Project Startup Report

Submitted to Project Oversight on 06/16/2023

GENERAL INFORMATION

Project Name: Legal Case Management System

Agency Name: ND OAG IT/CJIS

Project Sponsor: Heidi Smith

Project Manager: Scott Borchers

PROJECT DESCRIPTION

The mission of the ND OAG IT/CJIS Division is to provide IT services, support and programs to all NDAG divisions and to criminal justice agencies statewide. Our agency is conducting this project because we currently provide a legal case management system for the legal divisions of the NDAG and for county state's attorney offices. The system we currently utilize is being discontinued upon expiration of our contract.

The ND OAG has several legal divisions with various responsibilities including:

- Managing civil litigation cases involving state agencies
- Boards
- Commissions
- Officials and employees
- Natural resource state and federal cases
- Consumer fraud cases
- Assisting in the prosecution of criminal cases
- Managing state and local agency portfolios
- Providing legal services to other state agencies
- Providing advice on Indian affairs
- Enforcing anti-trust statutes
- Drafting and reviewing pending legislation bills
- Reviewing all administrative rules

ND OAG also provides the use of a legal case management system for county state's attorney offices statewide. The two systems are separate and there needs to continue to be some form of separation between the systems in terms of separate provisioning and separate data.

It is necessary not only to select a product to manage documents, but to also manage entire caseloads, matters, and portfolios; find information quickly and accurately; manage schedules and events; and resolve potential conflict of interest items.

BUSINESS NEEDS AND PROBLEMS

Our agency is conducting this project because we currently provide a legal case management system for the legal divisions of the NDAG and for county state's attorney offices. The system we currently utilize is being discontinued upon expiration of our contract. Therefore a replacement for the current legal case management system is required to meet current business requirements.

PROJECT BASELINES

Project Start Date	Baseline End Date	Baseline Budget	Funding Source
May 3, 2022	January 27, 2025	$1,498,560	Federal & Special Funds

Notes:

- Federal Funds - $1 million in ARPA funds and $882,000 NCHIP 21 funds
- Special Funds - $138,361 of federal match/carry over funds.

OBJECTIVES

Business Objective	Measurement Description
Replace the current expiring system with a new system that meets or exceeds user satisfaction of the current system.	User satisfaction will be measured to verify the new system meets or exceeds the current system.

KEY CONSTRAINTS AND/OR RISKS

- The current solution will not be available as of April 30, 2025 as it will be discontinued upon expiration of the contract. The project must finish before April 30, 2025 due to the contract expiring.
- The new system cannot go live until internal interface functionality has been implemented between the current systems and the new replacement solution.

Project Startup Report

Submitted to Project Oversight on 12/22/2022

GENERAL INFORMATION

Project Name: DEQ Chemistry LIMS Replacement

Agency Name: Department of Environmental Quality

Project Sponsor: Jim Quarnstrom

Project Manager: Gary Haberstroh

PROJECT DESCRIPTION

This project will be to implement the SampleManager LIMS system from Thermo Fisher Scientific (TFS) at the NDDEQ Chemistry Lab. This will be a complete replacement of their current Northwest Analytical (NWA) LIMS system that was originally implemented at the lab in the 1980's and which is no longer being updated.

The intent is to implement the SampleManager LIMS as a cloud hosted application. The system will be configured to meet the NDDEQ Chemistry business processes and all of the laboratory instruments will be configured with this LIMS system. While TFS will do the main work of implementing this LIMS system, NDDEQ Chemistry Staff will also take training on the SampleManager LIMS system so they are able to use the system but also to do some configuration of the various components of the system going forward.

BUSINESS NEEDS AND PROBLEMS

Business Needs:

- A LIMS that runs on current technology and interfaces with modern lab equipment.
- Reduce staff time entering data and improve data quality.
- Improved documentation for sample analyses data and meta data.
- Service to the state (customers) by providing better access to result data.

PROJECT BASELINES

Project Start Date	Baseline End Date	Baseline Budget	Funding Source
12/1/2021	7/12/2023	$984,288	General Funds

Notes:

OBJECTIVES

Business objectives and measurements come from the project charter.

Business Objective	Measurement Description
1.1 Ensure the Lab, including the LIMS can operate even when there is power outage and Lab is on backup power and when internet is down. After 12 months of operation, the LIMS nonscheduled downtime shall not exceed .3% total and for normal business hours, which would be a maximum total downtime of 2 hours per month and a maximum of 30 minutes per month during normal business hours.	1.1.1 LIMS nonscheduled downtime will be measured in minutes per month that LIMS I not accessible for data entry, not including scheduled downtime as measured annually starting 12 months after go-live. It would track both downtime during normal business hours as well as total nonscheduled downtime.
2.1 The login process must be efficient and easy to login many samples from multiple sources including in person and mailed in samples. Within 12 months of implementation, reduce overall average login time of samples by 25% as compared to current LIMS login process.	2.1.1 After the system has been in operation for 12 months compare the total time login staff need to login samples by the total number of samples, to get a ratio of Time/# samples. Compare this to the same time/sample ration taken before new LIMS was installed.
2.2 Reduce the amount of hand entry for sample data to improve data quality and potential for transcription errors. Within 6 months of implementation, reduce the amount of hand entry of data at login by 25% from samples sourced from NDDEQ.	2.2.1 After the system has been in operation for 6 months, compare the number of data fields that are hand entered vs electronic data transfer as compared to that same process prior to LIMS implementation.
2.3 Improve data accuracy and staff efficiency by being able to transfer analytical data into LIMS rather than hand enter as per the following metrics measured at times indicated after LIMS is implemented: Within 1 month, 100% of result from machines currently connected to LIMS; Within 3 months, 50% of remaining devices that have ability to connect to LIMS; Within 6 months, 100% of devices that have the ability to connect to LIMS.	2.3.1 Percent of lab devices that can communicate with LIMS compared to the number of devices that have an automated transfer of data to LIMS without requiring staff to transcribe data as measured 1 month, 3 months and 5 months after full implementation and then yearly thereafter.
2.4 Bidirectional dataflow and control will be created between the LIMS and Chromeleon. At least one will be established in each major instrumental area (gas chromatography, liquid chromatography, and ion chromatography) in 2 months. All established workflows that interact with Chromeleon will have these capabilities at 12 months.	2.4.1 Number of instruments supported by Chromeleon that have bidirectional data flow configured compared to total instruments supported by Chromeleon as measured after 2 months of implementation and annually thereafter.
3.1 Within 3 months after implementation the LIMS will be able to generate all QAQC reports required by the QA officer. At point of implementation the LIMS will evaluate all defined criteria QC measures in an SOP/workflow.	3.1.1 QA Officer defined reports are incorporated into the LIMS system such that they are able to be generated by the LIMS system, compared to the total number of QA Officer defined reports that they determine should be in the LIMS system as measured 3 months after implementation and annually thereafter.
3.2 Workflows/processes will be tied to all established laboratory Standard Operating Procedures (SOPs). Workflows, including QC measures, will be built for 35% of the laboratory SOPs in 4 months, 70% in 8 months, and 100% in 12 months.	3.2.1 Number or SOP used within the LIMS that have workflows/processes tied to the SOP's compared to all SOP within the LIMS system as measured at 4, 8 and 12 months and then yearly.
4.1 Improve access to final result data for the NDDEQ customer by having systems in place within 12 months after implementation that allow the results for 85% of samples to be accessed electronically on demand by NDDEQ customers with appropriate security.	4.1.1 At a time that is 12 months after implementation, measure the % of NDDEQ related samples whose results can be access electronically, on demand, by NDDEQ customers with appropriate security.

KEY CONSTRAINTS AND/OR RISKS

Constraints:

- The Lab will continue to function and will be able to meet customer's needs in a timely manner throughout the LIMS implementation and transition period.
- This project will be worked on by current staff with the assistance of the vendor. The implementation of the LIMS can be done with current staff and no new DEQ staff or temporary staff will need to be added to work on the project.
- This project will be able to be completed within the current biennium. Money appropriated is for the current biennium.

Risks:

- Project shall not extend into the 2023-2025 biennium unless there is approval from the legislature to allow the money to carry over into this next biennium.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 03/31/2023

GENERAL INFORMATION

Program/Project Name: Website Uplift

Agency Name: Department of Transportation

Project Sponsor: Nicole Peske

Project Manager: Daryl Andes

PROJECT DESCRIPTION

In 2020, the State IT Advisory Committee (SITAC) reviewed and ranked the "Website Drupal Uplift and Enhancements" initiative as part of the statewide information technology initiatives and planning processes. SITAC affirmed the recommendation and communicated the results to the Office of Management and Budget and to the 67th Legislative Assembly for appropriations input. The appropriation was approved with 2021-2022 regular session of 67th legislative assembly.

This program is driven by the need for Department of Transportation (DOT) staff to administer website content through a self-service solution, the need to reduce DOT's public and internal websites' legacy IT system dependencies, the need for a consistent design across multiple divisions' online presences and build a better experience for consumers.

BUSINESS NEEDS

1. Internal staff cannot update content directly on public and intranet websites. Content update requests are submitted manually and processed by development resources. As such, the numerous content requests take significant time to complete and cause delays to delivering critical communications to the public and staff alike.
2. The public website does not align with North Dakota state government branding. Website users may become confused and uncertain while navigating through the website due to branding misalignment and multiple design themes.
3. Currently, administering website updates must be performed on multiple websites separate from dot.nd.gov. The divided online presence:
    1. Creates additional constraints to execute communication strategies (e.g., crisis communications)
    2. Causes confusion among citizens seeking agency services or information
    3. Decreases DOT's online security posture by introducing potential security vulnerabilities
    4. Violates the state's Domain Name Standard (e.g., .com or .org instead of nd.gov)
4. The current intranet and public websites contain outdated information and content. Website users often retrieve or locate information that the agency is unaware of whether the information exceeded retention policy limits, the information is representative of current services, and/or the information may be considered outdated.

PROGRAM/PROJECT FORMAT

Program/Project Start Date: March 3rd, 2022

Budget Allocation at Time of Initial Start Date: $500,000

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

Phase Approach Description: The program will be segmented into three phases. The first being initiating, procurement, and planning for the projects in phases two and three. Phase two will focus on the public website, and phase three will focus on the intranet website.

Estimated End Date for All Phases Known at Time of Initial Start Date: May 30th, 2025.

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
Phase 1	Initiation, Procurement, and Planning	Program initiation and planning	12	$60,980
Phase 2	Public Website	Replace the Department of Transportation (DOT) public website (dot.nd.gov) with Content Management System (CMS) solutions. This includes user experience (UX) testing and design, content management strategy development, development, and migration of content and webpages.	12	$243,424
Phase 3	Intranet Website	Replace the DOT intranet website (mydot.nd.gov) with Content Management System (CMS) solutions. This includes user experience (UX) testing and design, content management strategy development, development, and migration of content and webpages.	14	$318,225

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
Phase 1	3/3/2022	3/28/2023	$60,980	Special	3/31/2023	<1% Over	$56,775	7% Under
Phase 2 – Release 1	1/27/2023	8/11/2023	$84,525	Special				
Phase 2 – Release 2	3/29/2023	11/1/2023	$81,374	Special				

Notes:

Phase 2 and 3 will include multiple projects known as releases. Releases are treated as projects underneath the program.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Phase 1	N/A	N/A	N/A	N/A
Phase 2	Public website aligned with State's branding and IT standards.	Before public website's solution go-live, program team will verify branding alignment and IT standards are met.		
Phase 2	Decrease time spent performing content updates on public and intranet websites.	During the public website's execution, the work effort to administer content on the public website will be baselined. 3-Months after go-live, an assessment to determine work effort administering content on the new solution will execute. A 90% improvement on overall time spent administering content is targeted.		
Phase 2	Authorized users perform content updates directly via self-service.	At public website's solution go-live, authorized users will verify content updates can be performed directly.		
Phase 2	Unify all agency business areas and divisions to singular source of content and online presence.	During program planning activities with partnered vendor teams and state teams, all separated websites will be identified, analyzed, and planned for unification. After the public website's solution go-live, program team will verify no separate business area/division websites exist.		
Phase 3	Review and assess website content inventory to provide holistic overview of information available to public and staff.	During program execution, the state and vendor teams will execute tasks to review and assess content inventory. Based upon the assessments, the state team will confirm review completion.		
Phase 3	Purge content determined to have exceeded retention limits or deemed unneeded for future publication.	During content migration activities, content targeted for deletion will be purged or content will be curated on new solution. The state team will confirm purge/curation completion.		
Phase 3	Administer content to website from files that are identified as unneeded once content transfer completes.	During content migration activities, content targeted for deletion will be purged or content will be curated on new solution. The state team will confirm purge/curation completion.		

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	N/A

KEY CONSTRAINTS AND/OR RISKS

Release 1 Risks

- ○ Deliverable Form/Scope Limitations - Risk identified from the Initial Risk Assessment and discussion of known Program Risks associated with Deliverable #1-Project Kickoff. Technical restrictions limiting the form / scope of deliverables that vendor can provide (such as the format of page ‘templates’ the Department is seeking).
- ○ User Research Recruitment - Risk identified from the Initial Risk Assessment and discussion of known Program Risks associated with Deliverable #1-Project Kickoff. Challenges relating to recruitment of users to user research methods (like tree testing, card sorting, interviews).
- ○ Parallel Release Execution - This risk derives from Release 1-UX, IA, CS and Release 2-Web Dev assumption that program and project teams can maintain resource allocation commitments while both Release 1 and Release 2 execute. The risk is if resource allocations cannot be maintained while both releases' work is in-flight.

Release 2 Risks

- ○ Missed Scope/Design - This risk represents missed scope of work and/or solution design for business processes associated with the public website.
- ○ Implementation Preparedness - This risk derives from the assumption in Release 2-Web Dev plan that development and testing for web applications and State Website Platform will complete prior to website implementation (Release 3).
- ○ Parallel Release Execution - This risk derives from Release 1-UX, IA, CS and Release 2-Web Dev assumption that program and project teams can maintain resource allocation commitments while both Release 1 and Release 2 execute. The risk is if resource allocations cannot be maintained while both releases' work is in-flight.
    - ▪ Availability of Scrum Teams - This risk is to address the capacity of scrum teams to perform project work.

Project Startup Report

Submitted to Project Oversight on 05/10/2023

GENERAL INFORMATION

Project Name: Unemployment Insurance Incremental Modernization Phase 1 (UIIMP1)

Agency Name: Job Service North Dakota (JSND)

Project Sponsor: Darren Brostrom

Project Manager: Heather Raschke

PROJECT DESCRIPTION

Job Service North Dakota (JSND) has contracted with Unisys Corporation through a Statement of Work against the current Master Services Agreement to rewrite the ICON (Interstate Connections Network) Disk Operating System (DOS) batch programs as well as the IBIQ (Interstate Benefits Insurance Query) message queuing application. The solution will natively connect with the proprietary Unisys mainframe but will have reusable components for the Unemployment Insurance (UI) Modernization project.

BUSINESS NEEDS AND PROBLEMS

JSND UI has the following business needs:

1) Utilize maintainable and sustainable UI technology for ICON.
2) Utilize maintainable and sustainable UI technology for IBIQ.

PROJECT BASELINES

Project Start Date	Baseline End Date	Baseline Budget	Funding Source
11/1/2021*	8/3/2023	$759,580	Federal Grant

*Start date includes timeframe for analysis of multiple potential projects, of which this project was included. In other words, it includes some pre-project work.

OBJECTIVES

Business Objective	Measurement Description
1.1 Increase the number of developers available to maintain ICON	1.1.1 At time of implementation, confirm at least ten available developers can support the ICON application.
2.1 Increase the number of developers available to maintain IBIQ	1.1.2 At time of implementation, confirm at least ten available developers can support the IBIQ application.

KEY CONSTRAINTS AND/OR RISKS

1) The federal Emergency UI Admin grant funds must be expended by September 30, 2023.
2) Meetings and ad-hoc phone calls must accommodate the various time zones used by the project team.
3) Physical data cannot be moved from the United States of America.

ITERATIVE PROJECT REPORT FOR PROGRAMS & MULTI-YEAR PHASED PROJECTS

Submitted to Project Oversight on 06/30/2023

GENERAL INFORMATION

Program/Project Name: North Dakota Statewide Interoperable Radio Network (SIRN)
Agency Name: North Dakota Information Technology (NDIT)
Project Sponsor: Craig Felchle
Project Manager: Timothy Verasca

PROJECT DESCRIPTION

A significant portion of the public safety community has stated that current land mobile radio networks limit the ability of first responders to consistently work together in providing timely response for day to day, mutual aid, and task force operations due to technology and coverage limitations. Additionally, current public safety land mobile radio systems may not consistently meet regional/statewide needs in providing suitable functionality across all operating environments and locations.

Significant additional factors supporting the timing of meeting the business needs

1. Approximately 40% of all public safety communications equipment across the state is approaching "End of Support" from manufacturers (2018-2020)
2. Current interoperable communications are limited and require significant work arounds, while not readily supporting field interoperability and communications with the local 911 dispatch centers
3. Procurement and implementation of Mission Critical Communications must address at a minimum
    a. Reliability
    b. Coverage
    c. Interoperability
    d. Sustainability
4. Current Issues experienced within North Dakota
    a. Coverage Challenges
    b. Interoperability Challenges
    c. End of Support Challenges (2018)

To ensure maximum adoption and an efficient communications ecosystem, the SIRN Program will be comprised of multiple projects, and will address the baseline needs put forth by the stakeholder community, provide a centralized management system, and integrate current and future radio systems while enabling federated control of local resources. SIRN solutions will be substantially anchored on existing public (State and Local) infrastructure to leverage all suitable investments.

The program solution for SIRN consists of three principal attributes:

- Deliver effective radio coverage and interoperability
- Ensure feature accessibility and timely/reliable maintenance
- Leverage inclusive Governance

Another way to describe this is the need to deliver the right combination of people, processes, and technologies; in that order. Based on legislative guidance, the SIEC in concert with NDIT will establish an overarching SIRN program based on selection and procurement of a key partner or partners in meeting the business need. Since the selected contractor will be critical in determining the priority of work, use of funds and identification of objectives for each approved project, along with specific business objectives and measurements will be developed and confirmed as part of planning for each project, with SIEC concurrence prior to baselining the project.

ITERATIVE PROJECT REPORT FOR PROGRAMS & MULTI-YEAR PHASED PROJECTS

Submitted to Project Oversight on 06/30/2023

BUSINESS NEEDS AND PROBLEMS

Per the Statewide Interoperable Radio Network Feasibility Study, public safety communications systems in the State of North Dakota are at a critical juncture. The State's current mission critical networks are comprised of a patchwork of dozens of aging and disparate systems that have not kept pace with the public safety community's evolving needs for increased reliability, performance, and interoperability. These land mobile radios serve as an essential communications tool for over 900 public safety and other public sector agencies comprised of 20,000 users and devices and 23 Public Safety Answering Points ("PSAP", "Dispatch", or 9-1-1 Call Centers") distributed across all 53 counties and several state agencies. Many of these systems—primarily anchored on 1970s technology, and implemented individually by State, local, and municipal entities over the past three decades—will soon reach the end of their functional lifecycle and, as the vendors begin to sunset old technologies, will no longer be supported by their manufacturers.

PROJECT FORMAT

Program/Project Start Date: August 1, 2019

Budget Allocation at Time of Initial Start Date: $120,000,000

How Many Phases Expected at Time of Initial Start Date: Three Phases, with sub phases or groups each being managed as a project

Phased Approach Description: Iterative waterfall

Estimated End Date for All Phases Known at Time of Initial Start Date: Term of the contract is 5 years (August 2024), with up to 4 one-year extensions.

PROJECT ROAD MAP

The project 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 or Phase	Title	Scope Statement	Estimated Duration (months)	Estimated Budget
Phase 1 Group 1	Core & Consoles (5)	Establish Network Core and Five (5) PSAP equipment replacements (Grand Forks, Minot, Stutsman, Barnes, & Richland	11 Months	$5,741,102.14
Phase 1 Group 2	Console Replacement	Console replacement group 2	12 Months	$3,628,966.65
Phase 1 Group 3	Console Replacement	Console replacement group 3	TBD	TBD
Phase 1 Group 4	Console Replacement	Console replacement group 4	TBD	TBD
Phase 2 Group 1	RF Buildout & Simulcast	RF Buildout of state-owned towers, tower construction, enclosure construction and Simulcast	41 Months	$21,525,454.52
Phase 2 Group 2	RF Buildout & Simulcast	RF Buildout of leased tower sites and Simulcast	30 Months	$10,683,594.70

Phase 2 Group 3	RF Buildout & Simulcast	RF Buildout of leased tower sites	TBD	TBD
Phase 3 RR	State Radio Reimbursement	State of North Dakota City/County Law Enforcement, Fire Fighters, and Emergency Medical Personnel.	57 Months	$30,000,000.00

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 startup report will be submitted again with the new information.

Project or Phase	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project Phase 1								
Group 1	2012	8/2019	8/2020	$5,741,102.14	8/2020	0	$5,547,151.67	-$193,950.47
Group 2	2012	1/2020	9/2021	$4,429,290.65	TBD	TBD	TBD	TBD
Group 3	2012	1/2021	1/2022	$1,877,307.89	TBD	TBD	TBD	TBD
Group 4	2012	10/2021	3/2023	$1,471,150.44	TBD	TBD	TBD	TBD
Group 5	2012	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project Phase 2								
Group 1	2012	8/2019	12/2022	$25,582,657.04	TBD	TBD	TBD	TBD
Group 2	2012	7/2019	3/2022	$10,683,594.70	TBD	TBD	TBD	TBD
Group 3	2012	3/2021	12/2023	$16,523,924.01	TBD	TBD	TBD	TBD
Group 4	2012	2/2022	9/2024	$24,513,057.90	TBD	TBD	TBD	TBD
Group 5	2012	10/2022	9/2024	$13,938,734.31	TBD	TBD	TBD	TBD
Project Phase 3								
Group 1	2012	7/2020	1/2024	$30,000,000.00	TBD	TBD	TBD	TBD
Project Phase 4								
Group 1	2012	TBD	TBD	TBD	TBD	TBD	TBD	TBD

OBJECTIVES

Group	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Phase 1				
Group 1	Establish SIRN Network Core, DSR & PSAP Console Replacement	Establishment of a fully redundant core and installation of fully functional PSAP equipment	Met	No impacts to daily operations at the PSAP level.
Group 2	PSAP (Public Service Answering Point) Console replacement	Installation of fully functional PSAP equipment	Met	No impacts to daily operations at the PSAP level.
Group 3	PSAP (Public Service Answering Point) Console replacement	Installation of fully functional PSAP equipment	Met	No impacts to daily operations at the PSAP level.

Group 4	PSAP (Public Service Answering Point) Console replacement	Installation of fully functional PSAP equipment	Met	No impacts to daily operations at the PSAP level.
Group 5	Planning			
Phase 2				
Group 1	RF Buildout of NDDOT state-owned towers, tower construction, enclosure construction and simulcast.	Establishment of Motorola's new network at all State-owned sites.		State Radio able to operate on new State network.
Group 2	RF Buildout of tower sites and simulcast.	Establishment of Motorola's new network at Early Adopters lease sites.		Early Adopters able to operate on new network built out.
Group 3	RF Buildout of tower sites and simulcast.	Establishment of Motorola's new network at all leased & ITD owned sites.		Mobile Radio coverage tower build-out continuation.
Group 4	RF Buildout of tower sites and simulcast.	Establishment of Motorola's new network at all leased & ITD owned sites.		Portable Radio coverage tower build-out continuation.
Group 5	RF Buildout of tower sites.	Establishment of Motorola's new network at all leased sites.		Portable Radio coverage tower build-out continuation.
Group 6	Planning			
Phase 3				
Group 1	Radio Reimbursement Tracking	Maximum participation in SIRN 2020 project by North Dakota Cities and Counties		Exhaust all funds
Phase 4				
Group 1	Planning			

POST-IMPLEMENTATION REPORT

Post-Implementation Reports are to be performed 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 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 or Phase	**Lesson learned, success story, idea for next time, etc.**
Phase 1	
Group 1	Lessons Learned. Local Motorola Partner Shops required more training, preparation, and on-site investigations to more efficiently transition PSAP's.
Group 2	*Clarifying and updating financials to complete closeout
Group 3	*One PSAP site remodeled prior to site completion, delaying final R56 reporting. Closeout TBD.
Group 4	* Awaiting contract extension to closeout
Phase 2	
Phase 3	
Phase 4	

KEY CONSTRAINTS AND/OR RISKS

The program has the following constraints:

- NDIT and Public Safety Agency Resources (business, technical) are limited in the number of staff available
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each phase of the project
- Future funding appropriations are necessary to complete all phases
- Cost, schedule, scope, and quality are often in conflict during releases. The sponsor and ESC elected to prioritize these constraints as follows for the program:
    1. Scope
    2. Quality
    3. Cost
    4. Schedule

The program has the following risks:

- North Dakota weather – since there is considerable amounts of civil work to be completed. The North Dakota weather is a risk to all phases of the project. The team will attempt to schedule outdoor civil work based on average weather patterns. However, weather may fluctuate outside of the normal patters and impact the project.
- Supply Chain – Significant components required for this project have seen lead times grow from months to years. The team is working on finding alternative sources and implementations to minimize the effects of these delays.

OMB ACES Project Startup Report

Submitted to Project Oversight on 01/04/2023

GENERAL INFORMATION

Project Name: Andover Continuum EcoStruxure Security Expert Upgrades

Agency Name: North Dakota Management and Budget (OMB)

Project Sponsor: John Boyle

Project Manager: Aaron Kielhack

PROJECT DESCRIPTION

Phase 1 of the Andover Continuum EcoStruxure Security Expert or ACES project shall upgrade the hardware and software controls for the Heating, Ventilation, Air Conditioning (HVAC) systems in the buildings that comprise the North Dakota Capitol Complex. These buildings include the Governor's Residence, the Server Room Generator and the Capitol building comprising of the Judicial Wing, Tower, and Legislative Wing.

Phase 2 of the ACES project shall upgrade the door access controls with Security Expert for the North Dakota Capitol Complex and update the HVAC for additional buildings within the complex to EcoStruxure. Once Phase 2 planning is complete, this project plan will be updated with the Phase 2 information.

BUSINESS NEEDS AND PROBLEMS

1. The end of life for the Andover Continuum software will occur within five years and will become a security risk as it will no longer be supported.
2. New hardware for HVAC and security purchased by the State isn't compatible with Andover Continuum.
3. The State is having difficulty in maintaining the current hardware, which was built in the 1990s and early 2000s.
4. Facilities Management Staff cannot access the current systems with mobile devices.

PROJECT BASELINES

Project Start Date	Baseline End Date	Baseline Budget	Funding Source
02/08/2022	07/21/2023	$518,800	Special Funds

Notes:

All dates and budget are for Phase 1 work.

OBJECTIVES

Business Objective	Measurement Description
100% Replacement of Andover Continuum HVAC controllers at Capitol Complex facilities that are within scope of the project with EcoStruxure	All Capitol Complex facilities HVAC system controllers in scope of the project have been upgraded to EcoStruxure.
100% Replacement of Andover Continuum door security controllers at Capitol Complex facilities that are within scope of the project with Security Expert	All Capitol Complex facilities door security controllers in scope of the project have been upgraded to Security.

KEY CONSTRAINTS AND/OR RISKS

The project has the following constraints:

- The project budget is limited to $518,000 and will only cover Phase 1
- The spending authority for the existing funding for Phase 1 will not continue into the 2023-2025 Biennium

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

GENERAL INFORMATION

Program/Project Name: WSI Claims and Policy System (CAPS) Program: Startup of Release 10 and Closeout of Release 9

Agency Name: Workforce Safety and Insurance

Project Sponsor: Tim Wahlin (current), Barry Schumacher (former)

Project Manager: Jennifer Kunz

PROJECT DESCRIPTION

The Workforce Safety and Insurance (WSI) Claims and Policy System (CAPS) Program (formerly called System Replacement Program) replaces core business applications to improve customer service, enhance system maintainability, provide enhanced reporting and accessibility to information, and enable WSI to remain current with technology. A phased, evolution implementation approach is being used. The program consists of several phases and within each phase there are multiple projects delivering functionality in a production environment, ready to be used.

Completed projects in the program include:

- Phase 1 Planning and Analysis occurred from January through June 2015. This phase included a database consolidation analysis and design, a detailed evolution roadmap, a program plan and schedule, and procurements for the next phase.
- Phase 2 Shared Components Refacing involved three projects which refaced shared functionality between CMS and PICS into the new CAPS user interface.
  - Project 1: Releases 0-1 Forms and DB Consolidation (July 1, 2015 - April 8, 2016): delivered forms functionality (specifically adding, viewing, and maintaining forms) in the new CAPS user interface. The underlying databases were also consolidated.
  - Release 2: Work Management Core functionality (April 11 - September 23, 2016): delivered core Work Management functionality including the viewing, maintaining, and launching of work events.
  - Release 3: Work Management Part 2 (September 19, 2016 - February 24, 2017): delivered the remaining Work Management functionality including Reassignment, Tools, and Reports.
- Phase 3 PICS Application Refacing (current phase) began in February 2017.
  - Release 4: Policy Registration (February 27, 2017 – November 9, 2017): delivered functionality including find legal entity; add/maintain legal entity, notes, employees, volunteers, optional coverage, extra-territorial coverage, reciprocity, non-compliance; and calculate premium.
  - Release 5: Policy Maintenance Part 1 (October 2, 2017 – July 23, 2018): delivered functionality including applications (replacing internal Online Applications), verification of non-employment, adjustments, experience rating, large deductibles, and account snapshot.
  - Release 6: Policy Maintenance Part 2 (June 11, 2018 – July 5, 2019): delivered functionality for maintaining accounting, a general ledger (GL) interface, online payment interface, payment search/entry, and bonds.
  - Release 7: Policy Maintenance Part 3 (May 13, 2019 – August 7, 2020): delivered functionality for Safety and Ergonomic Program Elements, Audits, Referrals, Collections, an Analysis of Providers and Legal Entity (LE), and Future State Enhancements.
  - Release 8: Payroll Reporting (May 26, 2020 – August 6, 2021): delivered functionality for Payroll Reporting, Account Status Changes, and Consolidated Accounts.
  - Release 9: Policy Stabilization (June 16, 2021 – August 10, 2022): this was the final project of Phase 3 (PICS Application Refacing). It delivered production enhancements to sustain and improve functionality delivered over the past five years.

New project starting up:

Phase 4 Release 10: Claim Registration began May 23, 2022 and will end August 21, 2023. It is the first release of Phase 4 (Claims Refacing). It will deliver refaced Claim Registration functionality from the legacy Claims Management System (CMS) into CAPS. The baseline budget is $2,449,647. ServiceLogix will continue to support WSI's team with resources and provide the leadership for the application refacing. NDIT will also continue to support WSI with resources for project management, database administration, and architecture/system/network support.

Future efforts in the program include:

- Phase 4 CMS Application Refacing Releases 11-17. The start and end dates for these releases are not yet baselined.
- Phase 5 Implementation Transition and Closeout. This phase will be approximately six months and include transition from contracted resources and closeout of the program.

Background

From January 2008 through December 2012, extensive efforts were made by WSI to replace the current claims and policy computer systems with a purchased solution from a software vendor. The software vendor contract expired the end of December 2012, and a decision was made not to extend the contract, effectively terminating the course of the initiative prior to successful implementation. Efforts then continued with planning the strategy and determining the best alternative for continuing in order to achieve the original objectives along with any new objectives. From February 2013 through June 2015, WSI completed six steps at the direction of the ESC in preparation of any procurement related to replacing the current claims and policy systems. The ESC approved moving forward with an "evolutionary approach" for WSI's core system replacement/upgrade, the CAPS Program.

BUSINESS NEEDS AND PROBLEMS

The specific primary business needs to be met (with measurements detailed in the next section) through the program are as follows:

- Provide current industry web-based technology for core business systems supporting Injury Services and Employer Services and replace existing client-server-based systems
- Provide a system with enhanced reporting and accessibility to information

As described in the project charter, this program also aligns exceptionally well with WSI's organizational purpose and mission.

PROGRAM/PROJECT FORMAT

Program Start Date:7/1/2015

Budget Allocation at Time of Initial Start Date: $5,760,000 for the 2015-2017 biennium. $8,576,060 for the 2017-2019 biennium. $6,372,605 for the 2019-2021 biennium. $7,500,000 for the 2021-2023 biennium. The budget request for the 2023-2025 biennium is in progress.

How Many Phases Expected at Time of Initial Start Date: Four phases and 20 projects (releases) were expected, plus a fifth phase for Transition and Program Closeout. In April 2022, the Program Release Roadmap was revisited, and the expected total number of releases reduced to 17. This is due to arranging some of the Claim refacing scope more efficiently, given lessons learned through prior releases.

