

Banner Student System Implementation Project Readiness Assessment Report For

THE UNIVERSITY of TENNESSEE 
CHATTANOOGA

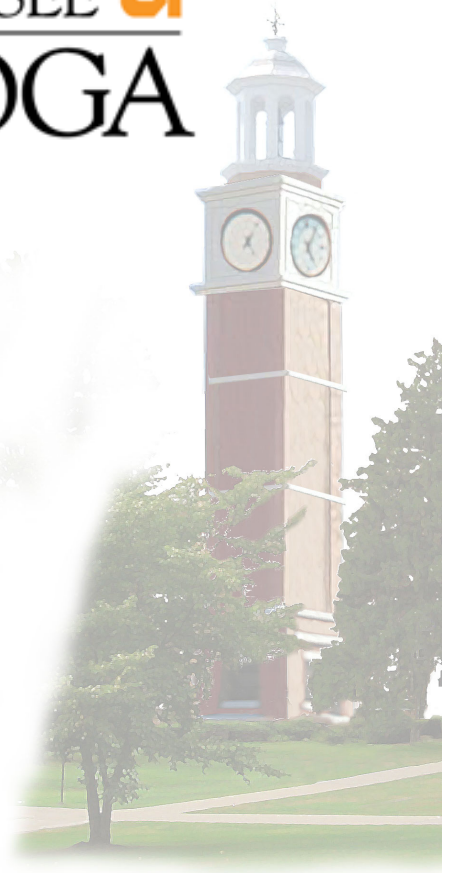
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Executive Summary

The University of Tennessee at Chattanooga (UTC) is beginning a multi-year project to replace its current student administrative software systems with the Banner Student System software from SunGard Higher Education (SGHE). UTC is working with the University of Tennessee system office (UTS) to coordinate the implementation of the Banner software with the University of Tennessee at Knoxville (UTK) and the University of Tennessee Health Sciences Center (UTHSC) in Memphis.

UTS contracted Collegiate Project Services (CPS), a firm specializing in higher education project management, to provide an independent evaluation of the ability of each of the three campuses to begin a Banner Student System implementation project. This evaluation is known as a Readiness Assessment.

UTC has the Banner Student Accounts and Financial Aid components already in place from an earlier attempt to install the software. To be successful this time, the UTC Banner Student System Implementation Project should follow established project management processes. The first of these is project initialization. In addition to an evaluation of the institution, a Readiness Assessment is part of the project initialization process. It provides recommendations for project organization, project processes and procedures, staffing, and timelines. These set the scope and boundaries for the project, establish the way the project will move forward, and provide momentum for the subsequent planning and execution processes.

Method

Staff members from Collegiate Project Services carried out data collection for the Readiness Assessment during the six-week period from September 10, 2008 through October 24, 2008. Thirty seven university personnel participated in individual in-person interview sessions. One hundred and fifty-one university stakeholders provided their input through an online survey. Two different focus group sessions included 42 participants.

Findings

Listed below are *selected* findings from the assessment.

1. **Strengths of the institution.** UTC stakeholders identified strengths they believe the university has on which the project can build. These include a knowledgeable, hardworking and committed staff, consensus that there is a need for an improved system, support of the leadership of the institution, an excellent IT staff, and a sense of cooperation between departments.
2. **Stakeholders have specific concerns about the project.** We found a variety of concerns were expressed by the stakeholders. Those mentioned most frequently were related to how the faculty would react to the project, the capabilities of the Banner software, how training would be handled, how the project would be managed, the timeline, and project staffing. Many of the concerns reflect institutional memory of a 1999 Banner implementation project which was abandoned.

3. **Stakeholders perceive solid benefits of a new system.** We found that stakeholders believe that the new software system will give them better access to data required to do their jobs and provide better service to students and faculty. They believe that it will be newer and better technology; that it will provide an opportunity for their departments to work together more easily; and that the project is an opportunity to improve the business practices of the university.
4. **Experience levels, leadership support, and positive attitudes are extremely high.** Our evaluation is that the strengths of the institution include the very experienced administrative and IT staff, the fact that Banner is already running at UTC,, the leadership support for this project, and the extraordinarily positive attitudes toward the project by key university stakeholders.
5. **Staffing levels are adequate, but group process sophistication and project management sophistication levels are low.** Our evaluation shows that positions have been added in anticipation of the project starting and departments are adequately staffed. However; group process sophistication (including meeting skills) is lower than we would like to see at the beginning of a project involving many meetings and decisions.. Also, the institution appears to have very limited knowledge of or appreciation for professional project management practices.

Selected Recommendations

A full set of recommendations can be found later in this report. Listed below are some selected recommendations that should be undertaken as promptly as possible.

1. **Improve and Increase Project Communications:** Through our interviews and survey analysis, we found several areas of concern to stakeholders that can be mitigated through more effective communications. We recommend that UTC refine and implement a communications plan using the example provided in Appendix D as soon as possible. Specific project information and the significant progress in planning efforts will help answer key questions the UTC stakeholders have and increase awareness of the project's status and direction – as well as encourage their engagement in the project.
2. **Strengthen the Project Management Foundation:** Although the project is underway, we recommend that the project organization and the project management processes be strengthened, formalized, and communicated. CPS, through our program management role, will provide support to ensure that effective project management tools and techniques are in place. Further, we recommend that training in effective project management strategies and tools be conducted for the project managers as soon as possible.
3. **Provide Focused Project Process and Teamwork Training:** UTC earned strong teamwork scores during our assessment indicating a collegial environment. However, with a project of this size and nature, specific teamwork and process skills are necessary. In this report, we recommend that several organizational development classes be held as early in the schedule as practical. These classes would address the effective meeting skills necessary for the project and important consensus building and group development skills.
4. **Continue Implementing the Current Staffing Strategy:** Through our interviews with key department heads, and comparing UTC to other similar institutions, we determined that planned staffing will be sufficient for the project. However, the process of hiring several key positions needs to be undertaken quickly. Specific recommendations are included in this report.

5. **Develop and Implement Formal Change Management Processes:** A change management process defines the procedures used to identify and make changes to a project scope. With the implementation of the Banner Student System implementation project, UTC needs to develop formal processes, procedures, decision-making guidelines, and roles and responsibilities for effectively managing change. Specific areas in which change will occur and need to be managed include changes to baseline Banner software, changes to the legacy systems, and the implementation project itself.

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Introduction

The University of Tennessee at Chattanooga (UTC) is beginning a multi-year project to replace its current student administrative software systems with a more modern Enterprise Resource Planning (ERP) Student Information System (SIS) solution from SunGard Higher Education.

The critical first phase of this endeavor is to initialize the project and develop the best possible implementation plan. This report presents our findings and it outlines the essential elements of our recommendations for initializing the project and beginning the implementation plan.

Background

UTC's current student administrative software systems include student accounts, financial aid, student records, degree auditing, and admissions. The student records, admissions, and elements of student accounts systems are part of a custom built solution installed at the university many years ago. In 1998 UTC attempted to install the SCT Banner Student System software. The implementation successfully installed the Financial Aid module and part of the Student Accounts module before the project was abandoned. SCT was purchased by SunGard. The Banner Student System software continues to be a viable suite of products and SunGard Higher Education continues to maintain and enhance it.

In 2007 the University of Tennessee System decided to move forward with the implementation of the Banner Student System in three institutions. With the system absorbing the majority of the cost, the University of Tennessee at Knoxville, the University of Tennessee at Chattanooga and the University of Tennessee Health Sciences Center at Memphis began moving forward with their implementation projects.

Purpose of the Readiness Assessment

The Readiness Assessment is part of the first phase of UTC's Banner Student System Implementation Project. The purpose of this six-week comprehensive and independent discovery process is to identify the best possible ERP preparation strategies for the university.

The three specific objectives of the Readiness Assessment follow:

1. Analyze the strengths and weaknesses of UTC to carry out the Banner Student System software implementation.
2. Develop plans to bridge the gap between where UTC is and where UTC needs to be in terms of preparation to carry out this project.
3. Put in place a blueprint for initializing the implementation project, to include staffing recommendations, a project timeline, staffing timelines, a project structure, a training plan, a communication plan, risk analysis, change management processes, and other project plan components.

Data Collection Methods

The primary methods of data collection were individual in-person interviews with a selected group of university personnel, online questionnaire responses from a broad group of university stakeholders, and two focus group sessions. Individuals were selected to provide input based on their role at the university and/or their anticipated role in the Banner Student System Implementation Project.

In-person interviews were carried out by Collegiate Project Services' (CPS) consultants. The interviews were conducted using structured interview forms based on the interviewee's role at the university. Specific questions were tailored for technical staff, functional staff, department heads, academic staff, and executives. An online questionnaire was used to collect broader input across the university and consisted of similar questions as in the interviews.

A final method of data collection included two focus group sessions with a representative sample of key university stakeholders. The first session, called a critical issues session, was a brainstorming session in which participants generated a list of the major project issues that must be dealt with. The second session, a risk analysis session, was carried out to develop a risk mitigation plan for the most critical project risks.

The Sample of Participants

A broad range of university stakeholders were involved in the Readiness Assessment.

A total of 16 UTC personnel participated in a presentation held on September 10, 2008 to introduce and prepare UTC staff for the Readiness Assessment effort.

Thirty-six UTC personnel were interviewed on-site during three weeks in September and October: 15 administrative department heads, 3 administrative staff members, 3 technical staff members, 5 faculty members, 4 students, and 6 executives.

A total of 144 stakeholders responded to the online questionnaire. In the online questionnaire participation 28% were from academic areas, 62% were from functional administrative areas including department heads and staff, and 10% were from technical areas.

Finally, 23 individuals participated in the critical issues session and 19 individuals participated in the risk analysis session. Detailed participation results are attached in *Appendix A*.

Readiness Factors

Based on interview and survey results, we calculated scores on factors that indicate the ability of UTC to carry out the implementation of the Banner Student System software. These factors fall into the following 5 groupings:

Technical Readiness (3 factors)

These three factors assess the existing IT skill sets, IT staffing levels, and the IT experience level of those in technical departments that must work on this project.

Functional Readiness (2 factors)

These two factors assess the existing functional staffing levels and the functional experience level of those in the various functional departments who are likely to work on this project.

Project Readiness (3 factors)

These factors assess the project management sophistication of the university and the level of experience with comparably complex implementations. Furthermore, they assess the Banner Student System software familiarity factor of the institution. This assessment pertains to both functional and technical departments on campus.

Cultural Readiness (5 factors)

These five factors measure the level of teamwork and collaboration at the university, the level of sophistication with group processes (such as meeting processes, consensus processes, group decision making, problem solving and conflict resolution processes), as well as the perceived leadership support and alignment for this project at the top levels of the organization. Furthermore, these factors measure the degree of positive/negative attitude toward the Banner Student System software project and the perceived team leadership capabilities of key project personnel.

Resource and Effort Awareness (3 factors)

These factors assess the sophistication of the organization with respect to the true costs of an enterprise-wide implementation and the understanding and willingness of management to provide project release time and other project staffing strategies. Furthermore, these factors measure the level of understanding of the complexity and effort required for this Banner Student System software implementation.

Descriptions of each of the 16 readiness factors are given in *Appendix B* of this report.

Findings

The findings of this Readiness Assessment are organized into the following four major sections.

- 1. Overall strengths of the institution.** In this section we give an appraisal of the overall strengths of UTC, as reported by UTC stakeholders. These strengths can be considered assets of the institution with respect to the upcoming Banner Student System software implementation.
- 2. Top concerns of stakeholders.** Every interviewee and online questionnaire participant (including both technical and non-technical personnel) was asked to express any concerns or fears they had about implementing the Banner Student System software and related auxiliary systems. These responses were content coded into categories, and scored by CPS staff

members. The results reported here contain the most frequently expressed concerns regarding this project.

- 3. Benefits of the project as seen by stakeholders.** In this section we report the primary benefits of implementing the Banner Student System software system, as cited by the interviewees and online questionnaire participants. These responses were also content coded and scored by staff members of CPS. The results cited here contain the most frequently cited benefits of implementing Banner Student System software system at the university.

- 4. Readiness profile scores.** In this section we report our assessment of the strengths and weaknesses of the university to carry out this project. To do this, we calculated scores on 16 factors that have been shown to be predictive of ERP implementation success. In the data analysis phase, the CPS assessment staff met as a group to synthesize the information that was collected through interviews, the online survey, and observation. Readiness profile scores were determined based on these data as well as our experience in previous assessments and previous ERP implementations. Final scores on each readiness factor were group consensus judgments using structured scoring guidelines developed from previous readiness assessment engagements.

Strengths of the Institution

Listed below are the most frequently cited strengths of the university, rank-ordered according to the frequency with which they were mentioned during our interviews and via online surveys.

Rank	Strength	Sample Answers
1	Staff committed, hard working, knowledgeable	People are serious about the project; dedicated administrators and staff; vast number of knowledgeable people; we will ride the storms of change together; lot of talent and brainpower.
2	Consensus on the need to change	Everyone is eager to get this done; general understanding that this project is critical; shared interest in accurate data; student leaders are excited about this project; willingness and need to have one good functional system.
3	Executive support	There is an institutional commitment to do this project; support from the Chancellor; good leadership team.
4	We work well together	A cohesive community; communications; good cooperation between departments; small enough that one person can make a difference; team player attitude; general collegiality among staff, faculty, leadership.
5	IT Staff	Dedicated IT staff; good Help Desk; great IT support staff; IT staff with depth of experience; technology backbone.

ADDITIONAL STRENGTHS

Listed below are additional strengths mentioned by one or more stakeholders.

- Banner experience
- Good project management team
- System support and funding
- A Customer Service attitude

Top Concerns of Stakeholders

Listed below are the most frequently cited concerns about this project gathered from various UTC Banner Student System Implementation Project stakeholders, rank-ordered according to the frequency with which they were mentioned.

Rank	Concern	Sample Answers
1	Resistance to change, politics	UTC people are too “siloed” to do this; will we actually do it; faculty will derail the project again; changing business practices; history of technology issues on campus.
2	System performance, reliability, flexibility	Inability to accurately reflect ‘retake’ policy; too rigid rules driven engine; lengthy downtime during grade posting; lack of customization to specific needs; will this slow our computer system down even more; tail wagging the dog.
3	Training, learning the new system	Lack of time and resources for proper training; fear of substandard ongoing training; learning curve for all; money for training; being unaware of benefits/uses.
4	Project management	Banner was poorly implemented many years ago; ability to run parallel systems at beginning; leaders of the project are not users of the system; lack of understanding of the scope of the project; driven by technical concerns rather than information needs.
5	Timeline	How long will it take to implement; project won’t be completed; aggressive schedule; unrealistic timeline/schedule.
6	Project staffing and backfill	No true release time for training; delays in ongoing office processes; time commitment for existing staff; other UTC systems with normal day-to-day problems.

ADDITIONAL CONCERNS

Listed below are additional concerns mentioned by one or more stakeholders.

- System support and mandates
- User and student friendliness
- Data migration
- IT support
- Security and privacy
- Communication

Benefits of the Project as Seen by Stakeholders

Listed below are the most frequently cited reasons and benefits for this project, rank-ordered according to the frequency with which they were mentioned.

Rank	Benefit	Sample Answers
1	Better access to data	Be able to input grades from home; data more visible to all departments; less reliance on Records office; one place to conduct many tasks; better access to student information.
2	Improved student services	Build retention and morale; one stop shopping; streamlined registration process for students; save students time and effort; empower students to manage their schedule & classes.
3	Newer, better technology	Increased efficiency; faster access to information; more reliable; automating routine tasks; faster system; free up to perform more complex tasks; new ways to solve problems, less frustration; enhanced productivity.
4	Departments work together better	Integrated data base; single source of information; integration of systems; seamless integration of data and processes; no more piece meal systems; better transfer of information between departments; easier to download data to secondary systems.
5	Improved business processes	Bring campus in line with national best practices; more effective scheduling process; more professional handling of info; registration improved.
6	Integration	Better functionality; unification of payments; more effective student data retrieval; better workflow; eliminate problems with out-grown data tables; clearer registration process; process improvement; easier record keeping; better financial management.
7	More accurate data	Better and more concise record keeping; current and updated information; more flexibility – able to address new opportunities.

