will designate adequate project management, including co-project managers, an executive sponsor, and an implementation steering committee to oversee the project.

Other:

- Protocols will be followed for meetings, communications, and change control. All participants will use the agreed communication channels with sufficient frequency to meet project commitments.

5.2. Dependencies**5.2.1. Dependent Projects**

The following table identifies those information technology projects which will need to be completed prior to the Banner implementation.

<u>Project Name</u>	<u>Expected Completion Date</u>	<u>Reason for Dependency</u>
Ad Astra	March 2005	Will interface with Banner. Ad Astra provides program interface with Banner. The interface needs to be installed and tested.
Upgrade to DARS 3.5 (Presently on 3.0.8)	July 2005	Will interface with Banner on a real-time basis. The DARS vendor provides the program interface, but it needs to be installed and tested. Prior to installing the interface, DARS needs to be upgraded to a more recent software release. This should not be difficult as it is not a major release upgrade.

<u>Project Name</u>	<u>Expected Completion Date</u>	<u>Reason for Dependency</u>
WebCT	Ongoing	Will interface with Luminis. SunGard SCT provides the program interface, but it needs to be installed and tested.

5.2.2. Dependent Products

The table below identifies the products (whether produced by SunGard SCT or a third party) that will provide the deliverables that are required to enable this project to meet its objectives.

<u>Product Name</u>	<u>Release Number</u>	<u>Release Dependency is Higher</u>	<u>Reason for Dependency</u>
PowerFaids			Will need to interface with Banner
Ad Astra	6.0	No	Implementation of room/event scheduling.
DARS	3.0.8	Yes	DARS interface with Banner system.
Web CT		No	Should not be a problem.

5.2.3. Dependent Resources

Identify the people and material resources required for which the project is dependent upon.

Technical Team (Bonnie, Paul, Mary Ann, John, Lei, other IT staff)	Resources are not 100% dedicated to the project.
Functional Work Teams (Bruce, other functional staff from the Registration, Advising and Counseling, Cashier and Admissions Offices)	Work teams who will participate in the implementation process will not be 100% dedicated to the project.

6. Project Constraints

Project Constraints are aspects about the project that cannot be changed and are limiting in nature. Constraints generally surround four major areas: Scope, Cost, Schedule (Time), and Quality. Either through direction given by the Project Sponsor(s) of the project, or by working through the issues, the constraining factors of the project must be identified.

6.1. Project Dimension Grid

The grid below prioritizes the critical project dimensions and is used to negotiate changes during the course of the project. First step is to specify the constraining dimension. Is the critical project driver scope, cost, quality, or time? The second step is to specify the accept dimension. If change is required, in which area are the key stakeholders most willing to accept change—scope, cost, schedule, or quality? Change must be accepted in at

least one dimension. This is specified in the Vary column below. Remaining dimensions are then minimized or maximized. These dimensions will be utilized for all aspects of the project, unless explicitly stated in a sub-project definition.

Specify the project dimensions below. Constrain at least one dimension and vary at least one dimension.

Project Dimension	Minimize/Maximize	Constrain	Vary
Scope			X
Cost			X
Schedule			X
Quality	Maximize	X	

6.2. Constraint Details

The most important dimension of this project to Oakton Community College is quality. As the school is presently dependent on a proprietary tool that was developed using tools which are no longer considered to be mainstream technology, the Banner application must be implemented with all planned functionality in place without application quality variation.

As discussed in the kickoff sessions, Scope, Cost and Schedule will be the variable dimensions. The scope of this project can vary since there is no strong dependence on the Luminis application in order to maintain current business practices. Although budgets are extremely tight and any increases would require approval at the highest levels of Oakton Community College's governance, cost may be a variable dimension as well. If additional consulting hours are required for either technical or functional consulting, Oakton Community College and SunGard SCT will engage in contractual discussions. It should be noted that SunGard SCT is committed to meeting and exceeding the expectations of this implementation within the constraints of the existing contract.

Lastly, the schedule is also a variable dimension, for both the Luminis and Banner Student portions of the project. As presently defined, we have a scheduled project go-live date in February 2006, which would allow students to register for Summer 2006 and Fall 2006 courses using the Banner System. As the go-live schedule for the registration piece of the Banner Student application is dependent on the existing registration cycles and schedule, the next opportunity to go live would be October 2006. This would allow students to register for Spring 2007 courses using the Banner System. Although there is a great deal of work to be accomplished, it is expected that Oakton Community College will be able to meet the original go-live date provided that a) Oakton Community College and SunGard SCT are able to commit the appropriate number of resources to the project, and b) slippage in schedule is minimized due to proactive project management and anticipation of risks.