Phase Approach Description: This program consists of several phases and within each phase there are multiple projects (releases) delivering functionality in a production environment, ready to be used. Over the course of each project, the application user interface will be re-faced into a new user interface and the data and programming logic retained, a key success factor. The first project also included the consolidation of the underlying databases. This "Evolutionary Approach" minimizes risk and costs and will replace WSI's core systems incrementally into production with usable functionality approximately every 12 months.

Estimated End Date for All Phases Known at Time of Initial Start Date: The earliest expected end date is 2030 but is dependent upon the detailed planning and baselines of the individual projects.

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
PHASE 1 (COMPLETE)	**Planning and Analysis**		Completed 6/30/15	N/A
PHASE 2 (COMPLETE)	**DB Consolidation and Shared Components**			
Project 1	Shared Components Releases 0-1 (Forms) and DB Consolidation	COMPLETE: Delivered refaced Work Management Forms functionality into production	Completed 4/8/16 (See next section for Actual Duration)	$1,630,288 Baseline (See next section for Actual Cost)
Release 2	Work Management Part 1 (Core)	COMPLETE: Deliver refaced Work Management Core functionality into production	Completed 9/23/16 (see next section for Actual Duration)	$1,640,320 Baseline (See next section for Actual Cost)
Release 3	Work Management Part 2 (Reassignment & Tools)	COMPLETE: Deliver refaced Work Management Reassignment and Tools functionality into production	Completed 2/24/17 (See next section for Actual Duration)	$1,355,629 Baseline (See next section for Actual Cost)
PHASE 3 (COMPLETE)	**Policy (PICS) Application Refacing**			
Release 4	Registration	COMPLETE: Delivered refaced PICS Registration functionality into production	Completed 11/9/17 (See Project Baselines section for Actual Duration)	$1,873,410 Baseline (See Project Baselines section for Actual Cost)
Release 5	Policy Maintenance Part 1	COMPLETE: Delivered refaced PICS Policy Maintenance Part 1 functionality into production	Completed 7/23/18 (See Project Baselines section for Actual Duration)	$1,835,649 Baseline (See Project Baselines section for Actual Cost)
Release 6	Policy Maintenance Part 2	COMPLETE: Delivered refaced PICS Policy Maintenance Part 2 functionality into production	Completed 7/5/19 (See Project Baselines section for Actual Duration)	$2,698,860 Baseline (See Project Baselines section for Actual Cost)
Release 7	Policy Maintenance Part 3	COMPLETE: Delivered refaced PICS Policy Maintenance Part 3 functionality into production	Completed 8/7/20 (see Project Baselines section for Actual Duration)	$2,502,194 Baseline (See Project Baselines section for Actual Cost)
Release 8	Payroll Reporting	COMPLETE: Delivered refaced PICS Payroll Reporting functionality into production	Completed 8/6/21 (see Project Baselines section for Actual Duration)	$2,658,946 Baseline (see Project Baselines section for Actual Cost)
Release 9	Policy Stabilization	COMPLETE: Delivered enhancements to sustain and improve functionality delivered over the past five years	Completed 8/10/22 (see Project Baselines section for Actual Duration)	$1,582,398 Baseline see Project Baselines section for Actual Cost)

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
IN PROGRESS				
PHASE 4	**Claims (CMS) Application Refacing**		**Eight years, Eight Projects / Releases for Phase 4**	**$20,950,120 for entire Phase 4**
Release 10	Claim Registration	BEGAN 5/23/2022: Deliver refaced Claim Registration functionality from legacy CMS into CAPS.	12 months	$2,449,647 Baseline
FUTURE				
Release 11	*Claim Parties & Maintenance Part 1*	*Deliver the refaced CMS Claim Parties and Maintenance Part 1 functionality into production*		
Release 12	*Claim Parties & Maintenance Part 2*	*Deliver the refaced CMS Claim Parties and Maintenance Part 2 functionality into production*		
Release 13	*Wages and Reserves*	*Deliver the refaced CMS Wages and Reserves functionality into production*		
Release 14	*Payments Part 1*	*Deliver the refaced CMS Payments Part 1 functionality into production*		
Release 15	*Payments Part 2*	*Deliver the refaced CMS Payments Part 2 functionality into production*		
Release 16	*Medical*	*Deliver the refaced CMS Medical functionality into production*		
Release 17	*Field/Fraud/ Legal/Rehab*	*Deliver the refaced CMS Field/Fraud/Legal/Rehab functionality into production*		
PHASE 5	***Transition, Program Closeout***		***5 months***	***$45,000***

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	12/4/2014	7/1/2015	5/19/2016	$1,630,288	4/08/2016	3.8% ahead	$1,292,069	20.7% under
Release 2		4/11/2016	9/30/2016	$1,640,320	9/23/2016	0%	$1,332,631	18.7% under
Release 3		9/19/2016	2/28/2017	$1,355,629	2/24/2017	0%	$1,115,716	17.5% under
Release 4		2/27/2017	10/31/2017	$1,873,410	11/9/2017	4.0% behind	$1,660,615	11.3% under
Release 5		10/2/2017	6/29/2018	$1,835,649	7/23/2018	9.2% behind	$1,638,705	10.7% under
Release 6		6/11/2018	5/10/2019	$2,698,860	7/5/2019	16.7% behind	$2,568,372	13.0% under
Release 7		5/13/2019	8/28/2020	$2,502,194	8/7/2020	0%	$2,389,227	4.5% under
Release 8		5/26/2020	6/18/2021	$2,658,946	8/6/2021	13% behind	$2,363,616	11% under
Release 9		6/16/2021	5/31/2022	$1,582,398	8/10/2022	17% behind	$1,491,079	6% under
Release 10		5/23/2022	8/21/2023	$2,449,647				
Release 11								
Release 12								
Release 13								
Release 14								
Release 15								
Release 16								
Release 17								

Notes:

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
	Business Need 1: Provide current industry web-based technology for core business systems supporting Injury Services and Employer Services and replace existing client server-based systems.			
Phase 3	Objective 1.1: Maintain or improve upon existing business functionality/capabilities (i.e., at a minimum, no loss of current process efficiencies and automation)	Measurement 1.1.1: Upon completion of the "Policy Evolution" (including Billing and Workflow) implementation, there will be no measurable loss of policy process efficiencies as measured by operating reports. The most recent operating report prior to the start of the Policy Evolution will be used as the benchmark and will be compared to the first available operating report following the completion of the Policy Evolution.	Met	WSI has continued to test and monitor operation reports after each release and there has been no loss of functionality.
Phase 3		Measurement 1.1.2: Upon completion of the "Policy Evolution" (including Billing and Workflow) implementation, all new policy related process changes, enhancements, and efficiencies identified by the WSI continuous improvement team for inclusion in the Policy Evolution are fully deployed and functioning according to documented requirements.	Met	WSI has continued to meet expectations set by the WSI Continuous improvement team through the CAPS project.
Phase 4		Measurement 1.1.3: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, there will be no measurable loss of claims process efficiencies as measured by operating reports. The most recent operating report prior to the start of the Claims Evolution will be used as the benchmark and will be compared to the first available operating report following the completion of the Claims Evolution.		

Phase 4		Measurement 1.1.4: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, all new claims related process changes, enhancements, and efficiencies identified by the WSI continuous improvement team for inclusion in the Claims Evolution are fully deployed and functioning according to documented requirements.		
Phase 5	Objective 1.2: Enhance customer and staff accessibility to policy and claims related applications and corresponding data/information	Measurement 1.2.1: Upon completion of the "Policy Evolution" (including Billing and Workflow) implementation, WSI staff (with the appropriate security) will have access to the Policy system from anywhere there is an internet connection.		
Phase 3		Measurement 1.2.2: Within six months following the completion of the "Policy Evolution" (including Billing and Workflow) implementation, employers will have self-service access to premium and loss data specific to their account for purposes of managing their policies and claim losses.		
Phase 4		Measurement 1.2.3: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, WSI staff (with the appropriate security) will have access to the Claims system from anywhere there is an internet connection.		
Phase 4		Measurement 1.2.4: Within six months following the completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, employers, providers, and injured workers will have self-service access to claim related data specific to their account/entity.		
Phase 5	Objective 1.3 Improve policy and claims system navigation and ease of use for WSI staff	Measurement 1.3.1 Upon completion of the Policy and Claims Evolution implementations there is a single user interface for accessing policy and claims functionality.		
Phase 5		Measurement 1.3.2: Upon completion of the Policy and Claims Evolution implementations WSI staff will be surveyed to determine the user interface ease of use.	Met (for Policy)	WSI Staff have continued to easily use the CAPS system with improvements made in each release and subsequent maintenance releases.

Phase 3	Objective 1.4 Improve ability to respond to customer and staff requests	Measurement 1.4.1 Within six months following the completion of the "Policy Evolution" (including Billing and Workflow) implementation, there will be a 20% reduction in the turn-around time for completing policy related system change/enhancement requests. Prior to the start of the Policy Evolution a benchmark of the average turn-around time for completing policy related system change/enhancement requests will be established from ITSM and will be compared to the average turn-around time for completing requests after six months following the completion of the Policy Evolution.		Six months have not yet elapsed following the completion of 'Policy Evolution' so this measurement cannot be taken.
Phase 3		Measurement 1.4.2: Within six months following the completion of the "Policy Evolution" (including Billing and Workflow) implementation, there will be a 10% reduction in the amount of time spent by WSI policy staff in providing employers with reports and information. Prior to the start of the Policy Evolution a benchmark of the average amount of staff time per month spent providing employers with reports and information will be established and will be compared to the average amount of time spent providing reports and information after six months following the completion of the Policy Evolution.		Six months have not yet elapsed following the completion of 'Policy Evolution' so this measurement cannot be taken.
Phase 4		Measurement 1.4.3: Within six months following the completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, there will be a 20% reduction in the turn-around time for completing claims related system change/enhancement requests. Prior to the start of the Claims Evolution a benchmark of the average turn-around time for completing claims related system change/enhancement requests will be established from ITSM and will be compared to the average turn-around time for completing requests after six months following the completion of the Claims Evolution.		

Phase 4		Measurement 1.4.4: Within six months following the completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, there will be a 10% reduction in the amount of time spent by WSI Injury Services staff in providing employers, providers, and injured workers with reports and information. Prior to the start of the Claims Evolution a benchmark of the average amount of staff time per month spent providing employers, providers, and injured workers with reports and information will be established and will be compared to the average amount of time spent providing reports and information after six months following the completion of the Claims Evolution.		
	Business Need 2: Provide a system with enhanced reporting and accessibility to information			
Phase 5	Objective 2.1 Improve data integrity of/between core business systems supporting Injury Services and Employer Services	Measurement 2.1.1: Eliminate redundant data between claims and policy systems. During database consolidation planning and design identify and document the occurrences of redundant data between claims and policy systems. Upon completion of database consolidation verify that all occurrences of data redundancy have been eliminated.	Met (for Policy)	WSI now has one system on the Policy side for the staff to use to manage employer accounts.
Phase 5	Objective 2.2 Maintain access to all legacy data supporting Injury Services and Employer Services	Measurement 2.2.1: Access to all legacy data (i.e., history data) is available throughout and following project completion without having to access multiple systems.	Met (for Policy)	WSI now has one system on the Policy side to access for managing employer accounts. CMS will still be used until completion of Claims Evolution. Through each release WSI ensures through data conversion that legacy data, as applicable, was retained.
Phase 3	Objective 2.3 Improve reporting and Business Intelligence (BI) capability	Measurement 2.3.1: Upon completion of the “Policy Evolution” (including Billing and Workflow) implementation, an easy method of accessing Policy summary and detail information from a single set of screens is available to WSI employees.	Met	This objective was met with Release 4 – summary screen and real-time

Phase 4		Measurement 2.3.2: Upon completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, an easy method of accessing Claim summary and detail information from a single set of screens is available to WSI employees.		

POST-IMPLEMENTATION REPORT

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, etc.
Project 1	1. The new CAPS forms functionality successfully meets the needs of WSI end users. The survey respondents who use the forms functionality rated it Above Adequate or Excellent. A few specific comments include: a. “Positive reception of the Forms functionality by the entire agency!! Smooth deployment of the Forms functionality along with the (high) degree of readiness leading up to the deployment” b. “I think this project was an excellent start in laying the foundation for the entire program and future projects to come!!” 2. The project was completed six weeks ahead of the Baseline Schedule and 20.7% under the Baseline Budget. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 3. The survey results show that Communication Management activities were rated as Excellent. There was one outlier of Above Adequate and one of Below Adequate. 4. Comments were positive and one highlighted the tremendous success of the Communications Team, an internal group to WSI. 5. Regarding Organizational Change Management, a question in the survey was “how effective were the overall executive and senior managers in addressing, leading, and supporting the project in an effective, positive and energizing manner?” The majority of respondents rated it Excellent with one comment as follows: “this project went so smoothly that there weren't any major issues for executive and senior managers to address but their support in providing approvals, in celebrations, and overall presence was invaluable!” 6. According to survey results, Issue and Testing Management were effective with the majority of ratings Excellent, a couple at Above Adequate, and one at Below Adequate; comments were positive and there was constructive feedback regarding a need for improvement in the testing of day-in-the-life scenarios.

Release 2	1. The new CAPS Work Management Core functionality successfully meets the needs of WSI end users. The survey respondents who use the Work Management functionality rated it Above Adequate or Excellent. A few specific comments included: a. “I enjoy having an easy and accessible system like CAPS to do much of my daily work and cannot wait for more.” b. “I like the multi-select function and the FYI function. The FYI function was there previously but is being used more often now.” c. “I really like that I can see all of my events for both claims and accounts vs. having to toggle between the two. That helps ensure that I am keeping an eye on both.” d. “One really nice thing is being able to see an event that someone else is currently on. In legacy Work Manager you could not even see that an event was there if someone else was clicked on it.” e. “It’s great that CAPS WM automatically enters the user’s name and date upon reassigning that event. Legacy relied on the human to enter it.” 2. The project was completed on schedule and 18% under the Baseline Budget. 3. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 4. The survey results showed all categories were Above Adequate or Excellent. The team conducted a comprehensive Lessons Learned initiative to discuss the survey results in small groups and implement any improvements that were necessary.
Release 3	1. The CAPS Work Management Part 2 functionality successfully meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. A few specific comments are included below: a. “The widget tools are nice to have to find fraud events that were inadvertently assigned to people without fraud security. The event history search feature is much faster and easier to understand than the previous version in work manager.” b. “The Event History part of this release is so much better than what we have in Work Manager. It’s so nice you can filter in so many different ways and get results faster.” c. “I really enjoy the functionality of CAPS. Each time a new release is deployed the functionality is great and easy to move around, work and learn the new system with ease.” d. “I enjoy that I can add a note which is automatically retained and dated with the event when pending an event or reassigning it. I do enjoy that when payroll reports are reassigned, it will indicate what date the report was reassigned.” e. “Resetting escalations is working great. That was a great change not having to reassign them, but instead being able to reset them.” 2. The project was completed on schedule and 17.5% under the Baseline Budget. 3. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 4. The survey results showed all categories were Above Adequate or Excellent.

Release 4	1. CAPS Policy Registration functionality meets the needs of WSI end users. The majority of survey respondents who use the functionality rated it Adequate, Above Adequate, or Excellent; however, there were some Poor and Below Average ratings. Improvements in the prototyping / requirements process are needed to drive higher product effectiveness. A few specific comments are included below: a. "I like that you can just click a button and go the next window instead without still being in another account." b. "Screens have a consistent look. I like note entry." c. "I really enjoy that PEOs and the PEO contacts were created as Legal Entities and that any updates can be handled at once to their contact information." d. "Sending an email of a document to an employer is seamless now. Thanks!" e. "One success story that I love is that when we know we have the correct LE we can see all accounts that that person is associated to. You can then hyperlink to that account to check the account out." f. "I think as the progress of CAPS moves along, it is requiring us to think outside the box on workflow, event queues, and forms which is a good thing; we need to use the system as efficiently as possible." g. "Pertaining to the Legal Entity areas in CAPS, it should help to keep accounts more in order." h. "The fact that it provides more history that we can see is nice." i. "I'm still getting used to it. I do like how there are legal entities for each business and each person. This way there aren't a lot of different ways that a person or business is in our system." 2. The project completed 11.3% under the Baseline Budget and slightly behind schedule. 3. All deliverables were completed and accepted per the agreed-upon Acceptance Criteria.
Release 5	1. The CAPS Policy Maintenance functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Adequate to Excellent A few specific comments are included below: a. "The adjustment process is so much easier than it had been, and it is really nice to have verifications and employer applications behave so similarly." b. "Automating the optional coverage contracts eliminates a manual process for the underwriters. Removing the second P1 was important for litigation. Process flow change for experience rate adjustments. Previous to release 5, Jodi was guessing what reserves should be adjusted to." c. "Once I am fully comfortable with the updates, I feel that I will be able to perform my processes in a shorter amount of time." d. "Combining legal entities persons is going well." e. "I am loving doing adjustments in CAPS! I really wish we would have been able to fully adjust in CAPS around the $250 but we are getting there. I also really think that we have made headway on the Verification portion. Looking forward to future releases." 2. The project completed 10.7% under budget and 9.2% behind schedule. 3. All deliverables were completed and accepted per the agreed-upon Acceptance Criteria.

Release 6	1. The CAPS Policy Maintenance Part 2 functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. Compared to the last release, the rating in this category improved +.90 from 3.58 to 4.48 out of a possible 5.0. A few specific comments are included below: a. One of the biggest values for underwriting is not having to provide a manual calculation for minimum premium adjustments. Automating the adjustment worksheets has also decreased workload for underwriting staff. One major business process change is the way the check log is started in Office Service, added to by Finance, then uploaded by Meg. This along with the payment entry upload has been a huge success and greatly improved Meg's daily deposit process. b. Love the statement preview functionality, the fact that you can make an adjustment and see the results real time. Love the fact that you can see all information in premium tree node and billing summary tree node. c. The adjustments alone are wonderful. To be able to do them in less than half the time is a dream. Those letters in the forms tool as well are GREAT! d. I think it's great how much easier the deposit is done daily and being able to waive penalty fees. e. I like how easy it is to waive a penalty that has been paid without backing out a payment and how form letters generate automatically for adjustments. f. For our employers – the combined statements; for our employees – easy to navigate system. g. It is easier to find billing information and to understand what is still owing on an account. h. The claims information within CAPS and the links from account to Work Manager are delivering value. i. A lot of the things I am quite happy about have more to do with how CAPS and myWSI work together than how either one functions independently. I love that I can do an adjustment, explain that the bill will go out the day after the SPD, but the changes will be reflected in myWSI account summary. I also really enjoy Assessments in CAPS compared to how they were in PICS. You get a lot more detail at the first look than having to guess based on the claim number and SSN to find a claim that an employer is referring to. Accounts Receivable and Billing Summary do take some getting used to, but I believe I have a good grasp now and that they are working much better than what I could previously use in PICS. I especially enjoy being able to verify adjustment or renewal amounts in billing summary. j. I like not having to go back and forth from CAPS to PICS and once PICS is gone for good, I will be even happier. I like that the Assessments are now part of the billing statement.
Release 7	1. The CAPS Policy Maintenance Part 3 functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. A few specific comments are included below: a. Overall, the CAPS project was a success. The final product is more than sufficient, and I feel after working out the remaining wrinkles...the CAPS functionality is going to be fantastic. b. I am really impressed with the functionality of CAPS. Nice job! c. I think overall we still have some areas to be enhanced with maintenance releases, but the overall functionality is good! d. Great product. e. One month into it and still learning little things. But so far, so good!!! f. CAPS R7 has increased our effectiveness and will take some time to fully learn and maximize to the fullest. g. Makes work much easier and less backtracking, as well as it is nice to access one system versus some information on CAPS and some on PICS. h. I'm not an active user of CAPS, but I'm not hearing anything negative. That's good! i. I feel once we have the chance to use the product a little longer and tweak what needs to be tweaked...the finished product will be exceptional. j. I think overall we still have some areas to be enhanced with maintenance releases, but the overall functionality is good!

Release 8	1. The CAPS Payroll Reporting functionality meets the needs of WSI end users. Project stakeholders rated the functionality at 2.53 out of 3.00 (Above Adequate or Excellent). A couple specific comments from project stakeholders are included below: a. Gathering payroll detail using the same application in a revised payroll report is a major accomplishment. b. I like the entire payroll reporting update, from the filing to the billing.
Release 9	The CAPS Policy Stabilization functionality meets the needs of WSI end users. Project stakeholders rated the functionality at 2.45 out of 3.00 (Above Adequate). Some specific comments from project stakeholders are included below: 1. There have been so many ways that the applications have become more effective. Too many to list all of them. Some highlights are employers no longer have to go to OMB to get a supplier ID and then come back to WSI to continue filling out grant info. DMP customers information that was previously submitted is now share so it can be edited instead of reentered every year. 2. The new PHS LE update queue is less time consuming, as the information being updated is there already, but the option of critiquing or changing something submitted is still available (I like that). 3. Jay Jacobs knowledge of quarterly reporting was vital to that portion of the project's success! 4. The communication aspect of the project was very well done. 5. Team support is always golden. 6. I thought the whole thing went well over all other than there was a lot in it to large, scope creep. 7. The communications overall were really good. I think in particular the UAT updates for those involved had a big impact and reduced some of the stress a little. 8. The use case test scenarios seemed to test all areas of the scope of the project. 9. There is some increased functionality when it works properly. I am not sure why things are tested and are found to be working but then are not working when released.

KEY CONSTRAINTS AND/OR RISKS

- The transition of WSI IT leadership is in progress; these staff are also still managing prior responsibilities.
- WSI and NDIT resources (business, technical) are limited in the number of staff available.
- WSI and NDIT resources are limited in experience with the current and preferred technologies.
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each project/release.
- The schedule for Release 10 is combined with the myWSI Release 6 schedule due to intense integration of the systems, functionality, and team members.
- Future funding appropriations are necessary to complete all projects/releases within the program.
- Cost, schedule, scope, and quality are often in conflict during projects. The sponsor and ESC elected to prioritize these constraints as follows for the program:
  - Quality
  - Scope
  - Schedule
  - Cost

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

GENERAL INFORMATION

Program/Project Name: WSI Claims and Policy System (CAPS) Program: Startup of Release 11 and Status of Release 10

Agency Name: Workforce Safety and Insurance

Project Sponsor: Tim Wahlin

Project Manager: Jennifer Kunz

PROJECT DESCRIPTION

The Workforce Safety and Insurance (WSI) Claims and Policy System (CAPS) Program (formerly called System Replacement Program) replaces core business applications to improve customer service, enhance system maintainability, provide enhanced reporting and accessibility to information, and enable WSI to remain current with technology. A phased, evolution implementation approach is being used. The program consists of several phases and within each phase there are multiple projects delivering functionality in a production environment, ready to be used.

Completed projects in the program include:

- Phase 1 Planning and Analysis occurred from January through June 2015. This phase included a database consolidation analysis and design, a detailed evolution roadmap, a program plan and schedule, and procurements for the next phase.
- Phase 2 Shared Components Refacing involved three projects which refaced shared functionality between CMS and PICS into the new CAPS user interface.
  - Project 1: Releases 0-1 Forms and DB Consolidation (July 1, 2015 - April 8, 2016): delivered forms functionality (specifically adding, viewing, and maintaining forms) in the new CAPS user interface. The underlying databases were also consolidated.
  - Release 2: Work Management Core functionality (April 11 - September 23, 2016): delivered core Work Management functionality including the viewing, maintaining, and launching of work events.
  - Release 3: Work Management Part 2 (September 19, 2016 - February 24, 2017): delivered the remaining Work Management functionality including Reassignment, Tools, and Reports.
- Phase 3 PICS Application Refacing (current phase) began in February 2017.
  - Release 4: Policy Registration (February 27, 2017 – November 9, 2017): delivered functionality including find legal entity; add/maintain legal entity, notes, employees, volunteers, optional coverage, extra-territorial coverage, reciprocity, non-compliance; and calculate premium.
  - Release 5: Policy Maintenance Part 1 (October 2, 2017 – July 23, 2018): delivered functionality including applications (replacing internal Online Applications), verification of non-employment, adjustments, experience rating, large deductibles, and account snapshot.
  - Release 6: Policy Maintenance Part 2 (June 11, 2018 – July 5, 2019): delivered functionality for maintaining accounting, a general ledger (GL) interface, online payment interface, payment search/entry, and bonds.
  - Release 7: Policy Maintenance Part 3 (May 13, 2019 – August 7, 2020): delivered functionality for Safety and Ergonomic Program Elements, Audits, Referrals, Collections, an Analysis of Providers and Legal Entity (LE), and Future State Enhancements.
  - Release 8: Payroll Reporting (May 26, 2020 – August 6, 2021): delivered functionality for Payroll Reporting, Account Status Changes, and Consolidated Accounts.
  - Release 9: Policy Stabilization (June 16, 2021 – August 10, 2022): this was the final project of Phase 3 (PICS Application Refacing). It delivered production enhancements to sustain and improve functionality delivered over the past five years.

Current project in progress:

- Phase 4 Release 10: Claim Registration began May 23, 2022 and has a baseline end date of August 21, 2023. It is the first release of Phase 4 (Claims Refacing). It will deliver refaced Claim Registration functionality from the legacy Claims Management System (CMS) into CAPS. The baseline budget is $2,449,647 and as of June 30, 2023 was tracking 4.7% under budget at a cost of $2,105,870. Release 10 goes live August 4, 2023, jointly with myWSI Release 6.

New project starting up:

- Phase 4 Release 11: Claim Registration began June 26, 2023 and will end August 30, 2024. It will deliver Part 1 of refaced Claim Maintenance functionality from legacy CMS into CAPS. The baseline budget is $2,535,622. ServiceLogix will continue to support WSI's team with resources and provide the leadership for the application refacing. NDIT will also continue to support WSI with resources for project management, database/system administration, and architecture/network support.

Future efforts in the program include:

- Phase 4 CMS Application Refacing Releases 12-17. The start and end dates for these releases are not yet baselined.
- Phase 5 Implementation Transition and Closeout. This phase will be approximately six months and include transition from contracted resources and closeout of the program.

Background

From January 2008 through December 2012, extensive efforts were made by WSI to replace the current claims and policy computer systems with a purchased solution from a software vendor. The software vendor contract expired the end of December 2012, and a decision was made not to extend the contract, effectively terminating the course of the initiative prior to successful implementation. Efforts then continued with planning the strategy and determining the best alternative for continuing in order to achieve the original objectives along with any new objectives.

From 2013 through 2014, WSI completed an extensive research and analysis of lessons learned, current/future business processes, and implementation approach options. In 2015 the ESC approved moving forward with an "evolutionary approach" for WSI's core system replacement/upgrade, the CAPS Program. A vendor analysis was performed, with ServiceLogix identified as the top solution provider. A Notice of Intent to Make a Noncompetitive Purchase (NOI) with ServiceLogix was issued publicly for the Phase 1 Planning Phase. No known bidders were identified and ServiceLogix was awarded the contract. The Alternate Procurement request to OMB was approved.

Upon the successful completion of the Phase 1 Planning Phase with ServiceLogix, a second NOI with ServiceLogix was issued publicly in June 2015 seeking potential bidders to complete Release 1. No known bidders were identified. The Alternate Procurement request to OMB was approved.

From January 2016 through August 2022, Releases 2 – 9 were successfully completed and six additional NOIs were issued over that timeframe, to incrementally cover the costs for the releases through Release 12 of CAPS and Release 8 of myWSI. A correlating Alternate Procurement request to OMB was approved for each. *Note the NOI in February 2020 included the transition to ServiceLogix as vendor for the myWSI program. In June 2023, an amendment to the latest Alternate Procurement request to OMB was approved to incorporate maintenance and operations (M&O) support.

During the planning for each release, a detailed Statement of Work is prepared with ServiceLogix covering the specific scope and reviewed by the OMB procurement officer, then approved by the ESC prior to execution. The contract is amended to include the new SOW.

BUSINESS NEEDS AND PROBLEMS

The specific primary business needs to be met (with measurements detailed in the next section) through the program are as follows:

- Provide current industry web-based technology for core business systems supporting Injury Services and Employer Services and replace existing client-server-based systems
- Provide a system with enhanced reporting and accessibility to information

As described in the project charter, this program also aligns exceptionally well with WSI's organizational purpose and mission.

PROGRAM/PROJECT FORMAT

Program Start Date:7/1/2015

Budget Allocation at Time of Initial Start Date: $5,760,000 for the 2015-2017 biennium. $8,576,060 for the 2017-2019 biennium. $6,372,605 for the 2019-2021 biennium. $7,500,000 for the 2021-2023 biennium. $4,950,000 for the 2023-2025 biennium.

How Many Phases Expected at Time of Initial Start Date: Four phases and 20 projects (releases) were expected, plus a fifth phase for Transition and Program Closeout. In April 2022, the Program Release Roadmap was revisited, and the expected total number of releases reduced to 17. This is due to arranging some of the Claim refacing scope more efficiently, given lessons learned through prior releases.

Phase Approach Description: This program consists of several phases and within each phase there are multiple projects (releases) delivering functionality in a production environment, ready to be used. Over the course of each project, the application user interface will be re-faced into a new user interface and the data and programming logic retained, a key success factor. The first project also included the consolidation of the underlying databases. This “Evolutionary Approach” minimizes risk and costs and will replace WSI’s core systems incrementally into production with usable functionality approximately every 12 months.

