

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 02/07/2022

GENERAL INFORMATION

Program Name: Public Health Systems Modernization

Agency Name: Department of Health

Project Sponsors: D365 Disease and Outbreak System - Michelle Dethloff

MAVEN Modernization – Michelle Dethloff

NDIIS Modernization – Molly Howell

Program Manager: Kris Vollmer

Project Managers: Stacie Wade and Craig Hovet

PROGRAM DESCRIPTION

Public health depends on widespread and rapid access to data to drive decision-making, data is its foundation. As part of the Coronavirus Aid, Relief, and Economic Security Act or CARES Act of 2020, the North Dakota Department of Health (NDDoH) was the recipient of grant funding under Project C2: Data Modernization of CK19-1904, or Data Modernization – COVID.

The intent of this program is to accelerate the Department of Health's implementation of data modernization efforts across numerous public health information systems. Data modernization efforts include but are not limited to core data modernization infrastructure; adaptation and alignment with ND Enterprise Solutions, when applicable; implementation of electronic case reporting (eCR); and modernization of National Vital Statistics System. Public Health information systems identified for data modernization as part of the program have been included in Table 4: Program Budget. Additional systems may be identified during gap analysis.

The data modernization initiative is broken into three tiers. Each of the various projects, has been aligned with one of the following three tiers.

- Tier 1 – Core Data Modernization Infrastructure
- Tier 2 – Electronic Case Reporting (eCR) Scale Up
- Tier 2 – National Vital Statistics System (NVSS) Modernization

BUSINESS NEEDS

Business needs focus on both business and technology modernization; process improvement; mobility; aging technology as well enhancing public health workforce capacity in order to accelerate data and health information system modernization. The primary objectives across the three tiers are:

- Strengthen data reporting, management, and analytics across public health
- Conduct proper surveillance – for all current and future public health threats
- Support the public health workforce in pursuing innovation and building state-of-the-art data science skills
- Deliver guidance that the citizens of North Dakota can trust

PROGRAM/PROJECT FORMAT

Program/Project Start Date: January 1, 2021

Budget Allocation at Time of Initial Start Date: \$14,331,550

How Many Projects Expected at Time of Initial Start Date: 13

Project Approach Description: The program will include numerous system projects, using hybrid or phased implementations.

Estimated End Date for All Projects Known at Time of Initial Start Date: July 30, 2024

PROGRAM/PROJECT ROAD MAP

The program road map shows the high-level plan or vision for the program/projects/phases. It is intended to offer a picture of the lifespan of all the effort that is expected to be required to achieve the business objectives. Projects may run concurrently.

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
Project 1 Tier 1	Data Modernization Initiative (DMI)	Overarching project to lead and coordinate DoH's data modernization efforts and implement workforce enhancements to support the acceleration of data modernization	44 m	\$2,032,267
Project 2 Tier 1	Dyn365 Disease & Outbreak System	This project creates a new Dynamics 365 environment that will host both COVID-19 test registration/management and the contact tracing/case investigation surveys.	24 m	\$3,001,660
Project 3 Tier 1	MAVEN Modernization	This project will upgrade the MAVEN system to current versions. It will also consolidate investigation and tracing processes into a single system to improve data quality, data stability and reporting. Shifting case investigation and tracing processes currently in Contact Tracing to MAVEN.	21 m	\$300,000
Project 4 Tier 1	NDIIS Modernization	Create a more sustainable immunization information system by modernizing the NDIIS infrastructure (moving from on-prem to cloud based), improving user account provisioning and security features; and enhancing the user experience.	37 m	\$4,094,406
Tier 1	COVID Data Lake	TBD	TBD	\$888,708
Tier 1	HealthCare Standard	TBD	TBD	\$1,000,000
Tier 1	Electronic Lab Reporting	TBD	TBD	\$75,000
Tier 1	Lab StarLIMS v12 modifications and enhancements	Enhancements and modifications to StarLIMS v12 project that completed in April 2021	TBD	\$100,000
Tier 1	Laboratory Web Portal (Iconnect)	TBD	TBD	\$438,000
Tier 1	Lab E-connectivity Enhancements - LIMS	TBD	TBD	\$50,000
Project 5 Tier 2	Electronic Case Reporting Scale-Up	Accelerate the utilization of eCR for communicable and non-communicable diseases, utilizing the promotion of interoperability from health care EHR systems. NDDOH will develop bi-directional reporting back to providers through AIMS and RCKMS.	TBD	\$773,009

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
Project 6 Tier 3	Vital Statistics System Modernization	Modernization existing EVERS system, create an electronic connection to the Death Investigation System using FHIR-based interoperability	TBD	\$1,347,500
Project 7 Tier 3	Death Investigation System	Procure a modern SAAS or off-the-shelf solution that is able to integrate with the Vital Statistics system.	TBD	\$231,000

Notes:

The StarLIMS V12 project was completed on 4/15/2021. It was tracked separately from the data modernization initiative, although it would have been considered within the scope of this program/initiative.

Additional systems may be identified during gap analysis.

PROJECT BASELINES

The baselines below are entered for only those projects or phases that have been planned. At the completion of a project or phase a new planning effort will occur to baseline the next project/phase and any known actual finish dates and costs for completed projects/phases will be recorded. The iterative report will be submitted again with the new information.

Project/ Phase	Project/ Phase Start Date	Baseline End Date	Baseline Budget	Funding Source	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Dyn365 Disease & Outbreak System*	01/01/2021	12/30/2022	\$3,001,660	Federal				
MAVEN Mod	6/10/2021	12/30/2022	\$300,000	Federal				
NDIIS Mod	06/01/2021	06/30/2024	\$4,094,406	Federal				

Notes:

Dyn365 Disease and Outbreak system (DaO) is version 2.0 of Contact Tracing and Test Reg. DaO is bringing the separate systems of COVID-19 Contact Tracing and COVID-19 Test Registration/Screening into a single shared environment. This creates a unified system with common data tables, functionality, and flows.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Dyn365 Disease & Outbreak System	Upgrade, migrate, and merge Contact Tracing and Test Registration to a single application to reduce maintenance, improve application ease of use, implement additional customer driven features, and lower cost of ownership	Design, develop, migrate, test, and release a merged platform from Contact Tracing and Test Registration application on the Microsoft Dyn365 platform per DoH requirements		
MAVEN Modernization	Improve data quality Improve data stability Reduce duplicative work More efficient use of staff time Easier access to data/improve data sharing Improve and increase system/data auditing to improve system security to align with State practices	Complete upgrade to MAVEN V6.2 in test and production environments Modernization subsystems • Vaccine Breakthrough • Mortality • Case Manager • HAI • Hospitalization • Childcare, school, camp • Contact Tracing • Case Closing • Travel • Workplace Upgrade user security platform Integrate with Dyn365 for survey management Design, develop and release data integration with the DOH Data Lake, Datawarehouse and PowerBI		

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
NDIIS Modernization	Move to a cloud hosted environment Modernize NDIIS infrastructure Enhance the user interface experience Streamline new user account setup/security practices to align with State	Implementation of a rearchitected NDIIS using cloud-based infrastructure and features including utilization of the State's Azure B2C for user management		

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after each project or phase is completed. This process uses surveys and meetings to determine what happened in the project/phase and identifies actions for improvement going forward. Typical findings include, "What did we do well?" and "What didn't go well and how can we fix it the next time?"