7. Risks

Identify the risks (or use the Risk Report) to the project with respect to the environment, user expectations, competing projects, project assumptions, resources or any other relevant matter or refer to the work products database. Examples of risk include potential loss of a critical resource, technology changes, regulatory changes, dependence on a third

party, scope changes, project sponsorship or management changes legal issues. For high-probability and high-impact risks, specify a plan for reducing the likelihood/impact of the risk (mitigation). Approaches to responding to risks include **Deflection** (transferring the risk to another party), **Control** (minimize the effect), **Retention** (accept the consequences), and **Avoidance** (reject the risk; do nothing).

Risks identified during the project should be added to this section as well as the work products database. Anticipated project issues at the beginning of the project should be logged as risks. Risks can be escalated to Project Issues or Jeopardies after the project is initiated (See Identify and Resolve Issues and Identify and Resolve Jeopardies activities). If a risk becomes an issue or jeopardy, it must be designated as such below.

Risk	Probability of Occurrence (A)	Estimated Project Impact (B)	Weight B+(A-1)	Issue or Jeopardy Control No.	Mitigation Strategy	Contingency
Fixed Limited budget	2	2	3	01	Control	Prioritize and restrain project scope
SunGard SCT makes a business decision to discontinue the development of the Luminis Product	1	2	2	02	Control	Oakton Community College's interests are protected by the signed contract. With the present sales momentum and growth, this is unlikely to occur.
Implementation version of Banner Student or Luminis Portal software does not include everything Oakton Community College requires to do business	1	2	3	03	Control	Oakton team will consider modifications to business processes as needed
SunGard SCT release upgrades are not transparent (i.e., installation implications not easily managed) and go live dates will be delayed	1	1	2	04	Deflection	Oakton will look to SunGard SCT for assistance with upgrades
Inadequate communication and cooperation between project team, home office, and greater Oakton community	1	2	3	05	Control	Bruce and Paul will make certain that appropriate communication occurs at a high level. Frequent assessment of communication is recommended
Campus	2	2	3	06	Control	Preventive. Good

community resistant to change in business processes						communication and effective training should reassure users.
Knowledge of legacy system dependent on a few individuals	1	2	3	07	Control	Retention of employees
Oakton personnel not available due to other commitments resulting in delay of implementation	2	2	3	08	Control	Executives must support project priorities and provide staffing to backfill if necessary.
Oakton personnel selected to participate will not be appropriate or will have inadequate authority to make decisions.	2	2	3	09	Control	Executives must select appropriate personnel and give them authority to make decisions.
Retention of project team members during the implementation	1	2	2	10	Control	Manage project team to keep all project team members motivated and satisfied.
Complexity of Banner requires greater set up and training than initially identified resulting in delayed implementation	1	2	3	11	Control	Monitor configuration.
Lack of availability of SunGard SCT resources	1	2	2	12	Deflection	SunGard SCT will work to mitigate the impact
Campus leadership changes and there is a different vision of what the student system should look like and how the project should be administered	1	3	3	13	Retention	Project management will work to convince new leadership of the value of the project
Tight time frames, minimal slack between dependent tasks	2	2	3	14	Control	Oakton Community College and SunGard SCT Project management will closely monitor and manage the

result in delays in implementation						project schedule.
Inadequate product training for end users after implementation	1	2	3	15	Control	All users of the system should be identified and required to attend training before receiving security clearance. The training should be timed properly and not done too early in relation to the go live dates. End user schedules must be considered in timing training. Training should be an ongoing part of the planning process from the beginning. Resources for ongoing training should be included in the budget. Accurate and detailed user training manuals will be provided.
Failure of Oakton network and hardware infrastructure to handle SunGard SCT's Banner and Luminis Applications resulting in poor performance	1	2	3	16	Control	Must assess network and plan upgrades if necessary.
Oakton Community College community not prepared for skill set of new platform	2	2	3	17	Control	Preventive. Oakton has time to train those who will be supporting the Banner and Luminis applications.
Delays in travel for SunGard SunGard SCT consultants due to bad weather	3	1	3	18	Retention	SunGard SCT will manipulate schedules in order to ensure that the consulting engagement is made up as quickly as possible.
SunGard SCT Consultants leave SunGard SCT	1	3	3	19	Retention	SunGard SCT works to maintain high retention rates of their consultants
SunGard SCT Project Manager or Account Manager leaves SunGard SCT	1	1	1	20	Retention	SunGard SCT works to maintain high retention rates of their management team

Probability of Occurrence, Estimated Project Impact, and Weight (described below) are one method of classifying risks. Other methods can be used.

