PROJECT INITIATION DOCUMENT

Project name ***Management Information Project ("LUMIS")***

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Document History

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Revision History

Date of next revision:

Revision date	Previous revision date	Summary of Changes	Changes marked
06/09/10	02/09/10	Amendment to initial project plan	
09/09/10	06/09/10	Incorporating comments raised by the Project Core Team	
27/09/10	09/09/10	Incorporating comments from BISC.	

Approvals This document requires the following approvals.
Signed approval forms are filed in the project files.

Name	Signature	Title	Date of Issue	Version
V Goddard				
J Cartwright				
BISC				

Distribution This document has been distributed to:

Name	Title	Date of Issue	Version
MI Project Core Team		07/09/10	Final Draft
BISC		22/09/10	Final
Strategic Management Team		23/09/10	Final

Purpose

To define the project and to form the basis for its management and the assessment of overall success.

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Background

The need for improved Management Information across the University to support the development of a performance measurement process and inform decision making is widely recognised.

Preliminary research, conducted in 2008, identified that management information is produced and delivered by a variety of methods including standalone business systems and locally-developed Excel spreadsheets, often created and maintained by a specific individual. The problems arising from this situation were identified as:

- Excessive reliance on unsupported information systems and on the knowledge of individuals which would be lost if the individual were to leave the University
- A high administrative overhead in data collection and manipulation, leaving a disproportionately small amount of time for analysis and interpretation of data to aid decision-making
- Duplication of activity
- Inconsistency of reporting
- A lack of confidence in the completeness and accuracy of the data derived from some sources
- Inability to undertake a thorough and timely analysis of data, such as by “drilling down” or undertaking “what-if” analysis.

Furthermore, it is clear that a significant and growing number of Universities have identified similar issues and have introduced systems to collect, coordinate and present management information in a way which benefits the institution.

The preliminary analysis included an options appraisal, from which the preferred option was the coordination of existing corporate information systems in a way which ensures that data can be readily collected, extracted and presented in a timely, accurate and consistent way by means of a data warehousing system with an appropriate front-end.

An outline bid for funding was submitted to the Strategic Development Fund in February 2010 for resources to undertake a project to develop the University's management information capacity and capability. The project scope and funding for Phase 1 were approved by the Planning Group on 28 April 2010.

Project Definition

Project objectives

The key objectives of the Data Warehousing and Management Information Project are:

- effective monitoring and analysis of performance against Strategic Plan key ambitions
- facilitation of timely intervention to ensure overall delivery of University objectives
- timely provision of appropriate information to key individuals at all levels of the University to support strategic planning and operational management
- provision of appropriate tools for managers at all levels of the University to support devolution of responsibility of responsibility, e.g. financial planning and budget monitoring
- improved capability for evidence-based decision making
- standardised data definitions and standards to support accurate and reliable reporting for internal and external purposes, e.g. statutory returns to HESA and HEFCE
- creation of single agreed sources of data and improved data collection efficiency
- enhanced capability for data analysis, assessment and interpretation through the development of support systems and having people skills in the right places
- personnel development and cultural change needed to ensure satisfactory implementation and ongoing beneficial utilisation of the chosen technical solution

Defined method of approach

The project will consist of a two phase programme:

- **Phase 1**: Review of capacity, capability and requirements in terms of people data and systems
- **Phase 2**: Implementation of specific system solutions including training and development of people

On completion of Phase 1, a report will be presented to BISC setting out key findings and recommendations and the proposed approach to Phase 2 of the project.

Project scope

In system terms, the proposed solution will encompass data which is held in a variety of business systems, including the following:

- Sungard Banner Student Information System ("Spider")
- Jasper Human Resources System
- Agresso Finance System
- Planon Integrated Facilities Management Information System
- Scientia Integrated Timetabling and Room Booking System ("Orbit")
- Integrated Research Information System ("Iris")
- Various local systems (to be defined)

In human resource terms, the proposed solution will impact providers and users of data derived from the systems within the project scope at all levels in the University.