Project/ Phase	Key Lessons Learned and Success Stories

KEY CONSTRAINTS AND/OR RISKS

Risk	Impact	Response
Funding Constraints	Several different funding sources are contributing to this program. Failure to complete work and pay for service prior to the end of funding will result in the loss of funds.	We will mitigate this risk by breaking the program into projects and projects into milestones and being invoiced accordingly to avoid loss of funds.
Resource Constraints	Negative schedule variance, inability to complete projects	This is a significant initiative; staff efforts may need to be reprioritized. Technical resources may need to be procured.
Technology Constraints	Negative schedule variance, inability to complete projects	Technology platforms, tools, system may need to be procured.
Timeline Constraints	The program is funded 100% by federal grants. Each grant has timelines for specific activities as well as timelines for completion. Failure to complete task and projects by the end of funding may result in the loss of funds.	We will mitigate this risk by breaking the program into projects. Each project will have its own milestones. Timelines for grant reporting will be clearly identified as milestones.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 02/03/2022

GENERAL INFORMATION

Program/Project Name: Enterprise Service Management 2

Agency Name: North Dakota Information Technology

Project Sponsor: Duane Schell

Project Manager: Jacob Chaput

PROJECT DESCRIPTION

The program seeks to replace all customer-facing service requests from the legacy Work Management System (WMS). This will involve rebuilding the services within ServiceNow according to industry best practices. The program will also configure configuration management database (CMDB) within ServiceNow to meet the crawl phase of crawl/walk/run methodology.

BUSINESS NEEDS

1. Currently customers need to use two different systems for service requests and NDIT service teams must work within two systems, decreasing service request and staff efficiency while increasing the likelihood of errors.
2. NDIT currently does not utilize Common Service Data Model (CSDM) or have Configuration Management Database (CMDB) implemented. Through CSDM, NDIT will be able to map relationships between technical and business perspectives. This will empower leadership to align with strategies and provide quicker service with better change management. Currently, the organization must rely on institutional knowledge and legacy asset management systems to understand what it owns, how it is configured, and what impacts systems have due to changes or outages.

PROGRAM/PROJECT FORMAT

Program/Project Start Date: June 15th, 2021

Budget Allocation at Time of Initial Start Date: \$750,000

How Many Phases Expected at Time of Initial Start Date: 2

Phase Approach Description: Two projects will be created in parallel to solve the program's business needs.

Estimated End Date for All Phases Known at Time of Initial Start Date: June 30th, 2022

PROGRAM/PROJECT ROAD MAP

The program road map shows the high-level plan or vision for the program/projects/phases. It is intended to offer a picture of the lifespan of all the effort that is expected to be required to achieve the business objectives.

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
Project 1	Service Catalog 3	Rebuild remaining customer facing, non-billable service requests on WMS within ServiceNow.	6	\$369,693
Project 2	CMDB	Configure configuration management database (CMDB) within ServiceNow	TBD	TBD

Notes:

CMDB professional services procurement is in progress.

PROJECT BASELINES

The baselines below are entered for only those projects or phases that have been planned. At the completion of a project or phase a new planning effort will occur to baseline the next project/phase and any known actual finish dates and costs for completed projects/phases will be recorded. The iterative report will be submitted again with the new information.

Project/ Phase	Project/ Phase Start Date	Baseline End Date	Baseline Budget	Funding Source	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	1/10/2022	6/1/2022	\$369,693	State				
Project 2	TBD	TBD	TBD	TBD				

Notes:

Project 2 is currently procuring professional services needed to baseline the project.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Project 1	100% of customer facing, non-billable requests are in ServiceNow.	Remaining customer facing, non-billable WMS requests are rebuilt in ServiceNow.		

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after each project or phase is completed. This process uses surveys and meetings to determine what happened in the project/phase and identifies actions for improvement going forward. Typical findings include, "What did we do well?" and "What didn't go well and how can we fix it the next time?"

Project/ Phase	Key Lessons Learned and Success Stories
Project 1	TBD

KEY CONSTRAINTS AND/OR RISKS

- High complexity catalog items must be completed by May 10th, 2022
- NDIT staff must be available for project activities

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

Submitted to Large Project Oversight on 05/04/2022

GENERAL INFORMATION

Program Name: Information Technology Systems Replacement Program (ITSR)

Project Names: Unclaimed Property Replacement, Financial Management Accounting and Land Management System

Agency Name: North Dakota Department of Trust Lands (DTL)

Program Sponsor: Joe Heringer

Project Sponsors: Susan Dollinger, Peggy Gudvangen and Catelin Newell

Program/Project Manager: Aaron Kielhack

PROGRAM DESCRIPTION

In 1889, the brand-new State of North Dakota, through an act of Congress called The Enabling Act, received a gift of over 3 million acres of land from the Federal Government for funding public education in the State to perpetuity. Typically, that transfer included Sections 16 and 36 in every North Dakota township. To manage the assets, Article IX of the North Dakota Constitution created the Board of University and School Lands, more commonly referred to as the Land Board. The Land Board is comprised of the Governor, Secretary of State, Attorney General, State Treasurer, and Superintendent of Public Instruction.

In 2016 the State of North Dakota Office of the State Auditor conducted an audit of North Dakota Department of Trust Lands (DTL) that identified the need for new IT systems and supporting processes. DTL decided to conduct a Business Process Modeling project with Major Oak Consulting, (now part of Verint), in the second half of 2016, which reconfirmed the findings of the State Auditor. As a result, the Information Technology Systems Replacement (ITSR) program was created. Three distinct projects will comprise the ITSR program: Unclaimed Property Replacement (UPR) project; the Financial Management & Accounting (FMA) project; and the Land Management System (LMS) project.

DTL conducted a procurement process for UPR in accordance with State laws and signed a contract with Kelmar Associates, LLC on July 12, 2018. The UPR project will include planning, analysis, along with the configuration of the KAPS system, a Software as a Service (SaaS) product as well as any environments, data conversions-migrations, interfaces, testing, training, and full production deployment. As of July 25, 2018, the Planning and Analysis phase of the UPR project began. In January 2018, the Execution phase consisting of design, conversion, configuration, testing, training, and deployment phase began and is expected to be completed by April 29, 2019. The new UPR system went live in production on 04/29/2019 as scheduled.

DTL began a procurement process for FMA in Q3 2018 with the assistance of Verint. The Request for Proposals (RFP) were sent out in October 2018. The procurement included a Proof of Concept (POC) for the new system. In Q1 2020, the procurement for the FMA project was completed and Ernst & Young, LLC (EY) was hired to implement the Microsoft Dynamics 365 Finance module under a North Dakota Information Technology (NDIT) professional services contract. Planning for the FMA project was completed in Q1 2020 and the project is now in Execution. The FMA project will take an iterative approach in implementing the new system. Due to COVID-19 restrictions (remote work for the project team, no travel by EY), the original go-live date of June 1, 2020, was rescheduled to July 1, 2020. FMA went live in production on July 1, 2020, as scheduled. A support and maintenance contract amendment for EY to provide technical support for FMA for the next four years was also approved. The FMA project is now closeout.

In Q2 2019, DTL started on a procurement for LMS, with the assistance of Verint. Throughout the remainder of 2019, DTL worked closely with OMB, NDIT and Verint to create a Request for Proposals (RFP) documentation and conducted a procurement in 2020. Ernst & Young, LLC (EY) was hired to implement Microsoft Dynamics 365 Customer Engagement in October 2020 and the project will start with implementing functionality for Surface Management. The LMS Surface project kickoff occurred on October 14, 2020, and the Execution phase is now underway with the expectation of finishing in Q3 2021. DTL received additional funding for the LMS Minerals project during the 2021 North Dakota Legislative session. Work

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

Submitted to Large Project Oversight on 05/04/2022

on the LMS Surface project continued through Q3 2021 and went live in production at the beginning of Q1 2022 after several change requests added more scope to the project. The LMS Surface project is now in the Closeout phase, which will be completed in Q2 2022. Planning and Discovery (Analysis) for the LMS Minerals project began and was completed within Q3 2021. Configuration and Development for the LMS Minerals project began in Q2 2022. The LMS Minerals project is expected to be completed in Q4 2022.

BUSINESS NEEDS AND PROBLEMS

DTL's information technology (IT) systems developed in the late 1980s and early 1990s for unclaimed property, financial management and the integrated land management have reached their limits in terms of both development and support. DTL plans to procure systems that will meet the unclaimed property, integrated land management and accounting needs of the department.