ADDITIONAL BENEFITS

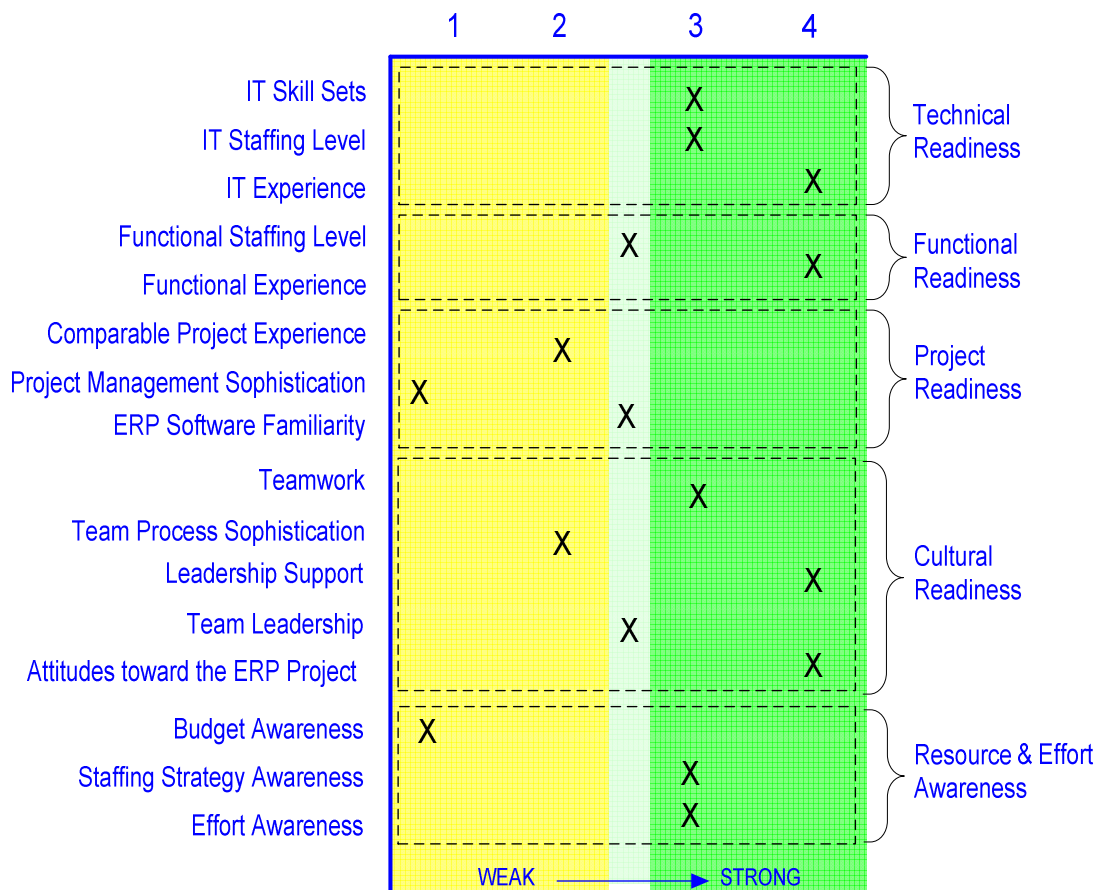
Listed below are additional benefits mentioned by one or more stakeholders.

- More user friendly / easier to use
- Better information reporting
- Improved faculty service
- Better system with more features
- Better security
- Better advising

Readiness Factor Scores

Based on the data collected, the CPS staff calculated scores on 16 readiness factors. See Appendix B for a detailed description of each readiness factor.

The CPS staff rated each of the readiness factors on a scale from one to four. Scale ratings of one and two represent areas of concern for the project. Scale ratings of three and four indicate areas of strength for the project implementation. A graphical depiction of these results is shown below. A detailed discussion and rationale for these ratings are given on the following pages.



Readiness Profile Scores Matrix

Group 1: Technical Readiness Discussion

The overall readiness of the IT department at the university was evaluated based upon current staffing levels, skill sets, and experience levels, as described below.

IT Skill Sets ("3")

The purpose of the IT Skill Sets Readiness Factor is to assess the extent to which the technical staff in the IT department has the skills they will need to implement the Banner Student System software. We rate the UTC IT Skills sets as a level "3" on our four-point scale. The recently configured Banner DBA and the Banner System Analyst teams help raise this score. With respect to the skills needed for the Banner Student System implementation, our evaluation is that the current IT skills for are a level "3" on our four-point scale.

In the online survey, 78% of the IT participants indicated that they thought the IT department had the necessary skills to support the Banner Student System Implementation Project. Sixty percent of the IT participants in the online survey indicated that they felt that the IT department would be able to provide a sufficient level of service to adequately respond to project needs.

The IT department has been supporting Banner Financial Aid and Student Accounts since 1999. We believe with the addition of the new positions in the Banner DBA Team and the Banner System Analyst team and a refresher course in Banner Technical Training, that the IT skill sets of the UTC Banner Student System Implementation Project will be sufficient to support the project.

The Information Technology teams that will be most involved in this implementation project are Banner DBA, Banner System Analyst, Networks, Technology Support, Systems Operations, and Applications Support. We believe that these teams need to be evaluated separately due to the extent to which their processes or skill sets required will change.

The Banner DBA Team was configured especially for the Banner Student System Implementation Project and housed in special project work space. Two DBA positions have been assigned to this team and the IT Banner Project Coordinator also has DBA experience. The team also has a Linux system administrator and a programmer position. Since UTC already has Banner Student System running, we feel this team will have sufficient depth and breadth to successfully support the project.

The Banner System Analyst Team was also configured especially for the Banner Student System Implementation Project and housed in special project workspace. The team has three members with extensive experience at UTC and two new positions. Since UTC already has the Banner Student System software installed, this team will also have sufficient depth and breadth to successfully support the project.

The Networking Team will probably be impacted very little. A number of new servers and other devices will be installed, configured, and attached to the university network, but the overall topology and technology is unchanged.

The Systems Operations Team currently has four members and a supervisor. The Banner DBA Team has a Linux System Administration position, so the Systems Operations Team will likely play a supporting role to that position and not otherwise be impacted.

The Applications Support Team currently has five members and a supervisor. The Banner System Analyst Team has five members dedicated to the Banner Implementation Project, so the Applications Support Team will likely be unaffected.

The Technology Support Team will not be greatly impacted by the Banner Student System implementation project

The Infrastructure Team will not be greatly impacted.

IT Staffing Level ("3")

The purpose of the IT Staffing Level Readiness Factor is to determine the extent to which UTC has sufficient IT staff to successfully carry out the Banner Student System implementation. Based on our analysis, we rate the IT staffing level as "3" on our four-point scale.

According to EDUCAUSE statistics based on industry normative data for institutions of comparable size, UTC IT is sufficiently staffed. We understand that there are IT resources not reporting to the Chief Information Officer and the Vice Chancellor for Finance and Operations. We suggest that those resources be added to the project as full partners in the IT activities. Doing so will increase the likelihood of project success, integrate those outlying people into IT as team members, and bring the voice of their constituencies into the process.

As of October 2, there was one open position in the Applications Support Team, one open position in the Banner DBA Team and two open positions in the Banner System Analyst Team. The latter three positions are important to the success of the project and should be filled as soon as possible.

IT Experience ("4")

The purpose of the IT Experience Readiness Factor is to assess the depth and breadth of experience of the staff in the IT discipline. Our evaluation of UTC's IT experience is a level "4" on our four-point scale.

UTC's IT staff who participated in the Readiness Assessment information gathering have been at the university an average of 16 years. They have been in their current role an average of six years and they have an average of 22 years experience in IT. Their experience includes a deep functional knowledge of the business of higher education, good communications skills, close customer and user relationships, and sound IT business practices

UTC has had the Banner Financial Aid and Student Accounts modules running since 1999. This means that they have IT staff with Banner technical training and experience, Oracle DBA training and experience, and Linux system administration training and experience. This puts them significantly ahead of the typical institution we encounter who is generally installing Banner for the first time and does not have Oracle or Linux training or experience.

Technical Readiness Action Steps

To be successful in this Banner Student System software implementation project, we recommend the following:

1. Immediately hire an experienced data base administrator for the Banner DBA Team, a records analyst and a financial aid analyst for the Banner System Analyst Team. These would fill the open positions on the Banner IT Support team
2. Develop and carry out a training plan for the Banner DBA and the Banner System Analyst teams based on the skill set required by the Banner Student System Software. Coordinate this training with the UTS Project Manager and the other system institutions installing Banner Student System.
3. IT groups not reporting to the Chief Information Officer should be leveraged and integrated into the Banner Student System Implementation Project. This will assure that all IT activities are assessed against the project priorities and increase the opportunities to succeed.
4. The Banner Student System software will likely meet and exceed the vast majority of UTC's student information requirements. Very early in the project, SGHE will conduct group sessions to identify areas where there may be gaps between UTC's requirements and Banner Student System's capabilities. Once these gaps have been identified, a decision will need to be made on how to best deal with them. They may require "bolt on" solutions which are made to the system but do not modify the Banner Student System software. They may require creative "work around" efforts. They may require that policies and procedures be adjusted. They may require the Banner Student System software to be modified. We recommend that a change management process be developed and implemented to help resolve these issues. An example Change Management Plan is discussed later in this report.
5. The legacy systems will be required to run until the Banner system is in production status. The IT staff supporting the legacy system will be supporting the Banner Student System Implementation Project, as well. Time spent supporting the legacy system can dilute the time available to the Banner Student System Implementation Project. There will be times when changes to the legacy system will be necessary, however, and we recommend that a change management process be developed and implemented to examine all request for changes to the legacy system and approve them appropriately. See Appendix E for an example Change Management Plan.

Group 2: Functional Readiness Discussion

The overall readiness of the university functional departments on campus was evaluated based on two factors: (1) whether or not the staffing levels of the functional departments are sufficient to support both working on the Banner Student System software project and maintaining current service levels with customers, and (2) the overall experience level of personnel working in the functional departments.

Functional Staffing Levels ("2.5")

In general we found that the functional departments on campus tended to be sufficiently staffed, and we therefore rated staffing levels a "2.5" on our four-point scale.

Perceptions of Staffing Levels

Based on our interview and online questionnaire results, most respondents across the university feel that administrative offices at UTC are understaffed. In fact, only ten percent of those surveyed and interviewed felt the administrative offices at the university are "fully staffed."

When we surveyed administrative staff only, 25% reported that their offices were sufficiently staffed while 75% responded that the departments were not sufficiently staffed. When we interviewed administrative department heads separately, 83% responded that there were gaps in service due to staffing shortages.

Staffing from the functional departments to support the Banner Student System implementation will vary based on the phase of the project. Charts describing the resources needs are presented below in the Staffing Recommendations section.

Actual Staffing Levels of UTC Administrative Offices

The **Registrar's Office** reports to Phil Oldham, the Provost. At the time of our interviews, the Registrar's office was fully staffed but reported gaps in service to students. They reported having 11 staff members. Our normative data indicate that the median staff level for a registrar's office at institutions of similar size and setting was between 6 and 11 staff members. Our experience has shown that offices using legacy systems typically exceed our norms. We attribute this situation to difficulties maintaining the legacy system causing more workarounds than usual.

When the Banner Student System implementation begins, we estimate this office must supply up to two FTE to work on this project. The Registrar's Office is already building staffing plans for the implementation.

The **Financial Aid Office** reports to John Delaney, Vice Chancellor for Student Development. The office of Financial Aid has a staff of 14 and had no current vacancies, but reported it was likely to have some staffing challenges when the project begins. Our normative data indicate that the median staff level for a financial aid office at institutions of similar size and setting was between four and nine staff members. Looking further, we discovered that the UTC financial aid office carries responsibilities over an above those found in our normative group. These additional responsibilities include outreach training to area high school counselors, work study payroll processing, ACG, Smart grant and entering freshman scholarship renewals, HOPE scholarship review and certification with the state system, and Banner related survey and

statistical report writing. In addition, we have found that legacy systems tend to require more staff and although the Financial Aid office uses Banner, it must rely on the legacy system for a lot of statistical information to award and certify students. We feel that all this indicates that the UTC Financial Aid office staffing is within the range we would expect to see.

When the implementation starts we foresee that up to one FTE from Financial Aid will have to be freed up to work on the Banner Student System implementation.

The **Bursar's Office** reports to Richard Brown the Vice Chancellor for Finance and Operations. The office was fully staffed at the time of our interviews with 13 staff members; however, they reported gaps in service from time to time. Our normative data indicate that the median staff level for a bursar's office at institutions of similar size and setting was between four and seven staff members. However, the UTC Bursar's office carries several responsibilities outside the duties we find in a normal Bursar's Office. These duties include management of a satellite office in the student center, responsibilities for the Perkins student loan portfolio, daily reporting to the UT System IRIS financial system, the parking system, and the ID card monies and several others. We feel these responsibilities justify the additional staff.

During the Banner Student System implementation there will be a period in which staff members from the Bursar's Office must work on the project for intermittent and intense time periods. In terms of staffing the implementation, the University Bursar has started discussions on how to cover the work and provide the support needed for the implementation. It appears that the Bursar's Office has given some thought regarding the staffing challenge of the project; however, we believe project staffing dollars in the form of temporary help and student help will be necessary.

The **Admissions Office** reports to John Delaney, Vice Chancellor for Student Development. They reported that the department has 14 staff members and no vacancies, but is insufficiently staffed with gaps in service from time to time. Our normative data indicate that the median staff level for an Admissions Office at institutions of similar size and setting was between 10 and 18 staff members.

When the implementation of the Banner Student System begins, Admissions will have to supply up to one FTE who must work on the project for several intense bursts of time. A specific staffing strategy will have to be developed in order to ensure work on the implementation occurs without negatively affecting student services.

Functional Staffing Levels Compared to Similar Institutions

The results from our interviews indicated that although most of the administrative offices at UTC were fully staffed, the staffing levels were felt to be "thin" and "lean," causing occasional slips in customer service. Managers routinely covered these gaps in service by doing the work themselves, which solves the problem at the expense of their managerial duties.

We compared the staffing levels at UTC with the average staffing levels of comparison institutions. The comparison group was a randomly chosen sample of five universities of the same size and setting Carnegie Classification as UTC. We collected comparison staffing data for

the following administrative departments: Admissions, Bursar, Financial Aid, and Registration and Records.

In general, the data from the comparison schools clearly showed UTC to be at or above the average staffing levels for every department with the exception of Admissions offices, which were found to be understaffed at UTC compared to similar universities.

Conclusions

From the information gathered, the current staffing levels have supported the university's needs through the efforts of a lot of dedicated people. A notable concern is that the strain of additional workloads required by the implementation project may have a negative effect on campus service levels or project success, or both. UTC must develop project staffing plans that include project staffing dollars allocated throughout the project life cycle.

Functional Staff Experience Levels ("4")

We found the experience levels of the functional staff very high, and we rated this factor a "4" on our four-point scale.

Of those we interviewed and surveyed through our online questionnaire, the average number of years working at the college was 7.9 and the average reported years in the current job was 4.9 years. The average length of time in their field of expertise was 11.3 years. The results also indicate that 95% of respondents felt that their department was experienced or very experienced in their jobs.

These results are considerably above the levels of experience we usually find, and therefore represent a workforce that not only understands very well how the critical business processes operate, but also knows how to get things done in the UTC bureaucracy. This level of experience will be a plus for the upcoming implementation project.

Functional Readiness Action Steps

At this time we feel that the functional departments are sufficiently staffed with the current workload. When the Banner Student System software implementation begins, many departments will be hard pressed to both work on the project and continue to provide current service levels to the campus. In order to increase the likelihood of a successful implementation, we therefore recommend the following:

1. Immediately fill any vacant positions.
2. Immediately begin conducting staffing studies in each department to determine how staffing will be handled during the implementation. Articulate these studies in a project staffing plan which will show how and when each department will address staffing issues. Adequately staffed functional departments will help UTC's ability to carry out this project while at the same time maintain current service levels.
3. Immediately communicate and allocate project staffing dollars available in the project budget so that departments can begin to plan for providing project staffing. Build a consensus at the executive level and department level to recruit and hire project staffing to address staffing adequacy concerns. More specific project staffing recommendations are included later in this report.