Project deliverables

The key deliverables from the Phase 1 of the project will be:

- A report setting out the findings and recommendations from Phase 1, including:
    - A review of current MI capability, building on what has already been achieved (e.g. SMT Performance Report) and including identification of current resources employed on this activity
    - Clarification of MI requirements across the institution and recommendations on the best approach to deliver against agreed requirements
    - Proposals regarding the approach to Phase 2 of the project
- Identification of short-term benefits and plans for their realisation, e.g.:
    - Standardised data and data definitions
    - Improved efficiency by reducing duplication and improving consistency
- An updated Project Initiation Document reflecting the future phase(s) of the project

The principal final deliverable of the complete project will be a fully-functioning Data Warehousing and Management Information System which meets the University's agreed requirements.

Exclusions

Information and data that cannot reasonably be categorised as "Management Information" is excluded from the scope of this project. An example of this exclusion would be data derived from academic research activities. Data from systems which are maintained by and used exclusively within individual departments are also excluded unless otherwise specified.

Constraints

This project has the following constraints:

- **Scope**
  (as defined above)
- **Time**
- The target date for completion of Phase 1 of the project is 23 December 2010. The timescale for Phase 2 of the project will be reviewed at the end of Phase 1.
- **Cost**
  The chosen solution must be affordable and provide value for money
- **Human resources**
  A contract Project Manager has been assigned to Phase 1 of the project. Future phases may need to be managed from within existing resources. In addition, time will need to be made available by the staff of all stakeholder Departments who will be required to contribute to the project. To ensure that this is achieved, managers will be advised as far ahead as practicable of the demands that will be made on individual staff time.
- **Procurement**
  The procurement of certain proprietary systems and services to meet the identified requirements may need to be undertaken in accordance with EU Procurement Regulations
- **Business objectives**
  The chosen solution will be required to meet all, or an agreed proportion of, the user needs which will be defined in Phase 1.
- **Quality**
  The chosen solution will be required to meet specified quality standards of performance and reliability

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Interfaces

The software must have suitable interfaces to enable integration with relevant corporate systems as identified under "Project Scope."

The user interface must be either Microsoft Windows based or a standards-compliant web-based system.

If the final system is provided by more than one software supplier, the individual suppliers must ensure that their products integrate with each other to specified levels.

The system must operate within the university's Managed Windows Service.

Technical Constraints

To comply with the University's IT system standards, it is highly desirable that the solution is based on an Oracle platform and provides a reporting facility through Business Objects. However, this should not be considered as a constraint.

Assumptions

- The scope of the project will be as defined above
- Nominated individuals from within the stakeholder community will be able to make time available to participate in the project at the required level

Project governance structure

See Attachment 4

Key stakeholders

The key stakeholders of the MI Project at strategic and operational levels are as follows:

STRATEGIC	OPERATIONAL
Business & Information Systems Committee	**Project Management Team**
Prof JR Saunders: Deputy Vice Chancellor.	A Wright: Head of Business Information & Performance
Prof S Holloway: Executive Pro Vice-Chancellor	S Denniss: Head of Business Information Systems & Services
Prof I Greer: Executive Pro Vice-Chancellor	B Graham: MI Project Manager
Prof A Derrington: Executive Pro Vice-Chancellor	
P Hackett: Chief Operating Officer	**MI User Consultation Group**
R Eastwood: Director of Finance	Senior academic staff
J Cartwright: Director of Computing Services	Faculty administration
C Jones: Academic Secretary	School administration
C Mills: Director of Human Resources	Professional Services
V Goddard: Director of Planning	
S Dickson: Director of Facilities Management	**MI Provider Consultation Group**
	Computing Services
Management Information Core Project Team	Planning & Development
V Goddard: Director of Planning	Corporate Finance
J Cartwright: Director of Computing Services	Human Resources
A Wright: Head of Business Information & Performance	Student Administration & Support
S Denniss: Head of Business Information Systems and Services	(Others to be defined)
M Reid: Senior Management Accountant	
A Hitchen: HR Systems Project Manager	
P Leonard: Head of Student Administrative Services	
B Graham: MI Project Manager	

Communication Plan

During Phase 1, communications with stakeholders will be handled by the following means:

- The Director of Planning & Development will contact relevant Faculty Managers to notify them that the project is being initiated, to request them to disseminate the information within their Faculties and to request the nomination of individuals from within their Departments to engage in a consultation exercise
- The Project Manager will meet with the relevant representatives from Level 3 and Level 2 to conduct structured interviews aimed at eliciting their requirements, concerns and aspirations at both a strategic level and operational level. This will be done in such a way as to avoid or minimise duplication of any previous discussions regarding Management Information.
- New MI user and provider posts, to be put in place during the timeframe for Phase 1 of the project, will be identified and included in the consultation.
- User groups representing providers and end users of management information will be created. These groups will take a leading role in the consultation exercise. They will also serve as the conduit whereby plans and progress will be notified to those most directly affected by the project and will undertake peer review of the key deliverables of the project. The outcomes and decisions arising from individual groups within the governance structure will be communicated to all groups.
- A web page will be established on the staff intranet and regularly updated to provide information on plans and progress
- Beginning with a “launch notification”, information will be disseminated via intranet Announcements and published in internal newsletters, e.g. “Precinct” at key stages of the project
- Establishing a “VOCAL” site for the Project Core Team

At the conclusion of the Phase 1, the Project Manager will notify the outcome and future plans to an agreed community of users and stakeholders.

When the project enters Phase 2, the Communications Plan will be updated to reflect the ongoing information and consultation needs of all stakeholders.

Project controls

The project will be managed in accordance with the University's project methodology. Progress will be reported and issues raised and addressed by means of the following controls:

- A weekly Highlight Report from the Project Manager to the Head of Business Information and Performance and the Head of Business Information Systems and Services
- Weekly review meetings between the Project Manager, the Head of Business Information and Performance and the Head of Business Information Systems and Services
- Meetings of the Management Information Project Core Team at approximately monthly intervals
- Reports to the scheduled meetings of the Business Information and Systems Committee
- Exception reports prepared by the Project Manager and escalated as necessary through the project management structure in the event that an out-of-tolerance situation occurs

Attachments

Attachment 1 Initial Business Case
Attachment 2 Initial Project Plan
Attachment 3 Initial Risk Register
Attachment 4 Project Governance Structure

ATTACHMENT 1 Initial Business Case

Implementing a pan-University Data Warehousing and Management Information system will help to realise the following benefits:

- Agreed data types and data definitions
- Consistent data standards and structures across the institution
- A single source for the creation of management information
- Capability to share information across the University and between business systems
- Improved data quality
- Ability to undertake scenario ("what if") planning
- A user-friendly front-end "dashboard" for key activities
- Elimination of reliance on unsupported, locally developed systems and on the skills and knowledge of individual employees
- Operational efficiencies related to information management (e.g. greater automation and elimination of duplication)
- Improved information management maturity and skills as an integral part of operational roles
- Maintaining the University's competitive position in relation to other universities, including many in the Russell Group, which are increasingly introducing and benefiting from systems of this kind