PROGRAM FORMAT

Program Start Date: 04/26/2017

Budget Allocation at Time of Initial Start Date: \$3,600,000 (Special Funds)

How Many Projects Expected at Time of Initial Start Date: Three projects – UPR, FMA and LMS

Estimated End Date for All Projects Known at Time of Initial Start Date: 06/30/2023

PROGRAM ROAD MAP

The program road map shows the high-level plan or vision for the program's projects. It is intended to offer a picture of the lifespan of all the effort that is expected to be required to achieve the business objectives.

Project	Title	Scope Statement	Estimated Duration (months)	Estimated Budget
UPR	Unclaimed Property Replacement System	Replacement of the existing unclaimed property system with the KAPS system from Kelmar Associates	9 Months	\$320,229
FMA-Support	Procurement Support	Verint support for the FMA procurement	6 Months	\$103,515
FMA-Support	Financial Management & Accounting	Verint support for the FMA Proof of Concept (POC) for the FMA procurement	3 Months	\$11,825
FMA	Financial Management & Accounting System	Replacement of the existing financial management and accounting system with Microsoft Dynamics 365 Finance & Operations module	8 Months	\$500,000+

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Submitted to Large Project Oversight on 05/04/2022

LMS-Support	Land Management System	Verint support for the LMS procurement	6 Months	\$70,755
LMS-Support 2	Land Management System	Croswell-Schulte Consulting support for the evaluation-scoring portion of the LMS procurement	3 Months	\$38,025
LMS	Land Management System	Replacement of the existing asset, trust and land management system	18 months	\$2,000,000+

Notes:

PROJECTS BASELINES

The baselines below are entered for only those projects that have been planned. At the completion of a project or phase a new planning effort will occur to baseline the next project/phase and any known actual finish dates and costs for completed projects/phases will be recorded. The startup report will be submitted again with the new information.

Project	Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
UPR	05/31/17	01/03/19	05/03/19	\$273,700	05/03/19	0%	\$205,987	24.7% Under
FMA	08/16/18	01/08/20	11/04/20	\$1,849,455	08/24/20	31% Ahead	\$1,665,568	9.9% Under
LMS-Surface	05/22/19	10/14/20	02/3/22	\$1,815,231	02/03/22	0%	\$1,815,231	0%
LMS - Minerals	09/20/21	02/07/2022	11/22/2022	\$1,815,231	N/A	N/A	N/A	N/A

Notes: Project start dates are the beginning of the planning/procurement phases based on the signing of the project charter documents.

OBJECTIVES FOR THE PROJECTS

Project	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
UPR	Replace existing front end and back-office systems for unclaimed property including data/images	- Full online system - Data conversion of legacy data and images - New reports - Minimal staff interaction with online users	Met	- All deliverables were met and delivered as scheduled - Claims and holders being processed through KAPS system - Transitioned from project to support team

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Submitted to Large Project Oversight on 05/04/2022

FMA	Replace existing systems for financial management and accounting for the LM and UPR systems	- Retirement of existing Access DB and spreadsheets - All FMA occurs in new system - Ability to interact with LM and UPR as required	Met	- All deliverables were met and delivered as scheduled - Retired legacy system - Final integration with LMS will happen as part of the LMS project
LMS-Surface	Replace existing system for Surface Management activities	- Retirement of existing Access DB, Legacy SQL Server DB and Surf applications - Integration with FMA - Set up system foundation for Minerals	TBD (In Closeout)	- All Surface deliverables were met and delivered as scheduled 100% of Surface activities, by both public and state users occur in new LMS 100% of foundation for Minerals completed – related to LMS Minerals project
LMS - Minerals	Replace existing system for Minerals Management activities	- Retirement of existing Access DB, Legacy SQL Server DB and Minerals front end applications - Integration with FMA	TBD	- All Minerals deliverables were met and delivered as scheduled 100% of Minerals activities by both public and state users occur in new LMS 100% of foundation for Minerals completed – related to LMS Minerals project

POST-IMPLEMENTATION REPORTS

Post-Implementation Reports are to be performed after each project is completed. A “PIR” is a process that utilizes surveys and meetings to determine what happened in the project/phase and identifies actions for improvement going forward. Typical PIR findings include, “What did we do well?” “What did we learn?” “What should we do differently next time?”

Project	Lesson learned, success story, idea for next time, etc.
UPR	Success Stories: 1. Kelmar very prompt on fixing things when issues arose during the project 2. Excellent work ethic 3. Appreciated all the SMEs - questions went to the right people - level of communication was good 4. Team small size at DTL was challenging to deal with while the project was ongoing 5. A lot of manual work replaced by KAPS 6. Easy to work with when compared to other states - very flexible 7. PM had to step in (replaced the previous PM) - was his first go live and same thing with Andrew

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

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	8. Training - state people were well prepared and ready 9. Andrew will be busy in the near future- more training and reporting (financials) 10. Reporting approach - working with Tim - Peggy liked the list of reports - very useful 11. (2nd state to use that reporting approach) 12. Documentation is good - like the step-by-step process (continuous improvements) 13. Support team will help with the reporting - spend a lot of time there 14. State Website - (3rd party) - Faced paced - lots of communications - very fast - we held them up if anything 15. Go Live was painless - no problems 16. Catelin usually handles all the support issues for imaging and Andrew 17. There is a ticketing system - easy for DTL to use Lessons learned: 18. Biggest stumbling block was the issue with JetPay and the \$10K block (there is workaround) 19. OnBase - still have some wrinkles to work out with the images - still waiting for some that should be there already - Andrew is aware 20. Training -- maybe more for the front office/desk people – identify all stakeholders earlier
FMA	Success Stories: 1. Legacy accounting system replaced by modern, upgradable low-code system based on Finance & Operations Dynamics 365 module. 2. Resolved business problem of having to rely on an accounting system that could have crashed at any time. 3. One on one training and testing sessions worked well for the project team. 4. Project team worked around the month end financial activities with minimal impact to the project schedule 5. The project team was able to adjust to the travel ban for EY and the work from home order for DTL and NDLT caused by the COVID-19 crisis and tested, trained and deployed the new FMA system remotely as opposed to being onsite, which is the standard procedure. Lessons Learned: 1. User manuals were challenging to create and use 2. User Acceptance Testing data was unfamiliar and confusing to use 3. Workshop sessions were not always well prepared 4. Scheduling was a challenge with a small group (Finance) 5. Timing was a challenge – small department – month end issues 6. Project team didn't always understand the challenges and constraints faced by government agencies 7. Hypercare phase will be extended until December 31, 2020, to ensure support from EY project team members as monthly, quarterly, and yearly processes take place for the first time in FMA
LMS	TBD

COST BENEFIT ANALYSIS

- Improved and more efficient business processes:
 - Front-end scanning business processes and validation

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

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- Performance measurement tools
- Reporting capabilities (UPR)
- Online services for holders and claimants (UPR)
- Improved data and images quality (UPR)
- Utilization of progress dashboard enabling supervisors to track workflow progress (UPR)
- Finance and accounting system build on modern low-no code cloud-based platform (FMA)
- Ability to access finance and accounting system remotely (FMA)
- FMA will be able integrate with the new LMS
- Technology benefits
 - Retirement of unsupported unclaimed property system (UPR)
 - Vendor hosted system with minimal overhead and less staff (part-time and full-time) needed by DTL (UPR)
 - Vendor will support the new finance and accounting system along with Microsoft and the State (FMA)
 - System will no longer run the risk of being obsolete

REGULAR SOFTWARE UPDATES OF SYSTEM INCLUDING NEW BUSINESS FUNCTIONALITY AND TECHNOLOGICAL ENHANCEMENTS KEY CONSTRAINTS AND/OR RISKS

- DTL resources for all its divisions are constrained due to daily workloads including field work and Legislative Sessions (all projects)
- Limited availability due to month end accounting activities for FMA project resources (DTL)
- Limited availability of FMA project resources (DTL) due to biennium budget preparations for DTL and other state agencies in 2021

Project Closeout Report

Submitted to Project Oversight on 03/11/2022

GENERAL INFORMATION

Project Name: ND Rent Help Application Portal

Agency Name: Department of Human Services

Project Sponsor: Jessica Thomasson

Project Manager: Jim Bauer

PROJECT DESCRIPTION

Congress approved funding for emergency rent assistance in both the Coronavirus Response and Relief Supplemental Appropriation (CRRSA) and American Rescue Plan Act of 2021 (ARPA) COVID relief packages. North Dakota was allocated \$200 million via CRRSA and \$152 million via ARPA to be distributed via a statewide Rental Assistance program; there are no North Dakota local jurisdiction awards in the Act. The program will provide rent payments to housing providers on behalf of low income and moderate households, including payment of rent arrears and future rent. The State has contracted with Deloitte Consulting LLP to implement a renter portal, a housing provider portal, a case management portal, and workflow that can support community-based application counselors who will work directly with renters to complete applications, and facilitate necessary integrations with State and other third-party systems needed for applicant documentation, payment management, eligibility review, and general program reporting.