Probability guidelines:

- Very Likely 70-100% A = 3
- Probable 40-70% A = 2
- Unlikely 0-40% A = 1

Impact guidelines for scope, cost, schedule, or quality

- Catastrophic B = 3
- Critical B = 2
- Marginal B = 1

8. Project Organization

8.1. Project Team

Executive Sponsor (Bonnie Lucas) - The Executive Sponsor will work with SunGard SCT to expedite and resolve issues that require the highest executive level involvement, such as contract amendments. The Executive Sponsor will participate in project activities only on an as-needed basis. She will act as liaison to the Implementation Steering Committee and will be a project champion and promote the visibility and credibility of the project.

Co-Project Managers (Paul Grassman and Bruce Oates) – Oakton Community College will provide full-time Project Managers who will be the primary contact that will work directly with the SunGard SCT Project Manager to assist and coordinate activities related to this engagement, such as meetings, interviews and acceptance of deliverables.

The Project Managers will:

- Maintain the project budget.
- Provide information to implementation related committees.
- Facilitate Project Team meetings
- Ensure that issues not resolved by the Project Team are documented and forwarded to the Executive Team for resolution.
- Ensure adherence to the implementation methodology.
- Review the Project Plan.
- Provide reports on a monthly basis to the Executive Team.

Review/maintain project work documents.

SunGard SCT General Manager (Tony Weis) – The SunGard SunGard SCT General Manager has overall responsibility for the Oakton Community College account. Project related issues concerning SunGard SCT resources or activities may be forwarded to the General Manager for resolution. The standard level of contact between the SunGard SCT General Manager and Oakton Community College will be at the executive level.

SunGard SCT Account Manager (Keith Weaver) – The SunGard SCT Account Manager has been the primary contact point with SunGard SCT and will continue these responsibilities. The standard level of contact between the SunGard SCT Account Manager and Oakton Community College will be at the Oakton Community College Project Director and Project Team level.

The Account Manager will:

- Facilitate the relationship between SunGard SCT and Oakton Community College
- Provide general management and act as primary liaison with Oakton Community College executives, including dispute resolution of contract-related issues
- Communicate regularly with Oakton Community College executives regarding the project
- Oversee delivery of SunGard SCT contractual deliverables
- Elevate production critical software issues to the appropriate levels within SCT organization
- Elevate management issues to the appropriate SunGard SCT senior executives
- Recommend resolutions for complex project jeopardizes escalated by the project Steering Committee to the executive level
- Report to Oakton Community College and SunGard SCT executive management in a timely manner

SunGard SCT Project Manager (Brian Freeman) – The SunGard SCT Project Manager's chief responsibility is to guide and monitor the SunGard SCT activities of the implementation and development efforts. The college shares the responsibility for establishing overall project direction and in so doing, will assist in identifying tasks and activities that must be performed.

SunGard SCT will provide support to the College as described below:

- SunGard SCT and the College will co-develop the Project Definition Document
- SunGard SCT will develop the Project Schedule and Education Plan using SunGard SCT-supplied templates.
- During the implementation phase of the project, the SunGard SCT Project Manager will:
 1. Assess the status of the project;
 2. Identify and track issues which may potentially impact the project; assist in the development of remedial plans;
 3. Review and maintain the planning documents outlined above;
 4. Perform project tracking (tracking project artifacts on SunGard SCT's Project Tracking Database);
 5. Provide project status reports on a regular basis.
- At or near the end of the project, SunGard SCT will conduct a Project Certification Process to determine and document the extent to which: (a) the project objectives agreed-upon by the parties in writing have been met; and (b) material issues (i.e., issues which result in a material delay in the project or could materially impact Client's operations) identified during the course of the project have been satisfactorily addressed and closed out in a reasonable manner by the party responsible for the issue.