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4. As part of the project communication plan, begin to communicate realistic expectations concerning demands on functional staff necessary to carry out this project.

Group 3: Project Readiness Discussion

The Project Readiness factors include Comparable Project Experience, Project Management Sophistication, and the Level of Familiarity that UTC has with the Banner Student System software solution. The readiness scores for all three of these factors are low, and support from both CPS and SGHE will be needed to have a successful implementation.

Comparable Project Experience ("2")

The most often cited example of comparable project experience was with the SIS implementation at UTC that was undertaken 10 years ago. Outside of that implementation, UTC does not have much experience with any other IT project of the size and complexity of the current Banner Student System software project. A notable exception is Rexann Bumpus, the director of Financial Aid. Rexann worked for a higher education software vendor as a project manager before coming to UTC.

Even with this lack of recent major project experience, we rate the project experience score as a "2" on our four-point readiness scale. We gave this rating based on the fact that the many of the administrative department heads, staff, and IT personnel actually experienced that SIS migration. They believe that there were valuable lessons learned during that project and feel that those lessons will make the current project more successful.

Further, we found very few instances of someone on campus with any ERP implementation experience other than their experience at UTC. Following is the overview of the experience that UTC personnel have had with other ERP software: 26 of 138 respondents said they have implementation experience, 14 at UTC and 12 at other organizations; 15 of those 26 people were involved with the Banner Student System deployment at UTC ten years ago, 5 of the remainder were involved with IRIS at UTC; the remaining 6 people have other, non-UTC experience.

Please note that it is not unusual to have low scores in this area at the beginning of an ERP implementation project. Institutions do ERP implementation projects every 10 to 15 years and most people do not have the opportunity to do more than one during a career. This installation will affect every staff member, faculty member, and eventually every student. It will take several years to complete and cost a considerable amount of money. It will change the culture and the way the university accomplishes its mission.

Project Management Sophistication ("1")

Based on the input we gathered during the assessment, we found that UTC does not typically use a formal project management approach or processes. No one in the IT area is certified as a professional project manager.

In addition, most technical and functional personnel we interviewed and surveyed were not schooled in the discipline of modern project management tools and processes that should be used on this type and size implementation project. We therefore assessed the level of project management maturity as "1" on our four-point readiness scale.

Some of the people we interviewed or responded to the online questionnaire reported experience in project management training (20%) and fewer had formal project software training (9%). No one reported any experience using project management software to manage projects. Recent technology projects, which were narrower in scope and much less complicated, were undertaken using informal checklists and schedules. In one case an outside project manager was hired to execute the implementation.

Project management has become a separate field of study with academic degrees and certifications. Higher education is beginning to recognize that project management is a separate field, and many colleges are beginning to set up project offices to manage critical campus projects. Professional project management processes are vital to the success of this project.

Banner Student System Software Familiarity ("2.5")

Many of the staff we interviewed were knowledgeable about the Banner SIS modules in production in the Bursar's Office and Financial Aid Department. They have almost 10 years experience using the software. Consequently, we assigned the moderate score of "2.5" on our four-point scale in the area of Banner Student System software familiarity.

The less than optimal rating on this factor is not necessarily a risk to the project. However, in our experience a Student Information System implementation is easier to implement when we can locate personnel in at least some of the departments who have experience using the software to be implemented. In the case of UTC, numerous people have some familiarity with other Banner Student System modules and this will help the project.

Project Readiness Action Steps:

1. Review the proposed project organization and roles and responsibilities table in this report and begin putting the project organization in place..
2. Conduct a training session covering the fundamentals of project management methodology and processes that UTC will use on this project as well as other large projects. Use the contemporary experience of the CPS Program Manager to begin applying those planning and tracking skills to facilitate implementation.
3. Begin working with the CPS Program Manager and the SGHE Project Manager to develop, manage and monitor the project schedule.
4. Choose and train a project scheduler.

Group 4: Cultural Readiness Discussion

The cultural readiness profile scores reflect the extent of teamwork at the institution, team process sophistication at meetings, leadership support of this initiative, team leadership capabilities, and attitudes toward the project.

Teamwork ("3")

The purpose of the Teamwork Readiness Factor is to determine the extent to which groups at UTC work together effectively or whether there are significant “silo” effects in the organization that might lead to problems during the implementation. Based on our investigation, we rated this factor a “3” on our four-point scale. We thus feel that teamwork is an area that we can build on to increase the likelihood of project success.

Our interviews indicated that, compared to other institutions, most UTC departments work well with each other. On our survey, 89% reported “good” or “outstanding” teamwork across the campus. Fifty-three percent reported “some” teamwork across the campus. Overall, everyone at UTC seems to work well together. However, this project will definitely put that assumption to test as all departments, campuses, and colleges will need to collaborate for the success of the implementation.

Several examples of good teamwork were given to us in our interviews and through the online questionnaire. These included: bringing a speaker on campus that required cooperation between numerous departments; several academic and administrative departments came together to resolve a financial aid problem that only affected two students; the Environmental Task Force that established “green” projects; Admissions, Bursar, et al working together to solve an email forwarding problem; and many others.

As one might expect some examples of tension among departments and poor coordination among groups also were cited. Even though there was often hesitation about answering this question during the interviews, we did receive several examples of poor teamwork. One cited example involved the Records Office and Financial Aid having such difficulty resolving problems that an outside auditor was engaged. Another example was the inability of Residential Life, Academic Affairs, and the Registrar to agree on access to student information (FRPA). Another example was the lack of consensus about degree criteria – do licensure requirements take precedence over student “personality” attributes.

Compared to other campuses that we have assessed, at UTC, there seemed to be much less tension between the IT organization and the functional offices. In fact, 74% of the functional and academic survey respondents indicated that they worked very well with IT. We believe the fairly good level of teamwork at UTC will bode well for the implementation project.

Team Process Sophistication ("2")

The purpose of the Team Process Readiness factor is to evaluate the extent to which groups at UTC follow good processes for running effective meetings, reaching consensus, solving problems as a group, and dealing effectively with conflict in a group. Responses to our

interviews and the online survey indicated that formal group processes are not usually followed on campus, and we therefore rated this factor a “2” on our four-point scale.

Responses to a series of specific questions about group meeting processes were given in both the individual interviews and on the online questionnaire. About half the respondents (43%) judged that meetings on campus were “mostly effective.” Some of the specifics were as follows: 74% of the functional, academic, and technical personnel throughout the institution report that meetings start and end on time, while only 56% indicated that their meetings had agendas. Sixty-seven percent of the respondents indicated that action items were assigned and recorded, while only 43% indicated that meeting minutes were circulated after the meeting.

Conflicts and disagreements occur in meetings at UTC, as 42% of respondents indicated that a conflict occurred in the most recent meeting attended. When asked about the process used to resolve conflict, everyone reported that no formal process was followed other than general discussion that led to some form of consensus 73% of the time.

In our interviews we discovered that formal group processes and roles (such as action-oriented agendas, “gatekeepers,” “timekeepers,” round robins, PIN technique, and Nominal Group Technique) are not being used in meetings. Also, structured processes for solving problems and dealing with disagreements and conflict are not known and are thus not being followed.

The planned ERP implementation will require effective coordination among university stakeholders and the success of the project will be a function, in part, of meeting process discipline, clarity of roles and responsibilities, adherence to deadlines, and engaged stakeholder involvement.

Leadership Support (“4”)

The purpose of the Leadership Support Readiness Factor is to assess the extent to which the leadership team of the university is aligned and united in support of the ERP implementation. We rate this factor a “4” on our four-point scale.

Our interviews with UTC executives indicated that the chancellor and his senior staff were united in their support of this project. When questioned, all agreed that this initiative was a top priority of the institution and a critical enabler for UTC to achieve its institutional goals. All agreed that regardless of other strategic priorities that might compete for resources and time, this project has to be completed and that it is most critical for the university’s future.

The leadership alignment around this initiative has already filtered down into the organization, as revealed in the online survey results. Seventy-seven percent of the participants in our interviews and online survey believed that UTC leadership was providing “good” or “outstanding” support for this initiative.

UTC appears to have done a good job of communicating the importance of this initiative through much of the university community, which will be a strong positive factor in the implementation effort.

Team Leadership ("2.5")

The purpose of the Team Leadership Readiness Factor is to formulate a high-level assessment of the leadership at UTC, specifically with respect to those likely to play critical leadership roles in the Banner Student System implementation. Overall we rated this factor a “2.5” on our four-point scale.

In order to assess the general level of leadership ability on the project, we identified 11 key technical and functional employees who at the time we carried out the interviews were believed to be those who would play the most prominent roles in the implementation. In each of the individual interview sessions we asked participants to list for us (in confidence) the strengths and weaknesses of these eleven individuals. These data were then compiled and analyzed as a group by the CPS staff members who conducted the one-on-one interviews.

Our analysis concludes that all individuals have a balance of leadership strengths and weaknesses. Two individuals were especially highly regarded by their peers as strong leaders, and in our judgment appear to be as good as we have seen for projects of this sort. Three others in the group were seen as particularly strong and above average for this assignment. The remaining key individuals were seen as having leadership strengths but also some weaknesses that might hinder success. However, all were considered knowledgeable, experienced, and the appropriate college resource to serve on this project.

Based on our interviews, we believe personal coaching in leadership and/or interpersonal skills will be especially beneficial for several individuals, and that all would benefit from team leadership training, team meeting skills training, and some orientation to project management tools and processes.

Attitudes toward the ERP Project ("4")

Our experience has shown that preliminary negative attitudes toward the Student Information System project prior to implementation can have an impact on the level of effort and the amount of emphasis placed on the project. From a readiness standpoint, understanding whether UTC stakeholders are generally positive or negative about the project is important.

Based on our assessment, we rate UTC as a “4” on our four-point scale. Staff commitment, hard work, and knowledge were ranked as the number one strength of the university and consensus on the needs to change as number two. Ninety-six percent of the online survey respondents indicated that the attitude toward the project on campus is positive or neutral. The technical staff is especially excited about this project and is anxious to get started and learn the new system.

As mentioned earlier, the Chancellor’s cabinet supports the project, and both the Provost and the VC for Finance and Operations are extremely positive about the improvements the new software will make. Other observations made during the assessment process including the following:

- Stakeholders want a new system.
- Stakeholders fear that the old system will suffer a catastrophic failure.
- Stakeholders expect that student services will improve.

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- Stakeholders are eager to become more technologically current.
 - Stakeholders believe that inter-department processes will improve.

Cultural Readiness Action Steps

To help maintain and build upon the cultural readiness of UTC, we recommend training and selective coaching to advance team process sophistication, team leadership skills, and communication activities as follows:

1. Implement training in group meeting skills for the Implementation Team and the various Functional Teams to include team meeting roles and tools.
2. Provide a project team leader skills course for the members of the Implementation Team to include interpersonal communication skills, facilitation skills, and team leadership skills.
3. Revise and implement the proposed communication plan (see *Appendix D*) to maintain the current enthusiasm for the project that would include a project newsletter and project website.
4. Consider implementing interventions designed to maintain the current level of enthusiasm for the project, such as project milestone celebrations, recognition programs, and giving the project a unique name that all can rally around.

Group 5: Resource and Effort Awareness Discussion

The success of an ERP implementation is enhanced when all university stakeholders understand the resources, time, and effort ramifications of a complex technology project of this sort. We measure the resource and effort awareness of the institution through three factors: Budget Awareness, Staffing Strategy Awareness, and Effort Awareness.

Budget Awareness ("1")

The Budget Awareness Readiness Factor is an attempt to determine the degree of understanding of the immense costs that are involved in a project of this magnitude. Our data indicate that UTC stakeholder groups have a poor awareness of the total costs of this project, and we therefore assigned a score of "1" on our four-point scale.

When we asked stakeholders to give estimates of the budget for this project we got estimates as low as \$2,000 and as high as \$7 million. More than 80% of the respondents said they did not know what the budget was or declined to give an estimate.

The campus community is not fully aware that the UT System is funding the implementation and the campus is only responsible for funding project staffing. Communicating the funding source for the project will help the campus community understand that the funds are not coming out of the programmatic budget and would not be available to be spent elsewhere. Given the concern about the university system budget and the campus budget, the community should know that the funding is available and that management is committed to seeing the project successfully completed.

Staffing Strategy Awareness ("3")

One of the challenges of a complex ERP implementation is how to release personnel to work on the implementation project, and yet continue to ensure that departments maintain expected customer service levels. The purpose of the Staffing Strategy Awareness factor is to determine the extent to which the institution understands the need to develop a staffing strategy for the project. For reasons discussed below, we rate this factor a "3" on our four-point scale.

The highest level of the university administration understands that project staffing issues must be handled. The Executive Committee has set aside substantial project staffing dollars in the project budget. Department managers are well aware of staffing challenges caused by the project. Our interviews with administrative department heads revealed that all have begun to discuss how to staff the implementation and still cover the work of their departments.

At lower levels in the institution there appears to be some general awareness that the impending implementation may cause staffing problems at UTC. In fact, concerns about workload conflicts during the project and related funding was the third most often voiced project concern in our interviews and on our online survey.

Many staff members appear to believe that the likely staffing strategy alternative is to "do your best" to work on the project and still somehow provide adequate service levels to constituents.

This feeling is supported by the results from our interviews and our online survey. We asked respondents to indicate which of four staffing strategies they thought the institution would most likely employ. The results are shown below:

Strategy 1 (73%): Staff in the department will be expected to work on the project and carry out their regular jobs as best they can.

Strategy 2 (5%): Staff in the department will be expected to work on the project and carry out their regular jobs, but will be paid extra.

Strategy 3 (7%): Some will be dedicated to the project while others in the department will cover their work.

Strategy 4 (15%): Some will be dedicated to the project while temporary workers will be hired to help cover their work.

These numbers indicate that university stakeholders do not believe that UTC will have a more sophisticated staffing strategy other than encouraging people to do the best they can.

A critical next step for UTC will be to develop a staffing plan for each department, and to allocate budget dollars to develop and execute the various staffing plans. The information about staffing strategies needs to be communicated to all project stakeholders as soon as possible to allay anxieties on this subject.

Effort Awareness ("3")

The purpose of the Effort Awareness Readiness Factor is to determine if UTC stakeholders understand the time and effort it will take to implement the new ERP system. Our investigation indicates that there is a reasonable level of understanding across the university, and we therefore assigned a score of "3" on our four-point scale.

Respondents were asked if they understood how complex this ERP implementation would be, how long it would take, and how much effort it would involve.

When we asked for specific estimates of the length of time it would take to implement the new software, estimates varied between 6 months and 10 years with the average at 24 months and the mean at 27 months. The best current estimate of the time it will take to implement the software is 24 months.

Resources and Effort Awareness Readiness Action Steps

In order to increase the likelihood of a successful implementation, we recommend the following:

1. Start immediate discussions with administrative department heads about developing project staffing plans for their departments, making sure to emphasize that the use of backfills and student help, when appropriate, is a possibility.
2. Allocate project staffing dollars to departments, as appropriate.

3. As part of the communication plan, begin to communicate realistic expectations concerning the resources, time, and effort it will take to carry out this project.
4. Communicate information about the funding of the project. Specifically, that the project is being funded from capital funds not the operating budget and that the University of Tennessee System is funding all except local project staffing dollars.

Summary of Recommendations

One purpose of the Readiness Assessment effort is to make recommendations based on our findings. Details of these recommendations are contained in the previous sections of this report. We recommend the following to UTC:

Technical Readiness Action Steps

To be successful in this Banner Student System software implementation project, we recommend the following:

1. Immediately hire an experienced data base administrator for the Banner DBA Team, a records analyst and a financial aid analyst for the Banner System Analyst Team. These would fill the open positions on the Banner IT Support team
2. Develop and carry out a training plan for the Banner DBA and the Banner System Analyst teams based on the skill set required by the Banner Student System Software. Coordinate this training with the UTS Project Manager and the other system institutions installing Banner Student System.
3. IT groups not reporting to the Chief Information Officer should be leveraged and integrated into the Banner Student System Implementation Project.
4. Develop and implement a change management process to address issues around Banner functionality gaps.
5. Develop and implement a change management process to examine all request for changes to the legacy system and approve them appropriately.
6. Establish an End User Training Plan. Identify end user personnel who will need to be trained on how the Banner Student System software works. Determine how this information will be communicated to them, when and who will be responsible for conveying it.