SCHEDULE AND COST METRICS

	Project Start Date	Baseline End Date	Baseline Budget	Funding Source	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Original Baseline	3/23/2021	2/1/2022	\$6,000,000	Federal	3/11/2022	12.4%	\$2,755,904.96	54%
Final Baseline		3/11/2022	\$6,000,000	Federal	3/11/2022	6%	\$2,755,904.96	54%

Notes:

The reason for the cost variance was some additional unanticipated scope items that were identified during the course of the project. The reason for the budget variance is that the project budget included the full contract amount rather than just the implementation and year one of maintenance.

MAJOR SCOPE CHANGES

Changes made to the original scope during the course of the project are noted.

- Data Migration: Scope at a high level includes (1) Migration of Rent Application data from legacy system not to exceed 5700 applications (2) Applicant Login/Status/Reporting functionality and (3) Data Validation/QA services.
- Program Integrity and Fraud Deterrence: Scope includes the delivery of software, processes, services, and analytics tools needed to defer fraud, waste and abuse.
- Supplemental Staffing: Additional Deloitte staffing needed to assist with backlog in the contact center to improve timeliness of response.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
ND renters are less likely to experience housing instability that progress to housing crisis (i.e., eviction) because of the rental assistance and stability supports made available by ND Rent Help	Increase in number of renters who engage with a housing facilitator to develop a plan for housing stability, as measured monthly by the number of referrals that are documented in the ND Rent Help system to ND Rent Help housing facilitators within 60 days of deploying the system. Goal is for 75% of identified referrals to successfully connect within 60 days of initial referral. Secondary goal is for 50% of referral connections made to continue past 120 days.	Met	Through February 2022, more than 750 Housing Facilitator referrals have been made. Contact is typically established within 7 days. 100% of referrals make contact within 60 days. Of Note: due to the higher than anticipated volume of applications from households experiencing homelessness, almost all housing facilitator referrals have been to people experiencing immediate or imminent housing crisis.
ND housing providers are able to avoid court action in the case of nonpayment due to greater adoption of eviction prevention practices.	Increase in number of housing providers who participate in emergency rental assistance program as measured monthly by the number of housing providers who activate accounts in the system, and by the number of housing units they are responsible for managing. Measurement to begin within 60 days of deploying the system. Goal is measured by number of housing providers enrolling by geography served, and by the number of renter applications whose approval is delayed due to lack of engagement by the housing provider.	Met	North Dakota Rent Help (NDRH) has seen continued increase in both housing and utility providers setting up accounts in the system and submitting applications to initiate applications on behalf of renters and matching applications to existing renters. Since system Go Live, the number of housing providers participating in NDRH has increased by 46% (from 1,313 to 1,923) and the number of utility providers increase by 49% (71 to 103). As there is no centralized database of property managers / multi-family property owners in ND, we are not able to calculate the total percent of all housing providers who participate in ND Rent Help (i.e., we do not know the total number of potential providers.

KEY LESSONS LEARNED AND SUCCESS STORIES

Key Lessons Learned and Success Stories

Lesson Learned: Testing for payment process. Testing of Phase 2 (worker-interface) was not thoroughly tested in payment processing, which contributed to a slow start in actual payment processing. The team essentially had to test the functionality in small batches in a live production environment. More time needs to be spent testing which includes test case creation and execution prior to the release.

Lesson Learned: Testing of the implementation of automated notices. The team did not perform adequate testing of the automated notice element of the platform prior to go live. This resulted in erroneous notice triggers which increased confusion for users of the system. Having adequate resources within the business unit to fully test on short notice, developing test cases that can appropriately capture the complexity of the cases the program will see in the production environment, and having a test environment robust enough to allow for testing of all essential platform elements can help mitigate issues that later become defects.

Success Story: High Volume to Contact Center and Timeliness of Response. Due in large part to the change management barriers experienced by our system users (renters, housing and utility providers, community partners), 6-8 weeks post implementation, the NDRH contact center was overwhelmed and unable to provide timely response to people who needed help. The state and Deloitte negotiated an amendment to provide resources that could augment the state's contact center (while new state staff was being onboarded to bolster capacity). The team monitored performance metrics and within days of bringing on the additional resources, responsiveness returned to target levels.

Success Story: Program penetration by county. NDRH was designed to help maximize the opportunity for all North Dakotans to access emergency rental assistance. The development of a mobile-friendly self-contained online portal, coupled with a network of in-community partners, has helped the state achieve that goal. As of January 2022, more than 800 applications have come from households experiencing homelessness, from more than 30 ND counties.

Success Story: Homeless households' pathway. In August 2021 (days before project kickoff), the federal funding agency announced a program flexibility that would allow jurisdictions to provide robust stability services to households experiencing homelessness. A special pathway was promptly devised through the entire portal to address this new opportunity. The result was exactly what the state needed, which was a viable path for homeless households to access emergency rent assistance and housing facilitation services that would help them find housing.

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

Submitted to Large Project Oversight on 06/07/2021

GENERAL INFORMATION

Program Name: Information Technology Systems Replacement Program (ITSR)

Project Names: Unclaimed Property Replacement, Financial Management Accounting and Land Management System

Agency Name: North Dakota Department of Trust Lands (DTL)

Program Sponsor: Jodi Smith

Project Sponsors: Susan Dollinger, Peggy Gudvangen and Catelin Newell

Program/Project Manager: Aaron Kielhack

PROGRAM DESCRIPTION

In 1889, the brand-new State of North Dakota, through an act of Congress called The Enabling Act, received a gift of over 3 million acres of land from the Federal Government for funding public education in the State to perpetuity. Typically, that transfer included Sections 16 and 36 in every North Dakota township. To manage the assets, Article IX of the North Dakota Constitution created the Board of University and School Lands, more commonly referred to as the Land Board. The Land Board is comprised of the Governor, Secretary of State, Attorney General, State Treasurer, and Superintendent of Public Instruction.

In 2016 the State of North Dakota Office of the State Auditor conducted an audit of North Dakota Department of Trust Lands (DTL) that identified the need for new IT systems and supporting processes. DTL decided to conduct a Business Process Modeling project with Major Oak Consulting, (now part of Verint), in the second half of 2016, which reconfirmed the findings of the State Auditor. As a result, the Information Technology Systems Replacement (ITSR) program was created. Three distinct projects will comprise the ITSR program: Unclaimed Property Replacement (UPR) project; the Financial Management & Accounting (FMA) project; and the Land Management System (LMS) project.

DTL conducted a procurement process for UPR in accordance with State laws and signed a contract with Kelmar Associates, LLC on July 12, 2018. The UPR project will include planning, analysis, along with the configuration of the KAPS system, a Software as a Service (SaaS) product as well as any environments, data conversions-migrations, interfaces, testing, training and full production deployment. As of July 25, 2018, the Planning and Analysis phase of the UPR project began. In January 2018, the Execution phase consisting of design, conversion, configuration, testing, training and deployment phase began and is expected to be completed by April 29, 2019 in Q2 2019. The new UPR system went live in production on 04/29/2019 as scheduled.