SunGard SCT Application and Technical Specialists – Technical and Application specialists will be assigned as needed to the Oakton Community College Project project. Each will have specific application knowledge and be responsible for specific tasks identified by the SunGard SCT Engagement Manager or SunGard SCT Project Manager. Such tasks to include:

- Installation review
- System education
- General consulting

Trip agendas and post trip reports will be produced by these specialists and submitted to the SunGard SCT Project Manager and the Oakton Community College Project Manager. The standard level of contact between the SunGard SCT Specialist and Oakton Community College will be at the Team Leader level.

8.2. Participating Departments/Third Parties

There will be many different departments involved in this project. The specific responsibilities of particular departments will be identified in detail in the project plan

8.3. Roles and Responsibilities

Identify the roles and responsibilities of the resources assigned to the project. Include any differences from the standard CSM roles that are required by the client or project. Each role should correspond to a Resource Type, Department, or Third Party specified in the above tables. If roles and responsibilities are not provided for a Resource Type listed above, they are assumed to be what is defined in the CSM.

All roles and responsibilities will be as detailed in the CSM.

8.4. Change Control Board(s)

Identify the members of the Change Control Board(s) or refer to CM Plan. Include their role or the area of the project each person is representing on the CCB.

The Implementation Steering Committee will also serve as the Change Control Board.

9. Project Approach

The project approach section defines the overall method by which the project's objectives will be realized, including methodologies, life cycles, responsibilities, and other associated strategies, tactics, practices and procedures.

9.1. Define

Describe the approach that will be used to define the project.

Per SunGard SCT's Common Service Methodology (CSM), Oakton Community College and SunGard SCT will jointly develop the Project Definition Document (this document). Through a combination of presentations and dialogue, Oakton Community College and

SunGard SCT identified the scope, organization, constraints, risks, and approach to be used in the project.

9.2. Plan

Describe the approach that will be used to plan the project.

Per SunGard SCT's Common Service Methodology (CSM), the following are the steps that will be used to plan the Project:

- Create the Project Definition.
- Develop Project Schedule.
- Develop System Education Plan.
- Obtain Oakton Community College and SunGard SCT management acceptance of Project Schedule and Project Definition Document.
- Execute plans.

9.3. Implement

This is where the project life cycle would be interjected into the approach.

Per SunGard SCT's Common Service Methodology (CSM), the following are the steps that will be used to implement the Project:

- Install hardware and software
- Business process analysis (current and future state)
- System education
- Develop prototype
- Verify and validate prototype
- Deploy prototype
- Convert legacy data
- Develop interfaces
- Train end-users
- Go live.

9.4. Close-Out

The purpose of a Closeout/Post-Implementation Review is to determine if objectives were met, review the procedures established and decisions made during the implementation, to identify System functionality and features excluded or intentionally deferred during the implementation, and to ensure efficiency and confirm users' understanding of the Banner System. The output of this process will allow the identification of future business practices and continual improved utilization of the system and functional processes.

The closeout/post Implementation Review will take place within one year after implementation of the Project.

The following documents, accessible in the Project directory, will be used during the Post Implementation review:

- Project Definition Document
- Test Plan
- Current and Future State Analysis Documents
- System Education Agendas
- End-User Training Agendas
- End-User Training Schedules
- Training Attendees Listings

The Project Director will:

- Conduct the Post-Implementation Review at the time called for in the Project Schedule.
- Use the relevant Project documents to determine if all the implementation tasks were completed.
- Identify the major processes within each administrative department and/or functional area and all the activities within each functional process and to determine if procedures were written for each activity or if activities listed were eliminated or improved as a result of the implementation.
- Determine if reporting requirements were met and if new input documents were developed or current input documents modified as a result of the implementation.
- Review the status of New Requirements and Issues identified during the business process analysis.

Oakton Community College will:

- Review Functional and Operations Procedures Manual to determine if they meet the needs of the functional unit.
- Use the department staff identified during campus end user training to assess their product knowledge and determine training needs.
- Verify that the proper security and system access has been granted.
- Identify resources needed for ongoing support and maintenance of the Banner System.

The Post-Implementation Review Document must include:

- An Executive Summary stating if the Project and departmental objectives were met.

9.5. Change Management

Oakton Community College anticipates that it will be able to make use of the change management approach spelled out in SunGard SCT's Common Service Methodology (CSM). Further investigation is required. The following sections outline some basic guidelines for Change Management Plan for this project.

The purpose of the Change Control Procedure is to define how the project will control changes to project baselines, including changes to project scope. It structures and directs

management actions toward reaching an informed and timely decision on requests for such changes.