Functional Readiness Action Steps

1. Immediately fill any vacant positions.
2. Immediately begin conducting staffing studies in each department to determine how staffing will be handled during the implementation.
3. Immediately communicate and allocate project staffing dollars available in the project budget so that departments can begin to plan for providing project staffing. Build consensus at the executive level and department level to recruit and hire project staffing to address staffing adequacy concerns.
4. As part of the project communication plan, begin to communicate realistic expectations concerning demands on functional staff necessary to carry out this project.

Project Readiness Action Steps:

1. Review the proposed project organization and roles and responsibilities table in this report and begin putting the project organization in place.
2. Conduct a training session covering the fundamentals of project management methodology and processes that UTC will use on this project as well as other large projects.

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3. Begin working with the CPS program manager and the SGHE project manager to develop, manage and monitor the project schedule.
 4. Choose and train a project scheduler

Cultural Readiness Action Steps

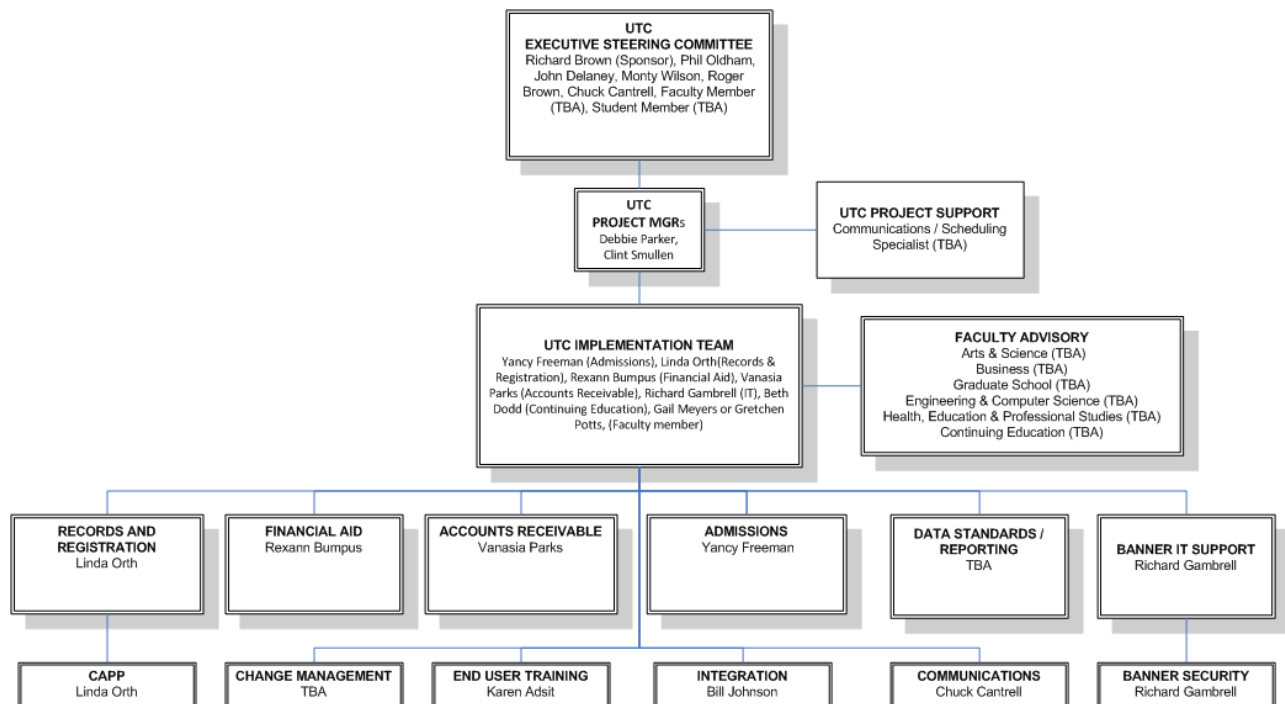
1. Implement training in group meeting skills for the Implementation Team and the various Functional Teams to include team meeting roles and tools.
2. Provide a project team leader skills course for the members of the Implementation Team to include interpersonal communication skills, facilitation skills, and team leadership skills.
3. Revise and implement the proposed communication plan (see *Appendix D*) to maintain the current enthusiasm for the project that would include a project newsletter and project website.
4. Consider implementing interventions designed to maintain the current level of enthusiasm for the project, such as project milestone celebrations, recognition programs, and giving the project a unique name that all can rally around.

Resources and Effort Awareness Readiness Action Steps

1. Start immediate discussions with administrative department heads about developing project staffing plans for their departments, making sure to emphasize that the use of backfills and student help, when appropriate, is a possibility.
2. Allocate project staffing dollars to departments, as appropriate.
3. As part of the communication plan, begin to communicate realistic expectations concerning the resources, time, and effort it will take to carry out this project.
4. Communicate information about the funding of the project. Specifically, that the project is being funded from capital funds not the operating budget and that the University of Tennessee System is funding all except local project staffing dollars.

Readiness Deliverables

As a result of the Readiness Assessment discovery, we produced the following deliverables for the university. These deliverables provide details and expand on many of the recommendations presented in the previous section of this report and may be used to initialize the project.



UTC Banner Implementation Project Organization Chart

Proposed Project Structure

Shown below is our recommended project organization for UTC’s Banner Student System software implementation.

Project Roles

A full project roles and responsibilities table is attached as *Appendix C*. Listed below is an overview of the responsibilities of key project leaders.

UTC Executive Steering Committee (UTC ESC) is responsible for the success of the UTC project. All teams and team members of the project on the UTC campus are accountable to the Executive Steering Committee for project activities. The UTC ESC will meet at least once each month and be chaired by the UTC Project Sponsor. This committee is the executive group that will provide overall direction and leadership for the project, approve changes to scope, timeline or budget, resolve major policy or business practice issues (as needed), and monitor project progress and assure that risks and issues are resolved. Members of the Project Steering Committee will also support

project communication and institutional culture change as well as promote buy-in on the part of the university community.

UTC Project Sponsor serves as chair of the UTC Executive Steering Committee and is the main point of contact between the Executive Steering Committee, the UTC Project Managers and subsequently, the UTC Implementation Team. The Project Sponsor will facilitate decision-making and issues resolution, as needed, with regard to policy, process, business practices, and institutional culture.

UTC Project Managers (PM) are the tactical project leaders responsible for successful completion of all major tasks and deliverables. The UTC PMs will report to the UTC Executive Steering Committee and chair the UTC Implementation Team.

UTC Project Support personnel are comprised of one or more persons assigned to assist the UTC PMs in project administrative duties.

Faculty Advisory Committee members provide input as needed to the UTC Project Implementation Team and the Functional and Technical Teams. A member of the Faculty Advisory Committee will serve on the UTC Implementation Team. The role of the Faculty Advisory Committee members is to provide advice and guidance to the project from an academic perspective and to ensure that the needs of the faculty are represented in the new administrative software system.

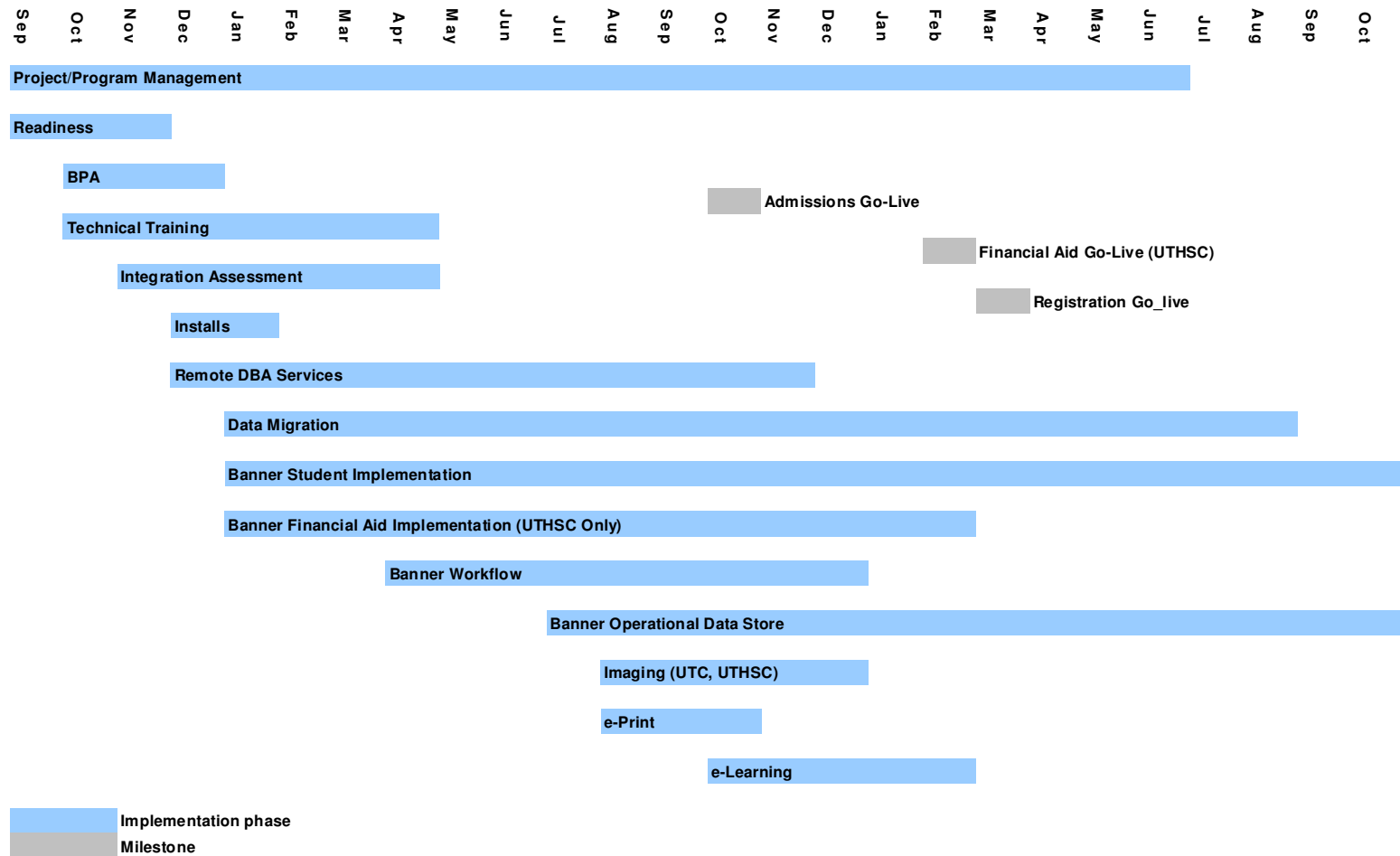
UTC Implementation Team is the group of people ultimately responsible for successfully developing and implementing the Banner Student System software and related products that will form a new, integrated system at the university. The team will meet at least once every two weeks and be chaired by the UTC PMs. The team will closely monitor performance against the project plan, communicate regularly with all stakeholders, and work together to make project decisions by consensus. Each member of the Implementation Team will lead a functional or technical implementation team and will be responsible for the oversight and completion of all tasks and deliverables assigned to that team.

Functional Teams will be established to learn the software and tools, to actively participate in decision-making, and to carry out the work of its assigned portion of the project plan. They will be led by team leaders and meet when called by the team leader. The team leaders will be assigned to the UTC Implementation Team. They will report the activities of the team to the UTC Implementation Team and coordinate the activities of the team with other teams through the UTC Implementation Team. Members of each team will represent the perspectives of their individual departments while working toward the goal of achieving what's best for the university as a whole. Team members will also help communicate project progress and issues to their constituent organizations.

Functional teams could include financial aid, records and registration, admissions, accounts receivable, IT support, data standards and reporting, change management, communications, integration management, security, CAPP, and end-user training.

Project Timeline

Below is a tentative project timeline provided by SGHE. The timeline will be finalized during the project planning exercises on each campus scheduled for December 2008.



Preliminary Staffing Recommendations

Based on our assessment of the University’s skills, current staffing levels and prior ERP implementation knowledge, we recommend the following project staffing (broken down into UTC staffing within technical, functional and project management areas).

UTC Technical Staffing

UTC’s technical staff is already supporting the Banner Financial Aid module and part of the Student Accounts module. We anticipate these modules going live on the new version of Banner Student System and integrating with the registration and admissions modules. The following recommendations assume the University’s technical staff will have proper IT skills to support the Banner Student System Implementation and selected auxiliary systems. Based on our assessment, as well as our experience from previous higher education SIS implementations, we recommend the following technical staffing for the Banner Student System implementation project:

Role/Position	FTE Load
Technical Project Lead	Up to 1 FTE
Admissions Technical	Up to 0.5 FTE
Registration & Records Technical	Up to 1 FTE
Accounts Receivable Technical	Up to 0.5 FTE
Financial Aid Technical	Up to 0.5 FTE
Banner DBA Technical	Up to 1 FTE
Linux System Administrator Technical	Up to 0.5 FTE
Legacy Migration Technical	Up to 1 FTE
Integration Technical	Up to 1 FTE
Data Standards & Reporting	Up to 1 FTE

UTC Functional Staffing

The following release time estimates are recommended:

Role/Position	FTE Load
Admissions	Up to 1 FTE
Records & Registration	Up to 2 FTE
Accounts Receivable	Up to 1.5 FTE
Financial Aid	Up to 1 FTE
End User Training	Up to 1 FTE
Integration	Up to 1 FTE

UTC Project Management and Support Staffing

Given that functional and technical work will be performed by the university staff with help from SGHE, and program management support services provided by CPS, we believe the following release time estimates are appropriate implementation project support staff:

Role/Position	FTE Load
Project Management	Up to 2.0 FTE
Project Admin and Communication Support	Up to 1.0 FTE
Project Scheduler	Up to 1.0 FTE
Implementation Team	7 @ up to 0.25 FTE

Preliminary Communication Plan

Based on our assessment interviews, we developed a preliminary communication matrix, which is attached as **Appendix D** to this report. This matrix addresses the communication needs of the following stakeholders:

1. Academic & Administrative Leaders of the University
2. Executive Steering Committee
3. Project Sponsor
4. Project Managers
5. Implementation & Functional/Technical Teams
6. Faculty, Staff & Students

For each communication plan element, we identified the appropriate university stakeholder audience, type of communication content that the stakeholder would need, the purpose of communicating this content, delivery methods that should be used, the frequency of the communication, and the project members responsible for the communication.

Preliminary Change Management Plan

Change management is an important part of a successful project. Simply put, it is an agreed upon process to identify and make a decision on changes. We have identified three areas in the UTC Banner Student System Implementation Project where we feel a change management plan needs to be in place. These are the Banner Student System software, the legacy software, and UTC Banner Student System Implementation Plan. Other areas may be identified as the project progresses.

The elements of a Change Management Plan are typically a document explaining the change request scope, procedures and the roles and responsibilities, a change request form and a change request log. We have included a sample Change Management Plan in **Appendix E**. We are recommending that change management plans be implemented very early in the project and very strictly adhered followed.

Training Plan

The results of the UTC Readiness Assessment indicated a need for project management, team process, and team leadership skills development for those team leaders and members involved in the implementation project.

We recommend providing project management training and organizational development training to help ensure a successful implementation. The training should be conducted as a part of project planning and will be focused to ensure that team processes are efficient and effective during the life of the project. To start with, we recommend the following session for the UTC Executive Steering Team.

Course	Participants	Brief Description	Class Length
Overview of PM Processes & Training for Project Leaders and Team Members	UTC Executive Steering Team	High-level overview of the project management concepts to be used to managing the Banner Student Implementation project and the training to be provided for team leaders and team members.	2 Hours

Project Management Training: Although the project is already underway, we recommend that the project organization and the project management processes be strengthened and formalized. CPS, through our program management role, will provide support to ensure that effective project management tools and techniques are in place. We also recommend that training in effective project

management strategies and tools be conducted for the project managers and project schedulers as soon as possible. In addition, we recommend a one-day overview and training in Microsoft Project Management software and the schedule tracking and update processes for the project schedulers. Both of these training sessions could be done in conjunction with the other UT campus project managers and project schedulers.