DTL began a procurement process for FMA in Q3 2018 with the assistance of Verint. The Request for Proposals (RFP) were sent out in October 2018. The procurement included a Proof of Concept (POC) for the new system. In Q1 2020, the procurement for the FMA project was completed and Ernst & Young, LLC (EY) was hired to implement the Microsoft Dynamics 365 Finance module under a North Dakota Information Technology (NDIT) professional services contract. Planning for the FMA project was completed in Q1 2020 and the project is now in Execution. The FMA project will take an iterative approach in implementing the new system. Due to COVID-19 restrictions (remote work for the project team, no travel by EY), the original go live date of June 1, 2020 was rescheduled to July 1, 2020. FMA went live in production on July 1, 2020 as scheduled. A support and maintenance contract amendment for EY to provide technical support for FMA for the next four years was also approved. The FMA project is now closeout.

In Q2 2019, DTL started on a procurement for LMS, with the assistance of Verint. Throughout the remainder of 2019, DTL worked closely with OMB, NDIT and Verint to create a Request for Proposals (RFP) documentation and conducted a procurement in 2020. Ernst & Young, LLC (EY) was hired to implement Microsoft Dynamics 365 Customer Engagement in October 2020 and the project will start with implementing functionality for Surface Management. The LMS Surface project kickoff occurred on October 14, 2020 and the Execution phase is now underway with the expectation of finishing in Q3 2021. DTL received additional funding for the LMS Minerals project during the 2021 North Dakota Legislative session.

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

Submitted to Large Project Oversight on 06/07/2021

BUSINESS NEEDS AND PROBLEMS

DTL's information technology (IT) systems developed in the late 1980s and early 1990s for unclaimed property, financial management and the integrated land management have reached their limits in terms of both development and support. DTL plans to procure systems that will meet the unclaimed property, integrated land management and accounting needs of the department.

PROGRAM FORMAT

Program Start Date: 04/26/2017

Budget Allocation at Time of Initial Start Date: \$3,600,000 (Special Funds)

How Many Projects Expected at Time of Initial Start Date: Three projects – UPR, FMA and LMS

Estimated End Date for All Projects Known at Time of Initial Start Date: 06/30/2023

PROGRAM ROAD MAP

The program road map shows the high-level plan or vision for the program's projects. It is intended to offer a picture of the lifespan of all the effort that is expected to be required to achieve the business objectives.

Project	Title	Scope Statement	Estimated Duration (months)	Estimated Budget
UPR	Unclaimed Property Replacement System	Replacement of the existing unclaimed property system with the KAPS system from Kelmar Associates	9 Months	\$320,229
FMA-Support	Procurement Support	Verint support for the FMA procurement	6 Months	\$103,515
FMA-Support	Financial Management & Accounting	Verint support for the FMA Proof of Concept (POC) for the FMA procurement	3 Months	\$11,825
FMA	Financial Management & Accounting System	Replacement of the existing financial management and accounting system with Microsoft Dynamics 365 Finance & Operations module	8 Months	\$500,000+
LMS-Support	Land Management System	Verint support for the LMS procurement	6 Months	\$70,755

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

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LMS-Support 2	Land Management System	Croswell-Schulte Consulting support for the evaluation-scoring portion of the LMS procurement	3 Months	\$38,025
LMS	Land Management System	Replacement of the existing asset, trust and land management system	18 months	\$2,000,000+

Notes:

PROJECTS BASELINES

The baselines below are entered for only those projects that have been planned. At the completion of a project or phase a new planning effort will occur to baseline the next project/phase and any known actual finish dates and costs for completed projects/phases will be recorded. The startup report will be submitted again with the new information.

Project	Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
UPR	05/31/17	01/03/19	05/03/19	\$273,700	05/03/19	0%	\$205,987	24.7% Under
FMA	08/16/18	01/08/20	11/04/20	\$1,849,455	08/24/20	31% Ahead	\$1,665,568	9.9% Under
LMS-Surface	05/22/19	10/14/20	09/15/21	\$1,815,231	N/A	N/A	N/A	N/A
LMS - Minerals	TBD	TBD	N/A	TBD	N/A	N/A	N/A	N/A

Notes: Project start dates are the beginning of the planning/procurement phases based on the signing of the project charter documents.

OBJECTIVES FOR THE PROJECTS

Project	Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
UPR	Replace existing front end and back office systems for unclaimed property including data/images	- Full online system - Data conversion of legacy data and images - New reports - Minimal staff interaction with online users	Met	- All deliverables were met and delivered as scheduled - Claims and holders being processed through KAPS system - Transitioned from project to support team
FMA	Replace existing systems for financial management and accounting for the LM and UPR systems	- Retirement of existing Access DB and spreadsheets - All FMA occurs in new system	Met	- All deliverables were met and delivered as scheduled - Retired legacy system

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

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		Ability to interact with LM and UPR as required		Final integration with LMS will happen as part of the LMS project
LMS-Surface	Replace existing system for Surface land management activities	- Retirement of existing Access DB, Legacy SQL Server DB and Surf applications - Integration with FMA - Foundation for Minerals set up	TBD	- All Surface deliverables were met and delivered as scheduled 100% of Surface activities, by both public and state users occur in new LMS 100% of foundation for Minerals completed – related to LMS Minerals project
LMS - Minerals	Replace existing system for Minerals land management activities	- Retirement of existing Access DB, Legacy SQL Server DB and Minerals front end applications - Integration with FMA	TBD	- All Minerals deliverables were met and delivered as scheduled 100% of Minerals activities by both public and state users occur in new LMS 100% of foundation for Minerals completed – related to LMS Minerals project

POST-IMPLEMENTATION REPORTS

Post-Implementation Reports are to be performed after each project is completed. A “PIR” is a process that utilizes surveys and meetings to determine what happened in the project/phase and identifies actions for improvement going forward. Typical PIR findings include, “What did we do well?” “What did we learn?” “What should we do differently next time?”

Project	Lesson learned, success story, idea for next time, etc.
UPR	Success Stories: 1. Kelmar very prompt on fixing things when issues arose during the project 2. Excellent work ethic 3. Appreciated all the SMEs - questions went to the right people - level of communication was good 4. Team small size at DTL was challenging to deal with while the project was ongoing 5. A lot of manual work replaced by KAPS 6. Easy to work with when compared to other states - very flexible 7. PM had to step in (replaced the previous PM) - was his first go live and same thing with Andrew 8. Training - state people were well prepared and ready 9. Andrew will be busy in the near future- more training and reporting (financials) 10. Reporting approach - working with Tim - Peggy liked the list of reports - very useful

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

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	11. (2nd state to use that reporting approach) 12. Documentation is good - like the step by step process (continuous improvements) 13. Support team will help with the reporting - spend a lot of time there 14. State Website - (3rd party) - Faced paced - lots of communications - very fast - we held them up if anything 15. Go Live was painless - no problems 16. Catelin usually handles all the support issues for imaging and Andrew 17. There is a ticketing system - easy for DTL to use Lessons learned: 18. Biggest stumbling block was the issue with JetPay and the \$10K block (there is workaround) 19. OnBase - still have some wrinkles to work out with the images - still waiting for some that should be there already - Andrew is aware 20. Training -- maybe more for the front office/desk people – identify all stakeholders earlier
FMA	Success Stories: 1. Legacy accounting system replaced by modern, upgradable low-code system based on Finance & Operations Dynamics 365 module. 2. Resolved business problem of having to rely on an accounting system that could have crashed at any time. 3. One on one training and testing sessions worked well for the project team. 4. Project team worked around the month end financial activities with minimal impact to the project schedule 5. Project team were able to adjust to the travel ban for EY and the work from home order for DTL and NDIT caused by the COVID-19 crisis and tested, trained and deployed the new FMA system remotely as opposed to being onsite, which is the standard procedure. Lessons Learned: 1. User manuals were challenging to create and use 2. User Acceptance Testing data was unfamiliar and confusing to use 3. Workshop sessions were not always well prepared 4. Scheduling was a challenge with a small group (Finance) 5. Timing was a challenge – small department – month end issues 6. Project team didn't always understand the challenges and constraints faced by government agencies 7. Hypercare phase will be extended until December 31, 2020 to ensure support from EY project team members as monthly, quarterly and yearly processes take place for the first time in FMA
LMS	TBD