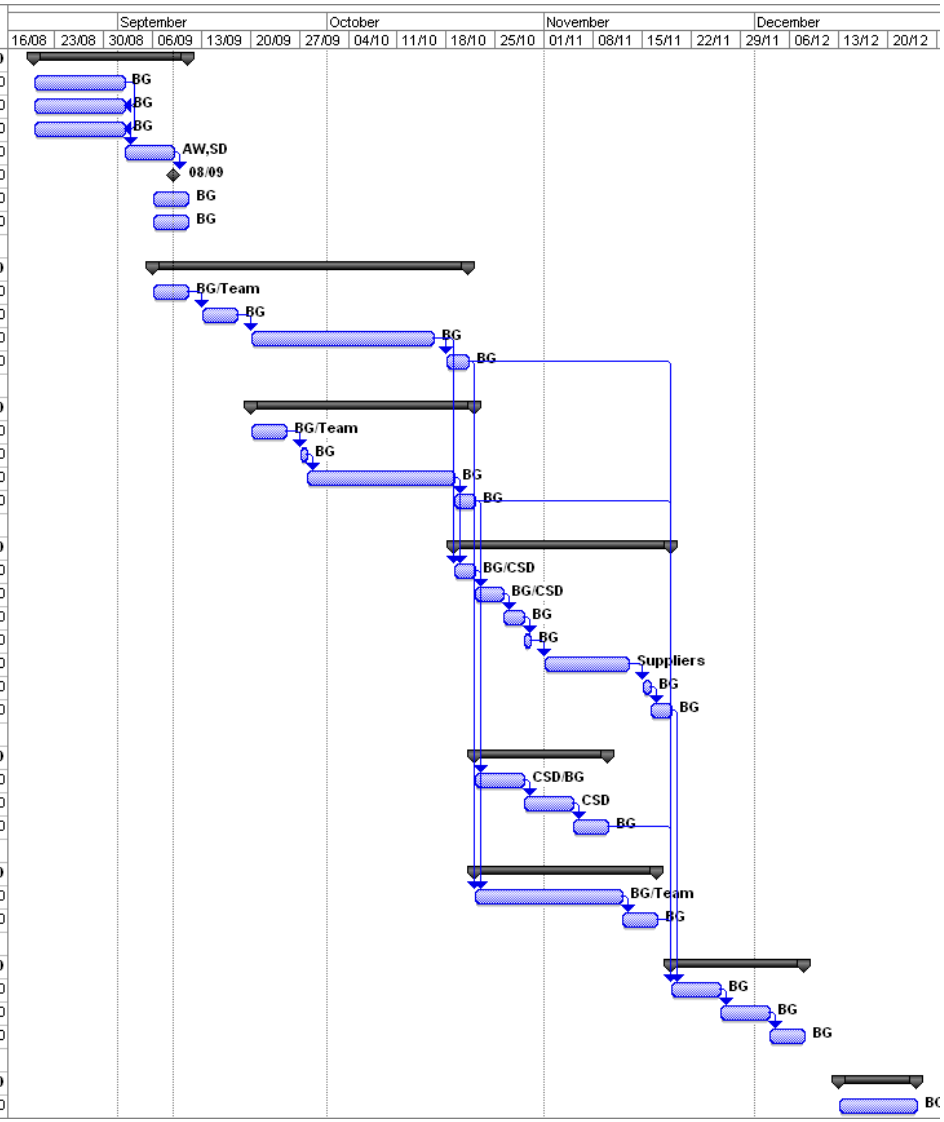
The costs associated with delivering this project will include the following:

- staffing costs (internal and contract)
- consultancy costs
- software costs plus ongoing licensing and maintenance
- hardware costs plus ongoing maintenance
- staff training costs
- ongoing revenue costs of running the system

ATTACHMENT 2

Initial Project Plan

ID	Task Name	Duration	Start	Finish
1	**Initiation Activities**	**16 days**	**Fri 20/08/10**	**Fri 10/09/10**
2	Prepare draft PID	9 days	Fri 20/08/10	Wed 01/09/10
3	Prepare draft Risk Register	9 days	Fri 20/08/10	Wed 01/09/10
4	Prepare draft Phase Plan	9 days	Fri 20/08/10	Wed 01/09/10
5	Approval of PM documentation	5 days	Thu 02/09/10	Wed 08/09/10
6	Stage 1 Project Documentation approved	0 days	Wed 08/09/10	Wed 08/09/10
7	Familiarisation/background information gathering	5 days	Mon 06/09/10	Fri 10/09/10
8	Confirm governance structure / representative bodies	5 days	Mon 06/09/10	Fri 10/09/10
9				
10	**Internal consultation**	**33 days**	**Mon 06/09/10**	**Wed 20/10/10**
11	Identify internal consultees	5 days	Mon 06/09/10	Fri 10/09/10
12	Arrange consultation meetings	5 days	Mon 13/09/10	Fri 17/09/10
13	Conduct internal consultations	20 days	Mon 20/09/10	Fri 15/10/10
14	Document findings	3 days	Mon 18/10/10	Wed 20/10/10
15				
16	**Consultation with other universities**	**24 days**	**Mon 20/09/10**	**Thu 21/10/10**
17	Identify university contacts	5 days	Mon 20/09/10	Fri 24/09/10
18	Develop questionnaire / checklist	1 day	Mon 27/09/10	Mon 27/09/10