The goal of this procedure is to provide a way for Oakton Community College and SunGard SCT to review and agree upon those changes, which are jointly deemed to be important to project success. It is essential to the project that Oakton Community College and SunGard SCT jointly understand the benefits and costs of every requested change in order to make the most informed decision possible.

Any modification or deviation from the agreed functionality, or changes to the time or costs agreed upon in the contract will be subject to the following procedure. Oakton Community College or SunGard SCT may initiate change requests whenever there is a perceived need for a change. Agreement to a change request signifies agreement to a change in cost, functionality, or schedule, as documented in the approved change request. SunGard SCT will inform Oakton Community College when it believes that a change request requires an amendment to the contract to be implemented. In such cases, SunGard SCT will submit a formal change proposal for acceptance by Oakton Community College and, if accepted, initiate the contractual change.

Change Requests

The following require the issuance Change Request, which must be approved by the Change Control Board, before they can be changed:

- Anything which affects budget, go-live dates, project scope
- Risk, Issue, and Jeopardy Reports

Change Requests will be recorded and managed by SunGard SCT's Project Manager. Change Requests will follow the CSM template, which the SunGard SCT Project Manager will provide to the Project Team and each Core Process Team leader. CSM Templates are also part of the CSM process documentation mentioned above.

Change Control Board

The Implementation Steering Committee will serve as the Change Control Board.

The Change Control Board is responsible for evaluating and approving or disapproving proposed changes to configuration items, and for ensuring implementation of approved changes. Major financial issues will be elevated to the Executive Committee.

Change Procedure Steps

An issue results in a Change Request:

- Initiate the Change Request
- Log
- Investigate and justify
- Resolve the Change Request or
- Escalate for approval

Configuration Management

Common Service Methodology (CSM) requires that change management follow a Configuration Management (CM) Plan. Oakton Community College and SunGard SCT will jointly develop a separate Configuration Management Plan. Some initial guidelines are noted here prior to the development of the plan.

Items that should be included within the scope of a CM plan include:

- Project Definition Document
- Project Schedule
- Configuration Management Plan
- Organizational Readiness Plan
- Process Analysis Plan
- Training Plan
- Prototype Plan
- Conversion Plan
- Strategy & Reporting Plan
- Process Analysis Report
- Training Evaluations
- Prototype Testing and Validation Reports
- Risk, Issue, and Jeopardy Reports
- All Status Reports
- Lessons Learned Reports
- Final Project Evaluation
- All Related Documents in Section 1.5 above.

Definitive copies of electronic documents will be stored in SunGard SCT's GES Professional Services Project Tracking System database. All such documents will also be distributed via email to the Oakton Community College Project Managers for this project and maintained in a shared library on the project server.

Where documents exist only in hard copy, definitive copies will be retained by SunGard SCT's Project Manager, except those documents specifically indicated by Oakton Community College .

To identify documents as work products of this project, and to distinguish various versions of a document as it changes over time, the following naming scheme will be adopted for all project-related electronic documents:

Oakton_document_name vx.x.ext

where:

- "Oakton" will prefix each document name to identify this project uniquely in both the SunGard SCT and Oakton Community College document repositories.
- "document_name" is the name of the document; e.g., Project Definition
- "vx.x" refers to the version of the document; baseline is v1.0

- "ext" refers to the type of the document, following Microsoft Office document extension conventions; e.g., "doc" is an MS Word document.

The documents associated with recurring events (e.g., meeting minutes, trip reports), the following naming scheme will be adopted:

Yyyymmdd_Oakton_documentname.ext

where all elements are the same as described above, except:

- "yyymmdd" gives the date of the event. If the event spanned multiple days, the date of the first day is used. "mm" and "dd" are always 2 digits, and leading zeroes are used if required.

9.6. Documentation

The appropriate documentation will be developed by the project team and the working groups as specified in the project plan.

9.7. Communication

There will be regular telephone conference calls between the SunGard SCT Project Manager, the SunGard SCT Account Manager, the Oakton Community College Vice President of Information Technology, the two Oakton Community College Project Managers, and the Oakton Community College Director of Systems and Network Services. Initially, these conference calls will take place every week on Wednesday, at 9:00 am Central time.

The SunGard SCT Project Manager will prepare written status reports every two weeks at the beginning of the project. Once the project is underway, the written status reports will be prepared every month.