COST BENEFIT ANALYSIS

- Improved and more efficient business processes:
 - Front-end scanning business processes and validation
 - Performance measurement tools
 - Reporting capabilities (UPR)

DEPARTMENT OF TRUST LANDS INFORMATION TECHNOLOGY SYSTEMS REPLACEMENT PROGRAM ITERATIVE STARTUP AND CLOSEOUT REPORT

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- Online services for holders and claimants (UPR)
- Improved data and images quality (UPR)
- Utilization of progress dashboard enabling supervisors to track workflow progress (UPR)
- Finance and accounting system build on modern low-no code cloud-based platform (FMA)
- Ability to access finance and accounting system remotely (FMA)
- FMA will be able integrate with the new LMS
- Technology benefits
 - Retirement of unsupported unclaimed property system (UPR)
 - Vendor hosted system with minimal overhead and less staff (part-time and full-time) needed by DTL (UPR)
 - Vendor will support the new finance and accounting system along with Microsoft and the State (FMA)
 - System will no longer run the risk of being obsolete

REGULAR SOFTWARE UPDATES OF SYSTEM INCLUDING NEW BUSINESS FUNCTIONALITY AND TECHNOLOGICAL ENHANCEMENTS KEY CONSTRAINTS AND/OR RISKS

- DTL resources for all its divisions are constrained due to daily workloads including field work and Legislative Sessions (all projects)
- Limited availability due to month end accounting activities for FMA project resources (DTL)
- Limited availability of FMA project resources (DTL) due to biennium budget preparations for DTL and other state agencies in 2021

ITERATIVE PROJECT REPORT FOR PROGRAMS & MULTI-YEAR PHASED PROJECTS

Submitted to Large Project Oversight on 02/18/2022

GENERAL INFORMATION

Project Name: North Dakota Secretary of State File 2.0 Project (SOS File 2.0)

Projects-Phases in this Report: Phases 1-5, Campaign Finance Phase, Business Process Modeling Project, Central Indexing System Phase, FirstStop Project Phase 1, FirstStop Sub-Program

Agency Name: State of North Dakota, Office of the Secretary of State

Project Sponsor: Alvin A. Jaeger, Secretary of State

Project Manager: Aaron C. Kielhack

PROJECT DESCRIPTION

The North Dakota Office of the Secretary of State (SOS) File 2.0 Project seeks to acquire and implement software systems to replace Campaign Finance, the Central Indexing System on the mainframe, and Business Services (Business Registration, Business Information, Licensing, and Notary), and administration processes on the AS400.

The replacement system, a custom-build by the Software Development division of the North Dakota Information Technology Department (ITD) was to be a web-based solution that would allow State personnel to manage the filing process as well as allow public users to file documents and make inquiries regarding filed documents. There were five phases that consisted of Business Services (Phases 1 and 2: Business Registration, Business Information, Licensing, and Notary), a Central Indexing System (Phase 3), Campaign Finance (Phase 4), and miscellaneous systems (Phase 5).

Campaign Finance (CF) or Phase 4 began in January 2014, when the File 2.0 Executive Steering Committee (ESC) decided to implement a CF solution from BPro, Inc. (procured through a 095 Work Order) to meet a North Dakota Century Code deadline of May 1, 2014. BPro and the State successfully implemented Campaign Finance on schedule.

Central Indexing System (CIS) or Phase 3 began in the fourth quarter of 2014, when a procurement for a Commercial off the Shelf (COTS) replacement system completed with the selection of PCC Technology Group (PCC) LLC, as the vendor. SOS received approval from the State Legislature to amend a State mandated deadline for CIS electronic filings from August 1, 2015 to August 1, 2016. The CIS phase began on February 3, 2015, the new system went into production on December 2, 2015, and was officially live on March 1, 2016 after the completion of the State mandated ninety-day certification period.

A new project, Business Process Modeling (BPM) for SOS's Licensing, Notary and Business Registration system and other business processes began in the fourth quarter of 2014, at the same time, the ESC voted to pause Phases 1 and 2 of the ITD development. The procurement for the phase completed in the second quarter of 2015 with Major Oak Consulting, a Verint Company (Major Oak) being selected and a contract was signed in April 2015. The execution phase started on May 6, 2015 and ended on September 3, 2015 when Major Oak delivered their final report and recommendation for the File 2.0 project's next steps. Major Oak recommended replacing the legacy business services system with a COTS solution from a vendor having significant relevant experience. The ESC accepted the recommendation, authorized a new procurement to start, and canceled the paused ITD development.

The planning phase for FirstStop (FSBLS), formerly known as the Business and Licensing System project began in the fourth quarter of 2015 following the completion of the BPM phase with the start of a procurement process to select a Business Services COTS solution. The FSBLS procurement completed in the third quarter of 2016 with the selection of Tecuity, Inc.'s SOS Enterprise solution along with their consulting services. The State and Tecuity signed a contract in August 2016. Planning and Analysis with Tecuity began on September 12, 2016, with the project kickoff meeting held onsite with SOS, Tecuity, and ITD in attendance. Gap analysis and other planning activities occurred during Q4 2016 until March 22, 2017,

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when the ESC approved the finalized FSBLS Project Plan and Schedule. The baselined schedule currently has a go-live date for production for Thursday, May 4, 2018. The FSBLS project will include detailed requirements, data conversion-migration, configuration, testing, training, and deployment of the solution that will replace the business registration, business information, licensing, and notary along with accounting/administration legacy applications on the AS400. During Q4 2017, SOS decided to name the new application and project First Stop. At the end of Q1 2018, the First Stop system is expected to go live during the summer of 2018 (June – August) as project team continued to refine the configuration and testing. During Q2 2018, the project team worked through the remaining configurations and testing of FirstStop modules for business registration, information, trademarks along with contractors (part of licensing). FirstStop now has estimated go live date for the week of October 15, 2018. The remaining modules including lobbyists (part of licensing) and notary are estimated to go live in production before the end of Q4 2018.

Due to underestimating the work effort and duration for FirstStop, the application did not go live during Q4 2018. Instead, the project team determined that the modules ready for production should be split from the rest of the application. At the same time, Tecuity requested payment for their work on the framework and modules ready for production. In order to provide payments to Tecuity, the ESC voted to split the project into two phases and amend the contract. The project contract was amended with an updated Scope of Work and compensation table with costs divided up between the phases. Phase 1 consisted of the modules for business registration, information, trademarks along with contractors (part of licensing) and Lobbyists. These modules went live in production on January 14, 2019 along with the FirstStop application framework for the SOS staff (back office) and the public (online portal).

Due unexpected support requirements for the live system, the SOS and Tecuity project team members were unable to focus their attention to Phase 2 planning in Q1 2019. As such, a corrective action plan was created during Q2 2019 for the FirstStop project and its phases in order to bring it back under control. The plan put Phase 1 in closeout (behind schedule and under budget), transferred funding for the remaining modules/functionality which were placed under a new Sub-Program of the File 2.0 Program. The remaining funding that was not allocated to the Sub-Program was returned to SOS. The remaining functionality will be divided into separate projects (notary, miscellaneous filings, service of process, data requests, apostilles-authentications and copy requests).

Background

Since 2004, two separate projects attempted unsuccessfully to replace the Business Services system on the AS400, the Campaign Finance system, along with a replacement for the mainframe based Central Indexing System (CIS). During the fourth quarter of 2010, ITD created an estimate for replacing SOS's legacy systems. SOS received an allocation for the 2011-2013 biennium that was in line with the ITD estimate. Thus, a third project known as File 2.0 came into existence for having a new custom-built system replace the existing Business Services (Business Registration, Business Information, Licensing, and Notary) for staff and public users, the Central Indexing System, Campaign Finance, and additional processes such as Century Code updates, Oaths of Office and Combative Sports.