Course	Participants	Brief Description	Class Length
Overview of PM Processes, Tools, and Techniques	Project Managers for each UT Campus involved in the Banner Student System Implementation Project Schedulers for each UT Campus	<p>Overview of the project management concepts, tools, and techniques to be used in managing the Banner Student Implementation project.</p> <p>This training would include the following topics:</p> <ul style="list-style-type: none"> • Project management processes • Introduction of the project definition document • Communication planning • Change management • Issue management • Risk management • Managing and tracking project tasks with project schedules 	1 Day
Microsoft Project Software & Project Tracking Overview	Project Schedulers for each UT Campus	Overview of the use of Microsoft Project to track task activity and generate reports.	1 Day

Organizational Development Training: Most problems on projects are not the result of technology issues. Instead, most problems involve people and working relationships. The nature of this type of project pulls individuals out of their normal reporting structure and requires them to work on teams of people across functions. The project also requires team leaders to effectively manage team members who do not officially report to them.

The team training recommendation includes a number of fast-paced topics such as team meeting skills, team leader skills, group decision making, and other group process topics. UTC earned strong teamwork scores during our assessment indicating a strong, collegial environment. However, with a project of this size and nature, specific teamwork and process skills are necessary.

We recommend that the following organizational development classes be held as early in the schedule as practical.

Course	Participants	Brief Description	Class Length
Effective Project Meeting Management	Team Leaders All Team Members	Covers the critical skills, tools, and techniques to run effective and efficient project meetings. Includes a high-level overview of the project management processes to be used to manage the implementation project. Class size is up to 25 people per ½-day class.	½ day
Teams & Teamwork	Team Leaders All Team Members	Overview of the concept of teams and teamwork and their importance on projects. Class size is up to 25 people per ½-day class.	½ day
Human Relations Skills for Team Leaders	Team Leaders	Focuses on critical teamwork skills including identification and effective use of leadership behavioral styles, listening and communication skills, giving praise, and giving and receiving criticism. Team leaders attend each of the four ½-day sessions as a leadership team.	Four ½ day sessions

Critical Issues

As part of the data collection process, CPS facilitated a focus group meeting called a Critical Issues Session. The Critical Issues Session was held Wednesday, September 24, 2008. Twenty-three key project stakeholders participated in this two and a half hour session.

The purpose of the Critical Issues Session is to collect and document issues which may be critical to the success of the project. The four types of critical issues generated were: (1) major tasks that would have to be carried out for the project to be successful, (2) potential problems (project risks) that might occur, (3) questions that needed to be answered, and (4) assumptions about the project that need to be documented and validated.

During the session the UTC stakeholders generated 132 critical issues, broken down by categories as follows:

Type of Critical Issue	Number
Major tasks that will have to be carried out	49
Potential problems and project concerns	38
Questions that must be answered	26
Assumptions that must be documented and validated	19

Based on information collected from the Critical Issues Session, CPS developed a preliminary disposition for each issue identified. The outcome of the sessions and the preliminary dispositions for each issue can be found in a table attached as *Appendix E* to this report.

Risk Analysis

As part of the data collection process, CPS facilitated a focus group session called a Risk Analysis Session. The Risk Analysis Session was held Thursday, September 25, 2008 with 19 key UTC personnel participating.

During the Risk Analysis Session, participants examined the 38 potential problems (project risks) generated from the Critical Issues Session. Each risk was rated as to the likelihood the problem would occur and the severity of the consequences if the problem did occur.

Probability Rating Scale - The probability rating was the participant's best estimate of whether the risk or potential problem will occur.

1	2	3
Low Probability	Moderate Probability	High Probability
There is a low probability that this will happen. The likelihood is less than 25%.	There is a moderate probability that this will occur. Between 25% and 50% chance of this happening	There is an above average probability that this will happen. The likelihood is 50% or greater.

Seriousness Rating Scale - Independent of the probability rating, the seriousness rating was the participant's best estimate of the seriousness the risk or potential problem will have on the project should it occur.

1	2	3
Low Seriousness	Moderately Serious	Very Serious
If this occurred, it would present a problem to us, but it is something we could likely overcome	If this occurred, it would present problems that would require lots of extra effort, time or money.	If this occurred, it would seriously jeopardize the success of the project.

By analyzing the two ratings, the various project risks were catalogued into four risk categories as shown below:

Category	Description	Count
Critical Risks	Most Probable, Most Serious	10
Likely Risks	Higher Probability, Lower Seriousness	10
Latent Risks	Lower Probability, Higher Seriousness	13
Secondary Concerns	Lower Probability, Lower Seriousness	5

Part 1 of *Appendix F* displays a list of the 38 project risks, broken down into “critical risks,” “likely risks,” “latent risks,” and “secondary concerns.” The resulting risk mitigation plan is presented in Part 2 of *Appendix F* to this report.

Next Steps

On the basis of this Readiness Assessment report, we list below the immediate next steps that should be carried out. These steps can be carried out simultaneously.

1. Approve and then begin implementing the recommendations from this report.
2. Immediately communicate the results of this Readiness Assessment to UTC Banner Student System Implementation Project stakeholders.
3. Convey in the widest possible way that the executives at UTC approve this project, consider it strategically important to the university and will allocate appropriate university resources for it.
4. As project managers for the project have already been appointed, convey their appointment to all project stakeholders.
5. Have the project managers identify and appoint a project communications and project scheduler to assist them.
6. Have the project managers establish a project organization structure and make sure that each the role of each team and committee is conveyed to those involved and the project stakeholders.
7. Have the project managers, working with the CPS program manager and the SGHE project manager, establish preliminary scope and timelines for the project and convey them to the project stakeholders.
8. Have the project managers schedule Organizational Development and Project Management workshops for the project team leaders and members.
9. Have the project managers establish and begin to execute a project communications plan like the proposed project communication plan, including the development of a project website.
10. Have the project managers identify, establish and begin to execute a project change management plans.
11. Have the project manager, the project teams, the CPS Program Manager and the SunGard Higher Education Project Manager begin identifying all project tasks and develop a detailed dependency driven project plan which can be used to schedule track and control project activities.

Appendix A: Assessment Participation Summary

Part I: Overview Briefing

	Total
Total Technical Staff Participants:	4
Total Administrative Staff Participants:	15
Totals	19

Part II: In-person Interviews

	Invited Stakeholders	No. of Interviewed
Total Technical Staff Participants:	05	05
Total Administrative Staff Participants:	32	32
Totals	37	37

Part III: Online Survey Participation

	Not Interviewed
Total Technical Staff Participants:	6
Total Academic Participants:	10
Total Administrative Staff Participants:	135
Totals	151

Part IV: Critical Issues and Risk Analysis Sessions Participation

	Critical Issues	Risk Analysis	Total
Total Technical Staff Participants:	4	4	08
Total Administrative Staff Participants:	19	15	34
Totals	23	19	42

Appendix B: Readiness Factor Descriptions

Group 1: Technical Readiness

Factor #1: IT Skill Sets. The extent to which the IT staff has the technical skill sets needed to implement an ERP system.

Factor #2: IT Staffing Level. The extent to which there is adequate staffing in the IT organization to handle both the ERP implementation as well as the current support obligations.

Factor #3: IT Experience. The experience level of the technical personnel at the institution that will be assigned to this project.

Group 2: Functional Readiness

Factor #4: Functional Staffing Level. The extent to which there is adequate staffing in the various functional departments required for the ERP implementation.

Factor #5: Functional Experience. The experience level of the functional departments that will be involved in this project.

Group 3: Project Readiness

Factor #6: Comparable Project Experience. The extent to which the institution has experience successfully managing projects of the same or greater complexity and scope as this project.

Factor #7: Project Management Sophistication. The extent to which the institution has used professional project management principles and tools in the planning, scheduling, and controlling of projects.

Factor #8: ERP Software Familiarity. The extent to which the institution has any functional, academic, or technical employees on campus who are familiar with this ERP software and who have used it before.

Group 4: Cultural Readiness

Factor #9: Teamwork. The degree to which the various departments of the institution have worked together well to accomplish common goals, help each other out, and have established good relationships with each other and the administrative offices.

Factor #10: Team Process Sophistication. The degree to which committees and teams understand and follow known group processes for conducting effective meetings, solving problems as a group, making decisions and reaching consensus, and dealing with conflict effectively.

Factor #11: Leadership Support. The degree to which leadership at the executive levels of the institution are aligned and will support the project, including pursuing the resources needed to carry out the project.

Factor #12: Team Leadership. The degree of leadership capabilities of key project personnel, as well as the degree to which key leaders on this project are highly regarded throughout the institution.

Factor #13: Attitudes toward the ERP Project. The degree of positive or negative reactions to the ERP project as well as to the specific ERP software that will be implemented.

Group 5: Resource and Effort Awareness

Factor #14: Budget Awareness. The extent to which the institution has a good grasp of the budget that would be required to carry out a project of this sort.

Factor #15: Staffing Strategy Awareness. The understanding of the release time needed for various functional and technical staff to work on the project, and the willingness of management to provide release time and project staffing.

Factor #16: Effort Awareness. The extent to which stakeholders across the university understand what an ERP is, how complex it is, how long it will take, and how much effort it will involve.

Appendix C: Project Roles & Responsibilities

Role	Individuals	Major Responsibilities
UT System Project Sponsor	Jesse Poore	<ul style="list-style-type: none"> • Serves as strategic leader of the project responsible for the success of the system-wide UT Banner Student System Implementation Project. • Facilitates decision-making and issues resolution, as needed, with regard to policy, process, business practices, and UT system culture. • Leads the UT System Steering Committee.
UT System Project Manager	Joel Reeves	<ul style="list-style-type: none"> • Serves as tactical project leader responsible for successful completion of all major tasks and deliverables for the system-wide UT Banner Student System Implementation Project. • Reports to the UT Program Sponsor. • Works with the UT System Steering Committee and the institutional steering committees and project managers on each campus to provide system support, collaboration and cooperation.
CPS Program Manager	Eileen Howell	<ul style="list-style-type: none"> • Provides professional program management support needed to ensure a successful project. • Provides monthly system-wide dashboard reporting on the project status. • Reports to the UT System Project Manager. • Responsible for supporting the individual campus project managers in reporting the status of the project on their campus to the campus executive steering committee, the UT Program Manager and the UT Program Sponsor on a regular basis. • Responsible for ensuring that project management processes and tools are used effectively and that scheduling, tracking and controlling processes occur at each campus. • Collaborate with the SGHE Project Manager the UTC Project Managers and the Team Leads to develop detailed dependency driven project schedules - including risk mitigation, configuration management and communication plans, schedule and track activities, and resolve critical issues impacting the project.

Role	Individuals	Major Responsibilities
SunGard Higher Education Project Manager	Judy Muse	<ul style="list-style-type: none"> • Provides professional project management services to plan and manage the delivery of services according to the implementation methodology utilized by SGHE. • Act as a liaison between SGHE and the UT Program Manager, managing and supervising SGHE resources, elevating critical service and software issues, facilitating communications to resolve service and software product issues. • Report to the UT Program Manager. • Collaborate with the CPS Program Manager, the UTC Project Managers, and the Team Leads to develop detailed dependency driven project plans - including risk mitigation, configuration management and communication plans, schedule and track activities, and resolve critical issues impacting the project. • Work with the CPS Program Manager to ensure that all SGHE professional services are scheduled and tracked.
UTC Project Sponsors	Richard Brown, VC Finance & Operations, Phil Oldham, Provost	<ul style="list-style-type: none"> • Serve as chairs of the UTC Executive Steering Committee and are the main point of contact between the Executive Steering Committee, the UTC Project Managers and subsequently, the UTC Implementation Team. • Facilitate decision-making and issues resolution, as needed, with regard to policy, process, business practices, and institutional culture. • Serve on the UT System Steering Committee.

Role	Individuals	Major Responsibilities
UTC Executive Steering Committee	Richard Brown, Phil Oldham, John Delaney, Monty Wilson, Roger Brown, Chuck Cantrell, Faculty Member (Gail Meyers or Gretchen Potts), Student Member	<ul style="list-style-type: none"> • Responsible for the success of the UTC project. • Holds teams and team members of the project on the UTC campus accountable for project activities. • Meets at least once each month and be chaired by the UTC Project Sponsor. • Provides overall direction and leadership for the project, approves changes to scope, timeline or budget, resolves major policy or business practice issues (as needed), and monitors project progress and assures that risks and issues are resolved. • Support project communication and institutional culture change as well as promote buy-in on the part of the university community.
UTC Project Managers	Debbie Parker, Clint Smullen	<ul style="list-style-type: none"> • Serve as the tactical project leaders responsible for successful completion of all major tasks and deliverables. • Report to the UTC Executive Steering Committee and chair the UTC Implementation Team. • Work with the UT Program Manager to coordinate system-wide activities. • Work with the SGHE Project Manager to schedule SGHE professional services for the UTC Student System Banner Implementation Project. • Work with the CPS Program Manager to create and document a comprehensive UTC project plan and monitor, track, and control the plan as the project progresses. • Responsible for other components of the project including, but not limited to, creating and maintaining a project communications plan, a change management plan, an issue management plan, and a risk management plan.

Role	Individuals	Major Responsibilities
UTC Project Support	TBD	<ul style="list-style-type: none"> • Will consist of one or more persons assigned to assist the UTC project managers in project administrative duties. • Report to the UTC PMs. • Assist with scheduling of project people, places, and events as assigned. • Assist with preparing project communications as assigned. • Implement other project duties as assigned by the UTC PMs. • Attend all UTC ESC, UTC Implementation Team and Faculty Advisory Committee meetings.
UTC Faculty Advisory Committee	Arts & Science (TBA) Business (TBA) Graduate School (TBA) Engineering & Computer Science (TBA) Health, Education & Professional Studies (TBA) Continuing Education (TBA)	<ul style="list-style-type: none"> • Provide input as needed to the UTC Banner Student System Project Implementation Team and the Functional and Technical Teams. • Have a representative serve on the UTC Banner Student System Implementation Team. • Provide advice and guidance to the project from an academic prospective and ensure that the needs of the faculty are represented in the new administrative software system. • Meets at least once each academic term to review project status and activities and will respond, react, and comment on project direction, project questions, and project issues as they relate to faculty use of the new software. The meeting will be chaired by the UTC PMs.

Role	Individuals	Major Responsibilities
UTC Implementation Team	Yancy Freeman (Admissions), Linda Orth (Records & Registration), Rexann Bumpus (Financial Aid), Vanasia Parks (Accounts Receivable), Richard Gambrell (IT), Beth Dodd (Continuing Education), Gail Meyers or Gretchen Potts, (Faculty member)	<ul style="list-style-type: none"> • Responsible for successfully developing and implementing the Banner Student System software and related products that will form a new, integrated system at the university. • Meets at least once every two weeks and is chaired by the UTC PMs. • Closely monitor performance against the project plan, communicate regularly with all stakeholders, and work together to make project decisions by consensus. • Members will lead a functional or technical implementation team and will be responsible for the oversight and completion of all tasks and deliverables assigned to that team.
Functional Teams	<ul style="list-style-type: none"> ▪ Financial Aid ▪ Records & Registration ▪ Admissions ▪ Accounts Receivable ▪ Banner IT Support ▪ Data Standards and Reporting ▪ Change Management ▪ Communications ▪ Integration Management ▪ Banner Security ▪ CAPP (Degree Audit) ▪ End-user Training 	<ul style="list-style-type: none"> • Learn the software and tools, to actively participate in decision-making, and to carry out the work of its assigned portion of the project plan. • Led by team leaders. • Team leaders serve on the UTC Implementation Team and report the activities of the team to the UTC Implementation Team and coordinate the activities of the team with other teams through the UTC Implementation Team. • Meet regularly (weekly) and when called by the team leader. • Collaborate and coordinate their activities with other teams to ensure project success. • Represent the perspectives of their individual departments while working toward the goal of achieving what's best for the university as a whole. • Help communicate project progress and issues to their constituent organizations.
Financial Aid	Rexann Bumpus, Director of Financial Aid	<ul style="list-style-type: none"> • Perform the training, configuration, testing, migration and testing activities relevant to the Financial Aid office.