For software problems, the procedure will be to first contact the SunGard SCT Systems Consultant through email. The next step, if necessary, will be to report the problem to the SunGard SCT Action Line. All problems reported to the SunGard SCT Action Line should have a log number assigned.

All other problems with SunGard SCT services should be reported by email to the SunGard SCT Project Manager. If the problem is not resolved within a reasonable time period, the problem should be escalated to the SunGard SCT Account Manager. If the problem is still not resolved, the problem should be escalated to the SunGard SCT Central Region General Manager.

All SunGard SCT consultants making on-site visits to Oakton Community College will prepare an agenda and send it to the Oakton Community College Project Managers at least two weeks before the visit. Upon completion of the visit, the SunGard SCT consultant will prepare a trip report and send it to the Oakton Community College Project Manager within five working days.

Other External Communications:

- The Oakton Community College Information Technology department will report project status once a semester in the IT Newsletter
- The Banner project web site (<http://www.oakton.edu/resource/it/banner/index.htm>) will provide the campus community with detailed information on the project status. This web site will be updated on a regular basis.
- Targeted emails to the college community will be made through the new Banner listserv (banner@oakton.edu)
- Tutorials will be provided for students and faculty.
- Targeted announcements regarding Luminis will be made to the college community.

Other Internal Communications:

- The Implementation Steering Committee will meet monthly for project updates, status reports, and problem resolution.
- Working teams will meet as directed by the Project Managers
- Technical working groups (Oracle, Banner Student) will meet as necessary.

9.9. Organizational Readiness

There are no hardware limitations, no network limitations, and no browser limitations that can be identified at this time. Any software updates (for Java) will be minor.

Also, Oakton Community College has excellent facilities for training, including well equipped computer labs with necessary computers, projectors, screens, and other equipment.

9.10. Project Environment

Describe the Project Environment including the estimated use of critical computer resources, and use of shareware/freeware components.

The project environment will be assessed as the project continues and resources provided as necessary.

9.11. Quality Assurance

Appropriate quality assurance activities will be incorporated into the project plan and Oakton Community College will monitor the project management quality on a continuous basis.

9.12. Tracking

Describe the timing of periodic review meetings and scope reassessment events that will trigger review meetings.

The project team will be required to provide frequent assessments and reports to the Banner Steering Committee, the President's Council, and the Board of Trustees.

Weekly and biweekly meetings of the project team will be held to assess the project status as described in the communication section of this document

9.13. Risk Management

In Section 7 above, risks were identified and prioritized, and response strategies were outlined.

The general approach to risk management will be as follows:

Risks are identified at the beginning of the project and will be further identified throughout the project. When a risk is identified, it will be identified in the project repository. Preventive and/or contingent responses are identified in the Risk Management Plan.

The Project Managers will manage the risks by executing Mitigation Actions, which may include how the contingency plans will be implemented. If a risk materializes, it is escalated to a Project Issue or Jeopardy, according to the Common Service Methodology (CSM) protocol. The Issue of Jeopardy is then accepted or resolved according to the Risk Management Plan.

Risk, Issue, and Jeopardy reports will follow the Common Service Methodology (CSM) templates.

10. System Requirements

System Requirements are items that are necessary in order to run any related software required for the practices/methodologies at a client site. This includes hardware and software needs. The following are suggested sections and examples.

10.1. Database Server Requirements

Banner server hardware requirements were provided by SunGard SCT in the contract and were clarified and expanded through several emails. These requirements were used to solicit hardware proposals, obtain Board of Trustees approval, and to place purchase orders for the equipment

10.2. PC Client Requirements

These requirements will be provided to Oakton Community College by SunGard SCT. Since Oakton Community College has a regular plan for replacing and upgrading its personal computers on a regular basis, it is not anticipated that this will present any problems.

11. Project Deliverables

List the deliverables for the project that include the materials contractually required to be delivered to the client as well as the internal materials created by the project that are not contractually required by the client but which will be turned over to the client.

- Project Definition Document
- Project Schedule
- Consultant On-Site Trip Agendas
- Consultant On Site Trip Reports
- Project Management Status Reports
- Consultant Training Materials

12. Project Success Criteria

Typically these have been identified as part of the scope, schedule and deliverables definitions. Project success criteria provide specific measurement for determining that the objectives and deliverables defined for the project have been met. This definition would include criteria such as:

These were defined in Section 1.2 above. The project success criteria have been met when the project has validated that all major commitments and deliverables have been closed.