After an extended analysis and requirements phase, the execution phase began on May 4, 2012. From May 2012 through November 2014, the project team worked through design, development and testing for the first two phases. Due to the considerable amount of redesign and rework along with extra testing in the attempt to complete the first two phases, the project went over budget and behind in schedule. In January 2014, the File 2.0 Executive Steering Committee (ESC) decided to halt Information Technology Department's (ITD) work on the Campaign Finance phase, and instead implement a solution from BPro, Inc. to meet a North Dakota Century Code deadline of May 1, 2014.

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After three months of re-planning by the project team, the File 2.0 project was formally re-baselined on March 31, 2014. The new baseline consisted of two Business Services phases and the Campaign Finance phase. ITD provided SOS a temporary loan from the Bank of North Dakota to cover the additional costs for the ongoing efforts to complete Phases 1 and 2 (later repaid by SOS from a 2015-2017 appropriation).

In the second quarter of 2014, the ESC decided that given how much COTS solutions had matured since the start of the File 2.0 project, that one should replace the current mainframe-based CIS instead of having ITD build a CIS system. The ESC also decided to place all ITD's work related to the two Business Services phases on hold until further notice as it was determined that the limited funding and SOS resources available were needed for the CIS phase. Meeting the mandated deadline of August 1, 2015, for electronic filing was also in question at the time.

A separate procurement initiated in the fourth quarter of 2014 for Business Process Modeling (BPM) on SOS's Business Services system and other processes. After the completion of the BPM phase in third quarter of 2015, an additional procurement began for a COTS system, later known as FirstStop (FSBLS), to replace the AS400 Business Services system. The File 2.0 project began using the Iterative Project Report in Q3 2016 to provide quarterly reporting on the new FSBLS project to Large Project Oversight. The format allows FSBLS to report budget and schedule actuals, along with variance separately from the previous project or phases of File 2.0. The iterative reporting provides a more accurate status and variance for FSBLS, while still maintaining the history of the overall File 2.0 project.

BUSINESS NEEDS AND PROBLEMS

North Dakota's Secretary of State (SOS) seeks to acquire and implement software systems to replace the mainframe Central Indexing System and the business services system on the AS400, which is for business registration, business information, licensing, notary, and administration processes.

PROJECT FORMAT

Project Start Date: 03/22/2017 for FSBLS

Budget Allocation at Time of Initial Start Date: \$3,050,000

How Many Phases Expected at Time of Initial Start Date: One

Phased Approach Description: FSBLS is the final project for File 2.0. The project description-background section of this report contains information on the previous File 2.0 phases and projects.

Estimated End Date for All Phases Known at Time of Initial Start Date: Expectations are that FSBLS will go-live on 05/04/2018 and a final closeout date of 09/14/2018.

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Submitted to Large Project Oversight on 02/18/2022

PROJECT ROAD MAP

The project road map shows the high-level plan or vision for the project's phases. It also offers a picture of the lifespan for all the effort needed for achieving the business objectives.

Project or Phase	Title	Scope Statement	Estimated Duration (months)	Estimated Budget
Phases 1-5	Custom Build (ITD)	CANCELED: The scope is to analyze the business needs of the SOS, e.g., operations supporting central indexing, accounting, licensing, business registration, campaign finance, public documents, combative sports, and all other areas of the SOS office except for election administration. Implement software systems to replace the mainframe Central Indexing System, the AS400 for accounting and business services, and the WebSphere program for campaign finance.	30 Months	\$3,468,428
CF Phase	Campaign Finance (BPro)	COMPLETED: BPro will implement an online solution for campaign finance reporting as required by state law.	3 Months	\$56,000
BPM Project	Business Process Modeling (Major Oak)	COMPLETED: Review, analyze, and document the businesses of SOS except for election administration, campaign finance, and Central Indexing using standard methodologies and tools for business process modeling, analysis, and research and business strategy. Major Oak will direct, facilitate, develop and document business process models of SOS, as well as document core business requirements for a future system, and analyze requirements and other information to provide strategic recommendations regarding a build vs. buy decision point.	4 Months	\$400,000
CIS Phase	Central Indexing System (PCC)	COMPLETED: The scope of the CIS phase is to analyze the business needs of the SOS, e.g., operations supporting central indexing and implement the Cenuity solution from PCC to replace the mainframe Central Indexing System. The new system will be a web-based/ browser neutral application that will enable the banking and lending communities to conduct their Central Indexing related work such as (but not limited to) filing and amending liens and conducting searches. Additionally, PCC will provide training to the SOS staff on the new operating system processes.	10 Months*	\$870,733

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Project or Phase	Title	Scope Statement	Estimated Duration (months)	Estimated Budget
FSBLS Project	FirstStop (Business and Licensing System) (Tecuity)	COMPLETED: Phase One of the FirstStop Project delivered detailed requirements, configuration, data conversion-migration, testing, training, and deployment for the replacement of the legacy business registration, business information, licensing, notary and administration/accounting legacy applications.	23 Months	\$3,050,000
FirstStop Sub-Program	FirstStop – Remaining Functionality	In Planning and Execution: FirstStop SubProgram Enhancement AR Project (CR #8)	1 Month	\$31,051
		FirstStop SubProgram Data Requests (Lists) Project	1.5 Months	\$19,527
		FirstStop SubProgram Miscellaneous Filings Project	TBD	\$27,928
		FirstStop SubProgram Notary/ Apostilles- Authentications Project	4 Months	\$98,231
		FirstStop SubProgram Service of Process Project	3 Months	\$19,527
		FirstStop SubProgram Copy Requests Project	TBD	\$14,057
		FirstStop SubProgram State Banks and State Credit Unions Filings	5 Months	\$51,455

Notes: * The Central Indexing System (CIS) had a seven-month execution phase schedule, when the phase was completed, CIS entered a ninety-day certification period and once that was complete, the system went live in production on March 1, 2016.

ITERATIVE PROJECT REPORT FOR PROGRAMS & MULTI-YEAR PHASED PROJECTS

Submitted to Large Project Oversight on 02/18/2022

PROJECT BASELINES

The baselines below are for only those projects or phases that are out of planning. At the completion of a project or phase, a new planning effort will occur to baseline the next project/phase along with the recording of any known actual finish dates and costs for completed projects/phases. The project team will continue to submit the iterative project report with the new information until the completion of the File 2.0.

Project- Phase	Status	Baseline Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Phases 1-5	Canceled	05/04/2012	10/03/2014	\$3,468,428	11/06/2014	3% Behind Schedule	\$4,001,232	15% Over Budget
CF	Completed	02/01/2014	05/01/2014	\$56,000	05/01/2014	On Schedule	\$60,665	8% Over Budget
BPM	Completed	05/06/2015	09/04/2015	\$400,000	09/04/2015	On Schedule	\$400,000	On Budget
CIS	Completed	02/03/2015	11/11/2015	\$870,733	12/01/2015	8.7% Behind Schedule	\$888,390	2% Over Budget
FS Phase 1	Completed	03/22/2017	09/14/2018	\$3,050,000	01/14/2019	13.4% Behind Schedule	\$1,121,742	26% Under Budget
FS Sub-Program								
FS Enhancement AR	Completed	08/26/2019	09/23/2019	\$31,051	09/23/2019	On Schedule	\$30,933	5% Under Budget
FS Data Requests (Lists)	Completed	10/03/2019	11/18/2019	\$19,527	11/13/2019	3% Ahead of Schedule	\$15,912	6% Under Budget
*FS Notary/ Apostilles- Authentications	Completed	12/16/2019	05/18/20	\$98,231	05/18/20	On Schedule	\$80,687	5.5% Under Budget
FS Service of Process	Completed	07/09/2020	10/12/2020	\$19,527	10/15/2020	4.4% Ahead of Schedule	\$13,845	16.8% Under Budget
FS State Banks and State Credit Unions Filings	Completed	08/23/2021	01/03/2022	\$51,455	01/19/2022	7% Behind Schedule	\$51,455	On Budget
FS Miscellaneous Filings	Planning			\$27,928				
FS Copy Requests	Planning			\$14,057				

Notes: * Due to COVID-19 issues, the Notary-Apostilles-Authentication project was delayed by a month – the project was re-baselined with a go-live date of 5/18/2020, which was met.