Estimated End Date for All Phases Known at Time of Initial Start Date: The earliest expected end date is 2030 but is dependent upon the detailed planning and baselines of the individual projects.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

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
PHASE 1 (COMPLETE)	**Planning and Analysis**		Completed 6/30/15	N/A
PHASE 2 (COMPLETE)	**DB Consolidation and Shared Components**			
Project 1	Shared Components Releases 0-1 (Forms) and DB Consolidation	COMPLETE: Delivered refaced Work Management Forms functionality into production	Completed 4/8/16 (See next section for Actual Duration)	$1,630,288 Baseline (See next section for Actual Cost)
Release 2	Work Management Part 1 (Core)	COMPLETE: Deliver refaced Work Management Core functionality into production	Completed 9/23/16 (see next section for Actual Duration)	$1,640,320 Baseline (See next section for Actual Cost)
Release 3	Work Management Part 2 (Reassignment & Tools)	COMPLETE: Deliver refaced Work Management Reassignment and Tools functionality into production	Completed 2/24/17 (See next section for Actual Duration)	$1,355,629 Baseline (See next section for Actual Cost)
PHASE 3 (COMPLETE)	**Policy (PICS) Application Refacing**			
Release 4	Registration	COMPLETE: Delivered refaced PICS Registration functionality into production	Completed 11/9/17 (See Project Baselines section for Actual Duration)	$1,873,410 Baseline (See Project Baselines section for Actual Cost)
Release 5	Policy Maintenance Part 1	COMPLETE: Delivered refaced PICS Policy Maintenance Part 1 functionality into production	Completed 7/23/18 (See Project Baselines section for Actual Duration)	$1,835,649 Baseline (See Project Baselines section for Actual Cost)
Release 6	Policy Maintenance Part 2	COMPLETE: Delivered refaced PICS Policy Maintenance Part 2 functionality into production	Completed 7/5/19 (See Project Baselines section for Actual Duration)	$2,698,860 Baseline (See Project Baselines section for Actual Cost)
Release 7	Policy Maintenance Part 3	COMPLETE: Delivered refaced PICS Policy Maintenance Part 3 functionality into production	Completed 8/7/20 (see Project Baselines section for Actual Duration)	$2,502,194 Baseline (See Project Baselines section for Actual Cost)
Release 8	Payroll Reporting	COMPLETE: Delivered refaced PICS Payroll Reporting functionality into production	Completed 8/6/21 (see Project Baselines section for Actual Duration)	$2,658,946 Baseline (see Project Baselines section for Actual Cost)
Release 9	Policy Stabilization	COMPLETE: Delivered enhancements to sustain and improve functionality delivered over the past five years	Completed 8/10/22 (see Project Baselines section for Actual Duration)	$1,582,398 Baseline see Project Baselines section for Actual Cost)

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
IN PROGRESS				
PHASE 4	**Claims (CMS) Application Refacing**		**Eight years, Eight Projects / Releases for Phase 4**	**$21M (estimate) for entire Phase 4**
Release 10 (In Progress)	Claim Registration	BEGAN 5/23/2022: Deliver refaced Claim Registration functionality from legacy CMS into CAPS.	12 months	$2,449,647 Baseline
Release 11 (Starting up)	Claim Parties & Maintenance Part 1	Deliver the refaced CMS Claim Parties and Maintenance Part 1 functionality into production	13 months	$2,535,622 Baseline
FUTURE				
Release 12	*Claim Parties & Maintenance Part 2*	*Deliver the refaced CMS Claim Parties and Maintenance Part 2 functionality into production*		
Release 13	*Wages and Reserves*	*Deliver the refaced CMS Wages and Reserves functionality into production*		
Release 14	*Payments Part 1*	*Deliver the refaced CMS Payments Part 1 functionality into production*		
Release 15	*Payments Part 2*	*Deliver the refaced CMS Payments Part 2 functionality into production*		
Release 16	*Medical*	*Deliver the refaced CMS Medical functionality into production*		
Release 17	*Field/Fraud/ Legal/Rehab*	*Deliver the refaced CMS Field/Fraud/Legal/Rehab functionality into production*		
PHASE 5	***Transition, Program Closeout***		***5 months***	***$45,000***

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	12/4/2014	7/1/2015	5/19/2016	$1,630,288	4/08/2016	3.8% ahead	$1,292,069	20.7% under
Release 2		4/11/2016	9/30/2016	$1,640,320	9/23/2016	0%	$1,332,631	18.7% under
Release 3		9/19/2016	2/28/2017	$1,355,629	2/24/2017	0%	$1,115,716	17.5% under
Release 4		2/27/2017	10/31/2017	$1,873,410	11/9/2017	4.0% behind	$1,660,615	11.3% under
Release 5		10/2/2017	6/29/2018	$1,835,649	7/23/2018	9.2% behind	$1,638,705	10.7% under
Release 6		6/11/2018	5/10/2019	$2,698,860	7/5/2019	16.7% behind	$2,568,372	13.0% under
Release 7		5/13/2019	8/28/2020	$2,502,194	8/7/2020	0%	$2,389,227	4.5% under
Release 8		5/26/2020	6/18/2021	$2,658,946	8/6/2021	13% behind	$2,363,616	11% under
Release 9		6/16/2021	5/31/2022	$1,582,398	8/10/2022	17% behind	$1,491,079	6% under
Release 10		5/23/2022	8/21/2023	$2,449,647				
Release 11		626.2023	8/30,2024	$2,535,622				
Release 12								
Release 13								
Release 14								
Release 15								
Release 16								
Release 17								

Notes:

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
	Business Need 1: Provide current industry web-based technology for core business systems supporting Injury Services and Employer Services and replace existing client server-based systems.			
Phase 3	Objective 1.1: Maintain or improve upon existing business functionality/capabilities (i.e., at a minimum, no loss of current process efficiencies and automation)	Measurement 1.1.1: Upon completion of the “Policy Evolution” (including Billing and Workflow) implementation, there will be no measurable loss of policy process efficiencies as measured by operating reports. The most recent operating report prior to the start of the Policy Evolution will be used as the benchmark and will be compared to the first available operating report following the completion of the Policy Evolution.	Met	WSI has continued to test and monitor operation reports after each release and there has been no loss of functionality.
Phase 3		Measurement 1.1.2: Upon completion of the “Policy Evolution” (including Billing and Workflow) implementation, all new policy related process changes, enhancements, and efficiencies identified by the WSI continuous improvement team for inclusion in the Policy Evolution are fully deployed and functioning according to documented requirements.	Met	WSI has continued to meet expectations set by the WSI Continuous improvement team through the CAPS project.
Phase 4		Measurement 1.1.3: Upon completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, there will be no measurable loss of claims process efficiencies as measured by operating reports. The most recent operating report prior to the start of the Claims Evolution will be used as the benchmark and will be compared to the first available operating report following the completion of the Claims Evolution.		

Phase 4		Measurement 1.1.4: Upon completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, all new claims related process changes, enhancements, and efficiencies identified by the WSI continuous improvement team for inclusion in the Claims Evolution are fully deployed and functioning according to documented requirements.		
Phase 5	Objective 1.2: Enhance customer and staff accessibility to policy and claims related applications and corresponding data/information	Measurement 1.2.1: Upon completion of the “Policy Evolution” (including Billing and Workflow) implementation, WSI staff (with the appropriate security) will have access to the Policy system from anywhere there is an internet connection.		
Phase 3		Measurement 1.2.2: Within six months following the completion of the “Policy Evolution” (including Billing and Workflow) implementation, employers will have self-service access to premium and loss data specific to their account for purposes of managing their policies and claim losses.		
Phase 4		Measurement 1.2.3: Upon completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, WSI staff (with the appropriate security) will have access to the Claims system from anywhere there is an internet connection.		
Phase 4		Measurement 1.2.4: Within six months following the completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, employers, providers, and injured workers will have self-service access to claim related data specific to their account/entity.		
Phase 5	Objective 1.3 Improve policy and claims system navigation and ease of use for WSI staff	Measurement 1.3.1 Upon completion of the Policy and Claims Evolution implementations there is a single user interface for accessing policy and claims functionality.		
Phase 5		Measurement 1.3.2: Upon completion of the Policy and Claims Evolution implementations WSI staff will be surveyed to determine the user interface ease of use.	Met (for Policy)	WSI Staff have continued to easily use the CAPS system with improvements made in each release and subsequent maintenance releases.

Phase 3	Objective 1.4 Improve ability to respond to customer and staff requests	Measurement 1.4.1 Within six months following the completion of the “Policy Evolution” (including Billing and Workflow) implementation, there will be a 20% reduction in the turn-around time for completing policy related system change/enhancement requests. Prior to the start of the Policy Evolution a benchmark of the average turn-around time for completing policy related system change/enhancement requests will be established from ITSM and will be compared to the average turn-around time for completing requests after six months following the completion of the Policy Evolution.		Six months have not yet elapsed following the completion of ‘Policy Evolution’ so this measurement cannot be taken.
Phase 3		Measurement 1.4.2: Within six months following the completion of the “Policy Evolution” (including Billing and Workflow) implementation, there will be a 10% reduction in the amount of time spent by WSI policy staff in providing employers with reports and information. Prior to the start of the Policy Evolution a benchmark of the average amount of staff time per month spent providing employers with reports and information will be established and will be compared to the average amount of time spent providing reports and information after six months following the completion of the Policy Evolution.		Six months have not yet elapsed following the completion of ‘Policy Evolution’ so this measurement cannot be taken.
Phase 4		Measurement 1.4.3: Within six months following the completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, there will be a 20% reduction in the turn-around time for completing claims related system change/enhancement requests. Prior to the start of the Claims Evolution a benchmark of the average turn-around time for completing claims related system change/enhancement requests will be established from ITSM and will be compared to the average turn-around time for completing requests after six months following the completion of the Claims Evolution.		

Phase 4		Measurement 1.4.4: Within six months following the completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, there will be a 10% reduction in the amount of time spent by WSI Injury Services staff in providing employers, providers, and injured workers with reports and information. Prior to the start of the Claims Evolution a benchmark of the average amount of staff time per month spent providing employers, providers, and injured workers with reports and information will be established and will be compared to the average amount of time spent providing reports and information after six months following the completion of the Claims Evolution.		
	Business Need 2: Provide a system with enhanced reporting and accessibility to information			
Phase 5	Objective 2.1 Improve data integrity of/between core business systems supporting Injury Services and Employer Services	Measurement 2.1.1: Eliminate redundant data between claims and policy systems. During database consolidation planning and design identify and document the occurrences of redundant data between claims and policy systems. Upon completion of database consolidation verify that all occurrences of data redundancy have been eliminated.	Met (for Policy)	WSI now has one system on the Policy side for the staff to use to manage employer accounts.
Phase 5	Objective 2.2 Maintain access to all legacy data supporting Injury Services and Employer Services	Measurement 2.2.1: Access to all legacy data (i.e., history data) is available throughout and following project completion without having to access multiple systems.	Met (for Policy)	WSI now has one system on the Policy side to access for managing employer accounts. CMS will still be used until completion of Claims Evolution. Through each release WSI ensures through data conversion that legacy data, as applicable, was retained.
Phase 3	Objective 2.3 Improve reporting and Business Intelligence (BI) capability	Measurement 2.3.1: Upon completion of the "Policy Evolution" (including Billing and Workflow) implementation, an easy method of accessing Policy summary and detail information from a single set of screens is available to WSI employees.	Met	This objective was met with Release 4 – summary screen and real-time

Phase 4		Measurement 2.3.2: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, an easy method of accessing Claim summary and detail information from a single set of screens is available to WSI employees.		

POST-IMPLEMENTATION REPORT

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, etc.
Project 1	1. The new CAPS forms functionality successfully meets the needs of WSI end users. The survey respondents who use the forms functionality rated it Above Adequate or Excellent. A few specific comments include: a. "Positive reception of the Forms functionality by the entire agency!! Smooth deployment of the Forms functionality along with the (high) degree of readiness leading up to the deployment" b. "I think this project was an excellent start in laying the foundation for the entire program and future projects to come!!" 2. The project was completed six weeks ahead of the Baseline Schedule and 20.7% under the Baseline Budget. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 3. The survey results show that Communication Management activities were rated as Excellent. There was one outlier of Above Adequate and one of Below Adequate. 4. Comments were positive and one highlighted the tremendous success of the Communications Team, an internal group to WSI. 5. Regarding Organizational Change Management, a question in the survey was "how effective were the overall executive and senior managers in addressing, leading, and supporting the project in an effective, positive and energizing manner?" The majority of respondents rated it Excellent with one comment as follows: "this project went so smoothly that there weren't any major issues for executive and senior managers to address but their support in providing approvals, in celebrations, and overall presence was invaluable!" 6. According to survey results, Issue and Testing Management were effective with the majority of ratings Excellent, a couple at Above Adequate, and one at Below Adequate; comments were positive and there was constructive feedback regarding a need for improvement in the testing of day-in-the-life scenarios.

Release 2	1. The new CAPS Work Management Core functionality successfully meets the needs of WSI end users. The survey respondents who use the Work Management functionality rated it Above Adequate or Excellent. A few specific comments included: a. “I enjoy having an easy and accessible system like CAPS to do much of my daily work and cannot wait for more.” b. “I like the multi-select function and the FYI function. The FYI function was there previously but is being used more often now.” c. “I really like that I can see all of my events for both claims and accounts vs. having to toggle between the two. That helps ensure that I am keeping an eye on both.” d. “One really nice thing is being able to see an event that someone else is currently on. In legacy Work Manager you could not even see that an event was there if someone else was clicked on it.” e. “It’s great that CAPS WM automatically enters the user’s name and date upon reassigning that event. Legacy relied on the human to enter it.” 2. The project was completed on schedule and 18% under the Baseline Budget. 3. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 4. The survey results showed all categories were Above Adequate or Excellent. The team conducted a comprehensive Lessons Learned initiative to discuss the survey results in small groups and implement any improvements that were necessary.
Release 3	1. The CAPS Work Management Part 2 functionality successfully meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. A few specific comments are included below: a. “The widget tools are nice to have to find fraud events that were inadvertently assigned to people without fraud security. The event history search feature is much faster and easier to understand than the previous version in work manager.” b. “The Event History part of this release is so much better than what we have in Work Manager. It’s so nice you can filter in so many different ways and get results faster.” c. “I really enjoy the functionality of CAPS. Each time a new release is deployed the functionality is great and easy to move around, work and learn the new system with ease.” d. “I enjoy that I can add a note which is automatically retained and dated with the event when pending an event or reassigning it. I do enjoy that when payroll reports are reassigned, it will indicate what date the report was reassigned.” e. “Resetting escalations is working great. That was a great change not having to reassign them, but instead being able to reset them.” 2. The project was completed on schedule and 17.5% under the Baseline Budget. 3. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 4. The survey results showed all categories were Above Adequate or Excellent.

Release 4	1. CAPS Policy Registration functionality meets the needs of WSI end users. The majority of survey respondents who use the functionality rated it Adequate, Above Adequate, or Excellent; however, there were some Poor and Below Average ratings. Improvements in the prototyping / requirements process are needed to drive higher product effectiveness. A few specific comments are included below: a. "I like that you can just click a button and go the next window instead without still being in another account." b. "Screens have a consistent look. I like note entry." c. "I really enjoy that PEOs and the PEO contacts were created as Legal Entities and that any updates can be handled at once to their contact information." d. "Sending an email of a document to an employer is seamless now. Thanks!" e. "One success story that I love is that when we know we have the correct LE we can see all accounts that that person is associated to. You can then hyperlink to that account to check the account out." f. "I think as the progress of CAPS moves along, it is requiring us to think outside the box on workflow, event queues, and forms which is a good thing; we need to use the system as efficiently as possible." g. "Pertaining to the Legal Entity areas in CAPS, it should help to keep accounts more in order." h. "The fact that it provides more history that we can see is nice." i. "I'm still getting used to it. I do like how there are legal entities for each business and each person. This way there aren't a lot of different ways that a person or business is in our system." 2. The project completed 11.3% under the Baseline Budget and slightly behind schedule. 3. All deliverables were completed and accepted per the agreed-upon Acceptance Criteria.
Release 5	1. The CAPS Policy Maintenance functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Adequate to Excellent A few specific comments are included below: a. "The adjustment process is so much easier than it had been, and it is really nice to have verifications and employer applications behave so similarly." b. "Automating the optional coverage contracts eliminates a manual process for the underwriters. Removing the second P1 was important for litigation. Process flow change for experience rate adjustments. Previous to release 5, Jodi was guessing what reserves should be adjusted to." c. "Once I am fully comfortable with the updates, I feel that I will be able to perform my processes in a shorter amount of time." d. "Combining legal entities persons is going well." e. "I am loving doing adjustments in CAPS! I really wish we would have been able to fully adjust in CAPS around the $250 but we are getting there. I also really think that we have made headway on the Verification portion. Looking forward to future releases." 2. The project completed 10.7% under budget and 9.2% behind schedule. 3. All deliverables were completed and accepted per the agreed-upon Acceptance Criteria.

Release 6	1. The CAPS Policy Maintenance Part 2 functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. Compared to the last release, the rating in this category improved +.90 from 3.58 to 4.48 out of a possible 5.0. A few specific comments are included below: a. One of the biggest values for underwriting is not having to provide a manual calculation for minimum premium adjustments. Automating the adjustment worksheets has also decreased workload for underwriting staff. One major business process change is the way the check log is started in Office Service, added to by Finance, then uploaded by Meg. This along with the payment entry upload has been a huge success and greatly improved Meg's daily deposit process. b. Love the statement preview functionality, the fact that you can make an adjustment and see the results real time. Love the fact that you can see all information in premium tree node and billing summary tree node. c. The adjustments alone are wonderful. To be able to do them in less than half the time is a dream. Those letters in the forms tool as well are GREAT! d. I think it's great how much easier the deposit is done daily and being able to waive penalty fees. e. I like how easy it is to waive a penalty that has been paid without backing out a payment and how form letters generate automatically for adjustments. f. For our employers – the combined statements; for our employees – easy to navigate system. g. It is easier to find billing information and to understand what is still owing on an account. h. The claims information within CAPS and the links from account to Work Manager are delivering value. i. A lot of the things I am quite happy about have more to do with how CAPS and myWSI work together than how either one functions independently. I love that I can do an adjustment, explain that the bill will go out the day after the SPD, but the changes will be reflected in myWSI account summary. I also really enjoy Assessments in CAPS compared to how they were in PICS. You get a lot more detail at the first look than having to guess based on the claim number and SSN to find a claim that an employer is referring to. Accounts Receivable and Billing Summary do take some getting used to, but I believe I have a good grasp now and that they are working much better than what I could previously use in PICS. I especially enjoy being able to verify adjustment or renewal amounts in billing summary. j. I like not having to go back and forth from CAPS to PICS and once PICS is gone for good, I will be even happier. I like that the Assessments are now part of the billing statement.
Release 7	1. The CAPS Policy Maintenance Part 3 functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. A few specific comments are included below: a. Overall, the CAPS project was a success. The final product is more than sufficient, and I feel after working out the remaining wrinkles...the CAPS functionality is going to be fantastic. b. I am really impressed with the functionality of CAPS. Nice job! c. I think overall we still have some areas to be enhanced with maintenance releases, but the overall functionality is good! d. Great product. e. One month into it and still learning little things. But so far, so good!!! f. CAPS R7 has increased our effectiveness and will take some time to fully learn and maximize to the fullest. g. Makes work much easier and less backtracking, as well as it is nice to access one system versus some information on CAPS and some on PICS. h. I'm not an active user of CAPS, but I'm not hearing anything negative. That's good! i. I feel once we have the chance to use the product a little longer and tweak what needs to be tweaked...the finished product will be exceptional. j. I think overall we still have some areas to be enhanced with maintenance releases, but the overall functionality is good!

Release 8	1. The CAPS Payroll Reporting functionality meets the needs of WSI end users. Project stakeholders rated the functionality at 2.53 out of 3.00 (Above Adequate or Excellent). A couple specific comments from project stakeholders are included below: a. Gathering payroll detail using the same application in a revised payroll report is a major accomplishment. b. I like the entire payroll reporting update, from the filing to the billing.
Release 9	The CAPS Policy Stabilization functionality meets the needs of WSI end users. Project stakeholders rated the functionality at 2.45 out of 3.00 (Above Adequate). Some specific comments from project stakeholders are included below: 1. There have been so many ways that the applications have become more effective. Too many to list all of them. Some highlights are employers no longer have to go to OMB to get a supplier ID and then come back to WSI to continue filling out grant info. DMP customers information that was previously submitted is now share so it can be edited instead of reentered every year. 2. The new PHS LE update queue is less time consuming, as the information being updated is there already, but the option of critiquing or changing something submitted is still available (I like that). 3. Jay Jacobs knowledge of quarterly reporting was vital to that portion of the project's success! 4. The communication aspect of the project was very well done. 5. Team support is always golden. 6. I thought the whole thing went well over all other than there was a lot in it to large, scope creep. 7. The communications overall were really good. I think in particular the UAT updates for those involved had a big impact and reduced some of the stress a little. 8. The use case test scenarios seemed to test all areas of the scope of the project. 9. There is some increased functionality when it works properly. I am not sure why things are tested and are found to be working but then are not working when released.

KEY CONSTRAINTS AND/OR RISKS

- WSI and NDIT resources (business, technical) are limited in the number of staff available.
- WSI and NDIT resources are limited in experience with the current and preferred technologies.
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each project/release.
- The schedule for Release 10 is aligned with the myWSI Release 6 schedule, and the schedule for Release 11 is aligned with the myWSI Release 7 schedule due to intense integration of the systems, functionality, and team members.
- Future funding appropriations are necessary to complete all projects/releases within the program.
- Cost, schedule, scope, and quality are often in conflict during projects. The sponsor and ESC elected to prioritize these constraints as follows for the program:
  - Quality
  - Scope
  - Schedule
  - Cost

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

GENERAL INFORMATION

Program/Project Name: myWSI: Startup of Release 6 and Closeout of Release 5

Agency Name: Workforce Safety and Insurance

Project Sponsor: Valerie Kingsley

Project Manager: Jennifer Kunz

PROJECT DESCRIPTION

myWSI is a secure portal for employers, medical providers, and (eventually) injured employees to access, submit, and view user specific information related to ND Workforce Safety and Insurance (WSI). To date, the team has completed an initial platform release and three feature releases (a fourth release is in progress). The myWSI Program is a large, multi-year program with several releases. Each release is baselined and managed as a major project.

Completed projects in the program include:

- Extranet Infrastructure (August 1, 2015 – June 30, 2017): delivered the core infrastructure of an extranet portal developed on a .Net platform, enabling employers and medical providers with the ability to log in to myWSI and view information related to their transactions.
- myWSI Enhancements (July 1, 2017 – September 3, 2019)
  - myWSI Release 1: delivered features for provider bill status, UR-C / UR-Chiro, medical records submission, and common services for notifications, messaging, and alerts.
  - myWSI Release 2.1 and 2.2: delivered features for the employer eAccount (OEA replacement) and additional common services (payment, FileNet integration, forms retrieval), reports integration, and notifications management.
- Release 3 Safety and Ergo (November 19, 2019 – August 7, 2020): delivered functionality into myWSI for the Safety Program and the Ergonomic Initiative and Grant.
- Release 4 Online Payroll Reporting (May 26, 2020 – August 6, 2021): delivered functionality for Online Payroll Reporting, External Forms, integration with CAPS and the existing login architecture, and establishment of future myWSI architecture.
- Release 5 (June 16, 2021 – August 10, 2022): delivered Online Quarterly Payroll Reporting, Online Volunteer Reporting, External Forms (DMP, P12, FL214, Employment Contact Log), Site Reorganization, Invitation Mgmt. improvements, Employer Dashboard, Provider Dashboard (framework only), Integration with Enterprise Identity Management (new NDLogin platform), Account Billing, and Claim View.

New project starting up:

Release 6: The release began June 6, 2022 and will end August 15, 2023. It will deliver Employer Online Application for Insurance, Safety and Ergo Refacing, Chatbot, and other technical improvements. The baseline budget is $1,524,361. ServiceLogix will provide the leadership for product delivery and support WSI's team with resources. NDIT will continue to support WSI with resources for project management, database administration, and architecture/network support.

Future efforts in the program include (the start and end dates for these releases are not yet baselined):

- Release 7 – Providers (Dashboard, Forms Replacement, Enhanced Chatbot, Admin Tools)
- Release 8 – Injured Employees (Dashboard, File Access, Forms Submittal, SMS/Text, Online FROI)
- Release 9 – General Vendor Access, General Enhancements

Background

In late 2010 and early 2011 a communications audit was performed by Flint Communications to review current communication processes inside and outside of WSI. Priority one was an intranet planning and rewrite project which went live in November 2011. Priority two was a rewrite of the current external website which was launched in June 2015. The third priority was a secure extranet portal for injured employees, employers, and medical providers to view and submit information with WSI.

BUSINESS NEEDS AND PROBLEMS

The specific primary business needs to be met through the program are:

- Support WSI's strategic objective to improve communication.
- Streamline processes related to information from/to external stakeholders.
- Increase availability and usage of information for WSI's stakeholders and partners.

The myWSI Program is in line with WSI's core purpose "to care for injured workers" by offering a secure portal for injured employees, employers, and medical providers to view, update, and submit information related to their interactions with WSI.

PROGRAM/PROJECT FORMAT

Program Start Date: August 1, 2015

Budget Allocation at Time of Initial Start Date: $469,031 for the 2015-2017 biennium. $1,032,300 for the 2017-2019 biennium. $850,000 for the 2019-2021 biennium. $3,050,000 for the 2021-2023 biennium. The budget request for the 2023-2025 biennium is in progress.

How Many Phases Expected at Time of Initial Start Date: The number of phases/projects was unknown at the initial start date, but WSI and Nexus identified an extensive list of features, and the highest priority functionality was implemented (Releases 1-3). After the transition to ServiceLogix in early 2020, a Release Plan strategy was formalized to accommodate all outstanding features (Releases 4-9). In April 2022, the Release Plan strategy was revisited and the anticipated scope for each release was slightly adjusted.

Phase Approach Description: This program consists of multiple projects (releases) delivering functionality into a production environment, ready to be used.

Estimated End Date for All Phases Known at Time of Initial Start Date: The earliest expected end date is 2026 but is dependent upon the detailed planning and baselines of the individual projects.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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 (COMPLETE)	Extranet Infrastructure	Portal framework and login process, integration with existing online applications	Completed 6/30/17	$504,878 Baseline (See next section for Actual Cost)
Releases 1-2 (COMPLETE)	myWSI Enhancements • myWSI Release 1 • myWSI Release 2.1 and 2.2	Provider bill status, UR-C / UR-Chiro, medical records submission, and common services for notifications, messaging, and alerts Employer eAccount (OEA replacement) and additional common services (payment, FileNet integration, forms retrieval), reports integration, and notifications management	Completed 9/3/2019	$1,032,409 Baseline (See next section for Actual Cost)
Release 3 (COMPLETE)	myWSI Release 3.1	Safety program, ergonomic (ergo) initiative and grant, and mobile friendly form updates	Completed 8/7/20	$599,312 Baseline (See next section for Actual Cost)
Release 4 (COMPLETE)	myWSI Release 4 Online Payroll Reporting	Online payroll reporting, external forms, integration with CAPS and the existing login architecture, and establishment of future myWSI architecture	Completed 8/6/21	$303,350 Baseline (See next section for Actual Cost)
Release 5 (COMPLETE)	myWSI Release 5	Online Quarterly Payroll Reporting, Online Volunteer Reporting, External Forms (DMP, P12, FL214, Employment Contact Log), Site Reorganization, Invitation Mgmt. Improvements, Employer Dashboard, Provider Dashboard (framework only), Integration with Enterprise Identity Management (new NDLogin platform), Account Billing, and Claim View	Completed 8/10/22	$1,005,843 Baseline (See next section for Actual Cost)
Release 6	myWSI Release 6	BEGAN 6/6/22: Deliver Employer Online Application for Insurance, Safety and Ergo Refacing, Chatbot, other Technical Improvements	12 months	$1,524,361 Baseline
Release 7	*myWSI Release 7*	*Providers (Dashboard, Forms Replacement, Enhanced Chatbot, Admin Tools)*	*12 months*	*$752,481*
Release 8	*myWSI Release 8*	*Injured Employees (Dashboard, File Access, Forms Submittal, SMS/Text, Online FROI)*	*12 months*	*$837,463*
Release 9	*myWSI Release 9*	*General Vendor Access, General Enhancements*	*12 months*	*$220,225*
Closeout	*myWSI Program Closeout*	*Program closeout and transition*	*4 months*	*$40,000*

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	8/1/2015	8/1/2015	6/30/2017	$504,878	6/30/2017	0%	$469,031	7.1% under
Release 2		7/1/2017	6/28/2019	$1,032,409	9/3/2019	9% behind	$983,891	4.6% under
Release 3		11/19/2019	9/1/2020	$599,312	8/7/2020	7.7% ahead	$540,349	4.5% under
Release 4		6/17/2020	6/18/2021	$303,350	8/6/2021	13% behind	$287,670	5% under
Release 5		6/16/2021	5/31/2022	$1,005,843	8/10/2022	17% behind	$1,046,811	4% over
Release 6		6/6/2022	8/15/2023	$1,524,361				
Release 7								
Release 8								
Release 9								

Notes: The Baseline Budget for Release 5 included a $50,000 scope addition approved by the ESC on October 19, 2021.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Program	Business Need 1: Support WSI's strategic objective to improve communication			
	Objective 1.1: Create a secure portal for WSI external stakeholders to submit and view up to date information related to their interactions with WSI	Measurement 1.1.1: Upon completion of extranet project, ND injured workers, employers, and medical providers will be able to log in to the extranet portal to submit and view up to date information related to their transactions with WSI Anticipated Benefit(s): Improved external stakeholder satisfaction; Improvement in processing time and accuracy of data	Met (2017)	The first project (Extranet Infrastructure) successfully produced the outcome of enabling WSI external stakeholders with the ability to log in to myWSI and view information related to their transactions.
	Business Need 2: Streamline processes related to information from/to external audiences			
	Objective 2.1: Review and improve current processes affecting external stakeholders	Measurement 2.1.1: Reduce the number of contacts with WSI staff per thousand policyholders/claims by 10% within the first year of program completion. Anticipated Benefit(s): Customers able to find information more easily; Workload relief for WSI staff	Met (for Policy)	With prior myWSI releases, employers have been able to access account information and manage their account within myWSI. In R5 continued enhancements were made for management of their account. They are able to find information in myWSI and it assists WSI staff with workload, both Emp Services and Customer Service. Goal is to self-serve

	Business Need 3: Increase online interactivity for WSI's stakeholders and partners			
	Objective 3.1: Design a site that is user-friendly, easily navigable and targets appropriate audiences	Measurement 3.1.1: Increase by 10% the number of external stakeholders using available extranet portal features within the first year of program completion Anticipated Benefit(s) 3.1.1: Improved customer service and internal efficiency	Met (for Policy)	Employers are required to provide information through our external website. Example, payroll reporting process with myWSI R4 where Employers are required to file their payroll report in myWSI. This covers all types of coverage.
	Objective 3.2: Create the extranet to be adaptable to mobile devices	Measurement 3.2.1: Site accessible via iOS, Android, and Windows devices Anticipated Benefit(s) 3.3.2: Improved end user experience	Met (2019)	After Releases 1-2.2, WSI external stakeholders are able to access myWSI via mobile devices.

POST-IMPLEMENTATION REPORTS

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
Project 1	1. It was beneficial to walk through the training with the training handouts. 2. The project managers did a remarkable job in leading the team! 3. Communication overall was very good between ITD, WSI and Nexus. There were some issues, but they were resolved quickly. 4. The team leads were amazing with assistance and always prompt with assistance. 5. Overall, the project went great from my perspective. 6. Congrats on the successful implementation! I look forward to using it myself as an account holder with WSI!
Releases 1-2	1. The training provided was wonderful and I can see the URC UR Chiro applications that were deployed as very valuable to the UR Department. They will help provide better/faster service to the injured workers! 2. Issues were corrected when identified during testing. 3. The technical team members (from multiple areas) completed significant changes/improvements to the environments (getting the myWSI environments set up to mirror the CAPS/WSI legacy applications environment), which was a major accomplishment. 4. There were some snags with the scripts and bugs with Go live, but overall, they were fixable; we just had to all work together (which we did) to figure them out. 5. The frequent technical touch-bases with ITD before Go-live worked well. 6. Very good collaboration across multiple organizations (WSI, Nexus, ServiceLogix, ITD) working on issues together with little friction. 7. Early on, there were a lot of unknowns from the developers’ standpoint; as the project progressed it became easier for who to contact, etc. The WSI team also grew its knowledge base on what their capabilities and skills for tasks were. 8. Both teams grew through working together. We learned good communication through difficult situations. 9. Communication was much better between all the teams involved. 10. Training was done very well with good communication throughout the process. 11. Integration testing went better this time because we were able work on integrations earlier than last time.
Release 3	1. A lot of work went into this and I think as we all become accustomed to the changes it will work nicely. 2. I really like the new functionality in MyWSI! 3. Expanding our client base utilizing myWSI. 4. Too soon to tell, each month employers safety audits are completed, and employers will need to learn what to do during that time. 5. This was unique situation where a business unit was doing so much manual work then moving so much to automated and online. Kudos to all the team members - business, tech, vendor, management. 6. Too early in the release to comment. 7. Once customers are signed up and learn the functionality, I believe it will serve them and WSI well. 8. I think once we have a chance to work in all the CRs we'll have a very efficient product for our customers. 9. I really like the Road map approach that was designed by Nexus, it is a great picture to see for the Employer to see where they are at in the process and what needs to be completed.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

Project/ Phase	Lesson Learned, Success Story, Idea for Next Time, etc.
Release 4	1. The new payroll reporting system is a great upgrade. For our employers to not have an access code to start the payroll report is a really good thing. Most of the accountants are pleased that the access code went away. 2. Gathering payroll detail using the same application in a revised payroll report is a major accomplishment. 3. I like the entire payroll reporting update, from the filing to the billing. 4. Having one vendor made requirements gathering much easier. 5. Business identifying communication needs and working on these earlier in the release. 6. I think the communication is getting better with each release. 7. One vendor that has extensive knowledge on insurance industry and quarterly payroll systems that can help the business with best practices. 8. The communication and training were good. 9. Kudos for great teamwork in a remote work environment! 10. The leaders did a great job of keeping us informed of the progress of the project. 11. It was a big release with many moving parts. Thank you to the team! Great job!!
Release 5	The myWSI Release 5 functionality meets the needs of end users. Project stakeholders rated the functionality at 2.41 out of 3.00 (Above Adequate). Some specific comments from project stakeholders are included below: 1. The new dashboard in myWSI is awesome and easier to maneuver through. Sending an invite is so much quicker, simpler, as is adding roles to an existing user. 2. Dave Donavan deserves a special call out for all the work he did with the new ND Login! 3. The communication aspect of the project was very well done. 4. Team support is always golden. 5. I thought the whole thing went well over all other than there was a lot in it too large, scope creep. 6. The communications overall were really good. I think in particular the UAT updates for those involved had a big impact and reduced some of the stress a little. 7. The use case test scenarios seemed to test all areas of the scope of the project. 8. There is some increased functionality when it works properly. I am not sure why things are tested and are found to be working but then are not working when released.