13. Approval to Proceed

Specify the approvers in the work products database or list them here.

Name: Bonnie Lucas
Title: Vice President for Information
Technology
Date

Name: Keith Weaver
Title: SunGard SCT Account Manager
Date

Name: Paul Grassman
Title: Oakton Co-Project Manager
Date

Name: Brian Freeman
Title: SunGard SCT Project Manager
Date

Name: Bruce Oates
Title: Director of Registration and Records,
Co-Project Manager
Date

Name
Title
Date

Name: John Wade
Title: Director of Systems and Network
Services
Date:

Name
Title
Date

Document History

Revision Record

Number	Date and Sections	Author	Notes
0.1	September 13, 2004	Keith Weaver, Brian Freeman, OCC Project Team	First Edit through the entire document; virtually all sections
0.2	October 12, 2004	Paul Grassman	Editing throughout document, including sections 9&10
0.3	October 26, 2004	Brian Freeman	Editing throughout from Keith Weaver's recommendations

14. Acronyms

Acronym	Description
CM	Configuration Management
CSM	SunGard SCT's Common Service Methodology
GES PS PTDB	Project Tracking Database - A document repository used by Sungard SCT
LEAP	License Equity Acknowledgment Program
OR	Organizational Readiness
PDD	Project Definition Document
PM	Project Manager
POPS	SCT's Project Organization and Planning Session
ProNet	SCT's <u>Process Network</u> : the methodology, process architecture, and tool set for defining and implementing processes.
PTDB	Project Tracking Database - A document repository used by Sungard SCT
QA	Quality Assurance
QAA	Quality Assurance Analyst
SCT	Systems & Computer Technology Corporation
SLSA	Software License & Services Agreement

15. Definitions

Term	Definition
Business Engine	A software application used to resource projects and store up to date project plans.
Change	An alteration to any of the project characteristics—time, cost, or technical requirements.
Change Control	An element of configuration management, consisting of the evaluation, coordination, approval or disapproval, and implementation of changes to configuration items after formal establishment of their configuration identification.
Change Control Board	A group of people responsible for evaluating and approving or disapproving proposed changes to configuration items and for ensuring implementation of approved changes.
Change Request	A formal written statement asking to make a modification to a deliverable.
Closeout Phase	The fourth and final phase of the project life cycle that involves transitioning the project to client operational ownership, completing all documentation, and disbanding the Project Team.
Communications Management	(1) Includes the processes required to ensure timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of project information. It provides the critical links among people, ideas, and information that are necessary for success.
Configuration Management	A discipline applying technical and administrative direction and surveillance to: identify and document the functional and physical characteristics of a configuration item, control changes to those

	characteristics, record and report change processing and implementation status, and verify compliance with specified requirements.
Constraint	A condition that restricts the ability to achieve the goals of the project.
Contingency Plan	A plan that is dependent on the original plan. The contingency plan will be executed in the event that the original plan cannot be executed.
Definition Phase	The first phase of the SCT project management methodology project life cycle, in which the project is identified, initial project scope is developed, the project approach is determined, and the project charter is issued.
Documentation	(1) A collection of documents on a given subject. (2) Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results. (3) The process of generating or revising a document. (4) The management of documents, including identification, acquisition, processing, storage, and dissemination.
Effort	The number of labor units required to complete an activity or other project element. Usually expressed as staff-hours, staff-days, or staff-weeks. Should not be confused with duration.
End User	The individual or group who will use the system for its intended operational use when it is deployed in its environment. [For this project the end-user is the project management practitioner.]
Feasibility	The degree to which the requirement, design, or plans for a system or component can be implemented under existing constraints.
Implementation Phase	The phase of the project in which the project work is performed and solution is delivered to the client.
Issue	An issue is a day-to-day project concern that is brought to the attention of the project manager. Issues are identified and tracked. If an issue grows and remains unresolved this could put the project in jeopardy. In this case, the issue is turned into a jeopardy.
Jeopardy	A condition exists that needs to be resolved, and there is a very high probability that one or more project dimensions will not be met. The intent of a jeopardy is to identify critical conditions as early as possible in the project.
Job Aid	Any information, or set of information that assists in the completion of a task, that is not transformed. A job aid is usually a physical artifact.
Maintainability	1) The ease with which a software system or component can be modified to correct faults, improve performance or other attributes, or adapt to a changed environment. (2) The ease with which a hardware system or component can be retained in, or restored to, a state in which it can perform its required functions.
Maintenance	(1) The process of modifying a software system or component after delivery to correct faults, improve performance or other attributes, or adapt to a changed environment.
Manager	A role that encompasses providing technical and administrative direction and control to individuals performing tasks or activities within the manager's area of responsibility. The traditional functions of a manager include planning, resourcing, organizing, directing, and controlling work within an area of responsibility.