Role	Individuals	Major Responsibilities
Records and Registration	Linda Orth, Registrar	<ul style="list-style-type: none"> Perform the training, configuration, testing, migration and testing activities relevant to the Registrar’s office, including the degree audit function.
Admissions	Yancy Freeman, Director of Admissions	<ul style="list-style-type: none"> Perform the training, configuration, testing, migration and testing activities relevant to the Admissions office.
Accounts Receivable	Vanasia Parks, Associate Vice Chancellor for Finance	<ul style="list-style-type: none"> Perform the training, configuration, testing, migration and testing activities relevant to the Bursar’s office.
Banner IT Support	Richard Gambrell, IT Coordinator	<ul style="list-style-type: none"> Provide technical support for the training, configuration, testing, migration, and testing activities relevant to other project teams.
Data Standards and Reporting	TBD	<ul style="list-style-type: none"> Develop data standards which will be reviewed and adopted by the UTC Implementation Team. Develop reporting standards to be reviewed and adopted by the UTC Implementation Team.
Change Management	TBD	<ul style="list-style-type: none"> Develop change management plans for the UTC Banner Implementation Project. The change management plans will be a process by which changes to the project plan, the Banner Student System software and the legacy software will be proposed, evaluated and approved. Submit plans to the UTC Implementation Team for approval.
Communications	Chuck Cantrell	<ul style="list-style-type: none"> Develop a communications plan for the UTC Banner Implementation Project. Submit plan to the UTC Implementation Team for approval.
Integration Management	Bill Johnson	<ul style="list-style-type: none"> Identify integration points between the Banner Student System software and other systems at UTC and develop integration plans for each one.
Banner Security	Richard Gambrell	<ul style="list-style-type: none"> A sub-team of the Banner IT Support team. Responsible for the management of Banner security issues.
CAPP (Degree Audit)	Linda Orth	<ul style="list-style-type: none"> A sub-team of the Records and Registration Team Responsible for the management of the CAPP (Degree Audit) function of the project.

Role	Individuals	Major Responsibilities
End User Training	Karen Adsit	<ul style="list-style-type: none"> Identify opportunities for End User Training for the Banner Student System software and other systems at UTC and develop training plans for each one. End Users may include but are not limited to faculty, students, executives, and staff.

Appendix D: Preliminary Communication Plan

Communication	Audience	Purpose	Author	Communication Vehicle/Location	Frequency
UT System Level Status Report	UT System Project Sponsor: Jesse Poore UT System Project Manager: Joel Reeves UT System Project Steering Committee: UTC Sponsor, UTK Sponsor, UTHSC Sponsor	<ul style="list-style-type: none"> To provide a system-level project status including progress, upcoming activities and critical issues 	<ul style="list-style-type: none"> UT System Project Manager CPS Program Manager SGHE Project Manager 	<ul style="list-style-type: none"> Brief written narrative description of project team status and project issues Monthly system dashboard with key metrics for each campus 	Monthly

Communication	Audience	Purpose	Author	Communication Vehicle/Location	Frequency
UT System Project Executive Steering Committee Meetings (as needed)	<p>UT System Project Sponsor: Jesse Poore</p> <p>UT System Project Manager: Joel Reeves</p> <p>UT System Project Steering Committee: UTC Sponsor, UTK Sponsor, UTHSC Sponsor</p>	<ul style="list-style-type: none"> To provide a forum for system-wide communications and discussions between the campuses 	<ul style="list-style-type: none"> UT System Project Manager CPS Program Manager SGHE Project Manager 	<ul style="list-style-type: none"> Conference call 	<p>Quarterly or as needed</p>
Monthly UTC Sponsor & Steering Committee Status Report	<p>UTC Executive Steering Committee</p>	<ul style="list-style-type: none"> To keep the UTC Steering Executive Committee and other executives informed of the project's progress, upcoming activities, and critical issues 	<ul style="list-style-type: none"> UTC Project Managers With support from the CPS Program Manager and SGHE Project Manager 	<ul style="list-style-type: none"> Brief written narrative description of project team status and project issues The monthly report and the dashboard metrics posted on the Project Web Site¹ 	<p>Monthly beginning Dec. 2008</p> <p>(Dashboard metrics begin February 2009)</p>

¹ See outline for Project Website following the Communication Plan.

Communication	Audience	Purpose	Author	Communication Vehicle/Location	Frequency
Monthly UTC Steering Committee Meeting	UTC Steering Committee	<ul style="list-style-type: none"> To keep the UTC Steering Committee and other executives informed of the project's progress, upcoming activities, and critical issues. To resolve critical issues as necessary. 	<ul style="list-style-type: none"> UTC Project Managers With support from the CPS Program Manager and SGHE Project Manager 	<ul style="list-style-type: none"> One hour briefing to the UTC Steering Committee by the project sponsors and the project manager Dashboard presentation of status of key project metrics 	Monthly beginning Dec. 2008
UTC Steering Committee Minutes	All project team members	Inform project team leaders and project team members of key decisions and actions taken by the UTC Steering Committee	<ul style="list-style-type: none"> UTC Project Managers 	<ul style="list-style-type: none"> Posting on Project Web Site 	Monthly, beginning Dec. 2008
Weekly UTC Project Schedule Updates	All project team members	<ul style="list-style-type: none"> Monitor and report progress on scheduled tasks. Troubleshoot problem areas and solve or escalate issues as appropriate. 	<ul style="list-style-type: none"> UTC Project Scheduler UTC Project Managers 	<ul style="list-style-type: none"> Flash report of task status for each project team Email distribution to project teams Posting on Project Web Site 	Weekly
UTC Implementation Team Meeting	All functional team leads Project Managers Banner lead (who is this?)	<ul style="list-style-type: none"> Keep all major functions aware of the status of the project and to provide a forum for issue identification and resolution. 	<ul style="list-style-type: none"> UTC Project Managers 	<ul style="list-style-type: none"> Meeting 	Weekly

Communication	Audience	Purpose	Author	Communication Vehicle/Location	Frequency
UTC Implementation Team Minutes	All project team members Project Sponsor	<ul style="list-style-type: none"> Provide a record of decisions made and actions taken by the implementation team. 	<ul style="list-style-type: none"> UTC Project Managers or UTC 	<ul style="list-style-type: none"> Posting on Project Web Site 	Weekly
UTC Project Team Calendar	All project team members	<ul style="list-style-type: none"> Keep project participants aware of key project dates to help them manage their schedules. Maintain training calendars. 	<ul style="list-style-type: none"> UTC Project Managers 	<ul style="list-style-type: none"> Post in project document library and on Project Web Site 	Updated as needed
Academic Briefings	Faculty	<ul style="list-style-type: none"> Provide periodic progress reports on project status. Seek input regarding concerns or questions about the project. Alert academic leaders about upcoming milestone events in the project. 	<ul style="list-style-type: none"> UTC Project Sponsor UTC Project Managers Faculty Advisory Team 	<ul style="list-style-type: none"> Oral presentation 	Quarterly or more often if needed
General Project Information	All UT Chattanooga staff including faculty	<ul style="list-style-type: none"> Provide general project information to the entire campus 	<ul style="list-style-type: none"> UTC Project Managers Project Communications Team 	Project Web Site	Updated weekly

Communication	Audience	Purpose	Author	Communication Vehicle/Location	Frequency
Issues Log	All project team members and leaders	<ul style="list-style-type: none"> Provide information regarding current project issues, include who's responsible for settling the issue, and the timeframe specified to resolve the issue 	<ul style="list-style-type: none"> UTC Project Managers 	<ul style="list-style-type: none"> Electronic log maintained on the Project Web Site 	Updated weekly
Q & A	All UT Chattanooga students, faculty and staff	<ul style="list-style-type: none"> Provide a vehicle for the university to ask questions and review answers about the project implementation 	<ul style="list-style-type: none"> Project Communications Team 	<ul style="list-style-type: none"> Project Web Site 	Updated weekly
e-Newsletter	All UT Chattanooga faculty and staff	<ul style="list-style-type: none"> Inform the university community about project status, upcoming milestone dates, and/or other information related to the project and the new software 	<ul style="list-style-type: none"> UTC Project Managers Project Communications Team 	<ul style="list-style-type: none"> Campus-wide email with links to the Project Web Site 	Monthly or more frequently as needed
Special Announcements and Meetings	As appropriate for the situation	<ul style="list-style-type: none"> As appropriate for the situation Key milestones 	<ul style="list-style-type: none"> As appropriate for the situation 	<ul style="list-style-type: none"> As appropriate for the situation 	As needed

Outline of Enhancements to the Current Project Website	
Responsibility	Project Manager: Debbie Parker & Clint Smullen Webmaster: TBD (design and update)
Launch date	Nov. 15, 2008 (minimum content) Jan. 1, 2009 (all content)
Minimum Site Contents	Letter from the President and overview of the project scope <ul style="list-style-type: none"> ○ What we are doing ○ Why we are doing it ○ When we will start and finish ○ How we're going to go about doing it ○ Who's going to be involved ○ How much effort this will take
	Report Repository <ul style="list-style-type: none"> ○ Readiness Assessment Report ○ Monthly executive status reports ○ Critical issues report ○ Periodic audit reports
	Project Plan <ul style="list-style-type: none"> ○ Project Org Chart and Project Team Charts ○ Scope document ○ Project schedule and project timeline ○ Communication Plan ○ Risk Analysis ○ Critical Issues ○ Questions & Answers ○ The project organization ○ Project roles and responsibilities table
	Project tracking documents <ul style="list-style-type: none"> ○ Weekly schedule tracking dashboard ○ Issues log ○ Meeting minutes of all project teams
	Overview and features of the new CM Software and other selected auxiliary software

Appendix E: Example Change Management Plan

Change Management Processes

A change management process defines the steps used to identify and make changes to a project including its scope. With the implementation of the Banner Student System implementation project, UTC should implement formal processes, procedures, decision-making guidelines, and roles and responsibilities for effectively managing change during the project. In addition, any change management processes created for the project should be integrated with existing institutional or information technology change management processes.

Specific areas in which change will occur and require management include:

- Changes to the scope of the implementation project
- Changes to baseline Banner software (if any)
- Changes to the legacy systems

Other areas will be identified throughout the project.

The elements included in a change management process include the scope of the change management plan, change control procedures, roles and responsibilities for managing change, a change request form, and a change request log. We have included a preliminary Change Management Plan for this project on the following pages.

BANNER STUDENT SYSTEM IMPLEMENTATION PROJECT SCOPE CHANGE MANAGEMENT PLAN

I. Purpose

The purpose of the Scope Change Management Plan is to:

1. Manage and control scope change during the UTC Banner Student System Implementation Project.
2. Ensure that the project is implemented on time and within the approved budget and scope.
3. Evaluate and prioritize all changes to the project implementation plan at the institutional level.
4. Provide a process for implementing change required by the system.

II. Goals

The goals of the Scope Change Management Plan are to:

1. Manage the handling of gaps between UTC processes and procedures and the baseline Banner Student System.
2. Align efforts and university resources to meet institutional needs.
3. Help limit modifications to the baseline Banner system.
4. Allocate spending on 3rd party auxiliary systems.
5. Encourage process and policy change before system modifications.
6. Adhere to contractual obligations for change orders with SGHE.
7. Encourage communication of project changes as appropriate.

III. Scope of Change Requests

The following change requests will be addressed by the Scope and Change Management Plan:

1. Modifications to Banner or 3rd party software.
2. Acquisition of 3rd party software.
3. Changes to contracted professional services (e.g. additional consulting visits)
4. Scope (includes modules, data conversion and migration, interfaces, etc.).
5. Milestone dates, including interim milestones and major go-lives.
6. Additional project spending (hardware, training, conferences, etc).
7. Functionality required by policy changes at the university and/or external mandates.

The following change requests will NOT be addressed by the Scope and Change Management Plan:

1. Policy / process changes. May occur as a result of a change request.
2. Requests for modifications to current systems not to be replaced by Banner. Changes may occur as a result of integration, migration, and conversion decisions.
3. Re-allocation of contracted professional services hours. May occur as a result of a change request, but specific requests to re-allocate service hours will not be accepted without justification based on the change.
4. Changes to existing legacy systems.

IV. Change Request Process

1. Team Lead initiates Change Request by completing the Change Request Information section on the Change Request Form and submitting to UTC Project Managers.
2. Project Managers review with Team Lead; identifies needed information and next steps to complete; enters into Change Request Log. Project managers communicate and coordinate (as needed) with UTC IT, SGHE and/or other vendors to gather needed information.
3. The UTC Project Managers prepare and submit Change Request Impact Analysis section and submit to the Change Management Team.
4. UTC Implementation Team receives weekly updates of pending change requests and provides input as needed / requested.
5. Change Management Team approves/denies change request, provides Final Recommendation on the Change Request Form and advises UTC project Managers.
6. If appropriate, forward to UT System for review and disposition (See Section VI Notes for details).
7. UTC project managers communicate the decision to:
 - a. The Team Lead making the request of the Change Review Team decision.
 - b. The UTC Implementation Team.
 - c. The UTS Project Manager, CPS Program manager, SGHE Project Manager, and appropriate interested parties.
 - d. Makes appropriate entries into the Change Management Request Log.
8. Modify Implementation plan and documentation as needed to incorporate approved change.

V. Roles & Responsibilities

Team Leads	Originate change requests based on implementation needs using approved forms and communication processes. Requests from team members should be discussed with the appropriate Team Lead prior to submitting an official change request.
UTC Project Managers	Facilitate the completion of change requests and information gathering. Work directly with SGHE or other vendors (e.g. services or software estimate) and with appropriate UTC IT, administrative and academic offices (e.g. workarounds, changes to policies and procedures, bolt-ons) to collect information needed to complete the request.
UTC Implementation Team	Receive updates of completed change requests pending approval. Provide input as needed / requested.
Change Review Team	Evaluate, allow or disallow change requests based on the submitted information. Call upon the UTC Project Managers and Team Leads to provide additional information as needed to complete review. Escalate resolution to UTC Executive Steering Committee as needed.

VI. Notes

- Requests resulting in changes to the SGHE contract require approval from the System Project Sponsor.
- No changes to the contract should be acted upon or conveyed as an approved change until we have verified that we are in compliance with the original contract.
- Changes to software, budget, or contracted hours (e.g. a re-allocation of planned hours between professional services) will be reviewed, managed and approved by the UT Project Manager and UTC Project Managers.
- First priority will be given to change requests for mission-critical functions and/or services. Other criteria for evaluating change requests will be approved by the Change Review Team.
- Project Documents: (all located on project SharePoint site)
 - Change Request Form
 - Change Request Log
 - Scope Change Management Plan

I. Change Management Plan / Signatures

The signatures below indicate an understanding of the purpose and content of this document by those signing it. By signing this document, they agree to this as the formal Change Management Plan.

Name	Role	Signature	Date (MM/DD/YYYY)
	UTS Project Sponsor		
	UTS Project Manager		
	CPS Program Manager		
	SGHE Project Manager		
	UTC Executive Sponsor		
	UTC Project Manager		

II. Document History

	Version Date	Revised By	Description(s) of Change
0.1			
0.2			
1.0			

THE UNIVERSITY of TENNESSEE **UT**
CHATTANOOGA

**BANNER STUDENT SYSTEM IMPLEMENTATION PROJECT
CHANGE REQUEST FORM**

Prepared by:	
Date prepared:	
Resolution date required:	

I. Change Request Information	
Description of request:	
Justification for change:	
Initial recommendation to satisfy change:	
Estimated impact to the project <u>budget</u>:	
Estimated impact to the project <u>schedule</u>:	
Estimated impact to the project <u>resources</u>:	
Impacted stakeholders and/or systems:	
Impact of <u>not</u> implementing proposed change:	
Possible alternatives:	
Supporting documentation:	

II. Change Request Review

Initial Review Date:

Change Request #:

Information and/or Action Needed
Responsible

III. Change Request Impact Analysis

Solution to Proposed Change:
Impact on Cost:
Impact on Schedule:
Impact on Resources:
**Impact on
Stakeholders/Systems:**
**Risk associated with
implementing the change:**
**Risk associated with NOT
implementing the change:**
**Alternatives to the Proposed
Change:**

IV. Final Recommendation

Final Review Results:
Final Review Date:
Recommendation to proceed:

V. Change Request Form / Signatures

The signatures below indicate an understanding of the purpose and content of this document by those signing it. By signing this document, they agree to this as the formal Project Change Request Form for the request outlined above.