KEY CONSTRAINTS AND/OR RISKS

- The transition of WSI IT leadership is in progress; these staff are also still managing prior responsibilities.
- WSI and NDIT resources (business, technical) are limited in the number of staff available.
- WSI and NDIT resources are limited in experience with the current and preferred technologies.
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each project/release.
- The schedule for Release 6 is combined with the CAPS Release 10 schedule due to intense integration of the systems, functionality, and team members.
- Future funding appropriations are necessary to complete all projects/releases within the program.
- Cost, schedule, scope, and quality are often in conflict during projects. The sponsor and ESC elected to prioritize these constraints as follows for the program:
    - Quality
    - Scope
    - Schedule
    - Cost

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

GENERAL INFORMATION

Program/Project Name: myWSI: Startup of Release 7 and Status of Release 6

Agency Name: Workforce Safety and Insurance

Project Sponsor: Valerie Kingsley

Project Manager: Jennifer Kunz

PROJECT DESCRIPTION

myWSI is a secure portal for employers, medical providers, and (eventually) injured employees to access, submit, and view user specific information related to ND Workforce Safety and Insurance (WSI). To date, the team has completed an initial platform release and multiple feature releases. The myWSI Program is a large, multi-year program with several releases. Each release is baselined and managed as a major project.

Completed projects in the program include:

- Extranet Infrastructure (August 1, 2015 – June 30, 2017): delivered the core infrastructure of an extranet portal developed on a .Net platform, enabling employers and medical providers with the ability to log in to myWSI and view information related to their transactions.
- myWSI Enhancements (July 1, 2017 – September 3, 2019)
  - myWSI Release 1: delivered features for provider bill status, UR-C / UR-Chiro, medical records submission, and common services for notifications, messaging, and alerts.
  - myWSI Release 2.1 and 2.2: delivered features for the employer eAccount (OEA replacement) and additional common services (payment, FileNet integration, forms retrieval), reports integration, and notifications management.
- Release 3 Safety and Ergo (November 19, 2019 – August 7, 2020): delivered functionality into myWSI for the Safety Program and the Ergonomic Initiative and Grant.
- Release 4 Online Payroll Reporting (May 26, 2020 – August 6, 2021): delivered functionality for Online Payroll Reporting, External Forms, integration with CAPS and the existing login architecture, and establishment of future myWSI architecture.
- Release 5 (June 16, 2021 – August 10, 2022): delivered Online Quarterly Payroll Reporting, Online Volunteer Reporting, External Forms (DMP, P12, FL214, Employment Contact Log), Site Reorganization, Invitation Mgmt. improvements, Employer Dashboard, Provider Dashboard (framework only), Integration with Enterprise Identity Management (new NDLogin platform), Account Billing, and Claim View.

Current project in progress:

- Release 6: The release began June 6, 2022 and has a baseline end date of August 21, 2023. It will deliver Employer Online Application for Insurance, Safety and Ergo Refacing, Chatbot, and other technical improvements. The baseline budget is $1,524,361 and as of June 30, 2023 was tracking 4% under budget.

New project starting up:

- Release 7 – Providers: The release began June 26, 2023 and will end August 30, 2024. It will deliver the Provider Dashboard, Medical Form Submission, Medical Records Submission, URC and UR-Chiro Refacing, and Technical Enhancements. The baseline budget is $783,061. ServiceLogix will provide the leadership for product delivery and support WSI's team with resources. NDIT will continue to support WSI with resources for project management, database/system administration, and architecture/network support.

Future efforts in the program include (the start and end dates for these releases are not yet baselined):

- Release 7 – Providers (Dashboard, Forms Replacement, Enhanced Chatbot, Admin Tools)
- Release 8 – Injured Employees (Dashboard, File Access, Forms Submittal, SMS/Text, Online FROI)
- Release 9 – General Vendor Access, General Enhancements

Background

In late 2010 and early 2011 a communications audit was performed by Flint Communications to review current communication processes inside and outside of WSI. Priority one was an intranet planning and rewrite project which went live in November 2011. Priority two was a rewrite of the current external website which was launched in June 2015.

The third priority was a secure extranet portal for injured employees, employers, and medical providers to view and submit information with WSI. Because of the successful history with the first priority initiative, WSI engaged with Nexus Innovations (Nexus) and NDIT to evaluate technology options. The Extranet Project was initiated in August 2015. Nexus was (and continues to be) an approved vendor in the State Vendor Pool contract. WSI followed all procurement requirements to utilize them as a vendor, including Alternate Procurement requests and Work Orders where applicable, and ESC approvals when needed. WSI developed, launched and added various features to its extranet portal (myWSI) with vendor partner Nexus.

In order to reduce complexity, create efficiencies for staff, and improve the integration between the Claims and Policy System (CAPS) and myWSI projects/systems, in January 2020 WSI leadership determined it to be in the best interest of the agency to transition to a single vendor (ServiceLogix) for development and support of both systems. After approval from the Executive Steering Committee to proceed with this procurement strategy (followed by meetings with Nexus and WSI team members) a Notice of Intent to Make a Non-Competitive Purchase (NOI) with ServiceLogix was issued February 7, 2020 on the State Procurement Office web site. The response deadline was February 14, 2020 and there were no questions or responses from other vendors. The Alternate Procurement request for this purchase was submitted to the State Procurement Office and approved February 20, 2020.

To date, the team has completed an initial platform release and five feature releases (the sixth and seventh releases are in progress). Each release is baselined as a major project and delivers functionality into production, ready to be used.

BUSINESS NEEDS AND PROBLEMS

The specific primary business needs to be met through the program are:

- Support WSI's strategic objective to improve communication.
- Streamline processes related to information from/to external stakeholders.
- Increase availability and usage of information for WSI's stakeholders and partners.

The myWSI Program is in line with WSI's core purpose "to care for injured workers" by offering a secure portal for injured employees, employers, and medical providers to view, update, and submit information related to their interactions with WSI.

PROGRAM/PROJECT FORMAT

Program Start Date: August 1, 2015

Budget Allocation at Time of Initial Start Date: $469,031 for the 2015-2017 biennium. $1,032,300 for the 2017-2019 biennium. $850,000 for the 2019-2021 biennium. $3,050,000 for the 2021-2023 biennium. $1,830,000 for the 2023-2025 biennium.

How Many Phases Expected at Time of Initial Start Date: The number of phases/projects was unknown at the initial start date, but WSI and Nexus identified an extensive list of features, and the highest priority functionality was implemented (Releases 1-3). After the transition to ServiceLogix in early 2020, a Release Plan strategy was formalized to accommodate all outstanding features (Releases 4-9). In April 2022, the Release Plan strategy was revisited and the anticipated scope for each release was slightly adjusted.

Phase Approach Description: This program consists of multiple projects (releases) delivering functionality into a production environment, ready to be used.

Estimated End Date for All Phases Known at Time of Initial Start Date: The earliest expected end date is 2026 but is dependent upon the detailed planning and baselines of the individual projects.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

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 (COMPLETE)	Extranet Infrastructure	Portal framework and login process, integration with existing online applications	Completed 6/30/17	$504,878 Baseline (See next section for Actual Cost)
Releases 1-2 (COMPLETE)	myWSI Enhancements • myWSI Release 1 • myWSI Release 2.1 and 2.2	Provider bill status, UR-C / UR-Chiro, medical records submission, and common services for notifications, messaging, and alerts Employer eAccount (OEA replacement) and additional common services (payment, FileNet integration, forms retrieval), reports integration, and notifications management	Completed 9/3/2019	$1,032,409 Baseline (See next section for Actual Cost)
Release 3 (COMPLETE)	myWSI Release 3.1	Safety program, ergonomic (ergo) initiative and grant, and mobile friendly form updates	Completed 8/7/20	$599,312 Baseline (See next section for Actual Cost)
Release 4 (COMPLETE)	myWSI Release 4 Online Payroll Reporting	Online payroll reporting, external forms, integration with CAPS and the existing login architecture, and establishment of future myWSI architecture	Completed 8/6/21	$303,350 Baseline (See next section for Actual Cost)
Release 5 (COMPLETE)	myWSI Release 5	Online Quarterly Payroll Reporting, Online Volunteer Reporting, External Forms (DMP, P12, FL214, Employment Contact Log), Site Reorganization, Invitation Mgmt. Improvements, Employer Dashboard, Provider Dashboard (framework only), Integration with Enterprise Identity Management (new NDLogin platform), Account Billing, and Claim View	Completed 8/10/22	$1,005,843 Baseline (See next section for Actual Cost)
Release 6 (In Progress)	myWSI Release 6	BEGAN 6/6/22: Deliver Employer Online Application for Insurance, Safety and Ergo Refacing, Chatbot, other Technical	12 months	$1,524,361 Baseline
Release 7 (Starting up)	myWSI Release 7	Providers (Dashboard, Medical Form Submission, Medical Records Submission, URC and UR-Chiro Refacing, other Technical Enhancements)	13 months	$783,061
Release 8	*myWSI Release 8*	*Injured Employees (Dashboard, File Access, Forms Submittal, SMS/Text, Online FROI)*	*12 months*	*$837,463*
Release 9	*myWSI Release 9*	*General Vendor Access, General Enhancements*	*12 months*	*$220,225*
Closeout	*myWSI Program Closeout*	*Program closeout and transition*	*4 months*	*$40,000*

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	8/1/2015	8/1/2015	6/30/2017	$504,878	6/30/2017	0%	$469,031	7.1% under
Release 2		7/1/2017	6/28/2019	$1,032,409	9/3/2019	9% behind	$983,891	4.6% under
Release 3		11/19/2019	9/1/2020	$599,312	8/7/2020	7.7% ahead	$540,349	4.5% under
Release 4		6/17/2020	6/18/2021	$303,350	8/6/2021	13% behind	$287,670	5% under
Release 5		6/16/2021	5/31/2022	$1,005,843	8/10/2022	17% behind	$1,046,811	4% over
Release 6		6/6/2022	8/21/2023	$1,524,361				
Release 7		6/26/2023	8/30/2024	$783,061				
Release 8								
Release 9								

Notes: The Baseline Budget for Release 5 included a $50,000 scope addition approved by the ESC on October 19, 2021.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Program	Business Need 1: Support WSI's strategic objective to improve communication			
	Objective 1.1: Create a secure portal for WSI external stakeholders to submit and view up to date information related to their interactions with WSI	Measurement 1.1.1: Upon completion of extranet project, ND injured workers, employers, and medical providers will be able to log in to the extranet portal to submit and view up to date information related to their transactions with WSI Anticipated Benefit(s): Improved external stakeholder satisfaction; Improvement in processing time and accuracy of data	Met (2017)	The first project (Extranet Infrastructure) successfully produced the outcome of enabling WSI external stakeholders with the ability to log in to myWSI and view information related to their transactions.
	Business Need 2: Streamline processes related to information from/to external audiences			
	Objective 2.1: Review and improve current processes affecting external stakeholders	Measurement 2.1.1: Reduce the number of contacts with WSI staff per thousand policyholders/claims by 10% within the first year of program completion. Anticipated Benefit(s): Customers able to find information more easily; Workload relief for WSI staff	Met (for Policy)	With prior myWSI releases, employers have been able to access account information and manage their account within myWSI. In R5 continued enhancements were made for management of their account. They are able to find information in myWSI and it assists WSI staff with workload, both Emp Services and Customer Service. Goal is to self-serve

	Business Need 3: Increase online interactivity for WSI's stakeholders and partners			
	Objective 3.1: Design a site that is user-friendly, easily navigable and targets appropriate audiences	Measurement 3.1.1: Increase by 10% the number of external stakeholders using available extranet portal features within the first year of program completion Anticipated Benefit(s) 3.1.1: Improved customer service and internal efficiency	Met (for Policy)	Employers are required to provide information through our external website. Example, payroll reporting process with myWSI R4 where Employers are required to file their payroll report in myWSI. This covers all types of coverage.
	Objective 3.2: Create the extranet to be adaptable to mobile devices	Measurement 3.2.1: Site accessible via iOS, Android, and Windows devices Anticipated Benefit(s) 3.3.2: Improved end user experience	Met (2019)	After Releases 1-2.2, WSI external stakeholders are able to access myWSI via mobile devices.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 7/28/2023

POST-IMPLEMENTATION REPORTS

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
Project 1	1. It was beneficial to walk through the training with the training handouts. 2. The project managers did a remarkable job in leading the team! 3. Communication overall was very good between ITD, WSI and Nexus. There were some issues, but they were resolved quickly. 4. The team leads were amazing with assistance and always prompt with assistance. 5. Overall, the project went great from my perspective. 6. Congrats on the successful implementation! I look forward to using it myself as an account holder with WSI!
Releases 1-2	1. The training provided was wonderful and I can see the URC UR Chiro applications that were deployed as very valuable to the UR Department. They will help provide better/faster service to the injured workers! 2. Issues were corrected when identified during testing. 3. The technical team members (from multiple areas) completed significant changes/improvements to the environments (getting the myWSI environments set up to mirror the CAPS/WSI legacy applications environment), which was a major accomplishment. 4. There were some snags with the scripts and bugs with Go live, but overall, they were fixable; we just had to all work together (which we did) to figure them out. 5. The frequent technical touch-bases with ITD before Go-live worked well. 6. Very good collaboration across multiple organizations (WSI, Nexus, ServiceLogix, ITD) working on issues together with little friction. 7. Early on, there were a lot of unknowns from the developers' standpoint; as the project progressed it became easier for who to contact, etc. The WSI team also grew its knowledge base on what their capabilities and skills for tasks were. 8. Both teams grew through working together. We learned good communication through difficult situations. 9. Communication was much better between all the teams involved. 10. Training was done very well with good communication throughout the process. 11. Integration testing went better this time because we were able work on integrations earlier than last time.
Release 3	1. A lot of work went into this and I think as we all become accustomed to the changes it will work nicely. 2. I really like the new functionality in MyWSI! 3. Expanding our client base utilizing myWSI. 4. Too soon to tell, each month employers safety audits are completed, and employers will need to learn what to do during that time. 5. This was unique situation where a business unit was doing so much manual work then moving so much to automated and online. Kudos to all the team members - business, tech, vendor, management. 6. Too early in the release to comment. 7. Once customers are signed up and learn the functionality, I believe it will serve them and WSI well. 8. I think once we have a chance to work in all the CRs we'll have a very efficient product for our customers. 9. I really like the Road map approach that was designed by Nexus, it is a great picture to see for the Employer to see where they are at in the process and what needs to be completed.

Project/ Phase	Lesson Learned, Success Story, Idea for Next Time, etc.
Release 4	1. The new payroll reporting system is a great upgrade. For our employers to not have an access code to start the payroll report is a really good thing. Most of the accountants are pleased that the access code went away. 2. Gathering payroll detail using the same application in a revised payroll report is a major accomplishment. 3. I like the entire payroll reporting update, from the filing to the billing. 4. Having one vendor made requirements gathering much easier. 5. Business identifying communication needs and working on these earlier in the release. 6. I think the communication is getting better with each release. 7. One vendor that has extensive knowledge on insurance industry and quarterly payroll systems that can help the business with best practices. 8. The communication and training were good. 9. Kudos for great teamwork in a remote work environment! 10. The leaders did a great job of keeping us informed of the progress of the project. 11. It was a big release with many moving parts. Thank you to the team! Great job!!
Release 5	The myWSI Release 5 functionality meets the needs of end users. Project stakeholders rated the functionality at 2.41 out of 3.00 (Above Adequate). Some specific comments from project stakeholders are included below: 1. The new dashboard in myWSI is awesome and easier to maneuver through. Sending an invite is so much quicker, simpler, as is adding roles to an existing user. 2. Dave Donavan deserves a special call out for all the work he did with the new ND Login! 3. The communication aspect of the project was very well done. 4. Team support is always golden. 5. I thought the whole thing went well over all other than there was a lot in it too large, scope creep. 6. The communications overall were really good. I think in particular the UAT updates for those involved had a big impact and reduced some of the stress a little. 7. The use case test scenarios seemed to test all areas of the scope of the project. 8. There is some increased functionality when it works properly. I am not sure why things are tested and are found to be working but then are not working when released.

KEY CONSTRAINTS AND/OR RISKS

- WSI and NDIT resources (business, technical) are limited in the number of staff available.
- WSI and NDIT resources are limited in experience with the current and preferred technologies.
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each project/release.
- The schedule for Release 6 is aligned with CAPS Release 10 and the schedule for Release 7 is aligned with CAPS Release 11 due to intense integration of the systems, functionality, and team members.
- Future funding appropriations are necessary to complete all projects/releases within the program.
- Cost, schedule, scope, and quality are often in conflict during projects. The sponsor and ESC elected to prioritize these constraints as follows for the program:
  - Quality
  - Scope
  - Schedule
  - Cost

Project Closeout Report

Submitted to Project Oversight on 06/08/2023

GENERAL INFORMATION

Project Name: Dynamics One Stop Shop (DOSS)

Agency Name: Bank of North Dakota

Project Sponsor: Lindsay Wagner

Project Manager: Jenna Buksch

PROJECT DESCRIPTION

In 2020, Bank of North Dakota (BND) engaged consultants to perform a feasibility study on implementing Dynamics365 to improve management of our loan pipeline, loan lifecycle servicing, Customer Relationship Management (CRM), and to create an online loan application and document portal. This feasibility study was presented to the BND Executive team on 3/12/21 and approval was obtained to request bids for the development of a system. The feasibility study identified system requirements which will be validated as part of the Analysis phase of the project.

PowerObjects has been selected as the vendor for the project and the proposed system, DOSS (Dynamics One Stop Shop), will replace the existing Baker Hill and Salesforce systems which BND currently uses for managing the loan pipeline, tracking outstanding and ongoing required loan documentation, CRM, and provide additional functionality.

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	03/22/2021	06/06/2022	$955,000	Special – BND Funds	06/09/2023	254	$947,368.01	($7,631.99)
Final Baseline		04/13/2023	$1,055,000	Special – BND Funds	06/09/2023	40	$947,368.01	($107,631.99)

Notes:

BND added an additional $100,000 funding to the project as the Fiserv integration was more than expected due to being unable to pursue an estimate from Fiserv until after the project was started.

BND budgeted costs for licenses and storage for the first year of using the system, however, when the budget was closed only costs incurred through the project were charged. This left a large difference in the variance with the project running under budget. However, BND did have contingency left and costs of licenses were far lower than budgeted.

The costs for the Dynamics system for May were estimated due to the NDIT bill for this month not being available at the time this report was prepared.

MAJOR SCOPE CHANGES

Schedule delays were due to vendor issues with understanding and documenting requirements, delivering functionality that was not complete or not as it was discussed in the requirements, and a high amount of staff loss throughout the project.
Due to incomplete development work on the portal for DOSS, it was decided to break the portal into its own deliverable to allow PowerObjects more time to finish development work after the MDA was released in November of 2022. This added approximately 6 months of additional time to the project.

There were 5 change requests that were completed with PowerObjects throughout the project. One of those CRs being to create an additional deliverable for the portal as explained above.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Implement new CRM system and decommission use of the current systems (Baker Hill, Salesforce CRM, and SharePoint approvals).	Upon completion of each release, each included module is fully deployed and functioning according to documented requirements.	Met	Baker Hill, Salesforce CRM, and SharePoint approvals have all been decommissioned and the processes from this system are all included in the DOSS system. Each module deployed meets BND's requirements.
50% of lead lenders actively adopting the online portal	Application audit reporting to identify lead lenders who are using the online application.	Not Met Yet	As we learned more about the portal and leveraged change management planning, the project team decided that the portal deployment to lead lenders needs a separate project. This is due to the portal needing to be released in phases gradually to their customers. There is also a system enhancement planned to be completed in M&O that BND would like to complete before deploying the portal.
75% or 80% of BND users actively using the new CRM solution	Application audit reporting to identify employees who are using the online application.	Met	120 BND employees have access to DOSS and all are completing their work from within DOSS.

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?"

Key Lessons Learned and Success Stories
Vendor Staff Turnover - The amount of staff turnover with the vendor caused issues with the delivery schedule delays and gaps of knowledge of what was discussed during the requirements gathering phase. To help avoid this in the future, teams should ensure thorough documentation is completed on requirements, builds, and workflows to help smooth the transition of resources. Also, identify back up resources in case primary resources leave, so there are minimal delays during staff transitions.
Level of detail in initial feasibility study and requirements gathering - We found repeatedly through the project, that not enough detail was delved into or documented during the feasibility study. This was a reoccurring issue where what was thought to be simple functionality from the feasibility study was actually very complex and involved. This led to confusion and frustration from both sides of what was in the scope and led to additional time needed to clearly review requirements and ensure what was being built met the needs of the business unit.

Key Lessons Learned and Success Stories
Loan Boarding Efficiencies - As part of this project, APIs between the DOSS system and the Fiserv core were implemented which allowed automated loan boarding. Prior to this project, this was a completely manual process where Loan Servicing Associates keyed all loan information field by field. This automated boarding saves approximately 20 minutes per loan in employee time. This has allowed these employees to focus on other important work.
Improved customer experience - This project also created a customer facing portal where BND's partner financial institutions can apply for and manage their loans. Before this project, customers could only submit loan applications from a pdf form and email in supporting documents. They also had no insight into their tracking items or current loans. This allows BND's partner financial institutions to have greater visibility into their loans, provides a secure portal to apply for loans and upload documents, and allows them to better manage their tracking items and provide documentation to BND.

Project Closeout Report

Submitted to Project Oversight on 7/6/2023

GENERAL INFORMATION

Project Name: Electronic Medical Records

Agency Name: Department of Corrections and Rehabilitation

Project Sponsor: Dave Krabbenhoft

Project Manager: Justin Anderson

PROJECT DESCRIPTION

The Department of Corrections and Rehabilitation's (DOCR) existing medical record system is RCare Magnum Electronic Medical Record (EMR). The vendor (AssistMed, Inc.) dissolved, and the system is no longer being serviced. DOCR must replace the EMR solution or be forced to return to paper medical records.

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	6/24/2019	9/30/2021	$1,032,051.00	General	6/30/2023	76%	$1,297,363.80	26%
Final Baseline		6/30/2023	$1,301,018.00	General	6/30/2023	0%	$1,297,363.80	0%

Notes:

Project rebaseline was approved 3/29/2023 as part of our corrective action plan.

MAJOR SCOPE CHANGES

Due to the unique licensing of the DOCR pharmacy (a hybrid of inpatient and outpatient), we needed to scale back from a bidirectional interface to a unidirectional interface. A webpage and widget are being developed to make the required information visible within myAvatar.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met
Install a resident-centric Electronic Health Records system	The system will permit electronic access to treatment information for residents.	Met
	The system will allow for all treatment and diagnosis data to be available as needed.	Met
Install an Electronic Health Records system that functions in a corrections and rehabilitation setting	The system will have the functionality to support resident treatment	Met
	The system will have the functionality to serve the needs of the corrections and rehabilitation centers.	Met

Business Objective	Measurement Description	Met/ Not Met
Install a single integrated system to manage the continuum of behavioral health care provided by the state.	The system will provide the ability to share data with other state agencies	Met

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?”

Key Lessons Learned and Success Stories
A greater understanding of how the technical choices would affect the workflow requirements should have been gathered while procurement options were being reviewed.
In the future, we need to be sure that we completely evaluate any new tools and skillsets that we plan to use before we employ them on timeline critical tasks.
There needs to be clear documentation about what the system is currently designed to do as opposed to what it may be capable of in the future.

Project Closeout Report

Submitted to Project Oversight on 8/24/22

GENERAL INFORMATION

Project Name: Help for Homeowners

Agency Name: Human Services

Project Sponsor: Jessica Thomasson

Project Manager: Val Brostrom

PROJECT DESCRIPTION

Congress approved funding for emergency rent assistance in the American Rescue Plan Act of 2021 (ARPA) COVID relief package. North Dakota was allocated $50 million via ARPA to be distributed via a statewide Homeowner Assistance program; there are no North Dakota local jurisdiction awards in the Act. The program will provide payments on behalf of low, moderate, and middle income households, including payment of mortgage arrears and future mortgage payments. The State 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 for a program known as ND Rent Help. The current project adds the homeowner module and pathway to the current ND Rent Help platform.

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	4/4/22	8/24/22	$2,000,000	Federal	8/23/22	1%	$1,435,994.13	28% under
Final Baseline		8/24/22	$2,000,000	Federal	8/23/22	1%	$1,435,994.13	28% under

Notes:

MAJOR SCOPE CHANGES

None.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Goal is for 75% of identified applications to successfully connect within 60 days of initial contact.	First measurement will be taken approximately 60 days after Go-Live of the Homeowner application portal, with an additional measurement to be taken 30 days later. The means of measurement will be a report that is run with the assistance of the vendor.	Met	100% of applications were connected within 60 days.

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?”

Key Lessons Learned and Success Stories
Extensive collaboration between State and Deloitte teams allowed the team to meet or exceed deadlines
Bi-weekly sprint cycle allowed for continuous improvement and identify gaps in the requirements
Identify tasks involving third parties during the planning process. This will enable the team to plan appropriately and get the work completed when needed
Set expectations for reporting needs during analysis/design

Project Closeout Report

Submitted to Project Oversight on 12/19/2022

GENERAL INFORMATION

Project Name: MMIS Application Programming Interface

Agency Name: Department of Health and Human Services

Project Sponsor: Alyssa Neis

Project Manager: Jacob Chaput

PROJECT DESCRIPTION

Centers for Medicare & Medicaid Services (CMS) seeks to allow patients to have better access to their health data. CMS and the Office of the National Coordinator for Health Information Technology (ONC) have issued the Interoperability and Patient Access final rule requiring Medicaid and Medicare advantage plans to develop a patient access Application Programming Interface (API) and a provider directory API. North Dakota Department of Human Services (DHS) will need to procure and implement a Health Level 7 Fast Healthcare Interoperability Resources (HL7 FHIR) API with the current Medicaid Management Information System (MMIS).

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	10/6/2020	2/14/2022	$656,082.00	Federal (CMS) and General Funding	12/19/2022	61% Over	$712,172.50	8.5% Over
Final Baseline		12/1/2022	$754,491.40	Federal (CMS) and General Funding	12/19/2022	2% Over	$712,172.50	5% Under

Notes:

Project scope was added in March 2022 to incorporate new required work. Time and Materials based development came in underestimate used in updated baseline.

MAJOR SCOPE CHANGES

Development of a Member Authentication interface to the solution for members and authorized representatives was added.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Comply with Interoperability and Patient Access final rule.	DHS will report to CMS when solution is implemented and live.	Met	All components of the CMS Interoperability Rule have been implemented to meet final rule and will be reported in next quarterly CMS report.

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?”

Key Lessons Learned and Success Stories
State team was staffed with knowledgeable and personable project management as well as experienced and accessible business analysts and leadership that have worked together in previous projects. This allowed the team to learn new technologies and address issues quickly.
Project team was able to collaborate and facilitate well using Microsoft Teams and OneNote tools.
State team received training on the system midway through development. Design decisions required revisiting as a result to ensure a quality product. Having the training earlier, before development would have prevented rework.
Project team may have worked better with more focused meetings. By relying on a weekly catch-all meeting, the team sometimes could not get through long discussions on business and technical decisions. Identifying those decisions and having separate, smaller meetings would have allowed the team to progress faster.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 07/14/2023

GENERAL INFORMATION

Program/Project Name: Eligibility System Modernization
Agency Name: Department of Health and Human Services (DHHS)
Project Sponsor: Michele Gee
Project Manager: Val Brostrom

PROJECT DESCRIPTION

The Department of Human Services currently determines eligibility for medical assistance, cash assistance, supplemental nutrition, child care assistance and heating assistance in four separate information systems. Two of these systems will be heavily impacted by the modifications required to comply with the 2010 Patient Protection & Affordable Care Act (ACA) passed by Congress in March 2010. The ACA legislation will broadly expand Medicaid coverage to nearly anyone with an income up to 138% of the federal poverty level (no longer limited to low-income children, pregnant women and disabled adults). The objective of this project is to replace the current eligibility systems with a single system that will meet the requirements of the ACA as well as streamline the application process for constituents.

BUSINESS NEEDS

1. Incorporation of ACA requirements to meet compliance date of January 1, 2014; allowing for initial enrollment by October 1, 2013 with the completion of the entire system by December 31, 2015.
2. The Centers for Medicare & Medicaid Services (CMS) has issued new standards and conditions that must be met by the states in order for Medicaid technology investments for eligibility systems to be eligible for the enhanced federal funding percentage (i.e. 90% federal matching percentage rate).
3. A single eligibility system for all economic assistance programs which provides for sharing of information regarding clients interactively amongst its service programs resulting in increased efficiency, ease of use, mobility of the application, and effective reporting for decision making.

PROGRAM/PROJECT FORMAT

Program/Project Start Date: 3/20/2012 charter approval. 5/7/2013 execution start date.

Budget Allocation at Time of Initial Start Date: $42,617,925

How Many Phases Expected at Time of Initial Start Date: The initial build being custom development by NDIT was planned to be 1 phase. It was later determined to procure a system and the project would be broken into two major phases, with the first phase being the required ACA functionality and the second being the remaining programs (Medicaid age, blind, disabled (ABD), Temporary Assistance for Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP), Child Care Assistance Program (CCAP), and Low Income Home Energy Assistance Program (LIHEAP)).

Phase Approach Description: The ACA functionality will be iteration 1 and will be released immediately upon completion (Release 1). The remaining iterations will include functionality for Medicaid ABD, TANF, SNAP, CCAP, and LIHEAP; known as Release 2.

Estimated End Date for All Phases Known at Time of Initial Start Date: 3rd quarter 2018.

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
ITD build	ITD Build	To develop a custom solution to replace the current eligibility systems with a single system	60 months	$59,290,077
Iteration 1	Release 1	This includes business functionality to support the Affordable Care Act.	34.9 months	$45,436,315 Re-baselined to $50,943,770
Iteration 2	Release 2	Business functionality for TANF, SNAP, and CCAP including the requirements validation, construction, system integration testing, user acceptance testing, training, transition and implementation for each.	26 months	$77,167,534 Re-baselined to $102,658,205
Iteration 3	Release 3	The business functionality for Medicaid Aged, Blind, and Disabled.	12 months	$9,401,329
Iteration 4	Release 4	The remaining functionality for Low Income Home Energy Assistance Program (LIHEAP)	18 months	$5,076,429 Re-baselined to $13,210,829

Notes:
Release 2 was originally intended to include the requirements validation, construction, system integration testing, user acceptance testing, training, transition and implementation for the remaining business functionality for Medicaid age, blind, disabled (ABD), TANF, SNAP, CCAP, and LIHEAP programs. It was initially estimated to be 26 months. Release 3 then became the remaining functionality for Medicaid Aged, Blind, and Disabled (ABD) and Release 4 became LIHEAP. Release 4 was originally planned to be 15 months but became 33 months.

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
ITD Build	4/2/2012	9/11/2015	$59,290,077	Federal and State	NA		$14,660,476	
Release 1	4/15/2015	5/8/2016	$36,971,862	Federal and State	3/9/2017	0.0%	$35,864,831	2.9% under
Release 2	2/1/2016	5/19/2019	$102,658,205	Federal and State	6/30/2019	6.7%	$102,743,169	0.0%
Release 3	5/20/19	6/30/2020	$9,401,330	Federal and State	10/16/2020	1.0%	$9,115,290	3% under
Release 4	6/1/20	12/28/21	$13,210,829	Federal	7/14/2023	1.0%	$13,182,534	2% under

Notes:

The funds that were split between Federal and State general funds were split 90% Federal and 10% State.

