

**PROJECT SUBMISSION FORM**  
**For Central Management Information Systems Projects**

*Instructions: Complete this form and e-mail it along with any requested documents to the chair of the CMIS Advisory Committee: Diana Blake ([dkblake@ksu.edu](mailto:dkblake@ksu.edu)).*

<b>Project Name:</b>	Mainframe Data Archiving Project	<b>Date:</b>	March 22, 2006
<b>Submitted By:</b>	Brian Kuntz Edited by Diana Blake – March 30, 2006		

**1. Points of Contact**

*Indicate the individuals responsible for sponsoring, planning, and implementing this project.*

Position	Name and Department	Phone	E-mail
Project Sponsor(s)	Keith Ratzloff – Controller’s Office	2-6210	<a href="mailto:ratzloff@ksu.edu">ratzloff@ksu.edu</a>
	Larry Moeder – Undergraduate Admissions, Registrar, and Student Financial Assistance	2-6420	<a href="mailto:moeder@ksu.edu">moeder@ksu.edu</a>
	Gary Leitnaker – Human Resources	2-6277	<a href="mailto:geleit@ksu.edu">geleit@ksu.edu</a>
Project Manager	Brian Kuntz – Information Systems Office	2-7847	<a href="mailto:kuntz@ksu.edu">kuntz@ksu.edu</a>
Functional Lead(s)	Bryan Boutz - Controller’s Office	2-2048	<a href="mailto:bboutz@ksu.edu">bboutz@ksu.edu</a>
	Tanya McGee - Student Financial Assistance	2-6420	<a href="mailto:tanvap@ksu.edu">tanvap@ksu.edu</a>
	Gunile DeVault - Registrar’s Office	2-6254	<a href="mailto:gunile@ksu.edu">gunile@ksu.edu</a>
	Jackie Dean - Salina Registrar	6-2607	<a href="mailto:jidean@ksu.edu">jidean@ksu.edu</a>
	David Warren - Planning and Analysis	2-5712	<a href="mailto:dxw@ksu.edu">dxw@ksu.edu</a>
	Frieda Beat - Human Resources	2-6277	<a href="mailto:frieda@ksu.edu">frieda@ksu.edu</a>
	Jack Taylor - Undergraduate Admissions	2-6250	<a href="mailto:jack2@ksu.edu">jack2@ksu.edu</a>
	Sara Opperud and Kathy Greene - Education and Personal Development	2-7305 2-5642	<a href="mailto:sopperud@ksu.edu">sopperud@ksu.edu</a> <a href="mailto:kgreene@ksu.edu">kgreene@ksu.edu</a>
Technical Lead	Mike Stauffer – Information Systems Office	2-7846	<a href="mailto:jms@ksu.edu">jms@ksu.edu</a>

**2. Business Problem**

*Provide a brief description of the business problem.*

Kansas State University is in the process of replacing all mainframe-based applications with more current technology, with the ultimate goal of shutting the mainframe down as soon as possible. In order to not lose essential mainframe-based data, data will need to be migrated to new Oracle-based applications or to separate Oracle database(s) that have not yet been developed.

**3. Statement of Work**

*Describe the overall goal of the project. The statement should be short, precise, and clear.*

Identify, migrate, and archive essential mainframe-based data in secure Oracle-based database(s) that can be accessed by authorized users after the mainframe has been shutdown. Mainframe data to be archived under this project includes undergraduate admissions, student records (transcripts), student billing and receivables, student financial aid, human resources (personnel records), and payroll. Due to the technical complexity and time requirements of migrating mainframe-based data to an Oracle-based environment, it is recommended that an outside vendor who specializes in IDMS to Oracle data migrations perform the data migration.

The following mainframe-based data is considered outside the scope of this project: data that will be migrated to new Oracle-based applications under other projects (e.g., iSIS, Talisma, Computrition), end of semester and 20<sup>th</sup> day snapshots, and electronic tapes.