Method	A reasonably complete set of rules and criteria that establish a precise and repeatable way of performing a task and arriving at a desired result.
Methodology	A collection of methods, procedures, and standards that defines an integrated synthesis of engineering approaches to the development of a product.
Metric	A quantitative measure of the degree to which a system, component, or process possesses a given attribute.
Milestone	A scheduled event for which some individual is accountable and that is used to measure progress.
Mission	A goal, end, or target that all or part of the enterprise is dedicated to achieving.
Mitigation	(1) Actions taken that reduce risks to the project. (2) Taking steps to lessen risk by lowering the probability of a risk event's occurrence or reducing its effect should it occur.
Organization	A unit within a company or other entity (e.g., government agency or branch of service) within which many projects are managed as a whole. All projects within an organization share a common top- level manager and common policies.
Planning Phase	He second phase of the project life cycle that involves activities in which the project definition, associated plans, and schedule are developed to support the SCT solution.
Priority	The level of importance assigned to an item.
Process	A set [network] of one or more activities [that produces products, services, or information], which collectively realize a business objective or policy goal, normally within the context of an organizational structure defining roles and relationships.
Project	An undertaking requiring concerted effort, which is focused on developing and/or maintaining a specific product. The product may include hardware, software, and other components. Typically a project has its own funding, cost accounting, and delivery schedule.
Project Life Cycle	A collection of generally sequential project phases whose name and number are determined by the control needs of the organization or organizations involved in the project.
Project Management	The application of knowledge, skills, tools, and techniques to project activities in order to meet or exceed stakeholder needs and expectations from a project.
Project Management Team	The members of the project team who are directly involved in project management activities. On some smaller projects, the project management team may include virtually all of the project team members.
Project Manager	The role with total business responsibility for an entire project; the individual who directs, controls, administers, and regulates a project building a software or hardware/software system. The project manager is the individual ultimately responsible to the customer.
Project Phase	A collection of logically related project activities, usually culminating in the completion of a major deliverable.
Prototype	A preliminary type, form, or instance of a system that serves as a model for later stages or for the final, complete version of the system.

Prototyping	A hardware and software development technique in which a preliminary version of part or all of the hardware or software is developed to permit user feedback, determine feasibility, or investigate timing or other issues in support of the development process.
Quality Assurance	(1) A planned and systematic pattern of all actions necessary to provide adequate confidence that a software work product conforms to established technical requirements. (2) A set of activities designed to evaluate the process by which work products are developed and/or maintained. (3) The process of evaluating overall project performance on a regular basis to provide confidence that the project will satisfy the relevant quality standards. (4) The organizational unit that is assigned responsibility for quality assurance.
Requirement	(1) A condition or capability needed by a user to solve a problem or achieve an objective. (2) A condition or capability that must be met or possessed by a system or system component to satisfy a contract, standard, specification, or other formally imposed documents. (3) A documented representation of a condition or capability as in (1) or (2).
Risk	Possibility of suffering loss. Risks are potential Project Issues or Jeopardies and can be escalated to Project Issues or Jeopardies anytime after the Project Definition is approved.
Risk Management	An approach to problem analysis which weighs risk in a situation by using risk probabilities to give a more accurate understanding of the risks involved. Risk management includes risk identification, analysis, prioritization, and control.
Schedule	1) A display of project time allocation and actual usage. [SCT] (2) The planned dates for performing activities and the planned dates for meeting milestones.
Scope	The sum of the products and services to be provided as a project.
Statement of Work	(1) A description of all the work required to complete a project, supplied by the client. (2) A narrative description of products or services to be supplied under contract.
Task	A practice is broken down into one or more tasks. A task transforms at least one of the work products of an activity.
Team	A collection of people, often drawn from diverse but related groups, assigned to perform a well- defined function for an organization or a project. Team members may be part-time participants of the team and have other primary responsibilities.
Team Members	The individuals reporting either part-time or full-time to the Project Manager and who are responsible for some aspect of the project's activities.