The ITD Build phase was cancelled prior to completion. The unused funds were transferred to the next phase, Release 1. In May 2014, the ESC made the decision to proceed with an RFP to transfer a system from another state and on August 14, 2014 the ESC canceled the ITD Build. Release 1 work with Deloitte began on April 15, 2015.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met
Iteration 1	Objective 1.1: Meet federally mandated requirements to integrate with the federal HBE.	Measurement 1.1.1: Successful send and receipt of all defined eligibility transactions from the federal hub and completion of the enrollment and/or reenrollment processes by October 1, 2013.	Met
Iteration 1	Objective 1.2: In order to apply the correct Federal Matching Percentage (FMAP) for Medicaid enrollees, the system must be able to determine upon enrollment whether the individual's authorization was based upon existing eligibility criteria or the criteria created by the ACA.	Measurement 1.2.1: Determine methodology the state will deploy for determining the application of FMAP by December 31, 2012. Measurement 1.2.2: The system is able to correctly report claims payment data by FMAP upon go live	Met
Iteration 1	Objective 1.3: Creation of real-time application process.	Measurement 1.3.1: Public facing application in which the client is capable of completing the application for Medicaid and CHIP online upon go live.	Met
All iterations	Objective 2.1: Meet the system requirements as outlined in the Centers for Medicare and Medicaid (CMS) Enhanced Funding Requirements: Seven Conditions and Standards (MITS-11-01)	Measurement 2.1.1: Modularity Standard - This condition requires the use of a modular, flexible approach to systems development, including the use of open interfaces and exposed application programming interfaces (API); the separation of business rules from core programming; and the availability of business rules in both human and machine-readable formats.	Met
		Measurement 2.1.2: MITA Condition - This condition requires states to align to and advance increasingly in MITA maturity for business, architecture, and data.	Met

All iterations	Objective 2.1: cont.	Measurement 2.1.3: Industry Standard condition - States must ensure alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards; accessibility standards established under section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with federal civil rights laws; standards adopted by the Secretary under section 1104 of the Affordable Care Act; and standards and protocols adopted by the Secretary under section 1561 of the Affordable Care Act.	Met
		Measurement 2.1.4: Leverage Condition - State solutions should promote sharing, leverage, and reuse of Medicaid technologies and systems within and among states.	Met
		Measurement 2.1.5: Business Results Condition - Systems should support accurate and timely processing of claims (including claims of eligibility), adjudications, and effective communications with providers, beneficiaries, and the public.	Met
		Measurement 2.1.6: Reporting Condition - Solutions should produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.	Met
		Measurement 2.1.7: Interoperability Condition - Systems must ensure seamless coordination and integration with the Exchange (whether run by the state or federal government), and allow interoperability with health information exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services.	Met
		Measurement 2.1.8: A state self-assessment will be completed after the release of the final MITA 3.0 guidelines.	Met
All iterations	Objective 3.1: Increase efficiency in application processing for each program.	Measurement 3.1.1: Reduction in the meantime from which an application is received until the application is authorized. The mean time and expected reduction for each program will be identified during the project and met within six months of go live for that program.	Met
		Measurement 3.1.2: Utilization of online reauthorization at go-live.	Met

All iterations	Objective 3.2: The system is user friendly.	Measurement 3.2.1: Conduct survey of Eligibility workers within three months of application roll-out with a 90% approval rating.	Not measured
		Measurement 3.2.1: Request online customer feedback at end of application process with a 90% approval rating for six months post implementation.	Not measured
All iterations	Objective 3.3: Web based application is accessible from any location using multiple devices types including PCs, smartphones, and tablets.	Measurement 3.3.1: Successful application access and interaction through identified devices during acceptance testing.	Met
All iterations	Objective 3.4: Application will include business intelligence features which allows for tracking in real-time key performance measures as well as long term trending via data warehouse solution.	Measurement 3.4.1: Key performance measures are captured during requirements gathering and demonstration of functionality confirmed during user acceptance testing.	Met
		Measurement 3.4.2: Project will include data extraction, transfer, and load to external data store with business intelligence functionality which will allow stakeholders to query and generate ad hoc reports.	Met
Iteration 1	Objective 1.1: Meet federally mandated requirements to integrate with the federal HBE.	Measurement 1.1.1: Successful send and receipt of all defined eligibility transactions from the federal hub and completion of the enrollment and/or reenrollment processes by October 1, 2013.	Met

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
All phases	Adding temporary policy staff to backfill state staff to allow state staff to do more project related activities and not be overburdened with daily responsibilities.
Iterations 1-4	The system that was transferred from another state was to have minimal system changes with the business making process changes, however, the opposite occurred. Few process changes were made, and significant changes were made to the system. The approach for the system transfer needed to be clearly communicated to the policy staff making decisions
All phases	Great collaboration across all teams

KEY CONSTRAINTS AND/OR RISKS

The project has the following constraints:

- Availability of CMS federal funding for eligibility requirements related to ACA will end December 31, 2015.
- Availability of technical standards for ACA requirements, such as specifications for interfacing with the federal data hub and the federal exchange.
- Cost, schedule, scope, and quality are often in conflict during projects. The governing committee elected to prioritize as follows:
    1. Schedule

2. Quality
3. Cost
4. Scope

Iterative Project Report For Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/22/2022

GENERAL INFORMATION

Program Name: Motor Vehicle (MV) and Driver License (DL) Program

Agency Name: North Dakota Transportation

Project Sponsor: Brad Schaffer

Project Manager: Leila Thompson

PROGRAM DESCRIPTION

During the 2019 Legislative Session North Dakota Department of Transportation (NDDOT) received the funding for a STARS Service Pack Upgrade along with a new DL system which will be called the MV and DL Program. The MV and DL Program frames and drives efforts to succeed in establishing a universal service delivery platform. The program's mission is to achieve and maintain modernized sustainable systems, improve business processes, and offer various opportunities for citizens to consume DL and MV services. The program is comprised of several different projects, which may run simultaneously, or be executed sequentially.

During the June 2020 Emergency Commission meeting NDDOT received CARES Act funding for four projects, of which two were moved under the MV and DL program.

MV and DL program projects are as follows:

- Drivers License Business Process Improvement Project (Completed March 30, 2020)
- Driver License and Motor Vehicle Mobile Application Project (Completed December 30, 2020)
- Motor Vehicle Upgrade Phase 1 Project (Completed December 30, 2020)
- Licensing Enterprise Gateway Endpoint for North Dakota Project (Completed November 22, 2022)
    - Motor Vehicle Upgrade Phase 2 Project
    - Driver License Replacement

  The MVU2 and DLSR were combined to create the LEGEND project.
- Digital Driver License System Refresh Project (In progress and scheduled to end September 18, 2023)
- Mobile Identity (mID) (In progress and schedule to end August 15, 2023)

BUSINESS NEEDS AND PROBLEMS

DLBPM:

1. NDDOT wants to improve the processing time of the Driver License services and deliverables
    a. Newer technology would provide for additional growth and enhancements
    b. The general public will have the assurance that their records are correct and secure
2. NDDOT wants to implement the Service Pack Upgrade to the current Motor Vehicle STARS system in the development environment

DLMVMA:

1. NDDOT wants to expand the DL and MV online and kiosk services to a mobile application platform.

MVU1:

1. NDDOT wants to implement the Service Pack Upgrade to the current Motor Vehicle STARS system in the development environment
    a. Implementing the upgrade in the development environment is the first step in the upgrade process
    b. The current version does not allow some processes to be implemented without a service pack

MVU2:

1. NDDOT wants to improve the workflow and implement upgrades to the current MV

   a. The Service Pack Upgrade will bring the STARS system up to date with the latest updates and better workflow in the system
   b. The current version does not allow some processes to be implemented without a service pack

DDLSR:

1. NDDOT wants to have Driver License systems built on modern technology
   a. The DL system is built on a Mainframe platform, which is considered out-of-date technology, and developers are hard to find, resulting in few options for support
   b. The Mainframe is going away and there are very few agencies still using it
   c. The current Driver License system has an interface to Motor Vehicle, and it would be beneficial to have both systems on the same platform and database to create a connection

mID:

1. Implement a mobile identity solution built on a sustainable technology platform.
2. Improve the processing time of the driver license services and ensure handheld device accessibility.
3. mID solution compatible with scanners, readers, and other similar devices used to authenticate/validate a user's identity in real-time.

PROGRAM/PROJECT FORMAT

Program Start Date: August 1, 2019

Budget Allocation at Time of Initial Start Date: $22.5 million. Additional allocation: June 2020, NDDOT received $8,300,000 in CARES Act funding for the DLMVMA and MVU1 & 2 projects.

How Many Projects Expected at Time of Initial Start Date: Four: DLBPM, DLMVMA, MVU1, and LEGEND (MVU2 and DLSR), the DDLSR project was added in 2021, and the mID project was added in 2022.

Project Approach Description: A combination of sequentially and concurrently. The DLBPM project will be initiated first, follow by concurrent execution of DLMVMA and MVU1 through December 30, 2020, and DLSR and MVU2 executed together as the Licensing Enterprise Gateway Endpoint for North Dakota (LEGEND) project through November 23, 2022, and DDLSR will be executed concurrently with the LEGEND project until November 23, 2022

Estimated End Date for All Phases Known at Time of Initial Start Date: DLBPM ended 3/30/2020, DLMVMA end date is 12/30/2020, MVU1 end date is 12/30/2020, LEGEND: DLSR and MVU2 end date is 11/23/2022. DDLSR added in 2021 and has an end date of 9/18/2023, mID added in 2022 and has an estimated end date of 8/15/2023.

Iterative Project Report For Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/22/2022

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
DLBPM	Business analysis of current business processes, desired future state, and requirements for the procurement.	6 months	$240,000
DLMVMA	NDDOT mobile app is intended to offer customers another channel to consume DMV unified services by offering seamless and familiar user experiences. The mobile app will improve the customers' ability to quickly access DMV content, services, and reduce the need to visit a physical DMV office.	6 months	$487,300
MVU 1	This project will deliver phase 1 of an upgraded Motor Vehicle system based on the current version of the core FAST product, V12. The project will deliver the installation of the base configuration in the development environment be completed by December 2020.	6 months	$6,115,000
LEGEND	This project will deliver a new DL system built on a current, sustainable technology platform and an upgraded MV system based on the current version of the core FAST product, V12 in the production environment.	23 months	$20,533,432
DDLSR	The DDLSR project will deliver the new DDLS by June 26, 2023, and the entire project will be completed by September 18, 2023.	25 months	$580,000
mID	The mID project will deliver a computerized licensing system that allows a licensed motor vehicle operator to provide electronic proof of valid licensing on an electric communication device.	11 Months	$1,000,000
		Program total budget:	$28,855,732

Iterative Project Report For Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/22/2022

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
DLBPM	10/16/2020	01/27/2020	03/27/2020	$240,000	03/30/2020	0	$216,349.50	0.01
DLMVMA	06/19/2020	10/21/2020	12/30/2020	$248,449	12/23/2020	-0.02	$384,935.73	0.21
MVU1	06/19/2020	10/21/2020	12/30/2020	$3,115,000	12/23/2020	-0.02	$6,042,873.00	0.01
LEGEND	03/2/2020	11/30/2020	11/23/2022	$20,533,432	11/22/2023	0	$20,181,604.03	0.01
DDLSR	08/2/2022	07/1/2022	09/18/2023	$580,000	TBD	TBD	TBD	TBD
mID	09/01/2022	TBD	08/15/2023	$1,000,000	TBD	TBD	TBD	TBD

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
DLBPM	1. Reduce training time for new system users by 60 hours. Currently, a new system user goes through 160 hours of system training.	1. Within 6 months of system implementation, the system trainers will be surveyed to determine how many hours of system training is required for new system users.	1. Met	1. From the business process prospective, the delivery of the current state business process model provided an immediate reduction in hours required to train new staff. Once the new DL system is implemented, including integration of the future state business process models, the DL program will achieve a greater reduction in hours required to train new DL staff.
	2. The new DL system will require streamlining work processes and allow for stopping and starting work at any point in the process.	2. After User acceptance testing, testers will be surveyed to determine whether their work process has been improved and their processing time has been reduced.	2. Met	2. Several “quick win” process improvements were implemented that streamlined work processes, resulting in a savings of approximately 12 efficiency hours per week.
	3. Simplify some process time of certain tasks and how the system flows.	3. Within 6 months of system implementation, MV users will be surveyed to determine if the new process is saving time.	3. Met	3. This project set the foundation for achieving this business objective with the implementation of the new DL system.
DLMVMA	1. It’s critical that the NDDOT remain agile to meet customers’ demand for more convenience and accessible DMV services. 2. Provide accessibility across iOS and Android devices. 3. Provide diversion of human-contact services at unified DMV offices.	1. After implementation, staff and customers will be able to access services offered online through the mobile app platform. 2. Within 6 months of system implementation MV and DL customers will be surveyed to determine if the new mobile app is more convenient. 3. Within 6 months of system implementation, DMV staff will be surveyed to determine if there is decrease in the number of ND citizens visiting DMV offices.	1. Met 2. Met 3. Met	1. The mobile application is available for download from the Google and Apple app stores. 2. The outcome of this objective will be determined 6 months after implementation in the production environment. 3. The outcome of this objective will be determined 6 months after implementation in the production environment.

MVU1	1. To upgrade the MV system by December 16, 2020 in the development environment with the Base Configuration.	1. The MV upgrade will be at least 50% completed at the start of phase 2.	1. Met	1. The update to the MV system is at least 50% completed.
LEGEND	1. Procure a driver license system built on a current, sustainable technology platform.	1. During the procurement phase of the project, NDIT architects will be invited to review the technical solution. They will be asked to consider features such as: database structure, support options, compliance with State standards, system architecture, scalability, etc. When surveyed, the architects will identify the proposed solution as a sustainable technology platform. The system will also be positioned for future needs such as a single identity integration.	1. Met	1. NDDOT has a new system that is less complicated to support and maintain and allows for growth for future state initiatives.
	2. The system will be user intuitive, which will decrease errors, and have audit tracking to assist in determining any functional issues. NDDOT will spend 80% less time troubleshooting system issues.	2. Within 6 months of system implementation, WMS reports will be evaluated to determine time spent on resolving issues and errors prior to system implementation and post implementation.	2. Met	2. The time required to resolve WMS report issues and errors has been significantly reduced
	3. The system will include advanced ad hoc reporting capability with minimal skillset required to generate reports.	3. Within 2 months of system implementation, users will be able to generate needed reports to retrieve information without IT support.	3. Met	3. Users can generate needed reports without IT support.
	4. User manuals and troubleshooting hints will be built into the system processing workflow.	4. After User acceptance testing, testers will be surveyed to determine how well the system help answered their questions as they were processing test scripts.	4. Met	4. The system sufficiently helped answered user questions.
	5. The new system will be easy to maintain and support.	5. Within 4 months of system implementation, IT support staff will be surveyed to determine their comfort level with implementing enhancements and or changes.	5. Met	5. IT support staff average comfort level is medium due to this being a new system.

	6. Allow customers to have real-time interfaces through webservices.	6. All services and inquiries are available 24/7	6. Met	6. Outside entities have information they need anytime
	7. Simplify some process time of certain MV tasks and how the system flows.	7. Within 6 months of system implementation, MV users will be surveyed to determine if the new process is saving time.	7. Met	7. The new system has increased efficiency in business processes.
	8. Reduce training time for new system users by 60 hours. Currently, a new system user goes through 160 hours of system training.	8. Within 6 months of system implementation, the system trainers will be surveyed to determine how many hours of system training is required for new system users.	8. Met	8. The new system has resulted in increased efficiency.
	9. The new DL system will require streamlining work processes and allow for stopping and starting work at any point in the process	9. After User acceptance testing, testers will be surveyed to determine whether their work process has been improved and their processing time has been reduced	9. Met	9. Outside entities have information they need anytime.

DDLSR	1. Procure a DDLS system with turn-key “instant issue” that built on a sustainable technology platform available in the market.	1. During the procurement phase of the project, NDIT architects will be invited to review the technical solution. They will be asked to consider features such as: database structure, support options, compliance with State standards, system architecture, scalability, etc. When surveyed, the architects will identify the proposed solution as a sustainable technology platform.		
	2. The new system will be easy to maintain and reduce downtime due to maintenance.	2. Within 6 months of implementation, NDDOT will survey staff to get feedback and recommendations on system performance.		
	3. Decrease card issuance processing time with simplification and automation of specific tasks.	3. Within 6 months of implementation, NDDOT will survey staff and customers to get feedback and recommendations on the license issuance process. The survey questions will focus on specific parts of the staff and customer experience.		
	4. Implement driver license issuance processes easily, and quicker.	4. Within 6 months of implementation, NDDOT will survey staff and customers to get feedback and recommendations on the license issuance process. The survey questions will focus on specific parts of the staff and customer experience.		
	5. Enhance fraud prevention to ensure the integrity of North Dakota DL and ID cards.	5. The new card design will comply with AAMVA card design standards and Real ID regulations.		

mID	1. Procure a mobile identity solution available on the market. 2. Allow valid DL/ID customers to enroll in mobile identity services to gain access to their verified DL/ID data on a handheld device.	1. During the procurement phase of the project, NDIT architects, will be invited to review the technical solution. They will be asked to consider features such as: security, infrastructure, support options, compliance with Federal and State standards, system architecture, scalability, etc. When surveyed, the architects will identify the proposed solution as a sustainable technology. The system will also be positioned for future needs such as ND wallet integration. 2. Of the DL/ID card holder population, 5% will enroll to use mID services within the first year. After production implementation, an enrollment report will be generated each quarter to determine the percentage of valid DL/ID card holders are enrolled in the mID program.		
	1. Reduce turnaround time for DL/ID updates/transactions by staff 20% and 60% by customers. The solution will allow for two-way communication between NDDOT and the mID customer.	2. Within 6 months of system implementation, a transaction report will be generated to determine how many updates/transactions were requested and processed in the office, online, and from mID services.		

	1. Allow verifiers and third-party customers to have real-time interfaces through webservices to receive verified DL/ID data.	1. During the User Acceptance Testing, test scenarios will be executed to validate all services and inquiries are available 24/7.		

POST-IMPLEMENTATION REPORT

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
BPM	**Lessons Learned:** 1. Identify all SME's up-front and have more smaller working sessions for business process modeling activities 2. Caution should be taken when project phases are in motion concurrently, to facilitate setting all stakeholder expectations earlier on 3. Schedule meetings at times that work well for teams to mitigate taking an overabundance of time 4. Maintain communication across project teams to ensure flexible in scheduling when conflicts arise 5. It is important to have buy-in across the team during the project and continuing forward 6. Ensure all impacted stakeholders participate in working sessions to provide feedback and develop the best future state 7. Implementing interim review of deliverables prior to final submittal reduced 8. Having documented and defined processes is a win for on-boarding of new employees and knowledge transfer/transition 9. Look for quick wins that can be implement with not cost and minimal time and that results in efficiency and/or direct cost savings 10. Ensure new stakeholders are brought up to date on the project to set expectations **What went well:** 1. Great engagement level from the business units 2. The value in getting all impacted parties on processes in the same room to create clarity on current processes but also be able to develop the best future states 3. Great collaboration and working relationship across teams through the project 4. Team is continuing to bring up new ideas for improvement 5. Team felt comfortable in meetings so that they felt they could speak up with ideas and new ways of doing things 6. Good open discussions across the team 7. Implemented/utilized NDVIEW on a new project without too much difficulty **Challenges:** 1. Membership of the ESC was very fluid throughout the project **Major Accomplishments:** 1. Documented over 120 processes with current state maps 2. Laid out an achievable future state that creates efficiencies internally and improves the overall customer experience 3. Discussions brought forward opportunities that were not known by the entire team prior to the discussion 4. Implementation of quick wins to get immediate benefits o 10-12 quick wins already implemented

Project/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
	5. Ability of DOT team to provide interim review/feedback before final reviews 6. Buy-in across the team during the project and continuing forward 7. Proved out benefit of process improvement projects and paved path for future projects 8. Improved understanding amongst the different Drivers License divisions
DLMVMA	**Lessons Learned:** • Ensure communication flows in accordance with project organization and governance structure. • Making sure everyone is involved in demos to executive management. • One of my lessons learned was to cover all areas in the planning phase. We tried to reach out to different areas and cover everything, but security for instance was not as involved as they maybe should have been, and I know in future projects this will be in the back of my mind. I do think this was caused just due to the very tight schedule. • Ensure external dependencies are aware of testing being performed, if possible. • Flexible schedules between State and Prominent project participants at all touchpoints. • Great collaboration and working relationships across teams mitigated the initially identified project risks. **What didn't go well:** • Prominent team was delayed in gaining access to the State's test environment. • The State's Security team was There were only a couple of events that occurred that were not identified prior and those were due to the tight schedule of this whole project and they were handled excellent when they come up. • Testing of one feature was briefly delayed due to failed change address validation service. • Although, the State responded promptly, Prominent would have preferred the ability to reset test data to mitigate minor delays in testing. **What went well:** • This project was a great success considering the amount of work and the timelines it has been delivered perfectly. • The team did a great job delivering a successful project under tight timelines. • This project was a great success considering the amount of work and the timelines it has been delivered perfectly. • Excellent communication • Fast email responses **Success stories:** • The app stores' approval of the mobile application was much quick than expected. • The teams did a great job delivering a successful project under tight timelines. • All parties involved were excellent to work with. • Mobile app performs as expected. • ND DOT better positioned to meet customers' demand for more convenience and accessible DMV services, as well as provide accessibility across iOS and Android devices and diversion of human-contact services at unified DMV offices. • I honestly believe the overall project is one big success story and I cannot say enough about Leila and how she kept on top of everything. I will be honest coming into this and how the project started off I was pretty nervous about delivering, but Leila kept everything on track and anything myself or team asked for she took care of and quickly.

Iterative Project Report For Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/22/2022

Project/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
MVU1	**Lessons Learned:** 1. Ensure to involve infrastructure and hardware teams early to ensure the timeliest delivery of hardware. Be prepared to deliver to those teams' hardware requirements to minimize delays having to gather additional information. 2. Be sure to communicate with the production support business folks' clear expectations of scope and timeliness of production changes during the project. 3. Basic methodology used, was brought in after project started but was easily brought into the loop. 4. Early stakeholder support and engagement contributed to the project's success. 5. Early review and demos of the deliverables decreased review and acceptance timeframe **What went wrong:** 1. None **What Went Right:** 1. Thought this project went very well. 2. Overall, everyone did a nice job. 3. This project was very well run and executed. 4. If you read the SOW, you can go line by line on each of the deliverables and check off that it has been completed. 5. The development environment has been up and stable for a few weeks now and developers are able to do development without worry of encountering needless errors. 6. While there's still plenty to do, there has been good progress made given the limited timeframe. 7. This project has gone very smooth and successful. **Success Stories:** 1. Under tight timelines, we were able to deliver the first phase of the project successfully. 2. Completion of the deliverables in Phase 1 positions the agency well for continued development into Phase 2 and Driver License. 3. Completing these preparation items early allows the team to jump right into the coming projects. 4. The base configuration demos went extremely well, and there definitely seemed to be excitement from DOT staff about what is to come. 5. Communication is timely and relevant allowing stakeholders to remain engaged and involved. 6. Prompt responses from both teams and flexibility in schedules resulted in the project being a head of schedule. 7. The project was managed, executed and monitored very well.

LEGEND	**Driver License** **Lessons Learned:** 1. As a member of the training team however, there were SOOOO many last-minute changes that the training we created in the beginning became obsolete by the time rollout came around. It would have been nice to have started sooner and found the issues and resolved them sooner. 2. I feel as though rollout should have been pushed back an additional 2-3 months. There were just so many unresolved issues and work arounds that had to be created to "make it work". I feel like that caused a bit more hesitancy and reluctance to accepting the program with the examiners. 3. It was fun to see a team come together and work towards one common goal. This project was years in the making, and everyone involved stepped up to the challenge and did a remarkable job. 4. I will miss the Fasties as they start to go. 5. I am pleased with every aspect of the LEGEND system. 6. I think more separation between Driver Control and Issuance from the beginning would have been beneficial. I do believe Driver Control was highly underestimated and treated as a small extension of Issuance for most of the process which led to a lot more issues towards the end. On a positive note, all of the FASTies were absolutely wonderful to work with, a great experience over all! **What went wrong:** 1. As a trainer added toward the end of the project, I felt that I was in the dark with some of the information (particularly things that were discussed in definition meetings). As a regular examiner (not supervisor, team lead, or director) I felt that I could have offered additional insight into the every practicality of certain processes that were overlooked by the staff who were in the definition meetings as they do not deal with the day-in-day-out monotony that examiners do. 2. The difficult part of the project in some cases was having some staff remote and not in person. On a major project like this one it is nice to have team members in person for certain phases of the project 3. I would send people out to the travel sites earlier to give them guidance on starting the training for the new system. 4. Better communication about decisions made during conversion that would effect our day to day work post roll-out. There were many things that came up during rollout that our teams were unaware of, and basically had to figure out. More consideration of users concerns and ideas, at some points it seemed ignored. Continuation of "parking lots" or similar meetings, maybe just less often. After those ended, it was hard to follow up on certain tickets/SQRs. 5. Early notification of the new LEGEND financial business processes and testing of the AAMVA interface earlier and longer. **What went right:** 1. I thought everything went very well with how much of a change there was. There were/are some hiccups, but they are being worked on and it will all be worth it. 2. Implementation and launch went incredibly smooth. 3. We met the rollout deadline! 4. Overall, I feel as though most everything went well. 5. Driver License staff put a lot of extra time to make this project successful. Decision makers such as Brad Schaffer were readily accessible and able to make decisions quickly which helped keep things moving forward. 6. The Teamwork! 7. I really like all the team leads and FAST staff. You knew who to go for to ask about a problem. They were very courteous and listened thoroughly to our problems. I never once felt like I was asking a dumb question. 8. The collaboration between, vendor, agency, and NDIT I thought went very well. 9. FAST was very present and had many resources for help. 10. The training and how easy it was to get questions answered. I was very impressed on how the transition was. 11. Teamwork, leadership support and production implementation. 12. The project was managed and organized very well **Success Story:** 1. The Training was very thorough and specific to our needs. All Fast divisions worked together with NDDOT to reach common goals and solutions.
	Motor Vehicle Phase II

Project/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
	Lessons Learned: 1. In the next project I would emphasis the "definition" meetings a bit more in the beginning. FAST stuck really hard to what was "defined" in these meetings. I think the project was so new that we may not have known the impact of some of the decisions that were made early on. I also would be a bit more flexible with these definitions changing. When team members use "it was defined that way" in meetings it causes friction with not only FAST and the state, but within state employees as well. 2. I think it also took to many between management to get both parties working well together. both sides could have maybe established better expectations for the project early. **What went wrong:** 1. Pick a date that would not interfere with popular family holidays. This time was during Mother's Day. 2. Better ensure that MV staff were aware that this particular upgrade would be less like-for-like than a normal upgrade. 3. I think that in the heat of testing FAST could have done a better job working all angles of the SQR before it was sent back for retest. We had multiple times where the solution did not change, and we were asked to retest. Also, we had everything tested by two testers. I think the items should have been pulled from everyone if a failure occurred. **What went right:** 1. The stabilization period went very smoothly. 2. Involvement in the project by all stakeholders. Ensuring that nobody was left out, that stakeholders had a say. 3. overall teamwork. Response time was great for the most part **Success Story:** 1. I think in the end the state and FAST both celebrated some victories. I think in the end FAST stuck close to core, and the state got the product that they deserved.
DDLSR	
mID	

COST BENEFIT ANALYSIS

TBD

KEY CONSTRAINTS AND/OR RISKS	
DLBPM	Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: 1. Quality 2. Cost 3. Schedule 4. Scope
DLMVMA	• The budget is constrained to the CARES Act Funding. • Deliverables must be completed and invoiced by December 16, 2020. • All invoices must be paid by December 30, 2020. • Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: 1. Quality 2. Schedule 3. Scope 4. Cost
MVU1	• The budget is constrained to the CARES Act Funding. • Deliverables must be completed and invoiced by December 16, 2020. • All invoices must be paid by December 30, 2020. • Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: 1. Quality 2. Schedule 3. Scope 4. Cost
LEGEND	Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: 1. Schedule 2. Cost 3. Scope 4. Quality
DDLSR	Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: 5. Schedule 6. Cost 7. Scope 8. Quality
mID	Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: 1. Schedule 2. Cost 3. Scope 4. Quality

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 3/20/2023

GENERAL INFORMATION

Program/Project Name: Roadway Information Management System Replacement

Agency Name: Department of Transportation

Project Sponsor: Chad Orn

Project Manager: Jacob Chaput

PROJECT DESCRIPTION

North Dakota Department of Transportation (NDDOT) is looking to replace several systems that utilize aging technology and are not keeping up with current business needs. These systems are Roadway Information Management System (RIMS), Preliminary and Construction Engineering Reports (PACER), Construction Automated Records System (CARS), Statewide Transportation Improvement Program (STIP), and materials management processes (CMMS) that do not have a unified system. This project will procure and utilize Business Process Modeling (BPM) services to analyze the current state and propose a future state. This project's deliverables will be used to guide procurement and implementation of systems that will replace those identified for replacement as part of the Program.

BUSINESS NEEDS

1. Support costs of current legacy systems will increase over time.
2. Staff currently utilize shadow systems (spreadsheets/MS Access) to meet business needs.
3. Staff need a system that can be functionally expanded upon to meet current business needs. Legacy systems cannot be functionally expanded upon and business processes must follow system limitations.

PROGRAM/PROJECT FORMAT

Program/Project Start Date: August 9th, 2021

Budget Allocation at Time of Initial Start Date: $9,660,000.00

How Many Phases Expected at Time of Initial Start Date: 5

Phase Approach Description: Five systems to be replaced and business process modeling to better align to business needs.

Estimated End Date for All Phases Known at Time of Initial Start Date: To be determined

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	Business Process Modeling	As-is, to-be, and process improvements for PACER, RIMS, CARS, and CMMS systems.	13	$390,992
Project 2	PACER Replacement	Procurement and implementation of system to replace PACER.		
Project 3	RIMS Replacement	Procurement and implementation of system to replace RIMS.		
Project 4	CARS Replacement	Procurement and implementation of system to replace CARS.		

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
Project 5	CMMS Replacement	Procurement and implementation of system to replace CMMS.		
Project 6	STIP Replacement	Procurement and implementation of system to replace STIP.		

Notes:
Projects 2 through 6 are dependent on the Request for Proposal (RFP) process by combining system implementations that are logical to meet business functions.

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	10/18/2021	11/21/2022	$390,992	Special	3/1/2023	14.5% Over	$380,938	2% Under

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Project 1	Develop a request for proposal (RFP) for a new system or systems based on current business needs.	Business processes that utilize PACER, CARS, RIMS, and CMMS are sufficiently mapped to develop an RFP.	Met	Documentation completed and will be attached to RFP.

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	• The final report that was provided by the vendor was used to build requirements for the Request for Proposal. • Project deliverables allowed for additional processes to be modeled. The STIP was scoped into the project to allow five systems to be captured. • Having multiple modules being worked on at the same time led to subject matter experts being overallocated, causing dependent tasks to be delayed. In future projects, deliverables should be planned around dependent work and a regular cadence. • Project team utilized a pilot program to run through business process modeling for a single module first, then modified based on what worked well that led to success for other modules.

KEY CONSTRAINTS AND/OR RISKS

- Business process modeling contractor on-sites can be disrupted by weather.
- Core team members and subject matter experts must be available for project activities.
- Program requirements must be prioritized during business process modeling.

Project Closeout Report

Submitted to Project Oversight on 9/8/2022

GENERAL INFORMATION

Project Name: K12 STARS Infrastructure Upgrade

Agency Name: North Dakota Department of Public Instruction

Project Sponsor: Donna Fishbeck

Project Manager: Justin Anderson

PROJECT DESCRIPTION

This Project will be an update of the Statewide Automated Reporting System (STARS) User Interface and User Experience (UI/UX) by Nexus Innovations targeting issues and opportunities discovered in the STARS Rewrite Project Phase 1. This project will focus on the documentation and training on the back-office functionality of STARS as well as upgrading the .Net and SQL Server portions of the system.

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	2/14/2022	6/27/2022	$420,700	Special Funds	8/31/2022	50%	$101,899	-76%
Final Baseline		6/27/2022	$420,700	Special Funds	8/31/2022	50%	$101,899	-76%

Notes:

Portions of the project were placed on hold during the Project Lighthouse business analysis to determine if all scope would be needed going forward. The schedule was then extended out to accommodate the availability of the NDDPI staff for training and mentoring.

MAJOR SCOPE CHANGES

None.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Training on the improvements to the user interface and experience made in the STARS Rewrite project	NDDPI may use a follow-up survey to compare to the results of the analysis survey to categorize and measure areas of improvement once the training plan has been implemented. As no true metrics of data entry time were captured before the enhancements, changes will be anecdotal.	Met	Stakeholders report that they prefer the new UI based on feedback provided.

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Mentor NDDPI STARS support on tools implemented in the STARS Rewrite project	There will not be a reduction in the time it takes to complete updates, but NDDPI staff will be able to schedule them entirely at their own convenience. They will see time savings and no longer need to coordinate with vendors and NDIT.	Met	NDDPI now has more control over their update and implementation schedule

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?"

Key Lessons Learned and Success Stories
When you have partners that you have developed a trust relationship with, training and mentoring is much easier.
When considering pausing the project, we should have looked closer at the staff availability and times of heavier system usage.

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

Submitted to Large Project Oversight on 07/31/2023

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 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 was completed in Q2 2023.

DTL received additional funding $4,900,000 during the 2023 Legislative Session (HB1013) for LMS enhancements including the following, Online Payments-Credit cards and the LMS Customer Online Portal that will be part of a new project during the 2023-2025 Biennium.