19	Consult with other universities	15 days	Tue 28/09/10	Mon 18/10/10
20	Document findings	3 days	Tue 19/10/10	Thu 21/10/10
21				
22	**Market research**	**23 days**	**Tue 19/10/10**	**Thu 18/11/10**
23	Define probable scope of external procurement	3 days	Tue 19/10/10	Thu 21/10/10
24	Identify potential suppliers	2 days	Fri 22/10/10	Mon 25/10/10
25	Prepare draft Request For Information (RFI)	3 days	Tue 26/10/10	Thu 28/10/10
26	Issue RFI	1 day	Fri 29/10/10	Fri 29/10/10
27	Response lead time	10 days	Mon 01/11/10	Fri 12/11/10
28	Receive supplier responses	1 day	Mon 15/11/10	Mon 15/11/10
29	Document findings	3 days	Tue 16/11/10	Thu 18/11/10
30				
31	**Internal technical requirements**	**13 days**	**Fri 22/10/10**	**Tue 09/11/10**
32	Define probable scope of internal system development	5 days	Fri 22/10/10	Thu 28/10/10
33	Assess resource requirements (personnel, hardware, timescales, costs)	5 days	Fri 29/10/10	Thu 04/11/10
34	Document findings	3 days	Fri 05/11/10	Tue 09/11/10
35				
36	**Quick wins**	**18 days**	**Fri 22/10/10**	**Tue 16/11/10**
37	Consider opportunities for short-term gains	15 days	Fri 22/10/10	Thu 11/11/10
38	Document findings	3 days	Fri 12/11/10	Tue 16/11/10
39				
40	**Phase 1 Reporting**	**13 days**	**Fri 19/11/10**	**Tue 07/12/10**
41	Prepare Phase 1 report (combining above elements)	5 days	Fri 19/11/10	Thu 25/11/10
42	Present report	5 days	Fri 26/11/10	Thu 02/12/10
43	Act on feedback	3 days	Fri 03/12/10	Tue 07/12/10
44				
45	**Phase closure**	**9 days**	**Mon 13/12/10**	**Thu 23/12/10**
46	Phase 1 closure and handover activities	9 days	Mon 13/12/10	Thu 23/12/10