Please refer to Section 14 for additional information and a list of assumptions that could impact the scope of work.

#### 4. Project Objectives

*Provide a brief list of what the project is to accomplish (maximum of 5 objectives). Along with the statement of work, the objectives define the boundaries (scope) of the project. Objectives may be both short and long term.*

1. Finalize mainframe data to be archived and obtain customer approvals.
2. Identify and secure contract with an outside vendor, such as Xitec. (Scope of work should include: develop data models, write and test data migration scripts, and perform final data migration.)
3. Obtain necessary hardware and software.
4. Perform test migrations prior to final migration to ensure data integrity, relationships, and completeness.
5. Complete the migration of mainframe data prior to shutting down the mainframe.

#### 5. Regulatory or Policy Changes Driving This Project

*If this project is a result of a regulatory or policy change, place an "x" in the appropriate column below. Attach a separate document (e.g., Federal or State statute), or provide a URL to a website that can provide detailed information about the regulatory or policy change.*

	Federal Government	State of Kansas	Board of Regents
Regulatory			
Policy			

#### 6. Institutional and Information Technology Strategies

*Place an "x" next to each statement to indicate how this project aligns with university or IT strategies.*

Strategic Planning Themes (From the 1999-2001 Strategic Planning Committee) See: <a href="http://www.ksu.edu/provost/planning/index.htm">http://www.ksu.edu/provost/planning/index.htm</a> .	
1. Support recruitment, retention, and professional development of high quality faculty.	
2. Strengthen the learning and teaching environment.	
3. Enhance the quality of graduate and research programs.	
4. Develop the library infrastructure.	
5. Develop the Information Technology infrastructure.	X
6. Enhance a diverse and multicultural environment.	
7. Enhance the international emphases.	
8. Define the university's role in mediated learning.	
9. Contribute to the state's economic development and environmental health.	
University Aspirations (From the "Review of Tuition Principles" PowerPoint Presentation) See: <a href="http://www.ksu.edu/vpaf/">http://www.ksu.edu/vpaf/</a>	
1. Become a Top 10 Land Grant university as a composite of all three categories of our mission - teaching, research and extension.	

2. Retain K-State's traditional enrollment pattern even though student costs may increase.	
3. Provide competitive compensation packages for all employees.	
4. Provide a level of Other Operating Expense support consistent with K-State's status as a doctoral research-extensive university.	
5. Maximize financial flexibility at all levels within the university.	
<b>IT Strategies (from annual IT Management and Budget Report to the State of Kansas)</b>	
1. Leverage information assets to serve faculty, staff, and students.	X
2. Move to a networked system with capability to support the clients as the user access device.	X
3. Create a system of information assets that are well organized on centrally managed Oracle relational databases.	X
4. Create tools and sources of information to allow users to do most of their computing without assistance.	X
5. Make information available widely on the campus.	
6. Provide remote monitoring and maintenance of IT systems.	
7. Expand continuing professional education through use of the Internet.	
8. Purchase commercial products when they exist and create tools to bridge the time until commercial products are available.	X
9. Identify the most critical university facilities and their IT resources to facilitate recovery and increase awareness of the business risks of IT service outages.	
10. Maintain and advance the reliability, redundancy, and recoverability of the information technology infrastructure.	X
11. Enhance user assistance and support.	
12. Empower the user and expand the user base with an increasing variety of computing and telecommunication tools, capability, and interfaces.	X
13. Encourage mediated instruction, distance learning, e-tech transfer, digital library functionals, and e-life-long learning.	
14. Establish policies to guide the access, use, organization, confidentiality, and integrity of information assets.	
15. Develop and maintain integrated information structure and access.	X
16. Seek additional funding sources.	
17. Encourage a teamwork approach and enhance staff education.	