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 &	Replacement of the existing financial management and accounting system with Microsoft Dynamics 365 Finance & Operations module	8 Months	$500,000+

	Accounting System			
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	06/22/2023	$2,293,067	06/08/2023	2.2% Ahead	$2,125,466	7.3% Under

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	Met	• All deliverables were met and delivered as scheduled • Claims and holders being processed through KAPS system

		• Minimal staff interaction with online users		• 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 • 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	Met	• 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	Met	• 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 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 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	Success Stories: 1. Auto formatting for all surface lease advertisements, previously a manual task 2. FileNet uploads for leases now available through LMS 3. Processing cost shares on water developments are a lot easier now in the new system

	4. Ease of navigation in the system – multiple connections, send out links – a lot more information available at your fingertips 5. Layout and general look of the records is user friendly 6. Users have more power in LMS as opposed to the old system – no longer need IT (both DTL and NDIT) - bulk or mass uploads can be done by users. 7. Audit history now exists – huge win – didn't have that information in the old system – can see changed data. 8. The approvals are now available. 9. Business process flow – dashboards – can see everything all at once instead of having to run a query in the old system. 10. Data cleanup is easier now, used to take weeks. 11. Soils data on a track level is another big efficiency – used to take months to revise a county's soil numbers – takes less than a week. 12. Timeline – everyone can see what's going on 13. Attaching emails is easy – easy is good, everyone does it then 14. Taxes are simpler to do now as well in the new system 15. Global search is much appreciated in the new system – everything is linked together in the new system. 16. Configuration settings another big win – easily change some of the calculations on their own (no IT). 17. Ability to update look-up tables without IT support. 18. Anna Ploszynski from EY was top notch throughout the project – she always had the best interests of both the project and agency in mind. She took the time to understand the business needs way more than anyone else – if we continue to do work with the same vendor, then we want her assigned to the projects. 19. Azure DevOps was used to communicate updates and changes, approvals for the user stories – good to use a central location for functionality, errors, and other items 20. Go Live had minimal issues and errors as compared to the Surface go live for LMS 21. Surface, Minerals and Revenue Compliance are now all working the same system- first time ever! Everyone can see and use the same data now 22. Royalty reports are being uploaded into the new portal now by operators 23. Minerals division was able to take ownership of the user stories throughout the project, especially during user acceptance testing 24. Acceptance testing was more effective for Minerals as it focused on the processes and not just blocks of user stories 25. The long sessions for reviews and testing, while long and staff numbers were limited, those sessions did help the team focus on specific areas of the system – lots of collaboration between Minerals and Anna. Lessons Learned: 26. Include as many people as possible during demos of new systems and products. 27. Agencies need to broaden the knowledge base at least from a business perspective of their existing systems. 28. Review definitions of specific wording throughout the project. 29. Provide firmer guidelines as to which parts of the system are ready for testing or how far a process can go when the system isn't fully configured – iteration approach. 30. More onsite reviews if possible

	31. Make sure that hardware can handle the new systems – may require getting updated hardware. 32. Make sure that hardware can handle the new systems – may require getting updated hardware. 33. Lengthen the testing phase, especially for users who are not experienced testers. 34. Regression testing- more of it needed 35. Full reviews/walk throughs of how things work 36. More in-depth analysis of how things work at the agency needed during Discovery phase. 37. Agency staff still must do their day jobs even while working on a project – recommend increasing durations in schedules – explain time limitations in RFP. 38. Need to gain a more thorough knowledge of a legacy system prior to working on the actual implementation – longer discovery and analysis time 39. Bridge the gap between business knowledge and functionality is still an issue – discovery should include more “ride-a longs” between business and IT (vendor) 40. More effective change management needed, especially with training 41. Include the interfaces in discovery and design as soon as possible – early and often 42. Avoid having applications/systems in existence for too long before replacing them – more frequent upgrades and/or reviews of data

COST BENEFIT ANALYSIS

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

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 09/20/2022

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.	9	$369,693
Project 2	CMDB	Configure configuration management database (CMDB) within ServiceNow	7	$437,644

Notes:

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	9/16/2022	$369,693	State	9/20/2022	0%	$299,293.60	20% under
Project 2	5/13/2022	12/13/2022	$437,644	State				

Notes:

Project 1 was rebaselined due to schedule variance resulting from turnover in State staff requiring the procurement of professional services to complete project tasks.

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.	Met	All customer facing, non-billable WMS requests are in ServiceNow.
Project 2	Quadruple staff visibility of network equipment.	Compare total technical users with access to NRC to total technical users within ServiceNow to confirm that four times as many users now have access to network equipment information.		
Project 2	All NRC system users are performing operational work within ServiceNow.	Survey NRC users weekly after Go Live to confirm they are using new system for day-to-day work.		

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	Lessons Learned • Vendor Project Manager was not part of statement of work (SOW) negotiation leading to conflicts of scope early in the project. Having both State and Vendor project managers in negotiations to write well defined deliverables would lead to less time spent compromising. • Involve subject matter experts in the negotiation process to have a clear understanding of what the Vendor expects. This will reduce the risk of having to compromise on a deliverable to meet fixed scope. • User Acceptance Testing (UAT) scenarios were confusing to test end-to-end. Scheduling a live, collaborate UAT session may mitigate issues that cause testers to get stuck and lose time. • Identifying the audience of the project. • UAT did not allow for changes based on user experience. • Additional agency involvement will help in understanding the tool. • An independent requirement gathering effort before procuring development professional services may incur less risk to both Vendor and State. • More sponsor visibility and adherence to change management concepts to build more Awareness. • Base level training for the tool for subject matter experts before requirements gathering would help the building of requirements to system out of box functionality.
	Success Stories • Vendor technical team's experience with the State showed in their ability to speak to the current system and clarify State's goals during discussions. • Defined Requirements Gathering periods allowed development team to build a complete product. This led to faster development cycles and reduced rework for enhancements. • State team leads were great to work with. • State project management helped with a complicated project. Vendor project manager and communications across teams went well. Email communications were timely between State and Vendor. • Meetings were always productive in providing direction.

KEY CONSTRAINTS AND/OR RISKS

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

Project Closeout Report

Submitted to Project Oversight on 04/11/2023

GENERAL INFORMATION

Project Name: Statewide Longitudinal Data System Data Utilization Project

Agency Name: ND Information Technology Department

Project Sponsor: Ravi Krishnan

Project Manager: Heather Raschke

PROJECT DESCRIPTION

The State Longitudinal Data System (SLDS) was awarded a grant, effective October 2015, to build on the progress made with the SLDS. This project is to improve data literacy and use among current and pre-service teachers, improve use of student-level longitudinal data to increase college readiness and completion, and promote strategies designed to support data-driven decision-making to better meet workforce demand and improve workforce supply and demand policy development.

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	7/19/2016	09/30/19	$6,475,690.00	100% Federal grant	11/15/2022	98.1%	$7,421,685.56	-14.6%
Final Baseline		11/15/2022	$7,425,690.04	Federal grant + SLDS General Funds	11/22/2022	-1%	$7,421,685.56	0%

Notes:
Budget changes:

- A $200,000 federal grant was obtained for approved scope changes.
- SLDS General funds in the amount of $750,000 were transferred to the project for approved scope changes.

Schedule changes: Three no cost grant extensions of twelve months each were approved by the Department of Education and the Executive Steering Committee. The scope changes were completed within these schedule extensions.

MAJOR SCOPE CHANGES

Major Scope Changes and Impact on Budget and Schedule:

1. Federal grant was obtained for the following scope: Blockchain.

   Effect on Budget: Increase of $200,000
   Effect on Schedule: None

2. SLDS General Funds were moved to the SLDS Data Up project for the following scope: Blockchain work with e-Transcripts.

   Effect on Budget: Increase of $400,000
   Effect on Schedule: None

3. SLDS General Funds were moved to the SLDS Data Up project for the following scope:

    a. Open Salt
    b. Mobile Wallet digital credentialing
    c. Apprenticeship Data
    d. Software Purchases

    Effect on Budget: Increase of $350,000
    Effect on Schedule: None

4. Grant funds for the project were used to add the following scope: STEM Asset Map

    Effect on Budget: $0
    Effect on Schedule: None

OBJECTIVES

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
Business Need/Problem 1: *In-service and pre-service teachers effectively utilize SLDS data toward improving PK-12 student achievement*			

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
1.1 Improve on-demand user supports and high quality digital training system	Measurement 1.1.1: Create digital SLDS Reports User Guide Measurement 1.1.2: Create training videos for accessing DLDS and DLDS reports Measurement 1.1.3: Expand resources to include standards based assessments (new NDSA Smarter Balance) Measurement 1.1.4: Expand portal to include interactive integrated data produced by teachers (grouping by skill cohort, professional development, interventions applied, etc.) Measurement 1.1.5: Develop a Training data warehouse and training portal site with real case studies Measurement 1.1.6: Expand on the PK12 warehouse to include multiple instructional staff roles assigned to a classroom and implement teacher of record assignments linked to PEP-20W and ESPB (teacher licensing) which will expand the Staff domain in the SLDS and link the teacher through JSND, K12 and PEP-20W	Met	See Attachment A for a description of the outcomes.
1.2 Formalize data utilization plan	Measurement 1.2.1: Analyze and interpret needs assessment data Measurement 1.2.2: Outline process for addressing gaps in data use Measurement 1.2.3: Formalize training plan based on A+ Inquiry Framework Measurement 1.2.4: Develop course modules for pre-service teacher certification Measurement 1.2.5: Develop governance on SLDS training certification	Met	See Attachment A for a description of the outcomes.

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
1.3 Implement data utilization training plan	Measurement 1.3.1: Conduct training for in-service teachers using the A+ Inquiry Framework Measurement 1.3.2: Conduct train the trainer for teacher educators across the state Measurement 1.3.3: Offer college course modules for pre-service teachers	Met	See Attachment A for a description of the outcomes.
1.4 Assess effectiveness of data utilization training	Measurement 1.4.1: Implement follow-up system on pre-service teachers, yearly reports Measurement 1.4.2: Implement follow-up on in-service teachers Measurement 1.4.3: Produce data use reports on all teachers in the SLDS available to school administrators	Met	See Attachment A for a description of the outcomes.
Business Need/Problem 2: Use longitudinal data to improve postsecondary education retention rates			
2.1 Provide NDUS with risk factor Data	Measurement 2.1.1: Research longitudinal student data with a high focus on students who stop out Measurement 2.1.2: Define risk factor formula customized for each type of college Measurement 2.1.3: Send risk factor data marts to NDUS and establish data exchanges	Met	See Attachment A for a description of the outcomes.

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
2.2 Utilize longitudinal data to identify retention rate factors for ND postsecondary student	Measurement 2.2.1: Align data definitions to support data transmissions between the SLDS and PAR and student retention systems that support PAR Measurement 2.2.2: Analyze student high school course taking patterns and grades in relation to postsecondary retention customized by type of college entered Measurement 2.2.2: Analyze student high school course taking patterns and grades in relation to postsecondary retention customized by type of college entered Measurement 2.2.3: Evaluate effect of course taking patterns and grades on postsecondary student retention Measurement 2.2.4: Provide predictive analytics regarding course taking patterns and college retention	Met	See Attachment A for a description of the outcomes.
2.3 Utilize data to develop interventions and strategies that support retention at NDUS	Measurement 2.3.1: Risk factor and retention factor findings are shared with PAR and campus advisors Measurement 2.3.2: Retention interventions and strategies are developed and articulated Measurement 2.3.3: Assess effectiveness of interventions and strategies to support retention at NDUS Measurement 2.3.4: Results are made available to NDUS and policy makers Measurement 2.3.5: Results are made available to prospective higher education students toward matching their experience with institutions in which they are more likely to succeed.	Met	See Attachment A for a description of the outcomes.
Business Need/Problem 3: Use longitudinal data to increase postsecondary achievement rates			

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
3.1 Develop crosswalk of degree programs at NDUS colleges	Measurement 3.1.1: Utilize common course numbering where available to crosswalk degrees across NDUS (an existing project within NDUS to be completed in the next two years) Measurement 3.1.2: Identify stackable certificates and degrees that exist	Met	See Attachment A for a description of the outcomes.
3.2 Expand pilot of reverse transfer process	Measurement 3.2.1: Collaborate with Texas to determine lessons learned toward comparing student credit attainment to credential attainment across the higher education system (results to WEAC) Measurement 3.2.2: Identify two community colleges and two regional universities or research universities to participate in pilot Measurement 3.2.3: Develop reports that include credit hour summary for students to see what certificates and associate degrees they are getting close to meeting Measurement 3.2.4: Within a community college work with course data to determine if students are close to receiving a degree or certificate and provide this insight to the college and student Measurement 3.2.5: Provide insight to the transferring colleges of the number of students that could receive credentials if courses were offered Measurement 3.2.6: Develop policy and process recommendations for Reverse Transfer Agreements	Met	See Attachment A for a description of the outcomes.

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
3.3 Increase completion rates of postsecondary drop out and stop out students	Measurement 3.3.1: Identify students at risk of drop out or stop out Measurement 3.3.2: Identify dropout and stop-out students that have completed significant credit hours Measurement 3.3.3: Analyze credit attainment toward varying certificates and degrees utilizing crosswalk Measurement 3.3.4: Define and implement a student contact and re-engagement plan who have completed 75% or more toward a specific certificate or degree to advise them of certificate or degree completion options	Met	See Attachment A for a description of the outcomes.
Business Need/Problem 4: Build supply/demand data marts for use by institutional researchers and labor organizations to better address workforce demands			
4.1 Develop CIP to SOC crosswalk	Measurement 4.1.1: Work with JSND to target high demand SOCs as priority area to begin SOC analysis Measurement 4.1.2: Identify CIPs within the high demand SOCs Measurement 4.1.3: Collaborate with MN to complete CIP to SOC crosswalk and make available as domain data in the SLDS	Met	See Attachment A for a description of the outcomes.
4.2 Identify postsecondary students working toward certificates and degrees in high demand occupations	Measurement 4.2.1: Identify JSND data sets needed in the SLDS and model them based on SOC Measurement 4.2.2: SLDS Workgroup assists in identifying high demand CIP codes Measurement 4.2.3: Develop data marts from NDUS SLDS data sources that produce workforce pipeline data Measurement 4.2.4: Promote CIPs that are not meeting demand	Met	See Attachment A for a description of the outcomes.

Business Objective	Measurement Description	Met/Not Met	Measurement Outcome
4.3 Build Supply/Demand data marts for use by institutional researchers and labor agencies	Measurement 4.3.1: Bring in the required LMI data into the SLDS Measurement 4.3.2: Develop student education enrollment data marts Measurement 4.3.2: Develop workforce enrollment data marts Measurement 4.3.2: Produce supply/demand reports requested by stakeholders and make publicly available	Met	See Attachment A for a description of the outcomes.
4.4 More effectively and efficiently utilize NDUS as a workforce supply source	Measurement 4.4.1: Track completers to see if they are filling the high demand jobs Measurement 4.4.2: Feedback reports to NDUS on all graduate placement in ND industries by college, SOC, CIP, degree and program	Met	See Attachment A for a description of the outcomes.
4.5 Utilize data to improve consumer information and research	Measurement 4.5.1: Develop reports available to businesses, economic development, legislators and the public on ND supply/demand as it relates to our education pipeline Measurement 4.5.2: Make de-identified research data sets available for other research Measurement 4.5.3: Collect data and measure outcomes of short-term workforce development programs for program administers to measure return on investment	Met	See Attachment A for a description of the outcomes.

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?”

Key Lessons Learned
Lesson Learned: In the event a contract developer is suddenly no longer available, • Ensure all code is checked in nightly • Have regular knowledge transfer sessions between contractor and NDIT staff to ensure state can take over development if the need arises • Ensure documentation is up to date

Key Lessons Learned

Lesson Learned: To ensure partner agencies understand how data is displayed and used,

- Educate the business users regarding their responsibility for their data.
- Engage the business in data governance as a necessary process thereby building trust with the agencies the SLDS is involved with.
- Demonstrate upfront to the agencies how data is secured and how low cell counts are applied to dashboards and reports.

Success Stories (as stated by our business partners)

From: Dr. Jen Weber, NDUS Director of Institutional Research

"The SLDS Data UP project directly addressed the need of responding to legislative and governor requests surrounding the retention of NDUS graduates in state. Specifically, studies have been conducted and reports written on retention of graduates in general, retention of graduates from high need fields including nursing, IT, and construction trades. Additionally, studies have been produced that report the retention of NDUS graduates in state who received tuition waivers as part during their undergraduate career.

The ability of SLDS to create the linkage of records for individuals between NDUS and the state workforce has been invaluable to NDUS. It has created a highly dependable, reliable and valid source of data reporting that was not possible before the existence of Data UP."

From: Wayde Sick, State Director & Executive Officer – Career & Technical Education

"The SLDS Data Up project was beneficial for Career and Technical Education. We were able to develop and visualize CTE Pathways on the insights.nd.gov website. CTE Staff completed the process of determining what coursework, in all program areas, were foundational and what courses were more aligned with a specific pathway. With that information, SLDS was able to publish which schools provided these various pathways and enrollment. This included mapping out opportunities and enrollment trend data. The Data Up project also allowed us to create a CTE Insights page for every school district, showing what programs they provided, enrollment and CTE Concentrators.

Another benefit of the Data Up project is we now have a STEM Opportunities map. Working with the STEM Ecosystem, we now visualize who is providing STEM educational activities and where. Although this is not an all- inclusive list, this resource will assist the STEM Ecosystem in encouraging other organizations to provide data."

From Jane Hovda, PowerSchool Specialist, EduTech

"Problem – Pre-Service teachers going into the teaching profession are not prepared to effectively utilize data within a school setting.

Developing, deploying, and providing the online Develop Your Data Mindset to higher education institutions to incorporate or supplement into their curriculum has provided pre-service teachers the opportunity to learn transferable data literacy and inquiry methods necessary for effective data utilization out in the field. Teachers will gain the knowledge to collaborate with their peers when working with data, understanding the foundational concepts and vocabulary used when working with assessment and other student data. When working with assessment data, they are ready to identify strengths and weaknesses of students, develop goals for individual students and classroom, review progress, revise goals and instruction throughout the school year."

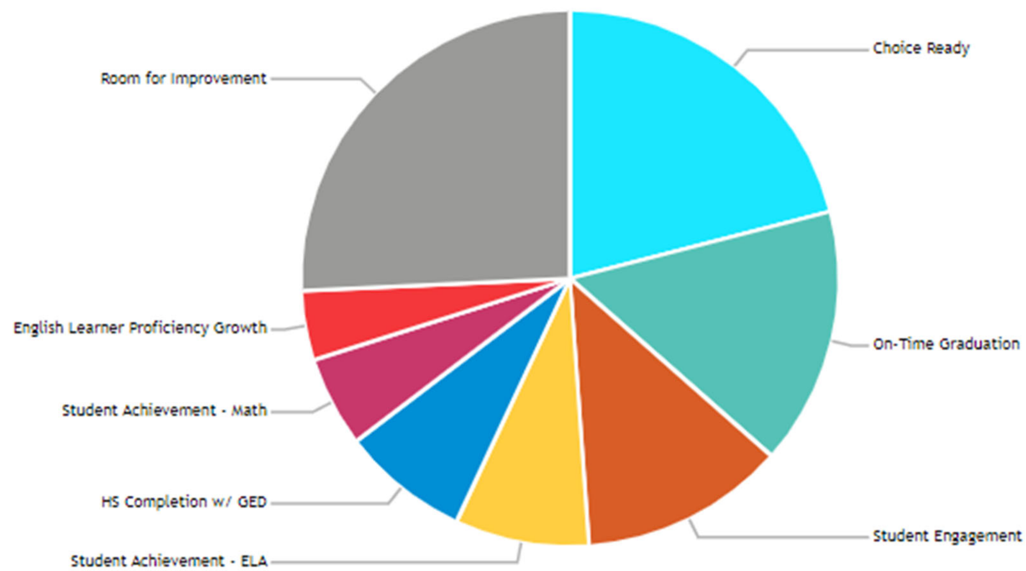
Success Stories (as stated by our business partners)

From: Ross Roemmich, Management Information Systems Director – Department of Public Instruction

"There are hundreds of significant improvements in the "Insights" Dashboard to help with the North Dakota Accountability Reporting process. I will share only four of them. The first and most valuable improvement is that you can now go to your Accountability Pie Chart and see where your school is doing well or needs improvement. I have included the example below."

Accountability Calculation Breakdown

This chart outlines the accountability score breakout by each of the school performance indicators.
This school had no indicators where it scored zero points.



Accountability Calculation Indicators

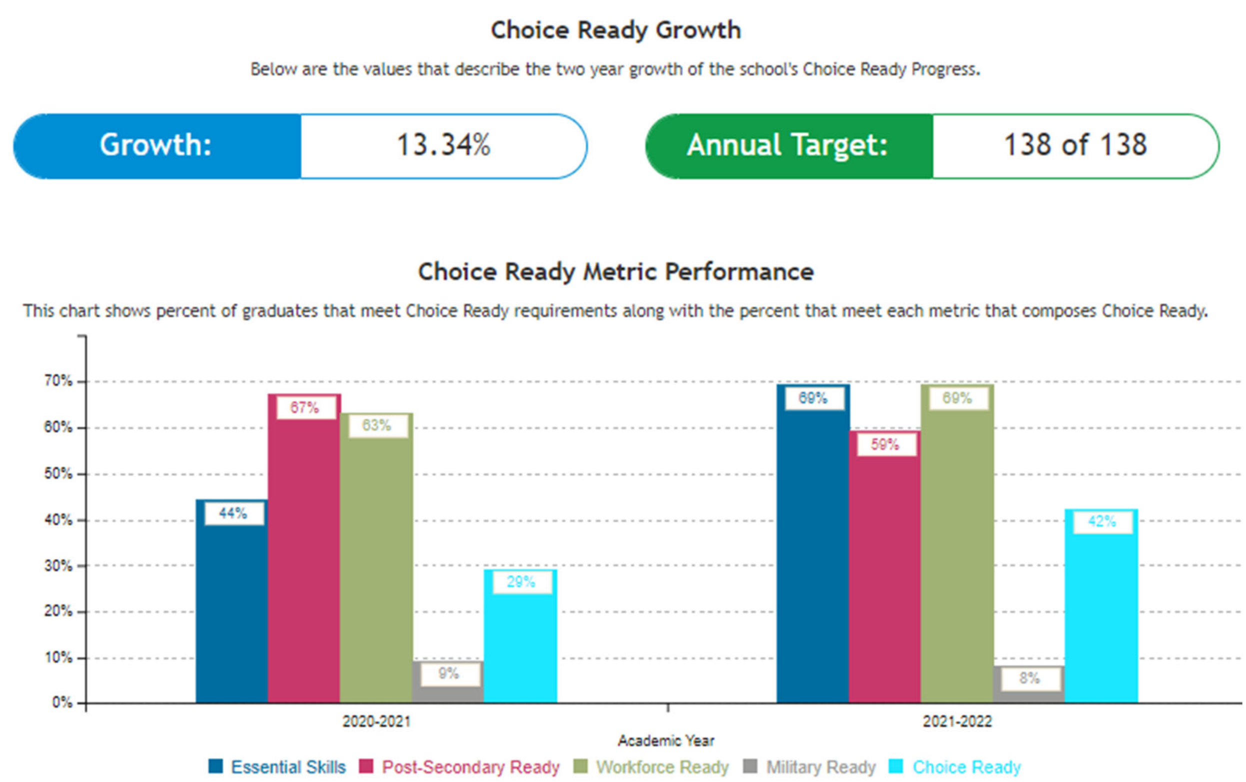
List of all indicators and how this school fared on the calculation.

Calculation Type	Points Recieved	Room for Improvement	Points Possible
Choice Ready	129.00	0.00	129.00
On-Time Graduation	95.50	4.50	100.00
Student Engagement	76.11	46.89	123.00
Student Achievement - ELA	49.55	27.45	77.00
HS Completion w/ GED	47.33	1.67	49.00
Student Achievement - Math	33.52	43.48	77.00
English Learner Proficiency Growth	25.72	34.28	60.00
Totals	456.73	158.27	615.00

Success Stories (as stated by our business partners)

From: Ross Roemmich, Management Information Systems Director – Department of Public Instruction

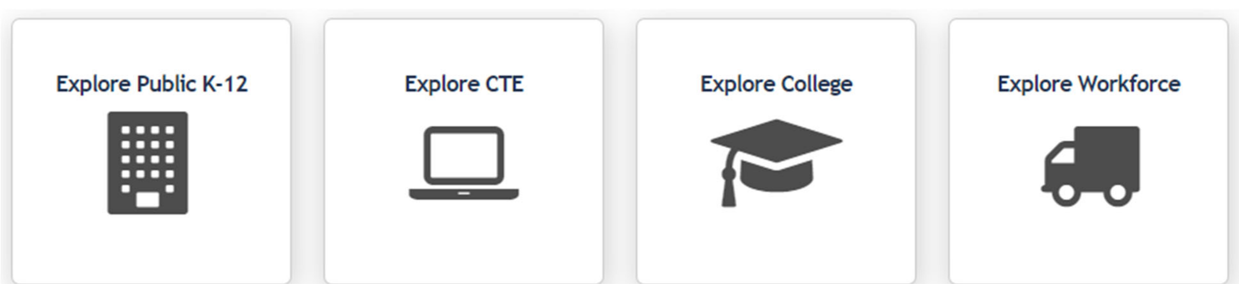
"The second is the Choice Ready Growth Chart. You can immediately see if your school has growth year over year. The areas include Essential Skills, Post-Secondary Ready, Workforce Ready, Military Ready, and Choice Ready. I have included the example below."



From: Ross Roemmich, Management Information Systems Director – Department of Public Instruction

"The third most obvious is that it is a federal requirement to have that data publicly. It is common for all to view and verify education data at the state and local levels.

Insights acts as an updated directory for the public regarding districts and schools. I think it's fantastic that insights has K12, CTE, College, Workforce, and Adult Education data information in one place."



Success Stories (as stated by our business partners)

From: Ross Roemmich, Management Information Systems Director – Department of Public Instruction

"The fourth is the ability for anyone to download Insights Data. The DPI always gets research requests about schools. We now have a place where we can tell people to look and find all that data on an excel spreadsheet. It has limited the number of data requests we receive and need to respond to because we have the Data Download. I have included just a few examples below."

+ **Accountability Pie**
This dataset outlines the accountability score breakout by each of the school performance indicators. Entities had had no indicators where they scored zero points.

+ **ACT - Graduate Max Score**
This dataset shows participation rate and student performance for North Dakota public high school graduates. The ACT results are compiled using the test with the maximum composite score for each graduate.

+ **ACT - 11th Grade Exam**
This dataset shows participation rate and student performance for North Dakota public high school students on the 11th grade ACT exam.

+ **Assessment Participation**
This dataset shows the participation rate reported as the percentage of students who took North Dakota's required state assessments North Dakota State Assessment (NDSA), the North Dakota Alternate Assessment (NDAA), or the ACT exam. Note: Due to COVID-19, 2019-2020 data is a placeholder year and contains 2018-2019 data.

+ **Assessment Performance**
This dataset shows the performance of students who took North Dakota's required state assessments North Dakota State Assessment (NDSA), the North Dakota Alternate Assessment (NDAA), or the ACT exam. Note: Due to COVID-19, 2019-2020 data is a placeholder year and contains 2018-2019 data.

+ **Attendance**
This dataset shows the average daily attendance for students in an entity.

+ **Choice Ready**
This dataset shows Choice Ready performance and growth for entities in North Dakota.

+ **Chronic Absenteeism**
This dataset shows the attendance data for chronically absent students.

Attachment A: Measurement Outcomes

Priority 1 Instructional Support

Outcome 1: In-service and pre-service teachers effectively utilize SLDS data toward improving PK-12 student achievement

a. Outcome Summary and Major Accomplishments:

This outcome is focused on developing and implementing training, reports, and other resources to support in-service and pre-service teachers' effective utilization of SLDS data toward improving PK-12 student achievement. ND planned to use grant funds to improve on-demand user supports and create a high-quality digital training system as well as formalize, implement, and assess the effectiveness of a data utilization training plan.

A SLDS Reports Reference Guide was created and made publicly available on the SLDS website with descriptions of more than 30 reports, including guiding questions that may be answered by each report, intended audiences, and recommended uses. The SLDS model was expanded to include standards-based grades, and reporting solutions have been developed to help schools answer questions based on reporting needs identified through collaborations with schools, such as: Which standards represent the highest and lowest levels of performance? How many students scored at each level by standard? What is each student's score by standard and term? In response to the increasing implementation of Multi-Tiered Systems of Support (MTSS) in ND, the SLDS partnered with ND MTSS leadership to develop multiple reports (e.g., Early Warning, Tiering Analysis, Progress Analysis, and Adequate Progress Dashboard) for increasing efficiencies in accessing and analyzing data for specific MTSS purposes. Furthermore, the SLDS has been supporting MTSS evaluation by developing a solution to collect and analyze Self-Assessment of NDMTSS (SAND) school-level implementation data that are being utilized in a study to measure relationships between MTSS implementation and student outcomes that are available in the SLDS. The SLDS developed a training data warehouse as a copy of the production Education Portal with mock data to support data utilization training of pre-service and in-service educators, and a few use cases for leveraging the SLDS to support MTSS have been written using data retrieved from the training warehouse and disseminated to schools implementing MTSS.

The SLDS collaborated with pre-service and in-service stakeholders to formalize a data utilization training plan. They created "Develop Your Data Mindset: Essentials of Educational Data Use," an online curriculum based on the A+ Inquiry framework that was intended to improve educator competence in using data, actions with data, and attitudes toward data. The 15-hour asynchronous course was developed using Articulate Storyline and is available to pre-service and in-service teachers through ND Center for Distance Education's (CDE) Learning Management System (LMS).

The data utilization training plan was implemented by promoting and formally enrolling pre-service and in-service teachers in the online course and by creating pages on the public SLDS website with curriculum content so the online modules and supplemental resources would be available to users without formal enrollment. During the first full year of implementation, 227 educators (165 pre-service and 62 in-service) participated in the curriculum through formal enrollment. All modules were required to be completed by students enrolled in an assessment class at Mayville State University; some modules were required to be completed by some students at Minot State University; and modules were made optional for students by faculty at North Dakota State University, University of Jamestown, and Valley City State University. In-service who formally enrolled in the curriculum were eligible to earn one professional development credit. In-service and pre-service educators have continued to formally enroll in the course since it was released.

The SLDS assessed the effectiveness of the data utilization training by embedding assessment methods into the online curriculum. Curriculum assessment was guided by a program development and evaluation framework that was based on five categories of assessment, a theory of change, and a logic model. The A+ Inquiry framework was utilized to operationalize outcome evaluation methods as needed. The assessment system included more than 1,000 assessment and survey items that were embedded in the curriculum and aligned with xAPI calls that were sent to a Learning Record Store (LRS) as participants progressed through the curriculum where the LRS can be transitioned to cloud storage. Data models were created to produce tables and charts in five reports based on 372,456 xAPI statements to support assessment of the intended outcomes and some intended outputs. The increases in average pre- to post- scores on the embedded Teacher Data Use Survey (TDUS) suggest that completing the curriculum may improve competence in using data and actions with data. Approximately 93% of respondents to a *Develop Your Data Mindset Perceptions of Value Survey* indicated that the curriculum may increase pre-service educators' capacity to use data, and 93% indicated that completing the curriculum may increase in-service educators' capacity to use data. These and other assessment methods and findings relevant to needs, theory, process, and outcome assessment were published in a 189-page evaluation report available on the SLDS public domain titled, *Evaluating the Develop Your Data Mindset Online Curriculum for Educators: An Assessment of Needs, Theory, Processes, and Outcomes*.

The SLDS created portals for teachers and administrators utilizing Azure AD for statewide authentication of the individuals with NDUS AD pre-teachers allowed security access to a teacher's classroom students. In addition, a student and parent portal utilizing single sign-on from the PowerSchool student information system has been created where students may view their electronic transcript, send transcript requests, apply for in-state public colleges, as well as view and monitor their progress to meeting the State Scholarship. The state allows students to create self-registered accounts for their digital wallets. At this time the State from an identity posture is cautious of social media account logins.

The public portal created has been a huge statewide success. Insights ([Insights of North Dakota (insights.nd.gov)]) was created using ND Department of Public Instruction accountability data and contains much of the Edfacts accountability data reported as well. All schools reference Insights as their annual accountability reports to parents. Insights is referenced throughout much of the deliverables as it addresses K12, CTE reporting, Perkins, workforce supply/demand, postsecondary institution programs, (Labor Market Information) LMI and ND wage data by industry. Many of these data domains are integrated using Onet, SOC, CIP and State course codes giving a highly interactive engagement to the public. Through this funding, the SLDS was able to accomplish the Department of Education's requirement for public reporting and ND was one of the first States to be able to provide this reporting on ESSA. During Covid ND was able to quickly provide online learning and hybrid delivery models in the state, leveraging the statewide deployment of PowerSchool and the SLDS along with Insights to provide daily updates on delivery model enrollments. ND also produced subject level course offerings, such as fine and performing arts, publicly to provide knowledge and insight into course offerings by school district to address equitable course level offerings. Career and Technical Education also was addressed in Insights and is mentioned later on in this report. Insights also provides more interactive offerings through PowerBI embedded reports where the public may explore AP and DC course offerings and enrollments at the school and district level.