ITERATIVE PROJECT REPORT FOR PROGRAMS & MULTI-YEAR PHASED PROJECTS

Submitted to Large Project Oversight on 02/18/2022

OBJECTIVES

Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Phases 1-5	Replace all SOS systems (excluding ND Voices)	100% of the SOS business units' systems are replaced with the ITD custom built system, and the AS400 and Mainframe based systems are retired	Not Met	Phases 1-5 were paused on 11/06/14 and subsequently canceled on 09/14/2015 by the File 2.0 ESC
CF Phase	Online Campaign Finance Reporting	Campaign finance reporting is 100% online by 05/01/2014	Met	System went live before the mandated (NDCC) deadline
BPM Project	Process modeling (current/future state) and future systems strategy with recommendation deliverables (seven total)	SOS/ESC acceptance of all seven deliverables for BPM including final report/recommendation	Met	Vendor delivered all seven deliverables including final report/recommendation
CIS Phase	Replace mainframe Central Indexing System with online COTS solution for all CIS filings	All CIS filings are completed 100% online with minimal assistance from SOS staff after system go live	Met	All CIS filings are now filed online using the new system
FS Project (Phase 1)	Replace legacy Business Services (Business Registration, Business Information, Licensing and Notary) system and administrative processes	All Phase 1 FirstStop deliverables completed as per acceptance criteria and acceptance process as described in the amended Contract and Scope of Work	Met	Implemented Business Registration, Business Information, Licensing for Contractors and Lobbyists
FS Sub-Program	Replace legacy services for Notary, Data Requests, Misc. Filings, Apostilles- Authentications, Service	All Phase 2 FirstStop deliverables completed as per acceptance criteria and acceptance process as described in the amended Contract and Scope of Work		

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POST-IMPLEMENTATION REPORT

Post-Implementation Reports occur after each project or phase is completed. A “PIR” is a process that utilizes surveys and meetings to determine what happened in the project/phase. The PIR also identifies actions for improvements going forward. Typical PIR findings include, “What did we do well?” “What did we learn?” “What should we do differently next time?”

Phase	Lesson learned, success story, idea for next time, etc.
Phases 1-5	Success Stories: 1. Co-location of development team with the agency. 2. Closer interaction between the team led to quicker decisions and answers to questions. 3. White boarding during Phase 2A worked well. 4. Continued to adjust/adapt to changes during the project, as flexibility is important with a large project. Lessons Learned: 1. Need to the research/requirements or Business Process Modeling (BPM) first - request that funding in one session - once that is complete, then request separate funding in the next session for the project that may come out of the BPM. 2. Difficult to do a large project over a long period. 3. For a project this large- a custom build should probably be the last option selected for a system this complex. 4. Need to have one Technical Lead or “Tech Lead” assigned to the project team- not a BA type or a ITD Team Leader, but someone who is just as technical as the developers- they would decide who works on which area, ensures that unit testing is happening properly. They would be involved with the project as soon as the Requirements gathering is completed and Analysis is underway. 5. Involve ITD QA team at the beginning of the project during the Analysis phase – test planning typically starts then – they usually work closely with the BA types at this point and with the Agency to understand their business processes. 6. Use Cases should be created during the Requirements/Analysis Phase, especially since this system requires user interaction for both the back office and public facing portions. 7. Consider using/hiring actual technical designers/architects for the technical Design phases instead of using BA types. Design needs to include not only the User Interface, but also the database as well.
CF Phase	Success Stories: 1. Deployment steps went well; the ITD Database Administrator was very helpful. 2. The application was implemented on schedule as required by ND state law. Lessons Learned: 3. The weekly status meetings held by the ITD Project Manager for SOS, BPro and ITD should have been replicated earlier in the phase as weekly meetings between BPro and SOS to review design and develop as it would have led to less “all-nighters” at the end of the phase. 4. Timeframe was very tight for the phase. 5. SOS always thinks in A-Z flow, whereas sometimes “N” then “C” need to be designed/developed first – for example, the Home Page was the first component, but it really needed the other components such as Registration to work properly.

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	6. For LDAP it was difficult to be connected to the right resources at ITD, wasn't clear that it was a web service.
BPM Project	Success Stories: 1. The office was able to implement some "quick wins" that were identified that helped our office run more efficiently. 2. The organization has been able to reduce its backlog through the implementation of a backlog mini-project suggested by the vendor. 3. The immediate opportunities resulted in enhanced productivity and diminished backlog! This was not anticipated when the project was initiated. 4. It provided the SOS office and the Executive Steering with a "fresh" look from the outside and provided clear direction going forward. The citizens will benefit greatly. 5. The BPM process is a valuable tool to evaluate office needs as a whole and to evaluate the needs of our office for a new computer system going forward. The analysis and data provided for our "future state" will assist greatly in the steps going forward. 6. It was a worthwhile project and very cost effective. Lessons Learned: 1. The project was very successful. If I had to have one lesson learned it would be to make sure the vendor has a clear understanding of how much detail is needed in the BPM process and that the vendor knows why each of the deliverables are necessary.
CIS Phase	Success Stories: 1. The product successfully allows all central indexing filings to be completed electronically. Lessons Learned: 1. Clearly define roles of project managers. 2. Implement a solid communication plan. 3. Have clearly defined deliverables. 4. Have a clearly defined issue process - when to escalate issues and to whom. 5. Have clearly defined post implementation issue resolution process. 6. Have a better tracking mechanism for problem logs and issues. 7. Our vendor's project manager did not seem to understand his role and was not active in ensuring issues were addressed. Even today, he is very distant when we are dealing with issues.
FS Project Phase 1	Success Stories: 1. FirstStop launched in Q1 2019 with most of the major functionality in place 2. Wizards allow SOS staff to create online filings for public users instead of relying on developers 3. Tecuity team quick to respond to questions and concerns of SOS 4. Decision to divide up project allowed for go live to happen sooner than later Lessons Learned: 1. ND Login not clearly understood – leading to major issues with public users 2. PINs a challenge for users 3. Staff not prepared for large volume of phone calls, emails, voice mails 4. A lot of production support required from project team 5. Due to issues with ND Login, might have opted to use the Tecuity login/account functionality already part of the system 6. Need to have detailed requirements 7. Should have gone with modules and phases 1, 2 and 3 for scheduling 8. Underestimated complexity of ND SOS requirements
FS Sub-Program	Success Stories: 1. First project (Enhancement AR) went live as scheduled 2. Required less PM time (under budget) 3. Use of sprints/iterations helped keep project on track

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	4. Better planning 5. Concentrated a short period of time on a piece of functionality 6. Improved experienced for public users 7. Second project (FS Data Lists Requests) went live early and under budget. 8. Combination of Notary and Apostilles-Authentications projects will optimize resources, functionality and time.
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COST BENEFIT ANALYSIS

- Improved and more efficient business processes
 - Reduced paper document handling and improved quality of data indexing
 - Front-end scanning business processes and validation
 - Performance measurement tools
 - Ad hoc reporting capabilities
 - Online services
 - Improved/increased imaging and indexing
 - Improved data quality resulting from decreased manual entry
 - Utilization of progress dashboard enabling supervisors to track workflow progress
- Technology benefits
 - Retirement of unsupported AS400 (for SOS Business & Licensing System)
 - Retirement of mainframe system (for SOS Central Indexing System)
 - Regular software updates of system including new business functionality and technological enhancements

KEY CONSTRAINTS AND/OR RISKS

The project has the following constraints:

- Limited SOS Resources constrained due to daily workloads and Legislative Sessions (all phases)
- The appropriated costs of the project will remain within \$3.5 million (Phases 1-5)
- ITD Resources and contractors (Phases 1-5)
- SOS has limited funding available (all phases)
- The deadline to implement the CIS replacement was August 1, 2015 per North Dakota Century Code
 - The deadline was changed to August 1, 2016 during the last legislative session (01/05/2015)
- Some of the Subject Matter Experts may not be available during the entire project due to retirements and leaves of absences that are expected to occur during the phase's time frame (Phases 1-5, BLS Phase, CIS Phase, CF Phase)