## 7. Estimated Project Schedule

*Provide estimated start and end dates for each major phase of the project. Dates may overlap. See definitions of project phases below.*

<b>Project Phases</b>	<b>Est. Start Date (Mo./Yr)</b>	<b>Est. End Date (Mo./Yr)</b>
Concept	9/04	4/06
Planning	5/06*	12/06
Implementation	1/07	3/09*

*\*These dates represent the time expected to obtain project approvals, secure a contract with the vendor, test data migrations, and perform and verify the final data migration. Since the final data migration cannot occur until the mainframe is no longer in use, it is anticipated that K-State resources will only need to be engaged for 8 to 12 weeks between May 2006 and March 2009.*

Definition of Project Phases

*Concept: Establishes the conceptual view and general definition of the project and includes the CMIS Advisory Committee submission, review, and approval process. Include the estimated time to prepare and submit the Project Submission form to CMIS.*

*Planning: Activities include developing a detailed Project Plan/Work Breakdown Structure (WBS). The Project Plan/WBS should define the tasks and estimate the time, cost, and resource requirements for the project.*

*Implementation: Includes project start-up, execution, and close-out activities described below.*

*During project **start-up** the Project Team is formed, a kick-off meeting is conducted, and requirements are reviewed. The Project Plan/WBS should be finalized and approved by the Project Sponsor, Steering Committee, and Executive Computing Committee as appropriate.*

*Upon receipt of necessary approvals, the Project Team **executes** the Project Plan/WBS. Project activities are tracked, monitored, and communicated. The Project Plan/WBS is reviewed and updated on a regular basis. Activities also include change control, risk management, and issue identification.*

***Close-out** activities include user acceptance of project deliverables, conducting a lessons learned session, completion of project documentation, and celebration of project completion.*

**8. Functional and Technical Resources**

*Indicate all functional and technical resources and estimated person hours required for this project. List the names of the resources, not the position title, unless the name of the resource is unknown. Include new positions if needed and place an “x” in the “New Resource” column. For assistance with technical resource estimates contact the appropriate IT unit. See the CMIS website ([www.ksu.edu/infotech/cmisis](http://www.ksu.edu/infotech/cmisis)) for a list of current IT contacts. Add additional lines if needed.*

Name of Resource	Department	% FTE	Total Est. No. of Weeks	Total Est. Person Hours
Project Management/Oversight:				
Brian Kuntz	ISO	0.75	12	360
Diana Blake	ISO	0.1	12	48
Contract Management:				
John Streeter	ISO	0.1	12	48
Technical Resources:				
Mike Stauffer	ISO	0.5	12	240
Karen Noffsinger	ISO	0.3	12	144
Jim Grimwood	ISO	0.5	12	240
Shirly Unekis	ISO	0.3	12	144
Della Cook	ISO	0.3	12	144
Shu-Mei Lin	ISO	0.3	12	144
Laura Oesterhaus	ISO	0.3	12	144
Delaine Kleiner	ISO	0.3	12	144
Ronnie Rouse	ISO	0.3	12	144
Unix Systems Administrator	CNS	0.1	4	16

Functional Resources:				
Gunile DeVault	Registrar's Office	0.3	8	96
Jackie Dean	Salina Registrar	0.3	8	96
David Warren	Planning and Analysis	0.3	8	96
Frieda Beat	Human Resources	0.3	8	96
Jack Taylor	Undergraduate Admissions	0.3	8	96
Sara Opperud	Education and Personal Dev.	0.3	8	96
Kathy Greene	Education and Personal Dev.	0.3	8	96
Bryan Boutz	Controller's Office	0.3	8	96
Tanya McGee	Student Financial Assistance	0.3	8	96
<b>Grand Total – Estimated Hours</b>				<b>2,824</b>

## 9. Project Costs

*Provide estimated project costs by fiscal year and indicate types of expenditures (e.g., hardware, software licensing, consulting services, etc.). Add additional lines if needed.*

Fiscal Year	Type of Expenditures	Est. Costs*
2006	Staffing, Contractual Services, Miscellaneous OOE	\$ 157,400
2007	Staffing, Miscellaneous OOE	\$ 10,690
2008	Staffing, Miscellaneous OOE, Hardware Purchases	\$ 34,910
2009	Staffing, Contractual Services, Miscellaneous OOE	\$ 133,430
<b>Grand Total</b>		<b>\$ 336,500</b>

\* See Appendix A for detailed cost estimates by fiscal year.