The project also created an SLDS training site where teacher and pre-teacher individuals may learn the SLDS with realistic data sets. The training site is an exact copy of the production SLDS environment and built nightly to preserve synchronization with the production dashboards. We are witnessing student teachers now requesting production level access to the classroom data they are assigned, which is a welcome evolution of data use by instructors, and we anticipate data literacy will more rapidly expand based on the exposure to data use while in college.

Through additional funding from the IES SLDS grant program, ND was able to evaluate digital badging, micro-credentialing systems, blockchain and digital wallets in 2 phases. The project has expanded through funding from Walmart Phase III and IV. It has been a successful implementation of the ND eTranscript as a digital credential stored with a wallet the student has agency over and is capable of being shared with employers or institutions as a verifiable credential. This project, created with national with international participation, has been very successful for producing a national standard high school transcript as a Comprehensive Learner Record (CLR 1EdTech standard). The project publishes a verifiable credential to a web wallet where the learner can view their credentials as well as share them. The project allows the learner to publish this credential to a smart phone wallet which allows for peer-to-peer exchange of credentials verifiable using blockchain (Sovrin) networks. While this remains an emerging technology rooted in standards, a successful publish of credentials to the mobile wallet was completed. Sovrin Trust-Over-IP networks allow for the verification of credentials where the person's PII is not on the blockchain nor is their data. The Open Credential Publisher and wallet created in this project is open source and available to anyone wishing to produce verification CLR records. The project expanded under Walmart funding to produce stackable credentials in cybersecurity and welding certificates allowing for the publication of credentials as micro-credential badges into the wallet as well. This project has spawned the Open Badge 3.0 specification which will allow a badge to be wrapped as a w3c verifiable credential and CLR 2.0.As part of the project it was identified that all state courses and standards need to be referenced in the credentials and ND install OpenSalt Competencies and Skills Framework and defined these for reference by the credentials (https://case.nd.gov). A proof of concept with high school student was completed and a production deployment now allows access to any student where the districts have allowed the digital credentials. A publication of the results has been written and available to the participating communities. Additional funding from the Walmart Foundation assisted in completing and expanding the digital credentials and pathway with stackable certificates. ND has currently been awarded an additional grant through the National Governor's Association to continue planning for digital credentials and expanding to workforce use-cases and employer involvement.

Priority 2 College and Career Readiness

Outcome 2: Use longitudinal data to improve postsecondary education retention rates

a. Outcome Summary and Major Accomplishments:

This outcome is focused on supporting improvements in retention rates by using longitudinal data to develop and implement retention prediction models and was completed. The SLDS developed a model that predicted the likelihood of incoming freshmen earning credit the following semester and presented it to administrators at all 11 NDUS institutions in the spring of 2018 during regularly scheduled Academic Affairs Council (AAC) and Student Affairs Council (SAC) meetings to gauge their interests in receiving the datasets. The SLDS sent datasets with fall 2017 freshmen to all of the institutions that requested the data. The data elements in the model included Free and reduced lunch (FRL) status, individualized education plan (IEP) status, high school GPA, 12^{th} grade attendance rate, 12^{th} grade college algebra status, 12^{th} grade pre-calculus status, and academic scholarship status. However, further studies determined the K12 data elements were not required and removed from the risk data. The SLDS facilitated regular meetings with NDUS personnel, as well as researchers and administrators representing four of the NDUS institutions, to develop strategies for implementing the model and inform improvements to the model. The SLDS developed a revised model during the winter of 2018-2019 that was 5% more accurate than the original model and collaborated with participating institutions to define logistics for securely disseminating datasets generated by the model that represented fall 2019 incoming freshmen toward the beginning of the 2019-2020 school year. The work was delayed due to data access barriers that resulted from system updates; however, efforts resumed in the spring of 2020, which led to a revised model that only included data elements available in NDUS systems. The most recent model includes the number of semesters between high school graduation and postsecondary enrollment, number of developmental credit hours, gender, full-time student status, on-campus housing status, ACT composite score, AP exam participation, and high school GPA. Datasets based on the updated model were disseminated to three institutions toward the start of the 2020-2021 school year. The SLDS updated and disseminated the datasets with new enrollments every couple of weeks prior to and shortly after the fall term began so the institutions would have an opportunity to review the data before the start of the year. At least one of the institutions presented the model to their faculty and utilized the dataset to inform decisions about providing supplemental support to students with retention probability scores that were below the cut score that they defined. The SLDS developed a model for assessing the effectiveness of interventions, and interventions at three institutions were identified to measure using the model.

Outcome 3: Use longitudinal data to improve postsecondary education achievement rates

a. Outcome Summary and Major Accomplishments:

ND developed an advisement domain. Reverse transfer reports to community colleges were created and implemented. ND utilized the degree audit feature of Campus Solutions student information system to provide the details of the audit and push the results into the SLDS. The SLDS is used to combine data from the audit and recommend course equivalencies. The volume of data is quite large and nightly batch jobs were created. An Opt-In process is in place for the student as well to participate. The reverse transfer code was used as a basis for drop out stop out, which was built. Drop out/ stop out has been distributed to the colleges for each institution to develop a reengagement strategy. Increasing completion rates has been addressed internally by most intuitions through policy such as Valley City State 4-year institution awarding an associate degree for students exiting before completion of their degree and campuses monitor and engage students regarding on-time completion to degrees.

Outcome 4: Build supply/demand marts for use by institutional researchers and labor organizations to better address workforce demands

a. Outcome Summary and Major Accomplishments:

ND Developed Classification of Instruction Program (CIP) to Standard Occupation Codes (SOC) crosswalks as part of DataUp and deployed this information publicly within Insights as both data downloads and interactive dashboards. The dashboards produced merge labor market data with ND Job Service data which provides ND industry wages combined with degrees and certificates obtained by those working in the industry.

By combining ND high demand occupations, Labor Market Information (LMI) along with ND in-state wages by industry from the Job Service North Dakota (JSND) Workforce Data Quality Initiative (WDQI) warehouse, ND was able to integrate this data with postsecondary programs and provide information on certificates and degrees in high demand occupations. This public information has proven valuable for supply and demand exploration and guide individuals to institutions offering programs in those high demand occupations along with expected real wages in ND. This team effort with JSND and the ND University System has proven to be very valuable and in-use by all arenas interested in education and workforce alignment. Data marts developed from this data is available for download and for internal research in the SLDS.

The inclusion of secondary CTE programs offered has proven to be very effective for regional CTE centers to perform their Perkins planning. Working with CTE staff the SLDS created Plans of Study which more effectively identifies students' area of concentration beyond Career Clusters. This publicly available data is well used through Insights. By identifying program availability down to the school level, it shows equity issues in offerings as well as schools that are not offering courses for a student to complete an area of interest. The SLDS staff worked with CTE to meet Perkins 5 accountability including the SWIS data runs for out of state employment of CTE concentrators.

Supply/Demand data marts for institutional researchers and labor agencies is available as a data download from Insights. The data marts produced are available as interactive dashboards available publicly within Insights and provide valuable research data sets. The LMI data is available from Insights and allow the public to explore occupations available in ND. With the integration of college program availability, Integrated Postsecondary Education Data System (IPEDS) data, real wage data by industry, student program enrollment and student program completers, Insights provides a very valuable presentation of supply and demand in the state along with high demand occupations as identified by the ND Workforce Development Council.

More effectively and efficiently utilize NDUS as a workforce supply source has been achieved by aligning the CIP and SOC codes that are more applicable for the state of ND. We have aligned the data with program offerings and presented the data to the public in very usable and understandable dashboards. These dashboards are being used by high schools as career exploration, by Career and Technical Education within regions for Perkins requirements, and by the Workforce Development Council using to gain insights into supply and demand. Historical postsecondary program completion tracking of wages by degree and industry over time provides valuable insight into the wage accumulation by years' post-graduation (Insights of North Dakota (nd.gov)).

Utilize data to improve consumer information and research was accomplished by building data marts of all college and university program offerings. By producing dashboards within Insights, NDUS was able to replace an outdated website that was updated every two years with program offerings updated every semester. Along with the CIP codes of the programs, Insights was able to integrate supply, demand, and wage data for a clearer picture of the value and marketing of the program. ND worked with the Department of Labor (DOL) to establish data sharing agreements with the DOL Rapids system to gain access to registered apprenticeships. The apprenticeship data is now available within the SLDS with dashboards under development to integrate opportunities into Insights within CTE and college program offerings. The intent is to market apprenticeships for students and the public.

Project Closeout Report

Submitted to Project Oversight on 11/30/2022

GENERAL INFORMATION

Project Name: Statewide Budget System

Agency Name: Office of Management and Budget

Project Sponsor: Stephanie Gullickson

Project Manager: Jacob Chaput

PROJECT DESCRIPTION

The Office of Management and Budget (OMB) Budget Office seeks to enhance its budgeting and reporting processes with a system that meets current and upcoming business needs. In March 2020, the project was initiated to procure a system that would meet these needs. In October 2020, Sherpa was the chosen vendor for their Budget Formulation and Management (BFM) Software as a Service (SaaS) tool. During the 2021 Legislative Session, the project was funded for the 2021-2022 biennium. On July 12th, 2021 the project was kicked off with chosen vendor Sherpa.

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	3/6/2020	8/18/2022	$1,289,604	State	11/28/2022	12% Over	$1,274,979	1% Under

Notes:

Development of executive and detailed budget books required additional time to ensure accuracy and readability.

MAJOR SCOPE CHANGES

None.

OBJECTIVES

Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Increase staff efficiency due to more accurate importing.	Reduce manual entries by up to 50% during budget publication time.	Met	System brings numbers in automatically during budget publications.
Decrease training and questions for end users.	Once users are trained on the new system, they will be surveyed on if they found the system intuitive to use and if they needed follow-up training on the same topics. Success will be a majority of survey respondents finding the system intuitive and less than 25% requiring follow-up training.	Met	Agency end users reported high satisfaction with the new system with very low follow-up trainings needed.

KEY LESSONS LEARNED AND SUCCESS STORIES

A lessons learned effort is performed after the project is completed. This process uses surveys and meetings to determine what happened in the project 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?”

Key Lessons Learned and Success Stories
As the State team learned more about the product there were requests to go back and redesign some forms. An iterative schedule of project activities with retrospectives may have reduced rework.
State team contributed immensely by being accessible and responsive, taking ownership of the system quickly. Having frequent internal meetings to keep the team up to speed and synchronized was critical for a short project timeline to meet the State’s business cycle.
Poor issue tracking and user acceptance testing led to some issues being lost or unidentified before Go Live. Developing a comprehensive testing management plan during development would have provided more structure to the testing process.
The new system was successful in streamlining processes and allowing business processes to stay intact versus changing to work with a new system. The new system has allowed agency staff to spend less time inputting data needed for the budget building process and retraining.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Project Oversight on 08/03/2023

GENERAL INFORMATION

Program Name: Andover Continuum replacement by EcoStruxure Security Expert

Agency Name: Office of Management and Budget (OMB) North Dakota Transportation (NDDOT) and North Dakota Information Technology (NDIT)

Program/Projects Sponsor: John Boyle

Program/Projects Manager: Aaron Kielhack

PROJECT DESCRIPTIONS

Project 1 (ACES) of the Andover Continuum replacement by EcoStruxure Security Expert or ACES program shall upgrade the controls for the Heating, Ventilation, Air Conditioning (HVAC) systems from Continuum to EcoStruxure in the buildings that comprise the North Dakota Capitol Complex. These buildings include the Governor's Residence, the Server Room Generator and the Capitol building comprising of the Judicial Wing, Tower, and Legislative Wing.

Project 2 (ACES2) of the ACES program shall upgrade Andover door access controls with Security Expert for the North Dakota Capitol Complex. The project will also complete the HVAC update from Continuum to EcoStruxure for additional buildings within the Capitol Complex including the State Library and Heritage Center.

Project 3 (ACES-DOT) of the ACES program shall upgrade Andover door access controls with Security Expert and HVAC from Continuum to EcoStruxure for the North Dakota Transportation Central Office, Materials and Research and District Office buildings.

BUSINESS NEEDS

1. The end of life for the Andover Continuum software will occur within five years and will become a security risk as it will no longer be supported.
2. New hardware for HVAC and security purchased by the State isn't compatible with Andover Continuum.
3. The State is having difficulty in maintaining the current hardware, which was built in the 1990s and early 2000s.
4. Facilities Management Staff cannot access the current systems with mobile devices.

PROGRAM/PROJECT FORMAT

Program/Project Start Date: 02/08/2022.

Budget Allocation at Time of Initial Start Date: $518,800

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

Phase Approach Description: Multiple projects based on additional funding from the Legislature.

Estimated End Date for All Phases Known at Time of Initial Start Date: 06/30/2025.

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	ACES	Implement a modernized solution that will replace legacy Continuum HVAC hardware and software with modern EcoStruxure HVAC hardware and software at the Capitol Complex in Bismarck, North Dakota.	17	$518,800
Project 2	ACES2	Implement a modernized solution that will replace legacy Andover door controls modern Security Expert door controls at the Capitol Complex in Bismarck, North Dakota. Implement EcoStruxure at the remaining buildings at the Capitol Complex not covered by the ACES project.	24	$3,300,000
Project 3	ACES-DOT	Implement both EcoStruxure and Security Expert at NDDOT buildings in Bismarck and district offices.	20	$865,000

Notes:
Funding for projects 1 and 2 was appropriated during the 68th Legislative Assembly (2023-25).

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
ACES	02/08/2022	06/29/2023	$518,800	Special	06/07/2023	4.6% Ahead	$512,430	1.2% Under
ACES2	TBD	TBD	$3,299,467	Federal/ Special				
ACES-DOT	TBD	TBD	$865,000	General				

Notes:
ACES2 and ACES-DOT are currently in the initiation/early planning phases as of this report.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
ACES	100% Replacement of Continuum HVAC controllers at Capitol Complex facilities that are within scope of the project with EcoStruxure.	All Capitol Complex facilities HVAC system controllers in scope of the project have been upgraded to EcoStruxure.	Met	All Capitol Complex facilities HVAC system controllers in scope of the project were upgraded to EcoStruxure on schedule and budget.
ACES2	100% Replacement of Andover door security controllers at Capitol Complex facilities that are within scope of the project with Security Expert.	All Capitol Complex facilities door security controllers in scope of the project have been upgraded to Security.		
ACES2	100% Replacement of Continuum HVAC controllers at remaining Capitol Complex facilities that are within scope of the project with EcoStruxure.	Remaining Capitol Complex facilities HVAC system controllers in scope of the project have been upgraded to EcoStruxure.		
ACES-DOT	100% Replacement of Continuum HVAC controllers at NDDOT buildings that are within scope of the project with EcoStruxure.	All NDDOT buildings HVAC system controllers in scope of the project have been upgraded to EcoStruxure.		
ACES-DOT	100% Replacement of Andover Continuum door security controllers at NDDOT buildings facilities that are within scope of the project with Security Expert	All NDDOT buildings door security controllers in scope of the project have been upgraded to Security.		

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
ACES	Schedule was set up to allow for supply chain related delays for the EcoStruxure hardware.
ACES	Planning/coordination with ETS, OMB and NDIT for implementation and training worked well.

Project/ Phase	Key Lessons Learned and Success Stories
ACES	Weekly check-ins with the internal team and bi-monthly meeting with the vendor kept the pace of the project going and kept everyone involved in the know. Communication and coordination between the vendor and the internal team were critical

KEY CONSTRAINTS AND/OR RISKS

- Limited State personnel available for the project.
- Project funding will only be for upgrades to the Capitol complex facilities.
- Delivery of the hardware needed for the controllers may be delayed due to supply chain issues.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 05/22/2023

GENERAL INFORMATION

Program/Project Name: SOS Elections Program

Agency Name: North Dakota Office of the Secretary of State (SOS)

Project Sponsor: Sandra McMerty

Project Manager: Aaron Kielhack

PROJECT DESCRIPTION

This program is comprised of two projects:

1) Voting System Replacement (VSR) project will replace the statewide voting system that is nearing its end of life

2) Electronic Poll Book (EPB) project will implement electronic poll books statewide for all counties

There are currently 425 precincts among the state's 53 counties with at least one polling place per precinct. A Request for Proposal (RFP) will be released for each project and funding was requested during the 2019 Legislative Session. SOS received $3 million in funding from the federal government for the program, and $8.2 million from the state legislature.

BUSINESS NEEDS AND PROBLEMS

The mission of the SOS is to execute with integrity the duties required by the North Dakota Constitution and the North Dakota Century Code. As the chief election official for the state of ND the SOS has a vested interest in the successful administration of elections. The SOS has the statutory authority to state how elections operate in the state and is responsible to certify ND voting systems.

1. The optical scan precinct tabulators, central count optical scan tabulators, and assistive ballot marking devices in use are entering their end-of-life phase. Maintenance is becoming more difficult every year due to aging equipment, shortage of parts, and vendor's reduced ability to support a product that is no longer produced. Hardware issues make conducting elections unacceptably risky in future elections. Additionally, the current system runs on a 64-bit Windows 7 operating system, which will no longer be supported beginning in January of 2020.

2. Currently, eight (8) of the fifty-three (53) counties use electronic poll books. Those eight counties are split across two separate products, with two completely different architectures. The remaining counties use paper poll books. The counties with electronic poll books have information for their own counties only. To provide accurate and timely information to voters, election officials, candidates, and other stakeholders as well as to prevent intentional or unintentional voter fraud, a statewide electronic solution is imperative.

PROGRAM/PROJECT FORMAT

Program/Project Start Date: 06/28/2019 for VSR and

Budget Allocation at Time of Initial Start Date: $11.2 million

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

Phase Approach Description: The two projects may run in parallel.

Estimated End Date for All Phases Known at Time of Initial Start Date: 01/20/2020 (VSR)

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 05/22/2023

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
VSR	Voting Systems Replacement (VSR)	New statewide elections/voting system	6 months	$6,628,516
EPB	EPollBook (EPB)	Statewide electronic poll book implementation	4 months	$2,500,000

Notes:

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
VSR	05/02/18	06/28/19	04/06/20	$7,192,282	04/06/20	0 days	$7,129,297	0.8% Under Budget
EPB	05/02/18	01/17/20	06/06/23	$2,093,144	05/10/2023	1.4% Ahead	$2,082,563	0.5% Under

Notes: VSR is wrapping up the Execution phase of the project and is expected to enter the Closeout phase at the end of April 2020.

VSR completed the Execution phase and implementation of the voting system as scheduled.

VSR had seven contract amendments that added additional scope, cost, and time to the project. Three of the contract amendments occurred after the project closing.

VSR closeout meeting was held on April 30, 2020, with SOS and ES&S in attendance.

As of December 21, 2020, the final contract amount was $9,861,972 (this included all support-maintenance costs going forward).

EPB went into Planning in Q3 2019

EPB went into Execution on January 13, 2020

EPB development work was delayed in February 2020 due to the vendor focusing on other clients during the 2020 primaries and their original project manager quit the project in March 2020

COVID-19 restrictions moved the North Dakota June 2020 primary elections to vote by mail and EPB was not used as a result

Continued delays and issues (including demands for payment on uncompleted deliverables) with the vendor put the entire project and electronic poll pad system in doubt right up to the November 3, 2020, general elections, which consisted of vote by mail, early voting in person and Election Day voting in North Dakota (with fewer polling locations).

Despite several defects discovered with the system, it was used during the 2020 election for in-person voting with success that owed considerable gratitude from the NDIT, SOS, BPro and KNOWiNK team

As of February 2021, the project is still in progress and in the process of re-planning to finish up several remaining items

Work continued with EPB throughout 2021 and 2022- a Corrective Action Plan was created for the project to complete the necessary testing work.

A SOC2 Type II audit of KNOWiNK (a required component of the Final Acceptance Deliverable) completed in late 2022.

Project entered Closeout phase in Q2 2023.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
VSR	Replace all tabulation, assistive ballot marking, express vote and election management system equipment, and election staff trained in all 53 counties	Successful delivery, testing, setup of voting equipment, completion of training for all 53 counties	Met	The project team successfully delivered, tested and setup the voting system equipment in all 53 counties. Training was also completed 100% for all 53 counties. All 26 project deliverables were completed 100% on schedule and slightly under budget.
EPB	Implement a statewide electronic poll book solution	Successful delivery, testing, setup of the solution and completion of training for all 53 counties	Met	All ePoll books in all 53 counties of North Dakota were able to synchronize during the last two election cycles.

POST-IMPLEMENTATION REPORT

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
VSR	Open communications between ES&S and SOS throughout the different phases of the project have helped to make it a successful project.
VSR	The cooperation between the team and working well together since the beginning have made it an "easy" project.
VSR	All phases went well even with personnel changes (project sponsor and ES&S project manager), all the amendments and the COVID-19 pandemic at the end of the project.
VSR	Time spent in the warehouse both ES&S and SOS doing the testing and other work for sending out the equipment to the counties should be replicated for future projects
VSR	Training for counties in person – how the elections happen will decide the final answer on the training
EPB	More time needed to be spent on requirements gathering, vetting and analysis both during procurement and planning phases
EPB	Incorporate security/risk during procurement and planning – this is already happening with new projects
EPB	Coordinate often and early with local IT and elections officials to make sure there are no issues – centralize point of contact for issues if they do arise – all levels, SOS, counties, NDIT and KNOWiNK.
EPB	The use of single tenant instead of multi-tenant for ePulse was a lifesaver for the project team
EPB	Throughout all the challenges such as staffing changes, COVID, weather, the core team continued to work together well
EPB	Successfully used the system for the 2022 elections
EPB	While the project did not meet the overall projected timeline it was a learning process on both sides. the overall product is one the state can feel proud about and could be improved upon from election to election. Excited about the continued partnership moving forward and await the next challenge
EPB	Training and refresher training during the state's elections conference were helpful

KEY CONSTRAINTS AND/OR RISKS

VSR:

- State can make reasonable programming changes to ND VOICES for the solution
- The state's voting system is a critical piece of infrastructure
- The Elections unit staff will be available for the project as needed
- The voting system has federal standards that must be met
- SOS must be able to certify the voting system

EPB:

- State can make reasonable programming changes to ND VOICES for the solution
- The state's voting system is a critical piece of infrastructure
- The Elections unit staff will be available for the project as needed
- A SOC 2 Type II security audit must be completed, reviewed and approved by the State in order release the Final Acceptance and closeout the project

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

GENERAL INFORMATION

Program/Project Name: WSI Claims and Policy System (CAPS) Program: Startup of Release 10 and Closeout of Release 9

Agency Name: Workforce Safety and Insurance

Project Sponsor: Tim Wahlin (current), Barry Schumacher (former)

Project Manager: Jennifer Kunz

PROJECT DESCRIPTION

The Workforce Safety and Insurance (WSI) Claims and Policy System (CAPS) Program (formerly called System Replacement Program) replaces core business applications to improve customer service, enhance system maintainability, provide enhanced reporting and accessibility to information, and enable WSI to remain current with technology. A phased, evolution implementation approach is being used. The program consists of several phases and within each phase there are multiple projects delivering functionality in a production environment, ready to be used.

Completed projects in the program include:

- Phase 1 Planning and Analysis occurred from January through June 2015. This phase included a database consolidation analysis and design, a detailed evolution roadmap, a program plan and schedule, and procurements for the next phase.
- Phase 2 Shared Components Refacing involved three projects which refaced shared functionality between CMS and PICS into the new CAPS user interface.
    - Project 1: Releases 0-1 Forms and DB Consolidation (July 1, 2015 - April 8, 2016): delivered forms functionality (specifically adding, viewing, and maintaining forms) in the new CAPS user interface. The underlying databases were also consolidated.
    - Release 2: Work Management Core functionality (April 11 - September 23, 2016): delivered core Work Management functionality including the viewing, maintaining, and launching of work events.
    - Release 3: Work Management Part 2 (September 19, 2016 - February 24, 2017): delivered the remaining Work Management functionality including Reassignment, Tools, and Reports.
- Phase 3 PICS Application Refacing (current phase) began in February 2017.
    - Release 4: Policy Registration (February 27, 2017 – November 9, 2017): delivered functionality including find legal entity; add/maintain legal entity, notes, employees, volunteers, optional coverage, extra-territorial coverage, reciprocity, non-compliance; and calculate premium.
    - Release 5: Policy Maintenance Part 1 (October 2, 2017 – July 23, 2018): delivered functionality including applications (replacing internal Online Applications), verification of non-employment, adjustments, experience rating, large deductibles, and account snapshot.
    - Release 6: Policy Maintenance Part 2 (June 11, 2018 – July 5, 2019): delivered functionality for maintaining accounting, a general ledger (GL) interface, online payment interface, payment search/entry, and bonds.
    - Release 7: Policy Maintenance Part 3 (May 13, 2019 – August 7, 2020): delivered functionality for Safety and Ergonomic Program Elements, Audits, Referrals, Collections, an Analysis of Providers and Legal Entity (LE), and Future State Enhancements.
    - Release 8: Payroll Reporting (May 26, 2020 – August 6, 2021): delivered functionality for Payroll Reporting, Account Status Changes, and Consolidated Accounts.
    - Release 9: Policy Stabilization (June 16, 2021 – August 10, 2022): this was the final project of Phase 3 (PICS Application Refacing). It delivered production enhancements to sustain and improve functionality delivered over the past five years.

New project starting up:

Phase 4 Release 10: Claim Registration began May 23, 2022 and will end August 21, 2023. It is the first release of Phase 4 (Claims Refacing). It will deliver refaced Claim Registration functionality from the legacy Claims Management System (CMS) into CAPS. The baseline budget is $2,449,647. ServiceLogix will continue to support WSI's team with resources and provide the leadership for the application refacing. NDIT will also continue to support WSI with resources for project management, database administration, and architecture/system/network support.

Future efforts in the program include:

- Phase 4 CMS Application Refacing Releases 11-17. The start and end dates for these releases are not yet baselined.
- Phase 5 Implementation Transition and Closeout. This phase will be approximately six months and include transition from contracted resources and closeout of the program.

Background

From January 2008 through December 2012, extensive efforts were made by WSI to replace the current claims and policy computer systems with a purchased solution from a software vendor. The software vendor contract expired the end of December 2012, and a decision was made not to extend the contract, effectively terminating the course of the initiative prior to successful implementation. Efforts then continued with planning the strategy and determining the best alternative for continuing in order to achieve the original objectives along with any new objectives. From February 2013 through June 2015, WSI completed six steps at the direction of the ESC in preparation of any procurement related to replacing the current claims and policy systems. The ESC approved moving forward with an “evolutionary approach” for WSI’s core system replacement/upgrade, the CAPS Program.

BUSINESS NEEDS AND PROBLEMS

The specific primary business needs to be met (with measurements detailed in the next section) through the program are as follows:

- Provide current industry web-based technology for core business systems supporting Injury Services and Employer Services and replace existing client-server-based systems
- Provide a system with enhanced reporting and accessibility to information

As described in the project charter, this program also aligns exceptionally well with WSI’s organizational purpose and mission.

PROGRAM/PROJECT FORMAT

Program Start Date:7/1/2015

Budget Allocation at Time of Initial Start Date: $5,760,000 for the 2015-2017 biennium. $8,576,060 for the 2017-2019 biennium. $6,372,605 for the 2019-2021 biennium. $7,500,000 for the 2021-2023 biennium. The budget request for the 2023-2025 biennium is in progress.

How Many Phases Expected at Time of Initial Start Date: Four phases and 20 projects (releases) were expected, plus a fifth phase for Transition and Program Closeout. In April 2022, the Program Release Roadmap was revisited, and the expected total number of releases reduced to 17. This is due to arranging some of the Claim refacing scope more efficiently, given lessons learned through prior releases.

Phase Approach Description: This program consists of several phases and within each phase there are multiple projects (releases) delivering functionality in a production environment, ready to be used. Over the course of each project, the application user interface will be re-faced into a new user interface and the data and programming logic retained, a key success factor. The first project also included the consolidation of the underlying databases. This “Evolutionary Approach” minimizes risk and costs and will replace WSI’s core systems incrementally into production with usable functionality approximately every 12 months.

Estimated End Date for All Phases Known at Time of Initial Start Date: The earliest expected end date is 2030 but is dependent upon the detailed planning and baselines of the individual projects.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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
PHASE 1 (COMPLETE)	**Planning and Analysis**		Completed 6/30/15	N/A
PHASE 2 (COMPLETE)	**DB Consolidation and Shared Components**			
Project 1	Shared Components Releases 0-1 (Forms) and DB Consolidation	COMPLETE: Delivered refaced Work Management Forms functionality into production	Completed 4/8/16 (See next section for Actual Duration)	$1,630,288 Baseline (See next section for Actual Cost)
Release 2	Work Management Part 1 (Core)	COMPLETE: Deliver refaced Work Management Core functionality into production	Completed 9/23/16 (see next section for Actual Duration)	$1,640,320 Baseline (See next section for Actual Cost)
Release 3	Work Management Part 2 (Reassignment & Tools)	COMPLETE: Deliver refaced Work Management Reassignment and Tools functionality into production	Completed 2/24/17 (See next section for Actual Duration)	$1,355,629 Baseline (See next section for Actual Cost)
PHASE 3 (COMPLETE)	**Policy (PICS) Application Refacing**			
Release 4	Registration	COMPLETE: Delivered refaced PICS Registration functionality into production	Completed 11/9/17 (See Project Baselines section for Actual Duration)	$1,873,410 Baseline (See Project Baselines section for Actual Cost)
Release 5	Policy Maintenance Part 1	COMPLETE: Delivered refaced PICS Policy Maintenance Part 1 functionality into production	Completed 7/23/18 (See Project Baselines section for Actual Duration)	$1,835,649 Baseline (See Project Baselines section for Actual Cost)
Release 6	Policy Maintenance Part 2	COMPLETE: Delivered refaced PICS Policy Maintenance Part 2 functionality into production	Completed 7/5/19 (See Project Baselines section for Actual Duration)	$2,698,860 Baseline (See Project Baselines section for Actual Cost)
Release 7	Policy Maintenance Part 3	COMPLETE: Delivered refaced PICS Policy Maintenance Part 3 functionality into production	Completed 8/7/20 (see Project Baselines section for Actual Duration)	$2,502,194 Baseline (See Project Baselines section for Actual Cost)
Release 8	Payroll Reporting	COMPLETE: Delivered refaced PICS Payroll Reporting functionality into production	Completed 8/6/21 (see Project Baselines section for Actual Duration)	$2,658,946 Baseline (see Project Baselines section for Actual Cost)
Release 9	Policy Stabilization	COMPLETE: Delivered enhancements to sustain and improve functionality delivered over the past five years	Completed 8/10/22 (see Project Baselines section for Actual Duration)	$1,582,398 Baseline see Project Baselines section for Actual Cost)

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

Project/ Phase	Title	Scope Statement	Estimated Months Duration	Estimated Budget
IN PROGRESS				
PHASE 4	**Claims (CMS) Application Refacing**		**Eight years, Eight Projects / Releases for Phase 4**	**$20,950,120 for entire Phase 4**
Release 10	Claim Registration	BEGAN 5/23/2022: Deliver refaced Claim Registration functionality from legacy CMS into CAPS.	12 months	$2,449,647 Baseline
FUTURE				
Release 11	*Claim Parties & Maintenance Part 1*	*Deliver the refaced CMS Claim Parties and Maintenance Part 1 functionality into production*		
Release 12	*Claim Parties & Maintenance Part 2*	*Deliver the refaced CMS Claim Parties and Maintenance Part 2 functionality into production*		
Release 13	*Wages and Reserves*	*Deliver the refaced CMS Wages and Reserves functionality into production*		
Release 14	*Payments Part 1*	*Deliver the refaced CMS Payments Part 1 functionality into production*		
Release 15	*Payments Part 2*	*Deliver the refaced CMS Payments Part 2 functionality into production*		
Release 16	*Medical*	*Deliver the refaced CMS Medical functionality into production*		
Release 17	*Field/Fraud/ Legal/Rehab*	*Deliver the refaced CMS Field/Fraud/Legal/Rehab functionality into production*		
PHASE 5	***Transition, Program Closeout***		***5 months***	***$45,000***

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	12/4/2014	7/1/2015	5/19/2016	$1,630,288	4/08/2016	3.8% ahead	$1,292,069	20.7% under
Release 2		4/11/2016	9/30/2016	$1,640,320	9/23/2016	0%	$1,332,631	18.7% under
Release 3		9/19/2016	2/28/2017	$1,355,629	2/24/2017	0%	$1,115,716	17.5% under
Release 4		2/27/2017	10/31/2017	$1,873,410	11/9/2017	4.0% behind	$1,660,615	11.3% under
Release 5		10/2/2017	6/29/2018	$1,835,649	7/23/2018	9.2% behind	$1,638,705	10.7% under
Release 6		6/11/2018	5/10/2019	$2,698,860	7/5/2019	16.7% behind	$2,568,372	13.0% under
Release 7		5/13/2019	8/28/2020	$2,502,194	8/7/2020	0%	$2,389,227	4.5% under
Release 8		5/26/2020	6/18/2021	$2,658,946	8/6/2021	13% behind	$2,363,616	11% under
Release 9		6/16/2021	5/31/2022	$1,582,398	8/10/2022	17% behind	$1,491,079	6% under
Release 10		5/23/2022	8/21/2023	$2,449,647				
Release 11								
Release 12								
Release 13								
Release 14								
Release 15								
Release 16								
Release 17								

Notes:

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
	Business Need 1: Provide current industry web-based technology for core business systems supporting Injury Services and Employer Services and replace existing client server-based systems.			
Phase 3	Objective 1.1: Maintain or improve upon existing business functionality/capabilities (i.e., at a minimum, no loss of current process efficiencies and automation)	Measurement 1.1.1: Upon completion of the “Policy Evolution” (including Billing and Workflow) implementation, there will be no measurable loss of policy process efficiencies as measured by operating reports. The most recent operating report prior to the start of the Policy Evolution will be used as the benchmark and will be compared to the first available operating report following the completion of the Policy Evolution.	Met	WSI has continued to test and monitor operation reports after each release and there has been no loss of functionality.
Phase 3		Measurement 1.1.2: Upon completion of the “Policy Evolution” (including Billing and Workflow) implementation, all new policy related process changes, enhancements, and efficiencies identified by the WSI continuous improvement team for inclusion in the Policy Evolution are fully deployed and functioning according to documented requirements.	Met	WSI has continued to meet expectations set by the WSI Continuous improvement team through the CAPS project.
Phase 4		Measurement 1.1.3: Upon completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, there will be no measurable loss of claims process efficiencies as measured by operating reports. The most recent operating report prior to the start of the Claims Evolution will be used as the benchmark and will be compared to the first available operating report following the completion of the Claims Evolution.		