Name	Role	Signature	Date (MM/DD/YYYY)

V. Change Request Form / Signatures

The signatures below indicate an understanding of the purpose and content of this document by those signing it. By signing this document, they agree to this as the formal Project Change Request Form for the request outlined above.

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Appendix F: Disposition of Critical Issues

Major Tasks		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team
1	Decide whether office is staffed appropriately for the project	<ul style="list-style-type: none"> See functional staffing recommendations in this report and take action to address backfill and project assignments.
2	Data conversion	<ul style="list-style-type: none"> Project planning processes will include creating detailed plans for migrating data from the legacy system. These plans will include: assuring that data descriptions are current; designing quality assurance tests to identify data exceptions in all systems that will be converted; creating a Quality Plan that provides metrics against which the conversion results can be measured; and including slack time in conversion tasks to account for data cleanup and testing.
3	Meeting the timeline	<ul style="list-style-type: none"> A detailed project schedule will be developed to identify the tasks and the critical path to meet the timeline. The schedule will be monitored weekly for early warnings if the timeline is in jeopardy.
4	Analyze business processes	<ul style="list-style-type: none"> SGHE is conducting a Business Process Analysis (BPA) to help analyze and identify gaps.
5	Select software for non-credit	<ul style="list-style-type: none"> Use results of BPA to identify software requirements.
6	Determine post-implementation staffing levels	<ul style="list-style-type: none"> Use normative data to establish a baseline from similar schools and adjust based on UTC unique processes.
7	Determine the need for policy changes	<ul style="list-style-type: none"> CPS is recommending a change management process for identifying and making recommendations to address issues such as gaps between current policies and procedures and the software.
8	Basic Banner Student System navigation training for staff	<ul style="list-style-type: none"> Banner Student System training is included in the overall project schedule developed by SGHE.
9	Learn to configure and test the software	<ul style="list-style-type: none"> Banner Student System training is included in the overall project schedule developed by SGHE. Tasks to ensure adequate testing will be included in the project schedule.

Major Tasks		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team
10	Get commitment to change	<ul style="list-style-type: none"> CPS is recommending a communications plan as part of this Readiness Assessment to increase understanding and commitment to the project.
11	Hardware architecture for servers, storage, redundancy, recovery for Continuity of Operations	<ul style="list-style-type: none"> SGHE has provided hardware requirements, and it should be installed prior to the implementation of the project. Tasks will be included in the project schedule to ensure business continuity is addressed.
12	Define the roles of each key participant	<ul style="list-style-type: none"> In this report, CPS has developed a proposed organization chart and a roles and responsibility table to accompany it. The CPS Program Manager will work with the project managers to confirm and finalize this organization.
13	Communicate the benefits to gain buy-in	<ul style="list-style-type: none"> CPS is recommending a communications plan as part of this Readiness Assessment to increase understanding and commitment to the project.
14	Purchase equipment	<ul style="list-style-type: none"> This is a task that will be included in the detailed project schedule.
15	Define and develop reports	<ul style="list-style-type: none"> CPS is recommending a data standards and reporting team as part of the project organization to address reporting needs and solutions.
16	Design external systems integration e.g. room scheduling, blackboard, parking, housing, boxcar, EMS	<ul style="list-style-type: none"> Use the results of the BPA to identify integration challenges. Collaborate with other users of Banner Student System and external software to learn their best practices. Detailed tasks for integration of appropriate systems will be included in the project schedule.
17	Establish a good leadership team that will listen to both the large and small constituencies	<ul style="list-style-type: none"> This Readiness Assessment includes recommendations for both a Project Organization & Roles and a Communications Plan.
18	Department assessments in areas of staffing, technology, resources,	<ul style="list-style-type: none"> See functional staffing recommendations in this report and take action to address backfill and project assignments. Use normative data provided by CPS to help determine staffing levels.

Major Tasks		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team
19	Understand Banner Student System processes and define the business rules around current monetary holds	<ul style="list-style-type: none"> This task will be included as part of the BPA phase of the project.
20	Create Data Definitions	<ul style="list-style-type: none"> CPS is recommending a data standards and reporting team as part of the project organization to develop consistent data standards and definitions.
21	Write data entry standards	<ul style="list-style-type: none"> CPS is recommending a data standards and reporting team as part of the project organization to develop consistent data standards and definitions.
22	Figure out how to do parallel processing	<ul style="list-style-type: none"> See functional staffing recommendations in this report and take action to address backfill and project assignments. Address this task when developing the detailed project schedule and identify appropriate tasks.
23	Business rules for migrating and archiving legacy data	<ul style="list-style-type: none"> Detail plans for migrating data from the legacy system to the new will be developed on a case-by-case basis. Standards will develop and evolve and will be shared by the functional and technical staff involved in data migration work.
24	Image conversion and implementation	<ul style="list-style-type: none"> UTC has purchased document imaging capabilities as part of the SGHE deliverables. The tasks involved in implementing this portion of the project will be included in the detailed project schedule.
25	Define fee assessment	<ul style="list-style-type: none"> The Accounts Receivable team will address this issue.
26	Celebrate incremental accomplishments!	<ul style="list-style-type: none"> Plans for regular celebrations of success should be included in the project schedule.
27	Determine what to do about the degree audit	<ul style="list-style-type: none"> CPS has recommended a separate sub-team be responsible for the degree audit function.
28	Communicate to students re project	<ul style="list-style-type: none"> CPS is recommending a communications plan as part of this Readiness Assessment to increase understanding and commitment to the project.
29	Identify application data security requirements for roles	<ul style="list-style-type: none"> CPS has recommended a separate sub-team to address application security for the system.

Major Tasks		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team
30	Commit to allocating release time for project participants	<ul style="list-style-type: none"> See functional staffing recommendations in this report and take action to address backfill and project assignments.
31	Let go of territories	<ul style="list-style-type: none"> CPS is recommending a communications plan as part of this Readiness Assessment to increase understanding and commitment to the project. In addition, the BPA will address the integration of data across campus.
32	Schedule meetings, training, what to do when	<ul style="list-style-type: none"> These gatherings will be included in the dependency-driven schedule to be developed.
33	Project teams training: team work, etc.	<ul style="list-style-type: none"> CPS is recommending a number of organizational development opportunities prior to the project planning and execution phases.
34	Define Web Services features, functionality, architecture	<ul style="list-style-type: none"> Tasks to address these issues will be included in the detailed project schedule.
35	Establish priorities re implementation tasks, etc to achieve common understanding	<ul style="list-style-type: none"> Tasks owners will be involved in developing the detailed project schedules. Priorities will be determined via the project organization hierarchy.
36	Figure out how to handle 5 summer mini-sessions and fee assessment in Banner Student System	<ul style="list-style-type: none"> The records and registration team will need to address this and include appropriate tasks in the project schedule.
37	Map current practices and processes to Banner equiv to reduce customization	<ul style="list-style-type: none"> This task will be included as part of the BPA phase of the project.
38	Create project plan including contingencies and dependencies and manager to monitor	<ul style="list-style-type: none"> The CPS Program manager and SGHE Project Manager will assist in developing the project schedule and project plan and methods for monitoring.
39	Project governance to resolve policy issues related to Banner standard features	<ul style="list-style-type: none"> CPS is recommending a project organization and accompanying roles and responsibility descriptions that will provide the project governance. Change management processes will formalize the process of changes to Banner. See Appendix E.

Major Tasks		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team
40	Schedule feedback sessions including all staff involved in project	<ul style="list-style-type: none"> See Appendix D Communications Plan.
41	Create an internal marketing plan to ensure Faculty buy-in to project	<ul style="list-style-type: none"> See Appendix D Communication Plan. The Implementation and the Faculty Advisory Teams will regularly review the plan and provide input.
42	Create a UTC documentation guide for Banner	<ul style="list-style-type: none"> CPS is recommending an End User Training sub team as part of the project organization to develop the end-user documentation and training.
43	Keep good staff!	<ul style="list-style-type: none"> The implementation of effective project communications and the staffing recommendations in this report will help in the retention of good before, during, and after the project.
44	Identify the functional and technical teams for each module and develop integration processes (teamwork)	<ul style="list-style-type: none"> CPS is recommending a project organization and accompanying roles and responsibility descriptions in this report.
45	Hire incremental staff as needed	<ul style="list-style-type: none"> CPS is making project staffing recommendations in this report. Timing for hiring additional staff will be included after the detailed project schedule is drafted.
46	Find the money – plan the budget	<ul style="list-style-type: none"> The availability of funding and resources needs to be communicated to all project stakeholders.
47	Assure that staff assigned to project are emotionally committed and allowed sufficient time	<ul style="list-style-type: none"> CPS is recommending a communications plan as part of this Readiness Assessment to increase understanding and commitment to the project. Use a comprehensive and well-managed project schedule to track assignments and communicate priorities. Institute interventions, e.g. milestone celebrations, to demonstrate progress and success.
48	Train everyone on their new jobs	<ul style="list-style-type: none"> CPS is recommending an End User Training sub team as part of the project organization to address the development of training and documentation for end users.

Major Tasks		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team
49	Communicate project schedule across the campus to manage expectations	<ul style="list-style-type: none"> See Appendix D Communication Plan.

Questions		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team.
1	Are we really ready to implement the system (culturally, organizationally)?	The results of the CPS interviews and online surveys indicate that UTC is well-positioned both culturally and organizationally. CPS has made recommendations in this report that will improve some key areas that will increase the likelihood of success of the project.
2	Will “lower priority” things be allowed to wait?	Setting of priorities will occur at all levels of the project organization, all the way down to individual team members. The answer to this question really depends on the situation.
3	Will we get additional staff?	Leadership has a backfill plan that should be communicated as early as possible.
4	Will state budget reductions affect funding for this project?	Funding sources and amounts need to be communicated to all project stakeholders. The project sponsor will continually monitor the budget situation relative to this project.
5	What is CPS role in this project?	CPS is providing the Readiness Assessment (this document) and Program Management services. The Program Management role works from the system level down to the individual campus level the assure consistency and reinforce good practices in project management. The roles and responsibilities of all key project stakeholders are addressed in this report.
6	Are there any losers in this project?	CPS is recommending a communications plan as part of this Readiness Assessment to increase understanding and commitment to the project. This plan will include means for two-way communications relative to the project and its impact at UTC.
7	Can we forgive old debts or offer amnesty, et al under fiscal policy?	This issue is not currently under the scope of this project. This issue should be addressed by the appropriate function(s).
8	How do we identify external program dependencies?	These types of dependencies should be identified during the BPA.
9	Do we know what the timeline and schedules are?	SGHE has provided a timeline for the project, and it is included in this report.

Questions		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team.
10	Who determines what the priorities are?	Setting of priorities will occur at all levels of the project organization, all the way down to individual team members.
11	How do we deal with roadblocks and pileups?	CPS has included a project organization (governance) structure in this report designed to help manage the project and remove roadblocks as identified.
12	Are we going to standardize across the university system?	Each campus is being implemented individually. Where there are needs for consistency among schools, the System Project Manager and Sponsor will provide guidance.
13	Who's driving the bus?	CPS has included a project organization in this report and roles and responsibilities that outline the leadership of the project.
14	When does the project start?	The project officially started in September 2008. Planning and business process analyses are underway.
15	What is the order of the project?	SGHE has provided a timeline for the project, and it is included in this report.
16	What are we doing with the current data and will it meet Federal regulations when project is complete?	Data migrations tasks will be included in the implementation schedule. Current data will be imported into the new system as appropriate. When the import is complete there will be audits to assure that all data meets all applicable regulations.
17	Are there elements of the project that are System Central across the university system?	Although each campus is being implemented individually, technical consistency and processes will be standardized. Where there are needs for consistency among schools, the System Project Manager and Sponsor will provide guidance. Some training may be done jointly.
18	Will decisions stand?	The Readiness Assessment report provides recommended project governance through a project organization through which decisions will be made. In addition, this report recommends the implementation of effective change management processes.

Questions		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team.
19	What happens after the project is over? On going governance?	While ongoing system governance is not in the scope of this project, most schools do implement ongoing governance processes. As part of the project schedule, we will recommend adding tasks to network with other institutions and SGHE to determine the best process for UTC.
20	How do we get faculty involved?	The project organization includes a faculty advisory team. A goal of theirs will be to ensure faculty engagement.
21	When do we quit producing RAP sheets?	The project organization includes a degree audit sub-team which will be in a position to answer this question. This will be determined during the implementation of the project.
22	Do we do anything else while we're doing this project?	The CPS Readiness Assessment includes staffing recommendations to address the project workload on top of regular workloads.
23	Who is the support team?	CPS is recommending a project organization in this report.
24	Do we have to change the academic calendar? If so, can it be a mandate?	SGHE provided a tentative timeline that we included in this report. The detailed planning of the project will address the academic calendar.
25	Who will own campus-wide decisions, definitions, etc.	The Readiness Assessment report provides recommended project governance through a project organization through which decisions will be made. In addition, this report recommends the implementation of effective change management processes.
26	How do we integrate the needs for credit classes and non-credit classes?	This question will be addressed during the project implementation, the business process analysis, and in training.

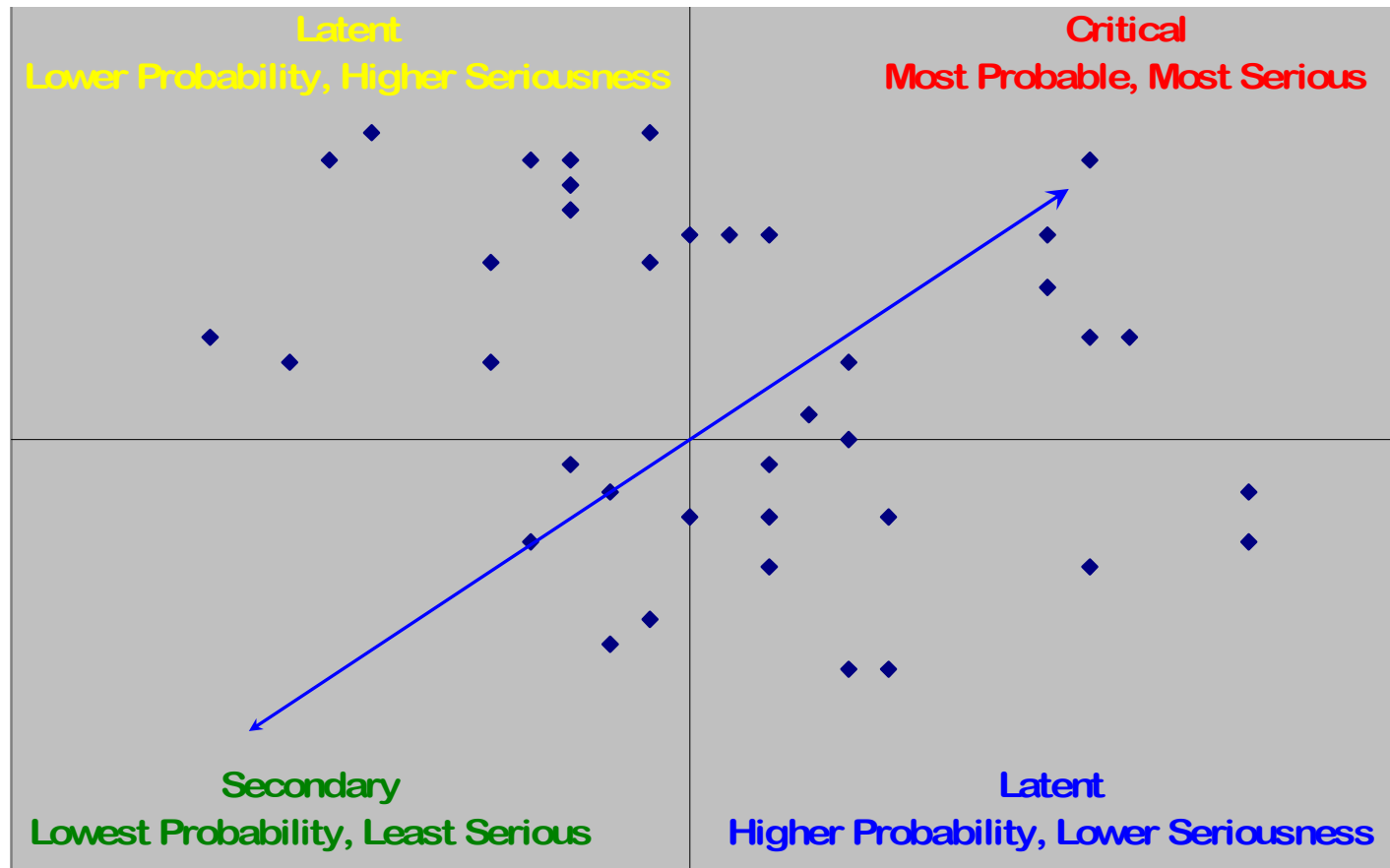
Assumptions		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team.
1	We will have enough people	According to normative data for similar institutions, UTC has sufficient staff across all departments. A staffing strategy recommendation is included in the CPS Readiness Assessment.
2	Faculty will buy-in	The recommended project organization includes a faculty advisory committee that will help provide a means for input and feedback to ensure buy-in by faculty.
3	We will fully implement this system	The historic experience with Banner Student System at UTC has made many people “gun shy” of investing in this project. The Lessons Learned from the prior experience will be taken into account in planning and implementation. The UT System is committed to this project, and improved communications should highlight this commitment.
4	We will be able to quickly recruit talented people	A staffing strategy is included in the CPS Readiness Report and provides alternatives for staffing.
5	No modifications	The functionality of the Banner Student System will be addressed during the business process analysis. The project and change management processes will provide a means of vetting changes.
6	Failure is not an option	Proven project management tools and techniques, communications planning, and change management processes will be employed for this project to increase the likelihood of success.
7	We will have adequate resources and staff to implement the software	Funding and resource information should be communicated. A staffing strategy is included in the CPS Readiness Report and provides alternatives for staffing.
8	We are willing to do things differently	Our interview and survey results indicate that UTC stakeholders recognize the need to change systems. The business process analysis and the professional project management processes will help provide processes to gain involvement and buy-in for the project.
9	We have a hard target date for Go Live	SGHE has provided a tentative timeline for implementation. The detailed project schedule will provide the critical path for reaching the go-live dates.