ATTACHMENT 3 Initial Risk Register

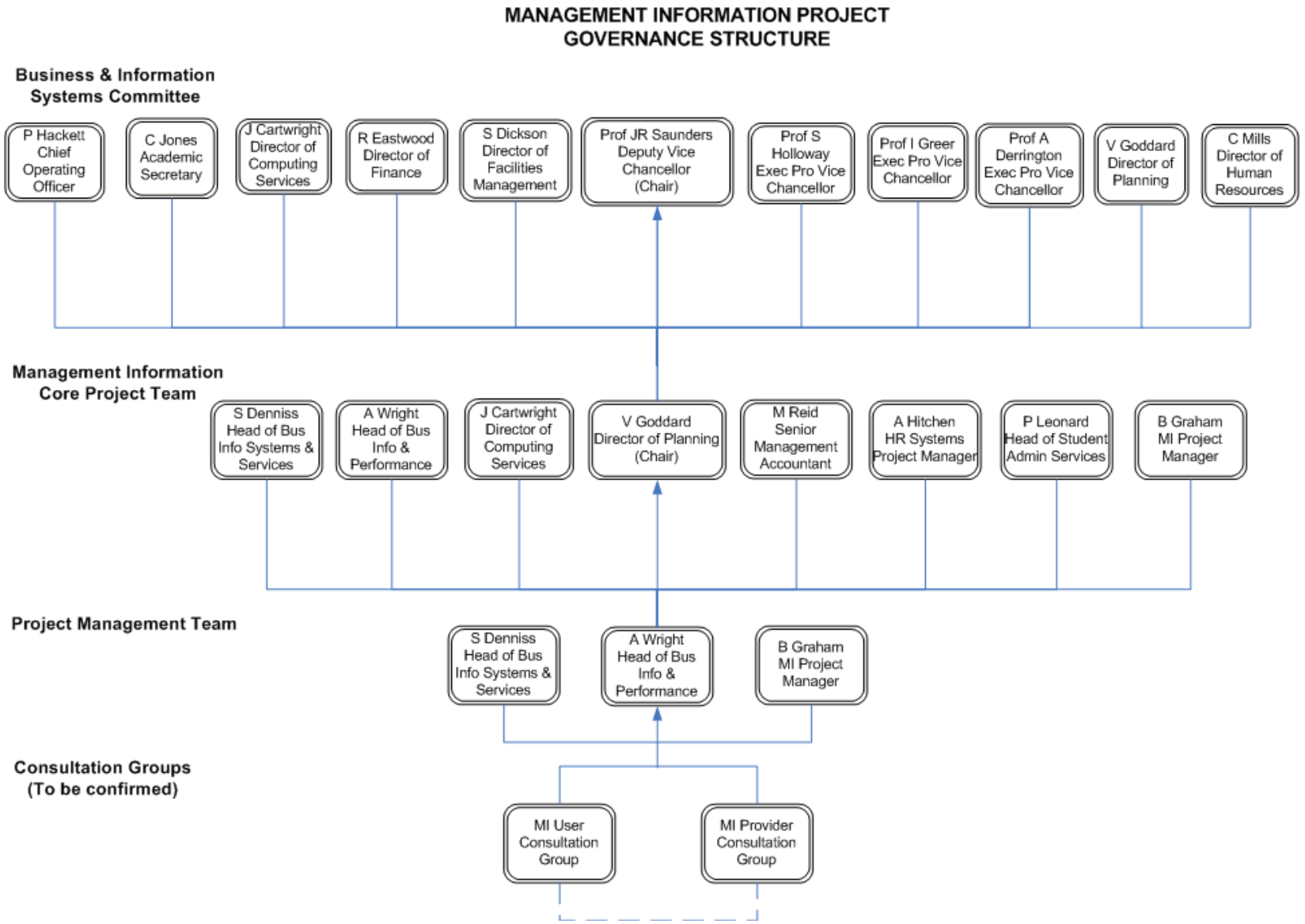
Purpose

To provide a repository of information about risks, their analysis, countermeasures and status.

Risks:

Identifier	Description	Impact	Probability	Rating	Proximity	Counter-measures	Owner	Author	Date Identified	Date last updated	Current status
1.	Resistance arising from implicit loss of ownership and control over data which is currently owned and managed "locally."	5	4	**High (20)**	Medium term	Ensure that all available/feasible implementation and operational options are considered. Ensure that the benefits are fully identified and explained to stakeholders	BG	BG	26/08/10		Open
2.	Lack of a common understanding of the objectives of the project among the stakeholder community	4	4	**High (16)**	Ongoing	Invest time to ensure a full understanding of the objectives of the project and ensure continuing stakeholder engagement to maintain and reinforce the understanding.	BG	BG	26/08/10		Open

Identifier	Description	Impact	Probability	Rating	Proximity	Counter-measures	Owner	Author	Date Identified	Date last updated	Current status
3.	Conflicting requirements from different stakeholder groups.	4	4	**High (16)**	Medium term	Ensure all identified requirements are realistic and remove any that are not. Bring entrenched conflicts to attention of project sponsor for resolution.	BG	BG	26/08/10		Open
4.	Failure to manage stakeholder expectations that the system alone will solve all issues without staff willingness to embrace and implement updated business processes	4	3	**Medium (12)**	Medium-long term	Ensure that expectations are managed as part of the development of a common understanding and stakeholder engagement strategy. Ensure a strong focus on change management throughout the project.	BG	BG	26/08/10		Open
5.	Non-availability of systems on the market that meet an acceptable proportion of the University's requirements to be met from proprietary software.	4	3	**Medium (12)**	Long term	Reconsider the identified requirements in order to be less ambitious or more realistic. Consider greater use of bespoke or in-house developed systems.	BG	BG	26/08/10		Open
6.	Inability to achieve the project's objectives within the available budget. .	4	3	**Medium (12)**	Long-term	Consider de-scoping the project. Consider phased implementation.	BG	BG	26/08/10		Open

Identifier	Description	Impact	Probability	Rating	Proximity	Counter-measures	Owner	Author	Date Identified	Date last updated	Current status
7.	Non-availability of key stakeholders at the appropriate time to engage in consultation.	3	3	**Medium (9)**	Ongoing	Ensure plenty of notice is given before commencing consultation. Identify alternative nominees from the relevant stakeholder groups.	BG	BG	26/08/10		Open
8.	Inability to complete the project in a reasonable time due to competition for resources from other concurrent projects.	3	3	**Medium (9)**	Long term	Extend the timescale for one or both of the projects. Bring in additional external resources.	BG	BG	26/08/10		Open
9.	Insufficient internal resources to manage the complete project.	4	2	**Low (8)**	Ongoing	Consider greater use of agency resources. Extend the project timescale to allow for part-time working.	BG	BG	26/08/10		Open

ATTACHMENT 4 Project governance structure