Phase 4		Measurement 1.1.4: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, all new claims related process changes, enhancements, and efficiencies identified by the WSI continuous improvement team for inclusion in the Claims Evolution are fully deployed and functioning according to documented requirements.		
Phase 5	Objective 1.2: Enhance customer and staff accessibility to policy and claims related applications and corresponding data/information	Measurement 1.2.1: Upon completion of the "Policy Evolution" (including Billing and Workflow) implementation, WSI staff (with the appropriate security) will have access to the Policy system from anywhere there is an internet connection.		
Phase 3		Measurement 1.2.2: Within six months following the completion of the "Policy Evolution" (including Billing and Workflow) implementation, employers will have self-service access to premium and loss data specific to their account for purposes of managing their policies and claim losses.		
Phase 4		Measurement 1.2.3: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, WSI staff (with the appropriate security) will have access to the Claims system from anywhere there is an internet connection.		
Phase 4		Measurement 1.2.4: Within six months following the completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, employers, providers, and injured workers will have self-service access to claim related data specific to their account/entity.		
Phase 5	Objective 1.3 Improve policy and claims system navigation and ease of use for WSI staff	Measurement 1.3.1 Upon completion of the Policy and Claims Evolution implementations there is a single user interface for accessing policy and claims functionality.		
Phase 5		Measurement 1.3.2: Upon completion of the Policy and Claims Evolution implementations WSI staff will be surveyed to determine the user interface ease of use.	Met (for Policy)	WSI Staff have continued to easily use the CAPS system with improvements made in each release and subsequent maintenance releases.

Phase 3	Objective 1.4 Improve ability to respond to customer and staff requests	Measurement 1.4.1 Within six months following the completion of the “Policy Evolution” (including Billing and Workflow) implementation, there will be a 20% reduction in the turn-around time for completing policy related system change/enhancement requests. Prior to the start of the Policy Evolution a benchmark of the average turn-around time for completing policy related system change/enhancement requests will be established from ITSM and will be compared to the average turn-around time for completing requests after six months following the completion of the Policy Evolution.		Six months have not yet elapsed following the completion of ‘Policy Evolution’ so this measurement cannot be taken.
Phase 3		Measurement 1.4.2: Within six months following the completion of the “Policy Evolution” (including Billing and Workflow) implementation, there will be a 10% reduction in the amount of time spent by WSI policy staff in providing employers with reports and information. Prior to the start of the Policy Evolution a benchmark of the average amount of staff time per month spent providing employers with reports and information will be established and will be compared to the average amount of time spent providing reports and information after six months following the completion of the Policy Evolution.		Six months have not yet elapsed following the completion of ‘Policy Evolution’ so this measurement cannot be taken.
Phase 4		Measurement 1.4.3: Within six months following the completion of the “Claims Evolution” (including Bill Review and Workflow) implementation, there will be a 20% reduction in the turn-around time for completing claims related system change/enhancement requests. Prior to the start of the Claims Evolution a benchmark of the average turn-around time for completing claims related system change/enhancement requests will be established from ITSM and will be compared to the average turn-around time for completing requests after six months following the completion of the Claims Evolution.		

Phase 4		Measurement 1.4.4: Within six months following the completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, there will be a 10% reduction in the amount of time spent by WSI Injury Services staff in providing employers, providers, and injured workers with reports and information. Prior to the start of the Claims Evolution a benchmark of the average amount of staff time per month spent providing employers, providers, and injured workers with reports and information will be established and will be compared to the average amount of time spent providing reports and information after six months following the completion of the Claims Evolution.		
	Business Need 2: Provide a system with enhanced reporting and accessibility to information			
Phase 5	Objective 2.1 Improve data integrity of/between core business systems supporting Injury Services and Employer Services	Measurement 2.1.1: Eliminate redundant data between claims and policy systems. During database consolidation planning and design identify and document the occurrences of redundant data between claims and policy systems. Upon completion of database consolidation verify that all occurrences of data redundancy have been eliminated.	Met (for Policy)	WSI now has one system on the Policy side for the staff to use to manage employer accounts.
Phase 5	Objective 2.2 Maintain access to all legacy data supporting Injury Services and Employer Services	Measurement 2.2.1: Access to all legacy data (i.e., history data) is available throughout and following project completion without having to access multiple systems.	Met (for Policy)	WSI now has one system on the Policy side to access for managing employer accounts. CMS will still be used until completion of Claims Evolution. Through each release WSI ensures through data conversion that legacy data, as applicable, was retained.
Phase 3	Objective 2.3 Improve reporting and Business Intelligence (BI) capability	Measurement 2.3.1: Upon completion of the "Policy Evolution" (including Billing and Workflow) implementation, an easy method of accessing Policy summary and detail information from a single set of screens is available to WSI employees.	Met	This objective was met with Release 4 – summary screen and real-time

Phase 4		Measurement 2.3.2: Upon completion of the "Claims Evolution" (including Bill Review and Workflow) implementation, an easy method of accessing Claim summary and detail information from a single set of screens is available to WSI employees.		

POST-IMPLEMENTATION REPORT

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, etc.
Project 1	1. The new CAPS forms functionality successfully meets the needs of WSI end users. The survey respondents who use the forms functionality rated it Above Adequate or Excellent. A few specific comments include: a. "Positive reception of the Forms functionality by the entire agency!! Smooth deployment of the Forms functionality along with the (high) degree of readiness leading up to the deployment" b. "I think this project was an excellent start in laying the foundation for the entire program and future projects to come!!" 2. The project was completed six weeks ahead of the Baseline Schedule and 20.7% under the Baseline Budget. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 3. The survey results show that Communication Management activities were rated as Excellent. There was one outlier of Above Adequate and one of Below Adequate. 4. Comments were positive and one highlighted the tremendous success of the Communications Team, an internal group to WSI. 5. Regarding Organizational Change Management, a question in the survey was "how effective were the overall executive and senior managers in addressing, leading, and supporting the project in an effective, positive and energizing manner?" The majority of respondents rated it Excellent with one comment as follows: "this project went so smoothly that there weren't any major issues for executive and senior managers to address but their support in providing approvals, in celebrations, and overall presence was invaluable!" 6. According to survey results, Issue and Testing Management were effective with the majority of ratings Excellent, a couple at Above Adequate, and one at Below Adequate; comments were positive and there was constructive feedback regarding a need for improvement in the testing of day-in-the-life scenarios.

Release 2	1. The new CAPS Work Management Core functionality successfully meets the needs of WSI end users. The survey respondents who use the Work Management functionality rated it Above Adequate or Excellent. A few specific comments included: a. "I enjoy having an easy and accessible system like CAPS to do much of my daily work and cannot wait for more." b. "I like the multi-select function and the FYI function. The FYI function was there previously but is being used more often now." c. "I really like that I can see all of my events for both claims and accounts vs. having to toggle between the two. That helps ensure that I am keeping an eye on both." d. "One really nice thing is being able to see an event that someone else is currently on. In legacy Work Manager you could not even see that an event was there if someone else was clicked on it." e. "It's great that CAPS WM automatically enters the user's name and date upon reassigning that event. Legacy relied on the human to enter it." 2. The project was completed on schedule and 18% under the Baseline Budget. 3. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 4. The survey results showed all categories were Above Adequate or Excellent. The team conducted a comprehensive Lessons Learned initiative to discuss the survey results in small groups and implement any improvements that were necessary.
Release 3	1. The CAPS Work Management Part 2 functionality successfully meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. A few specific comments are included below: a. "The widget tools are nice to have to find fraud events that were inadvertently assigned to people without fraud security. The event history search feature is much faster and easier to understand than the previous version in work manager." b. "The Event History part of this release is so much better than what we have in Work Manager. It's so nice you can filter in so many different ways and get results faster." c. "I really enjoy the functionality of CAPS. Each time a new release is deployed the functionality is great and easy to move around, work and learn the new system with ease." d. "I enjoy that I can add a note which is automatically retained and dated with the event when pending an event or reassigning it. I do enjoy that when payroll reports are reassigned, it will indicate what date the report was reassigned." e. "Resetting escalations is working great. That was a great change not having to reassign them, but instead being able to reset them." 2. The project was completed on schedule and 17.5% under the Baseline Budget. 3. All deliverables were produced on-time and accepted per the agreed-upon Acceptance Criteria. 4. The survey results showed all categories were Above Adequate or Excellent.

Release 4	1. CAPS Policy Registration functionality meets the needs of WSI end users. The majority of survey respondents who use the functionality rated it Adequate, Above Adequate, or Excellent; however, there were some Poor and Below Average ratings. Improvements in the prototyping / requirements process are needed to drive higher product effectiveness. A few specific comments are included below: a. "I like that you can just click a button and go the next window instead without still being in another account." b. "Screens have a consistent look. I like note entry." c. "I really enjoy that PEOs and the PEO contacts were created as Legal Entities and that any updates can be handled at once to their contact information." d. "Sending an email of a document to an employer is seamless now. Thanks!" e. "One success story that I love is that when we know we have the correct LE we can see all accounts that that person is associated to. You can then hyperlink to that account to check the account out." f. "I think as the progress of CAPS moves along, it is requiring us to think outside the box on workflow, event queues, and forms which is a good thing; we need to use the system as efficiently as possible." g. "Pertaining to the Legal Entity areas in CAPS, it should help to keep accounts more in order." h. "The fact that it provides more history that we can see is nice." i. "I'm still getting used to it. I do like how there are legal entities for each business and each person. This way there aren't a lot of different ways that a person or business is in our system." 2. The project completed 11.3% under the Baseline Budget and slightly behind schedule. 3. All deliverables were completed and accepted per the agreed-upon Acceptance Criteria.
Release 5	1. The CAPS Policy Maintenance functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Adequate to Excellent A few specific comments are included below: a. "The adjustment process is so much easier than it had been, and it is really nice to have verifications and employer applications behave so similarly." b. "Automating the optional coverage contracts eliminates a manual process for the underwriters. Removing the second P1 was important for litigation. Process flow change for experience rate adjustments. Previous to release 5, Jodi was guessing what reserves should be adjusted to." c. "Once I am fully comfortable with the updates, I feel that I will be able to perform my processes in a shorter amount of time." d. "Combining legal entities persons is going well." e. "I am loving doing adjustments in CAPS! I really wish we would have been able to fully adjust in CAPS around the $250 but we are getting there. I also really think that we have made headway on the Verification portion. Looking forward to future releases." 2. The project completed 10.7% under budget and 9.2% behind schedule. 3. All deliverables were completed and accepted per the agreed-upon Acceptance Criteria.

<table>
<tr><td>Release 6</td><td>1. The CAPS Policy Maintenance Part 2 functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent. Compared to the last release, the rating in this category improved +.90 from 3.58 to 4.48 out of a possible 5.0.
A few specific comments are included below:
a. One of the biggest values for underwriting is not having to provide a manual calculation for minimum premium adjustments. Automating the adjustment worksheets has also decreased workload for underwriting staff. One major business process change is the way the check log is started in Office Service, added to by Finance, then uploaded by Meg. This along with the payment entry upload has been a huge success and greatly improved Meg’s daily deposit process.
b. Love the statement preview functionality, the fact that you can make an adjustment and see the results real time. Love the fact that you can see all information in premium tree node and billing summary tree node.
c. The adjustments alone are wonderful. To be able to do them in less than half the time is a dream. Those letters in the forms tool as well are GREAT!
d. I think it’s great how much easier the deposit is done daily and being able to waive penalty fees.
e. I like how easy it is to waive a penalty that has been paid without backing out a payment and how form letters generate automatically for adjustments.
f. For our employers – the combined statements; for our employees – easy to navigate system.
g. It is easier to find billing information and to understand what is still owing on an account.
h. The claims information within CAPS and the links from account to Work Manager are delivering value.
i. A lot of the things I am quite happy about have more to do with how CAPS and myWSI work together than how either one functions independently. I love that I can do an adjustment, explain that the bill will go out the day after the SPD, but the changes will be reflected in myWSI account summary. I also really enjoy Assessments in CAPS compared to how they were in PICS. You get a lot more detail at the first look than having to guess based on the claim number and SSN to find a claim that an employer is referring to. Accounts Receivable and Billing Summary do take some getting used to, but I believe I have a good grasp now and that they are working much better than what I could previously use in PICS. I especially enjoy being able to verify adjustment or renewal amounts in billing summary.
j. I like not having to go back and forth from CAPS to PICS and once PICS is gone for good, I will be even happier. I like that the Assessments are now part of the billing statement.</td></tr>
<tr><td>Release 7</td><td>1. The CAPS Policy Maintenance Part 3 functionality meets the needs of WSI end users. The survey respondents who use the functionality rated it Above Adequate or Excellent.
A few specific comments are included below:
a. Overall, the CAPS project was a success. The final product is more than sufficient, and I feel after working out the remaining wrinkles...the CAPS functionality is going to be fantastic.
b. I am really impressed with the functionality of CAPS. Nice job!
c. I think overall we still have some areas to be enhanced with maintenance releases, but the overall functionality is good!
d. Great product.
e. One month into it and still learning little things. But so far, so good!!!
f. CAPS R7 has increased our effectiveness and will take some time to fully learn and maximize to the fullest.
g. Makes work much easier and less backtracking, as well as it is nice to access one system versus some information on CAPS and some on PICS.
h. I'm not an active user of CAPS, but I’m not hearing anything negative. That’s good!
i. I feel once we have the chance to use the product a little longer and tweak what needs to be tweaked...the finished product will be exceptional.
j. I think overall we still have some areas to be enhanced with maintenance releases, but the overall functionality is good!</td></tr>
</table>

Release 8	1. The CAPS Payroll Reporting functionality meets the needs of WSI end users. Project stakeholders rated the functionality at 2.53 out of 3.00 (Above Adequate or Excellent). A couple specific comments from project stakeholders are included below: a. Gathering payroll detail using the same application in a revised payroll report is a major accomplishment. b. I like the entire payroll reporting update, from the filing to the billing.
Release 9	The CAPS Policy Stabilization functionality meets the needs of WSI end users. Project stakeholders rated the functionality at 2.45 out of 3.00 (Above Adequate). Some specific comments from project stakeholders are included below: 1. There have been so many ways that the applications have become more effective. Too many to list all of them. Some highlights are employers no longer have to go to OMB to get a supplier ID and then come back to WSI to continue filling out grant info. DMP customers information that was previously submitted is now share so it can be edited instead of reentered every year. 2. The new PHS LE update queue is less time consuming, as the information being updated is there already, but the option of critiquing or changing something submitted is still available (I like that). 3. Jay Jacobs knowledge of quarterly reporting was vital to that portion of the project's success! 4. The communication aspect of the project was very well done. 5. Team support is always golden. 6. I thought the whole thing went well over all other than there was a lot in it to large, scope creep. 7. The communications overall were really good. I think in particular the UAT updates for those involved had a big impact and reduced some of the stress a little. 8. The use case test scenarios seemed to test all areas of the scope of the project. 9. There is some increased functionality when it works properly. I am not sure why things are tested and are found to be working but then are not working when released.

KEY CONSTRAINTS AND/OR RISKS

- The transition of WSI IT leadership is in progress; these staff are also still managing prior responsibilities.
- WSI and NDIT resources (business, technical) are limited in the number of staff available.
- WSI and NDIT resources are limited in experience with the current and preferred technologies.
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each project/release.
- The schedule for Release 10 is combined with the myWSI Release 6 schedule due to intense integration of the systems, functionality, and team members.
- Future funding appropriations are necessary to complete all projects/releases within the program.
- Cost, schedule, scope, and quality are often in conflict during projects. The sponsor and ESC elected to prioritize these constraints as follows for the program:
    - Quality
    - Scope
    - Schedule
    - Cost

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

GENERAL INFORMATION

Program/Project Name: myWSI: Startup of Release 6 and Closeout of Release 5

Agency Name: Workforce Safety and Insurance

Project Sponsor: Valerie Kingsley

Project Manager: Jennifer Kunz

PROJECT DESCRIPTION

myWSI is a secure portal for employers, medical providers, and (eventually) injured employees to access, submit, and view user specific information related to ND Workforce Safety and Insurance (WSI). To date, the team has completed an initial platform release and three feature releases (a fourth release is in progress). The myWSI Program is a large, multi-year program with several releases. Each release is baselined and managed as a major project.

Completed projects in the program include:

- Extranet Infrastructure (August 1, 2015 – June 30, 2017): delivered the core infrastructure of an extranet portal developed on a .Net platform, enabling employers and medical providers with the ability to log in to myWSI and view information related to their transactions.
- myWSI Enhancements (July 1, 2017 – September 3, 2019)
  - myWSI Release 1: delivered features for provider bill status, UR-C / UR-Chiro, medical records submission, and common services for notifications, messaging, and alerts.
  - myWSI Release 2.1 and 2.2: delivered features for the employer eAccount (OEA replacement) and additional common services (payment, FileNet integration, forms retrieval), reports integration, and notifications management.
- Release 3 Safety and Ergo (November 19, 2019 – August 7, 2020): delivered functionality into myWSI for the Safety Program and the Ergonomic Initiative and Grant.
- Release 4 Online Payroll Reporting (May 26, 2020 – August 6, 2021): delivered functionality for Online Payroll Reporting, External Forms, integration with CAPS and the existing login architecture, and establishment of future myWSI architecture.
- Release 5 (June 16, 2021 – August 10, 2022): delivered Online Quarterly Payroll Reporting, Online Volunteer Reporting, External Forms (DMP, P12, FL214, Employment Contact Log), Site Reorganization, Invitation Mgmt. improvements, Employer Dashboard, Provider Dashboard (framework only), Integration with Enterprise Identity Management (new NDLogin platform), Account Billing, and Claim View.

New project starting up:

Release 6: The release began June 6, 2022 and will end August 15, 2023. It will deliver Employer Online Application for Insurance, Safety and Ergo Refacing, Chatbot, and other technical improvements. The baseline budget is $1,524,361. ServiceLogix will provide the leadership for product delivery and support WSI's team with resources. NDIT will continue to support WSI with resources for project management, database administration, and architecture/network support.

Future efforts in the program include (the start and end dates for these releases are not yet baselined):

- Release 7 – Providers (Dashboard, Forms Replacement, Enhanced Chatbot, Admin Tools)
- Release 8 – Injured Employees (Dashboard, File Access, Forms Submittal, SMS/Text, Online FROI)
- Release 9 – General Vendor Access, General Enhancements

Background

In late 2010 and early 2011 a communications audit was performed by Flint Communications to review current communication processes inside and outside of WSI. Priority one was an intranet planning and rewrite project which went live in November 2011. Priority two was a rewrite of the current external website which was launched in June 2015. The third priority was a secure extranet portal for injured employees, employers, and medical providers to view and submit information with WSI.

BUSINESS NEEDS AND PROBLEMS

The specific primary business needs to be met through the program are:

- Support WSI's strategic objective to improve communication.
- Streamline processes related to information from/to external stakeholders.
- Increase availability and usage of information for WSI's stakeholders and partners.

The myWSI Program is in line with WSI's core purpose "to care for injured workers" by offering a secure portal for injured employees, employers, and medical providers to view, update, and submit information related to their interactions with WSI.

PROGRAM/PROJECT FORMAT

Program Start Date: August 1, 2015

Budget Allocation at Time of Initial Start Date: $469,031 for the 2015-2017 biennium. $1,032,300 for the 2017-2019 biennium. $850,000 for the 2019-2021 biennium. $3,050,000 for the 2021-2023 biennium. The budget request for the 2023-2025 biennium is in progress.

How Many Phases Expected at Time of Initial Start Date: The number of phases/projects was unknown at the initial start date, but WSI and Nexus identified an extensive list of features, and the highest priority functionality was implemented (Releases 1-3). After the transition to ServiceLogix in early 2020, a Release Plan strategy was formalized to accommodate all outstanding features (Releases 4-9). In April 2022, the Release Plan strategy was revisited and the anticipated scope for each release was slightly adjusted.

Phase Approach Description: This program consists of multiple projects (releases) delivering functionality into a production environment, ready to be used.

Estimated End Date for All Phases Known at Time of Initial Start Date: The earliest expected end date is 2026 but is dependent upon the detailed planning and baselines of the individual projects.

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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 (COMPLETE)	Extranet Infrastructure	Portal framework and login process, integration with existing online applications	Completed 6/30/17	$504,878 Baseline (See next section for Actual Cost)
Releases 1-2 (COMPLETE)	myWSI Enhancements • myWSI Release 1 • myWSI Release 2.1 and 2.2	Provider bill status, UR-C / UR-Chiro, medical records submission, and common services for notifications, messaging, and alerts Employer eAccount (OEA replacement) and additional common services (payment, FileNet integration, forms retrieval), reports integration, and notifications management	Completed 9/3/2019	$1,032,409 Baseline (See next section for Actual Cost)
Release 3 (COMPLETE)	myWSI Release 3.1	Safety program, ergonomic (ergo) initiative and grant, and mobile friendly form updates	Completed 8/7/20	$599,312 Baseline (See next section for Actual Cost)
Release 4 (COMPLETE)	myWSI Release 4 Online Payroll Reporting	Online payroll reporting, external forms, integration with CAPS and the existing login architecture, and establishment of future myWSI architecture	Completed 8/6/21	$303,350 Baseline (See next section for Actual Cost)
Release 5 (COMPLETE)	myWSI Release 5	Online Quarterly Payroll Reporting, Online Volunteer Reporting, External Forms (DMP, P12, FL214, Employment Contact Log), Site Reorganization, Invitation Mgmt. Improvements, Employer Dashboard, Provider Dashboard (framework only), Integration with Enterprise Identity Management (new NDLogin platform), Account Billing, and Claim View	Completed 8/10/22	$1,005,843 Baseline (See next section for Actual Cost)
Release 6	myWSI Release 6	BEGAN 6/6/22: Deliver Employer Online Application for Insurance, Safety and Ergo Refacing, Chatbot, other Technical Improvements	12 months	$1,524,361 Baseline
Release 7	*myWSI Release 7*	*Providers (Dashboard, Forms Replacement, Enhanced Chatbot, Admin Tools)*	*12 months*	*$752,481*
Release 8	*myWSI Release 8*	*Injured Employees (Dashboard, File Access, Forms Submittal, SMS/Text, Online FROI)*	*12 months*	*$837,463*
Release 9	*myWSI Release 9*	*General Vendor Access, General Enhancements*	*12 months*	*$220,225*
Closeout	*myWSI Program Closeout*	*Program closeout and transition*	*4 months*	*$40,000*

Iterative Project Report for Programs & Multi-Year Phased Projects

Submitted to Large Project Oversight on 11/10/2022

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	Program/ Project Start Date	Baseline Execution Start Date	Baseline End Date	Baseline Budget	Actual Finish Date	Schedule Variance	Actual Cost	Cost Variance
Project 1	8/1/2015	8/1/2015	6/30/2017	$504,878	6/30/2017	0%	$469,031	7.1% under
Release 2		7/1/2017	6/28/2019	$1,032,409	9/3/2019	9% behind	$983,891	4.6% under
Release 3		11/19/2019	9/1/2020	$599,312	8/7/2020	7.7% ahead	$540,349	4.5% under
Release 4		6/17/2020	6/18/2021	$303,350	8/6/2021	13% behind	$287,670	5% under
Release 5		6/16/2021	5/31/2022	$1,005,843	8/10/2022	17% behind	$1,046,811	4% over
Release 6		6/6/2022	8/15/2023	$1,524,361				
Release 7								
Release 8								
Release 9								

Notes: The Baseline Budget for Release 5 included a $50,000 scope addition approved by the ESC on October 19, 2021.

OBJECTIVES

Project/ Phase	Business Objective	Measurement Description	Met/ Not Met	Measurement Outcome
Program	Business Need 1: Support WSI's strategic objective to improve communication			
	Objective 1.1: Create a secure portal for WSI external stakeholders to submit and view up to date information related to their interactions with WSI	Measurement 1.1.1: Upon completion of extranet project, ND injured workers, employers, and medical providers will be able to log in to the extranet portal to submit and view up to date information related to their transactions with WSI Anticipated Benefit(s): Improved external stakeholder satisfaction; Improvement in processing time and accuracy of data	Met (2017)	The first project (Extranet Infrastructure) successfully produced the outcome of enabling WSI external stakeholders with the ability to log in to myWSI and view information related to their transactions.
	Business Need 2: Streamline processes related to information from/to external audiences			
	Objective 2.1: Review and improve current processes affecting external stakeholders	Measurement 2.1.1: Reduce the number of contacts with WSI staff per thousand policyholders/claims by 10% within the first year of program completion. Anticipated Benefit(s): Customers able to find information more easily; Workload relief for WSI staff	Met (for Policy)	With prior myWSI releases, employers have been able to access account information and manage their account within myWSI. In R5 continued enhancements were made for management of their account. They are able to find information in myWSI and it assists WSI staff with workload, both Emp Services and Customer Service. Goal is to self-serve

	Business Need 3: Increase online interactivity for WSI's stakeholders and partners			
	Objective 3.1: Design a site that is user-friendly, easily navigable and targets appropriate audiences	Measurement 3.1.1: Increase by 10% the number of external stakeholders using available extranet portal features within the first year of program completion Anticipated Benefit(s) 3.1.1: Improved customer service and internal efficiency	Met (for Policy)	Employers are required to provide information through our external website. Example, payroll reporting process with myWSI R4 where Employers are required to file their payroll report in myWSI. This covers all types of coverage.
	Objective 3.2: Create the extranet to be adaptable to mobile devices	Measurement 3.2.1: Site accessible via iOS, Android, and Windows devices Anticipated Benefit(s) 3.3.2: Improved end user experience	Met (2019)	After Releases 1-2.2, WSI external stakeholders are able to access myWSI via mobile devices.

POST-IMPLEMENTATION REPORTS

Post-Implementation Reports are to be performed 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 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/ Phase	Lesson Learned, Success Story, Idea for Next Time, Etc.
Project 1	1. It was beneficial to walk through the training with the training handouts. 2. The project managers did a remarkable job in leading the team! 3. Communication overall was very good between ITD, WSI and Nexus. There were some issues, but they were resolved quickly. 4. The team leads were amazing with assistance and always prompt with assistance. 5. Overall, the project went great from my perspective. 6. Congrats on the successful implementation! I look forward to using it myself as an account holder with WSI!
Releases 1-2	1. The training provided was wonderful and I can see the URC UR Chiro applications that were deployed as very valuable to the UR Department. They will help provide better/faster service to the injured workers! 2. Issues were corrected when identified during testing. 3. The technical team members (from multiple areas) completed significant changes/improvements to the environments (getting the myWSI environments set up to mirror the CAPS/WSI legacy applications environment), which was a major accomplishment. 4. There were some snags with the scripts and bugs with Go live, but overall, they were fixable; we just had to all work together (which we did) to figure them out. 5. The frequent technical touch-bases with ITD before Go-live worked well. 6. Very good collaboration across multiple organizations (WSI, Nexus, ServiceLogix, ITD) working on issues together with little friction. 7. Early on, there were a lot of unknowns from the developers' standpoint; as the project progressed it became easier for who to contact, etc. The WSI team also grew its knowledge base on what their capabilities and skills for tasks were. 8. Both teams grew through working together. We learned good communication through difficult situations. 9. Communication was much better between all the teams involved. 10. Training was done very well with good communication throughout the process. 11. Integration testing went better this time because we were able work on integrations earlier than last time.
Release 3	1. A lot of work went into this and I think as we all become accustomed to the changes it will work nicely. 2. I really like the new functionality in MyWSI! 3. Expanding our client base utilizing myWSI. 4. Too soon to tell, each month employers safety audits are completed, and employers will need to learn what to do during that time. 5. This was unique situation where a business unit was doing so much manual work then moving so much to automated and online. Kudos to all the team members - business, tech, vendor, management. 6. Too early in the release to comment. 7. Once customers are signed up and learn the functionality, I believe it will serve them and WSI well. 8. I think once we have a chance to work in all the CRs we'll have a very efficient product for our customers. 9. I really like the Road map approach that was designed by Nexus, it is a great picture to see for the Employer to see where they are at in the process and what needs to be completed.

Project/ Phase	Lesson Learned, Success Story, Idea for Next Time, etc.
Release 4	1. The new payroll reporting system is a great upgrade. For our employers to not have an access code to start the payroll report is a really good thing. Most of the accountants are pleased that the access code went away. 2. Gathering payroll detail using the same application in a revised payroll report is a major accomplishment. 3. I like the entire payroll reporting update, from the filing to the billing. 4. Having one vendor made requirements gathering much easier. 5. Business identifying communication needs and working on these earlier in the release. 6. I think the communication is getting better with each release. 7. One vendor that has extensive knowledge on insurance industry and quarterly payroll systems that can help the business with best practices. 8. The communication and training were good. 9. Kudos for great teamwork in a remote work environment! 10. The leaders did a great job of keeping us informed of the progress of the project. 11. It was a big release with many moving parts. Thank you to the team! Great job!!
Release 5	The myWSI Release 5 functionality meets the needs of end users. Project stakeholders rated the functionality at 2.41 out of 3.00 (Above Adequate). Some specific comments from project stakeholders are included below: 1. The new dashboard in myWSI is awesome and easier to maneuver through. Sending an invite is so much quicker, simpler, as is adding roles to an existing user. 2. Dave Donavan deserves a special call out for all the work he did with the new ND Login! 3. The communication aspect of the project was very well done. 4. Team support is always golden. 5. I thought the whole thing went well over all other than there was a lot in it too large, scope creep. 6. The communications overall were really good. I think in particular the UAT updates for those involved had a big impact and reduced some of the stress a little. 7. The use case test scenarios seemed to test all areas of the scope of the project. 8. There is some increased functionality when it works properly. I am not sure why things are tested and are found to be working but then are not working when released.

KEY CONSTRAINTS AND/OR RISKS

- The transition of WSI IT leadership is in progress; these staff are also still managing prior responsibilities.
- WSI and NDIT resources (business, technical) are limited in the number of staff available.
- WSI and NDIT resources are limited in experience with the current and preferred technologies.
- The full program schedule cannot be established due to the long duration; therefore, schedule management is constrained to each project/release.
- The schedule for Release 6 is combined with the CAPS Release 10 schedule due to intense integration of the systems, functionality, and team members.
- Future funding appropriations are necessary to complete all projects/releases within the program.
- Cost, schedule, scope, and quality are often in conflict during projects. The sponsor and ESC elected to prioritize these constraints as follows for the program:
    - Quality
    - Scope
    - Schedule
    - Cost