Assumptions		Disposition – How this issue will be addressed, subject to review by the UTC Implementation Team.
10	Major Tasks will be executed, Questions will be answered, Risks will be averted	The Project Management Team will employ several project management processes and tools to ensure that major tasks will be identified and executed, questions will be answered, and risks will be planned for and mitigated if necessary.
11	Banner is user friendly	This assumption will be validated during the BPA phase of the project.
12	Life will change for all for the better	This assumption will be addressed during the business process analysis.
13	We will have expert consultants	The SGHE Project Manager is responsible for the quality and consistency of services delivered by SGHE trainers and consultants.
14	We will have adequate training	The SGHE Project Manager is responsible for the quality and consistency of services delivered by SGHE trainers and consultants.
15	Priority is quality over schedule	Professional scope change management processes will be implemented to manage project time, cost, and scope.
16	Timeline will be realistic for our campus	The CPS Program Manager and the SGHE Project Manager will help develop a detailed project schedule with the tasks and critical path to meet the scheduled go-live dates.
17	We will let go of the extras so we can focus on the basics	The CPS Program Manager and the SGHE Project Manager will help develop a detailed project schedule with the tasks and critical path to meet the scheduled go-live dates.
18	We will work as a team	The nature of the project will require teamwork across functions. The project implementation team will set the tone for project teamwork.

Appendix G: Risk Analysis Data

Part I: Risk Probability and Seriousness Scores

This chart shows the distribution of risks as evaluated by UT Chattanooga stakeholders during the Risk Analysis session. The ranked and ordered list is detailed on the following pages.



Risk	Probability Score	Seriousness Score	Quadrant
We will experience territorialism.	46	30	Critical
Our current policies and practices will not work in Banner.	46	28	Critical
There will be lack of faculty buy-in.	43	36	Critical
We will have insufficient staff.	42	43	Critical
Ongoing operations will suffer due to project workload.	42	36	Critical
There will be resistance to change.	42	27	Critical
Key staff members lack the bandwidth to satisfy the competing demands of Banner, Strategic Planning, and SACS.	41	40	Critical
We will miss deadlines.	41	38	Critical
Staff members may not fit the new business processes (personality, skills, attitude).	37	29	Critical
There will be normal staff turnover causing project problems.	37	23	Critical
We will experience staff burnout.	36	35	Likely
The project is viewed as an administrative, not an enterprise-wide, undertaking.	36	32	Likely
There will be individual goals inconsistent with project goals.	36	23	Likely
We will lose newly-trained personnel (Banner) after the project.	35	33	Likely
The schedule will take priority over accuracy, completeness, and staff workload considerations.	34	40	Likely
We are missing the necessary skill sets for the project tasks and	34	31	Likely

Risk	Probability Score	Seriousness Score	Quadrant
ongoing work.			
There will be loss of employee enthusiasm and motivation.	34	29	Likely
We will have too many excuses for not completing tasks.	34	27	Likely
Front line users won't get the support they need (training, SGHE, etc).	33	40	Likely
We will engage in analysis paralysis and be unable to make timely decisions.	32	40	Likely
There will be "bad buzz", negativity, lack of buy-in, etc.	32	29	Latent
There will be insufficient planning around business policies and processes.	31	44	Latent
We will have poor decision making	31	39	Latent
Staff effort will not be appropriately recognized.	31	25	Latent
We will not be able to do summer mini-sessions due to software limitations.	30	30	Latent
People will not understand that all software has problems.	30	24	Latent
Insufficient network bandwidth.	29	43	Latent
There will be a lack of strong management support when we have project difficulties.	29	42	Latent
There will be budget shortfalls.	29	41	Latent

Risk	Probability Score	Seriousness Score	Quadrant
Feature distraction vs basic functionality (scope creep).	29	31	Latent
Insufficient IT support and lack of priority for new Student Module.	28	43	Latent
Difficulty integrating current Banner data to work with new Banner Student Module.	28	28	Latent
We will lose data in the transition.	27	39	Latent
We have no contingency plans.	27	35	Secondary
The student online system won't work when necessary.	24	44	Secondary
There will be poor data migration.	23	43	Secondary
Data corruption due to lack of coordination between departments.	22	35	Secondary
We will get bad training from Banner.	20	36	Secondary

Part II: Risk Analysis Disposition Table

The following table lists the Critical and Likely Risks, as identified during the critical issues session and prioritized during a facilitated session with 19 key stakeholders. Based on our experience with student system implementation projects, CPS has provided possible preventive actions, contingent actions, and triggers for each of these risks. We recommend that the group who provided the prioritization be reconvened to review our recommendations and provide their input, and a session will be scheduled and facilitated by the CPS Program Manager and SGHE project manager.

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
1	We will experience territorialism	<ul style="list-style-type: none"> • Teamwork training • Clear communication from leadership directly to staff and faculty, including global priorities and the need for flexibility and cooperation • Participation in the SGHE business process analysis sessions to increase cross-functional understanding • Establish change management processes to address controversial issues 	<ul style="list-style-type: none"> • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints to the project managers • Too many requests for exceptions • Inability of project teams to come to consensus

#	Risk	Preventive Actions	Contingent Actions	Triggers
2	Our current policies and practices will not work in Banner	<ul style="list-style-type: none"> • Use the results of the BPA to identify areas of conflict as early as possible – use this to provide impartial analysis of business practices • Perform a policy and process evaluation in areas of conflict to determine their validity and efficacy • Ensure campus-wide involvement in project teams • Establish change management processes 	<ul style="list-style-type: none"> • Change business practices • Implement manual workaround • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints about the system during BPA and training sessions • Lack of participation in meetings, training, and BPA sessions
3	There will be lack of faculty buy-in	<ul style="list-style-type: none"> • Include faculty representatives in all appropriate teams and committees • Implement project organization with faculty advisory committee • Ensure that communication plan includes specific communication of the value afforded the faculty from the project, identifying benefits and opportunities 	<ul style="list-style-type: none"> • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints from faculty • Lack of participation of faculty on project organization teams

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
4	We will have insufficient staff.	<ul style="list-style-type: none"> • Add staff now and provide training • Identify individuals in each department most likely to be involved in project • Ensure a clear understanding of the roles and responsibilities on the project • Develop a detailed project schedule and resource plan • Review and prioritize competing projects • Communicate priorities to the campus • Freeze or delay new initiatives 	<ul style="list-style-type: none"> • Outsource • Slow the project down • Narrow the scope • Reallocate resources 	<ul style="list-style-type: none"> • Missed delivery dates • Turnover • Negative slack in the schedule • Reduced service levels – complaints • Resources are being pulled back into their functional roles
5	Ongoing operations will suffer due to project workload.	<ul style="list-style-type: none"> • Monitor service thresholds and establish a process to escalate issues • Identify individuals in each department most likely to be involved in project • Ensure a clear understanding of the roles and responsibilities on the project • Consider flex time • Educate department customers on revised business expectations • Communicate priorities to the campus 	<ul style="list-style-type: none"> • Reset customer expectations • Outsource • Slow the project down • Narrow the scope • Reallocate resources 	<ul style="list-style-type: none"> • Complaints from students, faculty, and staff • Inability to meet departmental deadlines and project deadlines • Decreased morale and increased stress

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
6	There will be resistance to change	<ul style="list-style-type: none"> • Teamwork training • Involvement in Business Process Analysis sessions • Involvement in development of tasks for the project schedule • Communicate the value afforded by the project, identifying benefits and opportunities • Ensure communications plan reaches all stakeholders and allows for two-way communication • Set ground rules for collaboration early in the project 	<ul style="list-style-type: none"> • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints from team members and department members • Lack of participation in meetings • Missed deadlines
7	Key staff members lack the bandwidth to satisfy the competing demands of Banner, Strategic Planning, and SACS.	<ul style="list-style-type: none"> • Create a comprehensive project plan and design status reports to inform leadership & team members of ongoing progress • Establish concern thresholds in the plan and create a resolution process that distributes decision making authority within project teams • Use formal meeting processes to use key staff members' time for the maximum advantage 	<ul style="list-style-type: none"> • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Increased stress level by key stakeholders • Lack of participation or attendance at key meetings • Missed deadlines

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
8	We will miss deadlines.	<ul style="list-style-type: none"> • Establish reasonable deadlines and build in slack time for tasks that are likely to impact project milestones • Involve key stakeholders in the development of project schedules with detailed tasks • Create a quality plan and minimize slippage caused by rework • Manage plan and update task status weekly to provide early indications of schedule risks 	<ul style="list-style-type: none"> • Review priorities for stakeholders involved in impacted tasks • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Increased anxiety around meeting deadlines • Critical path is in jeopardy • Notification of slippage in status reports • Negative slack in the project schedule
9	Staff members may not fit the new business processes (personality, skills, attitude)	<ul style="list-style-type: none"> • Evaluate the BPA results to determine whether significant changes to processes will be required • Use current management practices to determine assignments • Identify staff training needs for the new system and ensure that staff members attend the appropriate training sessions 	<ul style="list-style-type: none"> • Remove team members or staff if necessary from the project – reassign • Provide specialized training as necessary • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Tasks slip • Participation in meetings declines • Stress levels increase • Complaints from other team members

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
10	There will be normal staff turnover causing problems on the project	<ul style="list-style-type: none"> • Recognition for work • Improve communications • Staff project properly • Flexible work hours • Project unity – button, t-shirts, water bottles • Equity across departments • Staff sharing • Being cognizant of holiday schedule • Management sets tone for the project • Dress down days • Work remotely • Documentation 	<ul style="list-style-type: none"> • Personal interventions • Evaluate why employee is leaving and address those specific problems • Re-evaluate task assignments • Consider staffing alternatives 	<ul style="list-style-type: none"> • Complaints • Actual turnover or threats of leaving • Lack of participation and attendance at meetings
11	We will experience staff burnout	<ul style="list-style-type: none"> • Rewards/recognition for meeting milestones • Staff project properly • Provide flexible work hours • Staff sharing 	<ul style="list-style-type: none"> • Personal interventions • Re-evaluate task assignments • Consider staffing alternatives 	<ul style="list-style-type: none"> • Complaints • Actual turnover or threats of leaving • Lack of participation and attendance at meetings
12	The project is viewed as administrative not an enterprise-wide undertaking	<ul style="list-style-type: none"> • Execute communication plan • Create focus groups including people from all parts of the campus to review status • Provide regular status reports • Include appropriate people in the Business Process Analysis sessions 	<ul style="list-style-type: none"> • Increased/focused communications from campus/project leadership 	<ul style="list-style-type: none"> • Specific complaints

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
13	There will be individual goals that are not consistent with project goals.	<ul style="list-style-type: none"> • Use BPA results to reinforce global processes & priorities • Teamwork training • Clear communication from leadership directly to staff and faculty, including global priorities and the need for flexibility and cooperation 	<ul style="list-style-type: none"> • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints to the project managers • Too many requests for exceptions • Inability of project teams to come to consensus
14	We will lose newly-trained personnel (Banner) after the project.	<ul style="list-style-type: none"> • Uncover opportunities to reorganize departments and reassign people to leverage their personal interests and skills • Communicate the post-project organization and plans to give people a vision of the future 	<ul style="list-style-type: none"> • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Grapevine information • Staff interviewing for jobs
15	The schedule will take priority over accuracy, completeness, and staff workload considerations.	<ul style="list-style-type: none"> • Create a realistic schedule that considers everyone's input from the start • Identify the business calendar constraints early and make contingency plans if the Banner Student System functionality is not ready when planned • Establish success criteria for all tasks and procedures and rigorously enforce them • Implement strong scheduling, tracking, and controlling processes. 	<ul style="list-style-type: none"> • Outsource • Slow project down • Narrow scope • Reallocate resources • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Missed deliverables/milestones • Reworks • Complaints from team members

#	Risk	Preventive Actions	Contingent Actions	Triggers
16	We are missing the necessary skill sets for the project tasks and ongoing work.	<ul style="list-style-type: none"> • Create a comprehensive project plan and resourcing plan to uncover potential resource problems early • Continually track and control the project schedule. 	<ul style="list-style-type: none"> • Outsource • Slow project down • Narrow scope • Reallocate resources • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Missed deliverables/milestones • Reworks • Complaints from team members
17	There will be loss of employee enthusiasm and motivation.	<ul style="list-style-type: none"> • Implement an effective communication plan • Engage employees in the project, through assignment or in advisory roles • Rewards/recognition for meeting milestones 	<ul style="list-style-type: none"> • Increase communications and recognition of accomplishments 	<ul style="list-style-type: none"> • Missed deliverables/milestones • Lack of participation and attendance in meetings • Complaints from team members
18	We will have too many excuses for not completing tasks	<ul style="list-style-type: none"> • Establish reasonable deadlines and build in slack time for tasks that are likely to impact project milestones • Involve key stakeholders in the development of project schedules with detailed tasks • Assure that leadership communicates the importance and priority of the project regularly • Communicate schedule impacts of missed commitments throughout project management and leadership • Teamwork training 	<ul style="list-style-type: none"> • Review priorities for stakeholders involved in impacted tasks • Use the change management process to escalate issues and potential changes • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Increased anxiety around meeting deadlines • Critical path is in jeopardy • Notification of slippage in status reports • Negative slack in the project schedule

#	<i>Risk</i>	<i>Preventive Actions</i>	<i>Contingent Actions</i>	<i>Triggers</i>
19	Front line users won't get the support they need (training, SGHE, etc).	<ul style="list-style-type: none"> • Involve the appropriate representation in all planning sessions • Provide a communication forum for users to express concerns and ask questions • Ensure appropriate personnel attend Banner and related training sessions • Work with SGHE project manager to ensure quality consultants and trainers are provided • Implement a continuous review process of consulting and training visits 	<ul style="list-style-type: none"> • Escalate to SGHE Project Manager and/or CPS Program Manager • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints • Confusion in training classes • Poor reviews of training and consulting sessions
20	We will engage in analysis paralysis and be unable to make timely decisions.	<ul style="list-style-type: none"> • Empower project and team leaders to either escalate or make decisions in a timely manner • Implement effective project management processes to ensure that the critical path is tracked and monitored 	<ul style="list-style-type: none"> • Escalate to project managers, project sponsors, project steering committee 	<ul style="list-style-type: none"> • Complaints • Missed deadlines – slippage in schedules – negative slack