## 10. Project Funding

*Indicate source(s) and amount of funding.*

Source of Funds	New Resources	Existing Resources	Total
Administrative Department or College	\$	\$ 70,600	\$ 70,600
IT Department	\$	\$	\$
Central IT (VPAST)	\$	\$	\$
Separate Project Funds	\$	\$	\$
Other: (Describe)	\$	\$	\$
Don't Know	\$ 265,900	\$	\$ 265,900
<b>Grand Total</b>	<b>\$ 265,900</b>	<b>\$ 70,600</b>	<b>\$ 336,500</b>

## 11. Project Dependencies and Relationships

*List other major projects that must either precede or follow this project. Also list other projects, if done concurrently, which could result in an over-commitment of resources.*

*Other major projects that must precede this project:*

LASER/iSIS Project

*Other major projects that must follow this project:*

Mainframe Decommissioning Project

*Other major projects, if done concurrently, could result in an over-commitment of resources:*

1. LASER/iSIS Project
2. Grade posting via KSOL to SIS
3. Centralized Army Tuition Assistance Initiative (CTAM)
4. Interfaces to/from FAMS for the new Student Recruitment System (Talisma)
5. Annual Federal Financial Aid Regulatory Changes
6. Annual Tuition Statement Changes (TRA 97)
7. Wildcat ID modifications
8. HRIS and PeopleTools upgrades

## 12. Risks and/or Consequences

*Briefly describe the risks and/or consequences of not doing this project, or if the project cannot be completed within the estimated timeframe indicated in Section 7. Include impact on operations, students, staff, other systems, etc.*

Two risks are evident at the outset of this project:

1. It is possible that some data could be missed during the analysis or migration phases of the project which could result in some data being lost forever when the mainframe is shutdown. These risks could be mitigated by identifying any additional data that needs to be migrated before shutting down the mainframe by:

a) allowing users to access archived mainframe data in the new Oracle database for a specified "warranty period" (e.g., one or two months), and

b) disabling user access to the mainframe for a specified period of time (e.g., one or two months) prior to decommissioning it.

2. There are few vendors who specialize in IDMS to Oracle data migrations. Xitec may be the only company qualified and experienced enough to do the work. Xitec is a small company and their long-term viability is unknown. It is possible that K-State could contract with Xitec only to have it go out of business prior to completing the final data migration. Should this risk occur and K-State attempt to do the entire project in-house with existing resources, this project and decommissioning of the mainframe would be delayed several years.

## 13. Planned System Retirement

*If this project will have a major impact on a system that is planned for retirement within the next two years, explain why this change must be completed prior to system retirement.*

## 14. Other Information

*Provide any other information you feel is important about this project.*

Additional information relating to Section 3 – Statement of Work:

Should K-State chose to implement the PeopleSoft Student Administration system rather than the Oracle Student System, it may be possible to migrate all essential mainframe student data to the new system, leaving very little, if any, mainframe student data that would need to be migrated/archived to a separate Oracle database. Should this occur, the scope of the MDAP project would be reduced to include only human resources (personnel) and payroll data, which means it may be possible to complete the project within a shorter period of time and with fewer in-house resources.

Assumptions relating to Section 3 – Statement of Work:

0. The target date to decommission the mainframe is December 2008.
1. ISO mainframe technical resources will continue to diminish over time.
2. The Oracle Discoverer query tool will be used by functional staff to access archived mainframe data, therefore no new applications will need to be written by ISO staff to access the data.
3. Once the mainframe data has been archived in an Oracle database, the data could be available for migration to other applications with much greater ease.